IAEM – CANADA Policy

Document – Records Control Policy

1. Policy Statement

It is critical that the IAEM-Canada Council develops and continues to review and amend in a consistent manner, a broad range of both board approved and internal administrative bylaws, policies and procedures to assist in the governance and administration of its operations. It is also essential that bylaws, policies, procedures and other key materials are document controlled, such that, the relevant, existing version is readily identifiable by readers and users as applicable, at any specific time, especially for legal, auditing and historical purposes.

To this, IAEM-Canada Council has established standardized templates and appropriate review and document control processes to ensure a consistent approach.

This policy applies to all policies and procedures, governing and supporting documentation such as work instruction and templates of IAEM - Canada Council, and sub-units of the Council (Regions, Chapters and Committees)

2. Definitions

a) Controlled document: a structured presentation of prescriptive information required to ensure consistent management.

b) Bylaw: a defined presentation of governing and operational rules under which the IAEM Canada Board must operate on behalf of the members

c) Policy: a guiding principle used to set direction

d) Procedure: defines a series of steps, responsibilities and processes as a consistent and repetitive approach to accomplish an end result

e) Minor revision: an insignificant change to a controlled document which does not require a recorded revision in the revision history table or footer section of the document. An example of a minor revision would include:
• Typographic errors
• Changes made to a title position name but the duties remained with that position
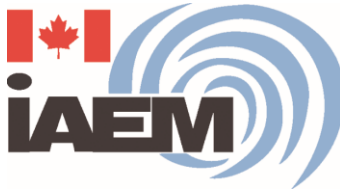
f) Revision: a significant change to a controlled document which require a recorded revision in the revision history table and footer section of the document. Examples of significant changes may include, but are not limited to:

- Revisions which identify a change in a responsibility
- Changes which are systemic in nature

g) Review: the evaluation of the document's content. Reviews are required to be recorded in the revision history table and footer of the document

h) Board: Members of the IAEM Canada Board as defined in IAEM Canada Bylaws

i) Members: Members of IAEM Canada as defined in IAEM Canada Bylaws

3. Responsibilities

3.1 General

Responsible: Director of Governance

a) Ensure document procedures are established and maintained relevant to the operations activities or processes demonstrated.
b) Maintain document library(s) to ensure current versions are available to end users and obsolete versions are archived.
c) Maintain controlled list of documents and their library locations to ensure current versions are practiced and prevent the practice of obsolete versions or documents being used.
d) Ensure documents that are obsolete or are required to be maintained for for legal and/or knowledge preservation purposes are suitably identified, and coincide with retention times.
e) Maintain a library of templates for controlled documents
f) Assign Document Identification Number to draft documents prior to final release.

Responsible: Document Owner

a) Develop, review, update and revise documents and records within their area of responsibility.
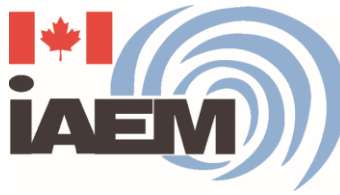
3.2 Controlled Documents

Controlled documents include, but are not limited to:
- Procedures
- Policy
- Bylaws
- Terms of Reference
- Transfer of Knowledge
- Meeting Minutes
- Strategic Plan

3.3 New Documents

Responsible:
- Document Owner
- Director of Governance

Any member of the Board can decide that a procedure be written and appoint a person or persons to have a procedure prepared. The board member who has appointed the need for the procedure or the board position held, which engages in the dealings of the document particulars, becomes the owner and takes ownership from draft through to the implementation phase.

New documents will be watermarked as Draft.

When the draft copy is prepared the review process must include all Board Members and their support sought. Constructive comments are encouraged to provide value and an added level of expertise.

All reviewers of the procedure are to send their comments or acceptance of the procedures within 14 days of the issued date of the email notification requesting review to the document owner. If no response has been made by the 14 day revision window, the document will be considered complete and the document will be deemed as "Final Draft

All Final Drafts will be sent to the Board for a vote of approval.
When the document has been accepted, the document will be made active by the Director of Governance.
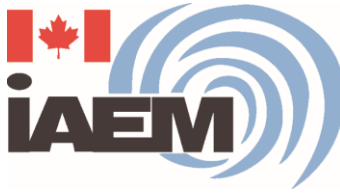
3.4 Activating a Document

Responsible:
- Director of Governance

Documents will be assigned a document number. The document number will coincide with the type of document and content.

No two document numbers are to be the same. Sub-units (Regions, Chapters and Committees) are to ensure document number distinctiveness through communication the IAEM Canada Director of Governance.

Document number distinction includes, but is not limited to:

Distinction	Relevance	Example
CAN-GD	Governing Document	CAN-GD-01
CAN-PO	Individual Policy	CAN-PO-02
CAN-PR	Individual Procedure	CAN-PR-20

Documents will contain the review frequency, the revision number, document owner's position, document number and the review/revision date of the last review in the footer of the document.

The revision number will be changed only when a revision is made to the document. Therefore, the review/revision date may change, but the revision number will remain the same if no changes were made upon review.

All new documents will be issued with the revision number of zero (0) at time of initial activation.

A revision history will be maintained at the end of the document containing the revision number, date of review/revision, the page and section of the changes if applicable and the purpose.

All new documents will be marked as "Original" under the purpose at the time of document activation.
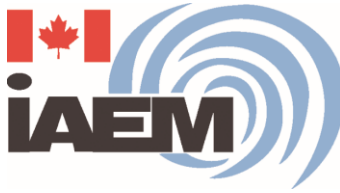
3.5 Review

Responsible:
- Director of Governance
- Document Owner

The review frequency of a document will be determined upon creation of the document by the document owner and Board approval. Usual frequency reviews are annual or biannual,

however it may be determined to be any reasonable time frame required due to the nature of the document.

Reviews will be conducted upon notification of documentation expiry by the Director of Governance and conducted by the document owner.

3.6 Revision

Responsible:
- Document Owner

Document revision will be initiated, when a request is receive to change a procedure, or notification of review/revision date expiry is received and changes need to be made upon review.

The document owner will revise as required and accept or reject suggested changes.

Revisions (as defined) are required to be reviewed by the Board for approval.

Revision(s) of the document are to be sent to the document owner within 14 days of the issue date of the review request email notification. If no response has been made by the 14 day revision window, the document will be considered complete and the document will be made active.

3.7 Controlled Documents Location and Format

Responsible:
- Director of Governance
- Document Owners

Controlled documents are to be maintained as active and obsolete and necessary.
All active controlled documents that are not required to be posted for membership access will be maintained in a shared folder library.
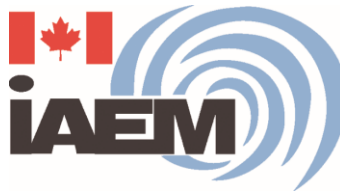The controlled shared folder library will contain non-editable and editable format documents.

Controlled documents that are to be posted for membership access will be maintained in the shared folder and the IAEM Canada Website.
Documents that are shared for membership access will be in a non-editable format.
Documents posted on the IAEM Website must be active. Obsolete documents must not remain for member access.

The creation of controlled document copies are not to be posted in any other area of the shared folders or website in keeping with current controlled documentation.

3.8 Obsolete Documents and Document Retention

Responsible:
- Director of Governance
- Document Owners

Obsolete documents will be water marked "Obsolete" and retained in the shared folders of the IAEM Canada Board (Dropbox) under Archives. This folder will be controlled by the Director of Governance.
Document owners will forward obsolete documents to the Director of Governance for retention and archiving.

Documents will be retained as defined in coinciding laws, acts and other legal documentation as applicable.
[For the Canada Not-For-Profit Act Retention of records see Section 248(3)]

Obsolete documents will be retained in a document library, in accordance to the retention time and must not be duplicated for, or remain accessible to members.

3.9 Templates
Controlled documents will observe IAEM-Canada templates as defined for document type.
The templates will not be modified in order to maintain consistency within controlled documents.
All controlled documents will contain an approved IAEM Canada logo.

4.0 Revision History

Revision #	Date of Revision/Review	Page	Section	Purpose of Revision/Review/Amendment
0	October 6, 2017	All	All	Original