



Lester B. Pearson
School Board

Commission scolaire
Lester-B.-Pearson

MANUAL OF POLICIES, PROCEDURES AND BY-LAWS

POLICY ON INTEGRATED DOCUMENT MANAGEMENT

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Policy on Integrated Document Management

1. INTRODUCTION

To comply with Article 6 of the *Archives Act* (R.S.Q., c. A-21.1), the Lester B. Pearson School Board (hereinafter referred to as the acronym LBPSB) must adopt a management policy for its ***active***¹ and ***semi-active documents***.

In addition, to meet the requirements of Article 14 of this Act, the LBPSB must comply with the Management Policy for the ***Inactive Documents*** of Public Bodies.

The present policy is a general framework for a comprehensive and effective ***document management*** program for the ***documents*** held by the LBPSB. This program is supported by advanced technology in ***integrated document management***, ***scanning*** of ***analog documents*** and ***database transfers***, for their consultation, sharing and ***preservation***.

2. OBJECTIVES

By enforcing this policy, the Board is sure to benefit from:

- a decrease in the cost of ***access to information*** and storage of documents
- an increase in security
- a guarantee concerning its legal, financial and administrative obligations in the matter of preservation and access to documents
- a greater adequacy between decision making and information
- a decrease in the ***volume of documents*** retained

3. LEGAL BASIS

This policy of integrated document management has its legal foundation in provincial and federal laws, as well as the corresponding regulations, without limitation (see Addendum D).

4. PRINCIPLES

4.1 Acquisition

- 4.1.1 The LBPSB owns all documents produced or received by its employees as part of their duties. Thus, when an employee leaves the LBPSB, he must leave in the custody of the LBPSB all documents produced or received in that capacity.²
- 4.1.2 The LBPSB owns the documents inherited from merger, integration, amalgamation or any other way, regardless of the ***storage medium***.

¹ The underlined terms in bold italics are defined in Addendum A.

² *Archives Act*, art. 12

4.1.3 The LBPSB may acquire private archives when they relate to:

- the LBPSB or any of its components (current or past)
- a school board constituent of LBPSB, or one of its components
- a person who has left his mark on the LBPSB, one of its constituent boards, or any of their components

4.1.4 The LBPSB may host, upon request, documents belonging to independent organizations, but related to the LBPSB, including but not limited to:

- the Quebec English School Boards Association (QESBA)
- Pearson Educational Foundation (formerly known as West Island Educational Foundation)
- Centre de la Petite Enfance, Lester B.'s Children. Inc.

4.2 Processing

4.2.1 To meet the requirements of Article 16 of the *Act respecting Access to documents held by public bodies and the Protection of personal information* (R.S.Q., c. A-2.1), the LBPSB must establish and maintain a classification plan of all its documents, whether analog or digital.

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

4.3 Information and Circulation

4.3.1 In practicing the integrated management of its documents using a software solution on the cutting edge of technology, the LBPSB will be able to inform the appropriate staff about the existence of a file or document while maintaining respect for the rights of access to documents according to their confidentiality.

4.3.2 The practice of integrated document management provides a framework for the circulation of active, semi-active and inactive files and documents to avoid losses.

4.4 Disposition

4.4.1 To meet the requirements of Article 7 of the *Archives Act* (R.S.Q., c. A21-1), the LBPSB must "establish and keep up to date a retention schedule."

4.4.2 The LBPSB ensures better management of its space by encouraging all employees to transfer their semi-active files (or documents) to the Semi-active Document Repository, and to transfer their inactive files (or documents) to the Inactive Document Repository, as described in the Retention Schedule.

4.4.3 The LBPSB promotes the destruction of multiple copies as well as expired documents according to the Retention Schedule.

- 4.4.4 In the spirit of saving space and cost of storage, the LBPSB encourages the scanning of documents and database transfers, in accordance with the [storage medium transfer](#) described in the Retention Schedule and according to the laws governing these matters.

4.5 Protection

- 4.5.1 The LBPSB puts all means at its disposal to ensure the protection of its [essential documents](#). To do this, it establishes and maintains an emergency plan and practices the [dispersion](#) of documents.
- 4.5.2 In governing the [retention period](#) and [retention mode](#) through the Retention Schedule right from inception, the LBPSB will be able to ensure better protection of all of its documents and better access to information.

5. MODIFICATION

None of the addenda are an integral part of the present policy. They are added to the policy for information purposes only and can be modified without consultation.

6. COMING INTO FORCE

This policy revokes and replaces any other policy or prior By-Law on this matter and is effective on the date of its adoption by the Council of Commissioners.

Addendum A

DEFINITIONS

For the purposes of the present policy, everything that applies to the files also applies to the documents, and vice and versa.

Access to Information (or Access to Documents)

“Ability to view a document or obtain the information contained therein.”

*Reference*³: *Thésaurus de l’activité gouvernementale, [free translation]*

Active Document (or Active Record)

Document which is currently used for administrative, financial or legal purposes and which is generally stored in the office of the user.

Administrative Unit

Generic term for the various LBPSB’s departments, schools and centers.

Administrative Unit Liaison

Individual designated in each administrative unit as liaison with the staff of Legal and Archival Services regarding any document management problem.

Administrative Value

Refers to the value of documents in terms of their usefulness and pertinence for the day-to-day activities of an administrative unit of the LBPSB.

Analog Document

“[...] refers to non-digital materials such as paper records, audio-cassettes, and traditional silver-based photographs.”

Reference: Glossary of Recordkeeping Terms (under “Analog”)

Circulation

Method for controlling access to files, as well as their loan and return.

Class

“A group of materials sharing a common characteristic. A set of records or materials in a hierarchy as determined by a [classification] plan.”

Reference: Glossary of Recordkeeping Terms

³ See Bibliography in Addendum E for full references.

Classification

Intellectual grouping of documents based on common characteristics (function, activity, subject, storage medium, document type, etc.).

Classification Plan

Hierarchical and logical structure allowing the classification, [filing](#) and identification of documents and files.

Each item of the classification plan is accompanied by a [code](#) that allows a faster visual retrieval.

Code

Alphanumeric symbol that illustrates the hierarchical classification plan, being attached to each section of it, and is used for the physical location of documents and records within a same container (filing cabinet, box, etc.).

Database Transfer

Process by which data is extracted from databases and affixed to forms to create intelligible documents. The documents created are then imported into the integrated document management system in their native digital format.

Deposit

Transfer of files from a [filing station](#) to the Semi-active Document Repository.

These documents remain the property of the administrative unit that has transferred them and are accessible only to that unit.

Description

Recording of any information that enables users to retrieve a document during subsequent searches: subject, title, author, unique identifier, summary, comment, year, administrative unit, etc.

Destruction

“The act of permanently disposing of [documents].”

The destruction modes are: shredding, for confidential files recycling, for all the rest.

Reference: Glossary of Recordkeeping Term

Digital Document

Any document (text, image, sound, etc.) found on an electronic device, such as a USB drive, floppy disk, hard disk, CD, etc.

Reference: Thésaurus de l’activité gouvernementale, [free translation]

Dispersion

Operation which involves storing copies of documents or their micro reproduction outside the usual work premises so that they can be used in the event of a disaster.

Document (or Record)

“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. The information may be rendered using any type of writing, including a system of symbols that may be transcribed into words, sounds or images or another system of symbols. [...]

A database whose structuring elements allow the creation of documents by delimiting and structuring the information contained in the database is considered to be a document.”

Reference: An Act to Establish a Legal Framework [...], art. 3

Document Management (or Records Management)

“[Document Management] is the practice of maintaining the [documents] of an organization from the time they are created up to their eventual disposal. This may include classifying, storing, securing, and destruction (or in some cases, archival preservation) of [documents].

A [document] can be either a tangible object or digital information [...]

Reference: Wikipedia (under “Records Management”)

Donation

Transfer of files from the filing stations or from the Semi-active Document Repository to the Inactive Document Repository.

These documents are no longer the property of the administrative unit who donated them and become accessible to all.

Essential Document

Document which is vital to the operation of an organization and ensures the operations, rights and duties can be continued or started up again during or after a disaster.

The loss of such documents would have serious or irreparable consequences.

Expired Document

Document which no longer has value (**administrative**, **legal**, **financial**, and **historical**) and which can be destroyed, as described in the Retention Schedule.

File

“[...] set composed of documents or data (sound, image, text, etc.), organically formed by a physical or legal person exercising its functions, on the same matter or subject and placed in one or several containers [tape, cardboard, register, roll, folder, coil, disk, hard disk, optical disk, volume, floppy, etc.]”

Reference: Terminologie archivistique de base [...], [free translation]

Filing

Physical operation which consists of storing documents in a filing cabinet, box, shelving unit, etc.

Filing Station

Location where the active files are kept within an administrative unit.

Financial Value

Refers to the value of a document in terms of usefulness and relevance in relation to economic activities of an administrative unit or the entire LBPSB.

Historical Value

Refers to the value of a document with respect to retrospective studies on the activities and functions of the LBPSB or one of its components. This is a research, information and evidential value, which increases with time.

Documents with a historical value must be kept on a permanent basis.

Inactive Document (or Inactive Record)

Document which is no longer used for administrative, financial or legal purposes. It may be stored in the Inactive Document Repository if it has historical value. If not, the document may be destroyed.

Inactive Document Repository

Place where inactive documents, with historical value, are stored at lower cost and using appropriate methods (boxes, shelving units, plan racks, etc.).

Integrated Document Management

“This is using the same methods and tools to manage [analog] documents and electronic documents.”

Reference: CRGGID (under “Gestion intégrée numérique et papier”), [free translation]

Legal Value

Refers to the value of documents in terms of the law and as evidence.

Perenniality

Accessibility, readability and reproducibility of information in all circumstances, particularly during a technological change.

Preservation

“Processes and operations involved in ensuring the technical and intellectual survival of authentic [documents] through time.”

Reference: Glossary of Recordkeeping Term

Principal File (or Principal Copy, or Management File)

Set of documents issued or received by the LBPSB which has a direct impact on its activities and must be kept for a certain period of time by the person responsible for the activity concerned by the file.

Processing

“All operations and procedures by which [documents] are sorted, filed, described and indexed.”

Reference: Terminologie archivistique de base [...], [free translation]

Retention Mode

The retention mode of a document includes the media on which it will ultimately be retained. It also includes the sorting criteria, if any.

Retention Period

“The period of time which must elapse before disposal may be made of a body of records.”

Reference: Grand dictionnaire terminologique

Retention Schedule

“[Document] determining the periods of use and medium of retention of [...] active and semi-active documents and indicating which inactive documents are to be preserved permanently, and which are to be disposed of.”

The Retention Schedule is an internal document in which are recorded retention periods for the principal copy of a file and for its secondary copies. There is also the name of the administrative unit which holds the principal copy and a brief description of the contents of the class or file.

The Retention Schedule is approved by the Council of Commissioners and then by Bibliothèque et Archives nationales du Québec (BANQ).

Reference: Archives Act, art. 7.

Retrieval

“[Action of finding], after research, accurate information amid a wealth of data.”

Reference: Thésaurus de l’activité gouvernementale (under “Repérer”), [free translation]

Scanner

“An optical device that transforms an analog image into a graphics image readable by a computer.”

The term “digitizer” is also used.

Reference: Glossary of Recordkeeping Terms

Scanning

Process by which information (text or illustrations) is transformed and converted, using a **scanner** and specialized software, into a series of numerical values.

The term “digitization” is also used.

Secondary File (or Secondary Copy, or Support File, or Work File)

Convenience file, generally from another administrative unit or organization, which must be destroyed after the active stage. These documents usually contain information which is pertinent to staff activities which are photocopied, selected and kept for future reference on a topic of specific interest but which do not affect school board operations if destroyed.

Semi-active Document (or Semi-active Record)

Document which is occasionally used for administrative, financial or legal purposes and which, as a result of the frequency at which it is consulted, is generally stored in the Semi-active Document Repository.

These documents remain the property of the administrative unit which transferred them and are available only to that unit.

Semi-active Document Repository

Place where semi-active documents are stored at a lower cost and using appropriate methods (boxes, shelving units, plan racks, etc.).

Storage Medium

“Physical material, container, and/or carrier in or on which information is recorded”, such as paper, microfilm, microfiche, disk, floppy disk, magnetic tape, cassette, CD-ROM, etc.

Reference: Glossary of Recordkeeping Terms

Storage Medium Transfer

Process by which information contained on paper, microfilm, disk, floppy disk, memory sticks, etc., or network databases, is reproduced on another medium such as a magnetic disk, a CD-ROM, a DVD, etc.

Transfer of Files (Semi-active or Inactive)

Relocation of files (or documents) from the filing stations to the Semi-active or Inactive Document Repositories.

The transfer may be made as a **deposit** (for semi-actives) or **donation** (for inactives).

User

Any LBPSB employee who classifies and/or keeps files.

Volume of Documents

“All documents held by an organization.”

Reference: Grand dictionnaire terminologique (under “Volume of Records”), [free translation]

Addendum B

FUNCTIONS AND RESPONSIBILITIES

In order to carry out this mandate, the functions and responsibilities are distributed among the various LBPSB stakeholders in the following way:

Council of Commissioners

- Approve the Policy on Integrated Document Management
- Approve the Retention Schedule

Legal and Archival Services

- Write, keep up to date, distribute and enforce the policy and procedures⁴ on document management
- Develop and update, in collaboration with the administrative unit liaisons, a Standardized Document Classification Plan and its retrieval tools, and implementing them in the different LBPSB administrative units
- Write, periodically update and implement the LBPSB's Retention Schedule, in cooperation with the administrative unit liaisons
- Write and update an Emergency Plan for the safeguard of documents in case of a disaster
- Write, update and distribute a Document Management Guide providing instructions for the management of the board's documents
- Develop a document management training and information program for administrative units staff
- Organize the physical layout of the Semi-active and Inactive Document Repositories to promote a rational and economical use of space and equipment
- Coordinate and plan the transfer and access operations related to documents stored in the repositories
- Coordinate and plan the operations related to the medium transfers for all administrative units (scanning, database transfers, etc)
- Safeguard and protect essential documents
- Establish measures to protect personal information and means of access to that information
- Organize and manage a centralized terminal for the issuance of former students' report cards (including *relevés de notes* or *relevés des apprentissages*)
- Maintain, jointly with the Information Systems Department, a technology watch to guarantee perenniality of information in all circumstances, especially when the LBPSB goes through technical changes

⁴ Procedures related to this policy are listed in Addendum C.

Information Systems Department

- Provide technical support for integrated document management: security, access to networks and servers, disk space availability, management of libraries, etc.
- Provide technical support for database preparation for database transfers
- Provide technical support in regard to the installation and operation of software and equipment used for the integrated document management
- Maintain, jointly with the Legal and Archival Services, a technology watch to guarantee perennality of information in all circumstances, especially when the LBPSB goes through technical changes

Principals and Directors

- Apply the Standardized Classification Plan in their respective administrative unit and regularly update the retrieval tools for the documents under their responsibility
- Retain, destroy and/or transfer their documents in accordance with the established periods, on the storage media described in the Retention Schedule, and according to retention, destruction or transfer standards as indicated in the document management procedures
- Protect personal information in accordance to accessibility norms established in the document management procedures
- Protect essential documents according to norms established in the document management procedures

Administrative Unit Liaisons

- Apply instructions related to document management within their administrative unit
- Be a liaison officer between their respective administrative unit and the Legal and Archival Services for any document management problem
- Train new users to the use of documents management procedures in their unit
- Participate in improving document management methods with the Legal and Archival Services
- Cooperate with the Legal and Archival Services for the writing and updating of the Classification Plan and the Retention Schedule

Users

- Use and apply, on a mandatory basis, the Classification Plan and the Retention Schedule, as well as procedures and instructions related to document management in effect at the LBPSB, with the help of the tools provided

Addendum C

RELATED PROCEDURES

The application of this policy involves the following procedures:

- Procedure 5.1 Transmitting Personal Information
- Procedure 5.2 Document Destruction
- Procedure 5.3 Transfer of Files
- Procedure 5.4 Protection of Essential Documents
- Procedure 5.5 Loan of Semi-Active and Inactive Files
- Procedure 5.6 Document Digitization and Computer Output to Laser Disk (COLD)

Addendum D

LAWS

Provincial Laws

- [Civil Code of Québec](#) (R.S.Q., chapter CCQ)
- [An Act respecting Access to documents held by public bodies and the Protection of personal information](#) (R.S.Q., chapter A-2.1)
- [Archives Act](#) (R.S.Q., chapter A-21.1)
- [An Act to establish a legal framework for information technology](#) (R.S.Q., chapter C-1.1)
- [Education Act](#) (R.S.Q., chapter I13.3)

Federal Laws

- [An Act respecting copyright](#) (R.S.C., 1985, c. C-42)

Addendum E

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