

 <p>Cree School Board Commission scolaire crie</p>	<h2>Policy on Records Retention and Management (Archiving)</h2>	
	<p><b>Department responsible:</b> Secretary General  <b>Effective date:</b> June 23, 2016  <b>Approved by:</b> Resolution # EC 2016-317</p>	
	<p><b>References:</b></p>	<ul style="list-style-type: none"> <li>▪ Council Policy Manual: EL-1, EL-5 and EL-7</li> <li>▪ Cree School Board Retention Schedule (2015)</li> </ul>
	<p><b>Other related policies:</b></p>	<ul style="list-style-type: none"> <li>▪ Access to information and Protection of Personal Information (SG-01)</li> <li>▪ Code of Ethics and Professional Conduct for Employees (ADM-13)</li> <li>▪ Cree School Board Information Systems Security Breach Response (IT-02)</li> <li>▪ I.T. Response Procedure in the event of a Natural Disaster (IT-03)</li> </ul>

The Cree School Board recognizes the importance to establish a general framework on conception, planning, organization and control over activities related to the conservation, classification, use and flow of documents produced or received by the Board and this in accordance with the applicable legislation.

### **1) Purposes**

Goal

1.1. This Policy is intended to ensure a uniform and efficient management of active, semi-active and inactive documents within the Board by:

- meeting legal requirements;
- promoting a standardized records management system and set of instructions within the Board;
- identifying stakeholders' responsibilities;
- eliminating the conservation of duplicate documents;
- ensuring better protection of documents and better access to documents stored in the employees' working area or archived within the Board.

## [Principles](#)

**1.2.** Records retention and management aims at maintaining integrity of documents, supporting organizational operations and preserving the historical heritage of the Board.

The Board must take appropriate measures to ensure efficient management of its documents, more specifically by putting into place procedures which will support:

- a) the protection of confidential data;
- b) the quick access to any information available;
- c) the rationalization of space and equipment for the filing of documents;
- d) the rationalization of records management procedures, namely by the application of new information technologies.

## [Application](#)

**1.3.** This Policy applies to all schools, centres and departments of the Cree School Board.

## [Definitions](#)

**1.4.** For the purposes of this Policy, the following words or expressions mean:

- a) **Active Document** : document(s) in current use for administrative or legal purposes usually stored in an employee's working area<sup>1</sup>;  
**Semi-Active Document:** document(s) in occasional use for administrative or legal purposes<sup>2</sup>, kept in the administrative unit. However, the Regional Archives Centre can file this document on behalf of the administrative unit who can recall it at any time;  
**Inactive Document:** document(s) no longer used for administrative or legal purposes but stored for its historical value;
- b) **Administrative Unit:** any Board administrative service, school or centre;
- c) **Archives:** the body of documents of all kinds preserved for their general information value<sup>3</sup>;
- d) **Archivist:** the person in charge of records management at the Regional Archives Centre;
- e) **Classification Plan:** a plan or framework developed by the Board to file and track different types of documents or files in a structured and logical order;
- f) **Document:** information inscribed on a medium constitutes a document. The information is delimited and structured, according to the medium used, by tangible or logical features and is intelligible in the form of words, sounds or images<sup>4</sup>: correspondence, reports, studies, registers, publications produced by or for the Board to the exclusion of

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<sup>1</sup> Archives Act (CQLR, c. A-21.1, s. 2)

<sup>2</sup> Section 2 (CQLR, c. A-21.1)

<sup>3</sup> Idem

<sup>4</sup> *Act to Establish a Legal Framework for Information Technology* (CQLR, c.C-1-1, s. 3)

publications or reference materials for libraries. Document includes digitization<sup>5</sup>;

- g) **Document Management:** organization and administration of the flow of operations related to administrative systems required for the treatment of documents (paper and electronic) from their creation or receipt to their storage or destruction;
- h) **Employee:** a person employed by the Board and who produces or generates documents covered by this Policy. For the purpose of this Policy, it will also include elected members of the Board;
- i) **IDM:** Integrated Document Management System;
- j) **Medium:** the physical support on which information can be recorded, stored or distributed such as digital magnetic disk, paper, microfilm, etc.;
- k) **Records Management System:** the schedule of retention and the Classification Plan;
- l) **Regional Archives Centre:** service located in Mistissini and responsible for central archiving and providing support to administrative units on records retention and management;
- m) **Retention Schedule:** list determining the periods of use and medium of retention of its active/semi-active documents indicating which inactive documents are to be preserved permanently or be disposed of<sup>6</sup>. The Retention Schedule is approved by the Council of Commissioners and by the Bibliothèque et Archives nationales du Québec.

## 2) Legal Requirements

[Archives Act](#)

2.1. The Board shall:

- a) according to the *Archives Act*<sup>7</sup>:
  - adopt a management policy for its active and semi-active documents;
  - establish and keep up to date a Retention Schedule determining the periods of use and medium of retention of its active and semi-active documents and indicating which inactive documents are to be preserved permanently and which are to be disposed of;
  - submit its Retention Schedule and every modification of the schedule to Bibliothèque et Archives nationales du Québec for approval;

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<sup>5</sup> Transfer of paper or microfilm medium to a digital medium

<sup>6</sup> *Archives Act* (CQLR, c. A-21.1, s. 7): This list adopted by the School Board and approved by BANQ specifies the various administrative files and documents and refers to the *Recueil des délais de conservation des commissions scolaires du Québec* produced by the *Fédération des Commissions scolaires du Québec*

<sup>7</sup> Sections 6, 7 and 8 (CQLR, c. A-21.1)

[Act respecting access to documents](#)

- b) according to an *Act respecting Access to Documents held by Public Bodies and the Protection of Personal Information*<sup>8</sup>:
- establish and maintain a Classification Plan of all its documents, whether analog or digital;
  - classify its documents in such a manner as to allow their retrieval. It must set up and keep up to date a list setting forth the order of classification of the documents. The list must be sufficiently precise to facilitate the exercise of the right of access.

[Other applicable legislations](#)

Moreover, the following legislation shall be taken into consideration by the Board in the management and retention of its records:

- *Civil code of Québec*;
- *Act to Establish a Legal Framework for Information Technology* (CQLR, c. C-1.1);
- *Education Act for Cree, Inuit and Naskapi Native Persons* (CQLR, c. I-14);
- *Copyright Act* (RSC, 1985, c. C-42).

### **3) Management**

[Acquisition](#)

**3.1.** The Board owns all documents produced or received by its employees<sup>9</sup> as part of their duties. Thus, when the employee leaves the Board, he must leave in the custody of the Board all documents produced or received in that capacity<sup>10</sup>.

[Processing](#)

**3.2.** The Board promotes standardized document classification and description in all its administrative units. In doing so, it allows fast retrieval of information and facilitates all employees' tasks, especially during staff movement.

The Board uses an IDM, for both its analog and digital documents, allowing protection of its documents and ensuring their preservation.

[Transfer](#)

**3.3.** The Board must ensure the best management of its space, therefore all administrative units must:

- transfer their semi-active files to their archive room<sup>11</sup>, and
- transfer their inactive files to the Regional Archives Centre, as described in the Retention Schedule.

Analog documents that have to be scanned as described in the Retention Schedule will be digitized after their transfer to the Regional Archives Centre.

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<sup>8</sup> Section 16 (CQLR., c. A-2.1)

<sup>9</sup> Including consultants

<sup>10</sup> Section 12, *Archives Act*

<sup>11</sup> Or if any, in their archive area

[Schedule](#)

**3.4.** All documents contained in a file shall be processed according to the Retention Schedule.

*active and semi-active*

Active and semi-active documents are located<sup>12</sup> in the employee's working area and identified in a way to facilitate their location and to respect the requirements of the *Act respecting access to documents held by public bodies and the Protection of personal information*.

*inactive*

Inactive documents to be disposed of shall be shredded and sent to recycling or burned. For any electronic document in the IDM which must be destroyed in application of the Retention Schedule, a list will be produced annually and destruction will be performed by the person responsible for the Regional Archives Centre.

[Cost efficiency](#)

**3.5.** The management of any document shall strive to reduce the cost associated with its creation or receipt, keeping, tracking and handling throughout its life cycle. The Board ensures better management of its space by discouraging of keeping multiple copies of the same document.

[Destruction/ authorization from archivist](#)

**3.6.** Documents can only be disposed of or destroyed according to the Retention Schedule and such process must always be authorized by the Archivist at the Regional Archives Centre.

## **4) Security and Equipment**

[Back-up](#)

**4.1.** Measures of protection are taken to guarantee the backup of information contained in documents retained by the Board.

To protect documents on digital medium, a backup copy of archived documents on digital medium is stored outside of the premises where servers are kept for this purpose.

In the event of a disaster, measures for the reconstruction of recorded essential information shall be planned in order to assure the continuity of the Board's activities, in accordance with the IT policies in effect.

[Confidentiality](#)

**4.2.** All confidential documents are to be identified by the Administrative Unit and are subject to specific protection measures.

[Equipment](#)

**4.3.** The Board standardizes the type of equipment and supplies utilized in the maintaining of records and physically protects records from unauthorized access through the use of locked cabinets and rooms, passwords, charge out systems or other security procedures.

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<sup>12</sup> By the person in charge of the archives for this specific administrative unit

## **5) Roles and Responsibilities**

### [School Board](#)

#### **5.1.** The School Board shall:

- a) allocate the resources required for the effective and efficient application of the records management system and for the development of a document management training and information session for employees;
- b) ensure adequate space for archiving is available;
- c) promote this Policy among the employees in order to emphasize the importance and advantages of efficient records management;
- d) provide for training of employees involved in delivering and using the IDM.

### [Secretary-General](#)

#### **5.2.** The Secretary General shall ensure:

- a) the respect of laws and regulations pertaining to records management;
- b) that the material providing information for the use of the records management system is updated and distributed;
- c) the follow-up of the records management system (the classification, protection, keeping and disposal of documents) in cooperation with the administrative units;
- d) that training sessions for employees in charge of the archives for the administrative units are scheduled periodically for the use of the records management system and that technical assistance is provided.

Moreover, the Secretary General will ensure the establishment of procedures namely for the disposal of documents and for the consultation and loan of documents.

### [Archivist / Regional Archives Centre](#)

#### **5.3.** The Archivist in charge of records management at the Regional Archives Centre shall:

- a) ensure the liaison with the Secretary General;
- b) ensure the development, implementation and improvement of the records management system;
- c) train and assist employees in charge of the archives for their administrative units;
- d) identify and file analog as well as digital documents in accordance with the Classification Plan;
- e) ensure the security and protection of documents in the Regional Archives Centre;
- f) at least once a year, for any electronic document in IDM, apply the Retention Schedule (streamlining, downgrading and transfer) and modify the state<sup>13</sup> of the documents accordingly;
- g) determine and implement access measures to IDM;
- h) assume responsibility for the records management of original documents in the Regional Archives Centre.

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<sup>13</sup> As the documents will become semi-active or inactive.

[IT Department](#)

**5.4.** The Information Technology Department shall:

- a) install and maintain the IDM in each administrative unit and ensure sufficient network space for the Electronic Documents Library;
- b) provide advice on best technological practices and standards for records management;
- c) maintain a technology watch at all times in collaboration with the Archivist by implementing a transitional process to guarantee accessibility of information, especially when going through technological changes;
- d) ensure a back-up of archived documents is made on an electronic medium and is kept outside the Regional Archives Centre;
- e) ensure the security related to electronic information and implement necessary measures accordingly.

[Directors & school administration](#)

**5.5.** The Directors of departments and School Administration shall ensure to:

- a) apply the Classification Plan in their respective administrative unit and regularly update the retrieval tools for the documents under their responsibility;
- b) retain, destroy and/or transfer their documents in accordance with the established periods, on the storage media described in the Retention Schedule;
- c) protect documents and personal information and their access in accordance namely with the *Act respecting access to documents held by public bodies and the protection of personal information*<sup>14</sup>;
- d) appoint an employee in charge of the archives for his specific administrative unit.

[Employees in charge of the archives](#)

**5.6.** The employees in charge of the archives for a specific administrative unit shall:

- a) apply instructions related to document management within their administrative unit;
- b) be a liaison officer between their respective administrative unit and the Regional Archives Centre for any document management matters;
- c) assist employees to the use of documents management procedures in their administrative unit;
- d) participate in improving document management methods in collaboration with the Regional Archives Centre;
- e) cooperate with the Regional Archives Centre for the writing and updating of the Classification Plan and the Retention Schedule;
- f) ensure the security and protection of documents in their administrative unit.

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<sup>14</sup> (CQLR, c. A-2.1)

## **6) Legal Deposit**

### Obligation

**6.1.** When the Board publishes books, brochures, artists' books, journals, magazines, musical scores, geographic maps, posters, post cards, prints, art work reproductions, sound recordings, microforms, electronic documents and software, certain obligations set by the national Libraries of Quebec and Canada have to be respected<sup>15</sup>.

Legal Deposit is the means by which a comprehensive national collection is gathered together as a record of the nation's published heritage and development. Publishers in Québec and Canada are required to send copies of their publications to the National Libraries of Québec and Canada.

### All published documents

**6.2.** Legal deposit obligation applies to all published documents, whether or not intended for a restricted public. The Board must therefore comply with this obligation although the documents produced are exclusively distributed to students or staff.

### Assistance

**6.3.** The Archivist at the Regional Archives Centre is the person responsible for providing assistance for any legal deposit process.

## **7) Application of this Policy**

### Previous provisions

**7.1.** The present Policy replaces all other Policies of the Board pertaining to this subject, while respecting the Council of Commissioners Policies/Ends where applicable.

### Official version

**7.2.** The official version of this Policy is kept by the Secretary-General of the School Board.

### Responsibility

**7.3.** Any person referred to in this Policy must abide by all its provisions and all managers of the School Board are responsible to ensure that all its provisions are applied and respected.

The Secretary General is the person responsible for providing support in the interpretation of this Policy and to ensure its revision when necessary.

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<sup>15</sup> For additional information :

- [www.bac-lac.gc.ca/eng/services/legal-deposit/Pages/legal-deposit-s.aspx](http://www.bac-lac.gc.ca/eng/services/legal-deposit/Pages/legal-deposit-s.aspx)
- [www.banq.qc.ca/services/depot\\_legal/](http://www.banq.qc.ca/services/depot_legal/)