



## **Info Source**

**Source of Federal Government and Employee Information**

**Sustainable Development Technology Canada**

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## *Introduction to Info Source*

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*Info Source: Sources of Federal Government and Employee Information* provides information about the functions, programs, activities and related information holdings of government institutions subject to the [Access to Information Act](#) and the [Privacy Act](#). It provides individuals and employees of the government (current and former) with relevant information to access personal information about themselves held by government institutions subject to the *Privacy Act* and to exercise their rights under the *Privacy Act*.

The [Introduction](#) and an [index of institutions](#) subject to the *Access to Information Act* and *Privacy Act* are available centrally.

The *Access to Information Act* and the *Privacy Act* assign overall responsibility to the President of Treasury Board (as the designated Minister) for the government-wide administration of the legislation.

## *General Information*

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### **BACKGROUND**

Sustainable Development Technology Canada (“SDTC” or “the Foundation”) is a not-for-profit foundation that was established by the Government of Canada in 2001 through a Special Act of Parliament, the [Canada Foundation for Sustainable Development Technology Act](#). SDTC finances and supports the development and demonstration of clean technologies which provide solutions to issues of climate change, clean air, water quality and soil, and which deliver economic, environmental and health benefits to Canadians.

SDTC is not a government department and conducts its activities with considerable independence compared with most other federal institutions. SDTC’s Annual Report is submitted to the Minister of Natural Resources Canada for tabling in Parliament.

SDTC’s mandate is spelled out in the [Canada Foundation for Sustainable Development Technology Act](#). Under which SDTC is required to submit an annual Corporate Plan, which sets our performance measures and objectives, an Annual Report which reports on our performance against these objectives, and an operating budget.

SDTC is governed by a Board of Directors and Member Council. The Board and Member Council are representative of persons engaged in the development and demonstration of technologies to promote sustainable development, including technologies to address issues related to climate change and the quality of air, water and soil; the business community; not-for-profit organizations; various regions of Canada; men and women who are able to contribute to the achievement of the objects and purposes of the Foundation; and have sufficient knowledge of technologies that promote sustainable development.

The Board of Directors is composed of 15 individuals, seven of whom are appointed by the Governor in Council, including the Chair, and eight persons appointed by the Member Council. SDTC’s Member Council is composed of 15 individuals. Initially seven members were appointed by the Governor in Council to establish the council. They now have the autonomy to appoint their own members.

## RESPONSIBILITIES

SDTC's mission is to act as the primary catalyst in building a sustainable development technology infrastructure in Canada. The Foundation does much more than simply fund groundbreaking technologies. It works closely with an ever-growing network of stakeholders and partners to build the capacity of Canadian clean-technology entrepreneurs. SDTC helps these entrepreneurs form strategic relationships and formalize their business plans while building a critical mass of sustainable development capacity in Canada.

There are many links in the innovation chain between research and commercialization. Two of the most critical, however, traditionally under supported, are development and demonstration. These are the critical stages at which technologies exit the laboratory and prove themselves in full-scale, real-world test situations. SDTC bridges the gap in the innovation chain by fast-tracking groundbreaking clean technologies through development and demonstration, in preparation for commercialization. The Foundation fosters and encourages innovation and collaboration among private, academic and public-sector partners, and strives to ensure the dispersion of clean technologies in relevant market sectors throughout Canada.

SDTC operates three funds aimed at the development and demonstration of innovative technological solutions. The [SD Tech Fund™](#) supports projects that address climate change, air quality, clean water and clean soil. The [SD Natural Gas Fund™](#), an offshoot of the SD Tech Fund™, supports the development and demonstration of new downstream natural gas technology. It is the first of a series of Market Innovation Funds™, where funds from industry are matched by SD Tech Fund™ money, to foster sector-specific clean-tech solutions. The [NextGen Biofuels Fund™](#) (NGBF) supports the establishment of first-of-kind large demonstration-scale facilities for the production of next-generation renewable fuels. The NGBF is in its wind-down phase. Based on the remaining program time, new applicants would not be able to complete required phases of project development, construction, plant commissioning and start-up for commercial operation. For this reason, NGBF will not be accepting new applications.

SDTC also has two joint funding mechanisms, one with Climate Change and Emissions Management Corporation (CCEMC) and the other with Alberta Innovates Energy and Environment Solutions (AI-EES). [SDTC's joint fund with CCEMC](#) supports clean air projects that can demonstrate reductions in greenhouse gases. [SDTC's joint fund with AI-EES](#) supports sustainable water technology projects.

One of SDTC's chief aims is to de-risk clean technologies in a way that will ultimately attract downstream private-sector investment and open up opportunities for commercial success. This is done by employing a stringent due diligence process when selecting technologies to support, and by actively strengthening project consortia, requiring every project to involve representatives from the entire supply chain: researchers, product developers, manufacturers, distributors, retailers and end customers.

## *Institutional Functions, Programs and Activities*

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### **CORPORATE ENTITY**

Corporate Entity type functions enable SDTC to operate as a foundation and include SDTC's Funding Framework, Public Affairs Workshops, Governance Structure and Legal Framework. In the course of delivering these corporate entity functions, SDTC has identified Standard Classes of Records and Standard Personal Information Banks.

### **FUNDING FRAMEWORK**

SDTC has three different funds to accelerate the commercialization of innovative Canadian clean-tech projects through development and demonstration, and two joint funding mechanisms:

#### **SD Tech Fund™**

**Description:** Records may include but are not limited to the management of applications for funding through the SD Tech Fund™: products and processes that contribute to clean air, clean water and clean land that address climate change and improve the productivity and the global competitiveness of critical industries to the Canadian economy such as oil & gas, mining, forestry, wood products, and pulp & paper. Records may include statements of interest, proposals (funded and unfunded), contracts and reports related to funded projects.

**Document Types:** Statements of interest; proposals; contracts; reports; correspondence; briefing notes; memoranda; legal opinions; presentations; notices; media releases; public announcements; score sheets; expert reviewer reports; due diligence results.

**Record Number:** SDT TDD 7000

#### **Market Innovation Funds™**

**Description:** Records may include but are not limited to the establishment and development of relationships with industry associations; engagement with industry associations, including third party contracts for business cases to support sector-specific needs.

**Document Types:** Correspondence; agreements; contracts; business cases; reports; presentations; legal opinions; media releases; public announcements.

**Record Number:** SDT TDD 7160

#### **SD Natural Gas Fund™**

**Description:** Records may include but are not limited to the establishment of this fund, applicant information regarding pre-commercial, innovative and high potential natural gas clean-tech projects; terms of reference and opt-out procedures; meetings documents and final funding decisions.

**Document Types:** Statements of interest; proposals; contracts; reports; correspondence; briefing notes; agreements; terms of reference; procedures; meeting minutes; notices; legal opinions; presentations; media releases; public announcements; score sheets; expert reviewer reports; due diligence results.

**Record Number:** SDT TDD 7161

### **NextGen Biofuels Fund™**

**Description:** Records may include but are not limited to the management of applications for funding through the NextGen Biofuels Fund™ for projects related to biofuels. Records may include proposals (funded and unfunded), contracts and reports related to a wide range of fuels which are in some way derived from biomass, including solid biomass, liquid fuels and various biogases.

**Document Types:** Statements of interest; proposals; contracts; reports; correspondence; briefing notes; memoranda; legal opinions; presentations; notices; media releases; public announcements; score sheets; expert reviewer reports; due diligence results.

**Record Number:** SDT TDD 1103

### **SDTC Joint Fund with Climate Change and Emissions Management Corporation**

**Description:** Records may include but are not limited to the management of applications for funding through the joint fund with CCEMC for clean air projects that can demonstrate reductions in greenhouse gases. Records may include statements of interest, proposals (funded and unfunded), contracts and reports related to clean air technologies, and communications with CCEMC.

**Document Types:** Statements of interest; proposals; contracts; reports; correspondence; briefing notes; memoranda; legal opinions; presentations; notices; media releases; public announcements; score sheets; expert reviewer reports; due diligence results.

**Record Number:** SDT TDD 7001

### **SDTC Joint Fund with Alberta Innovates Energy and Environment Solutions**

**Description:** Records may include but are not limited to the management of applications for funding through the joint fund with AI-EES for sustainable water technology projects. Records may include expressions of interest, proposals (funded and unfunded), contracts and reports related to sustainable water technologies, and communications with AI-EES.

**Document Types:** Expressions of interest; proposals; contracts; reports; correspondence; briefing notes; memoranda; legal opinions; presentations; notices; media releases; public announcements; score sheets; expert reviewer reports; due diligence results.

**Record Number:** SDT TDD 7002

## **PUBLIC AFFAIRS WORKSHOPS**

SDTC offers innovators support that goes far beyond funding. Working closely with an ever-growing network of stakeholders and partners, SDTC coaches Canadian clean-tech companies for success.

### **Virtual Incubator™**

**Description:** Records may include but are not limited to business plans; potential applicant partners; funding resources; industry information; research partners; coaching documents; industry assessments; applicant information.

**Document Types:** These records may include material related to general information about applicants through the Technology Introduction Form, correspondence with applicants; media releases; information related to the planning and implementation of Virtual Incubator™

events and workshops; information on industry associations, relevant companies, academic institutes and non-governmental organizations; research documentation; Memorandums of Understanding; international travel logistics and planning.

**Record Number:** SDT TDD 6690

#### **Follow-on Financing Program**

**Description:** Records may include but are not limited to applicants' information; portfolio companies' information; industry; investors; market assessments; research; event logistics; commercialization; financing; investment; funding; risk-profiles; technical reports; business reports.

**Document Types:** These records may include correspondence; applicant, portfolio and industry profiles; travel plans and itineraries; contact lists; technical documents; risk assessments.

**Record Number:** SDT TDD 6700

#### **Technology Adoption Program**

**Description:** Records may include but are not limited to portfolio companies; global clean tech market research; industry; investors; market assessments; events; partnerships; de-risk documentation; accelerated market entry; commercial opportunity; joint development agreements; licensing agreements; joint ventures; industry networks; end customers; corporate partners; innovation; commercial needs.

**Document Types:** These records may include correspondence; portfolio company project documentation; industry and partner profiles; travel plans and itineraries; contact lists; technical documents; risk assessments.

**Record Number:** SDT TDD 6800

#### **Export Market Access Program**

**Description:** Records may include but are not limited to Export Development Canada; portfolio companies; global clean-tech market research; industry; investors; events; partnerships; proven technologies; global market assessments; foreign buyers; global corporations; multilateral development banks; in-market intelligence; financial support; Department of Foreign Affairs, Trade and Development; international market outreach initiatives; critical intelligence; priority markets; venture capital; private equity; institutional investors; sovereign wealth funds; foreign governments; state-owned multinational enterprises; foreign investment; strategic channels to access markets.

**Document Types:** These records may include correspondence; portfolio company project documentation; industry and partner profiles; travel plans and itineraries; contact lists; technical documents; risk assessments.

**Record Number:** SDT TDD 6900

### **GOVERNANCE STRUCTURE**

Governance involves activities undertaken to: establish and maintain corporate governance structures; strategic and operational planning for the allocation of resources and delivery of programs; performance and compliance reporting; proceedings from corporate committees, working groups, Board of Directors and Member Council; and audits and litigation. SDTC's



accountability to its stakeholders is facilitated by its strict adherence to the guidelines and regulations as set out in the [Canada Foundation for Sustainable Development Technology Act](#).

### **Operational Planning**

**Description:** Records may include but are not limited to the planning and day-to-day management of SDTC lines of business, business teams, working groups and committees.

**Document Types:** These records may include business cases; team work plans; planning reports; roles and responsibility charts; meeting minutes; agendas.

**Record Number:** SDT TDD 1150

### **Audit and Evaluation**

**Description:** Records may include but are not limited to the management of SDTC's audit and evaluation responsibilities. Audits review and assess the extent to which the management framework is directed towards ensuring the economy, efficiency and effectiveness of operations; the degree of compliance with statutes and policies; the reliability of information systems for decision-making and accountability purposes; and the level and quality of services provided to clients. Evaluation is an independent assessment of the performance of SDTC policies and operations to provide credible, timely and relevant information for the purpose of supporting decision-making and accounting for performance. Records may include information related to evaluation requirements, accountability practices and standards.

**Document Types:** Audit records; audit reports; audit and evaluation methodologies and schedules; terms of reference; measurement and analysis tools; compliance reviews and external reports; policies; guidelines and manuals; consultation documentation; risk analyses and profiles; maturity models; recommendations; implementation and action plans; impact analyses and special studies; and copies of Auditor General Reports.

**Records Number:** PRN 916

#### **Audit**

**Description:** This bank describes personal information related to SDTC's audit program, or horizontal audits directed, led or performed by the Office of the Comptroller General (Treasury Board of Canada Secretariat) or the Office of the Auditor General. Personal information may include name, contact information, signature, employee identification number, financial information, gender, and other personal information in relevant records held by SDTC.

**Note:** Personal information in SDTC's records may be disclosed to the Office of the Auditor General for the purposes of audits or studies.

**Class of Individuals:** Employees and former employees of SDTC, contractors, representatives of companies.

**Purpose:** Personal information is used to perform SDTC's audit program. In some cases, the audit program may include an investigative function (e.g., fraud, investigation).

**Consistent Uses:** Information may be shared with responsible managers, and in some cases, the Audit & Grant Investment Committee, the Board of Directors, and/or the Office of the Auditor General. Information may be also be shared with: 1) Human Resources for disciplinary measures (refer to [Discipline – PSE 911](#)); 2) Security (refer to [Security Incidents and Privacy Breaches – PSU 939](#)); 3) Investigative personnel and law enforcement agencies in the event of an alleged criminal offence; and 4) consultants performing audit work on behalf of SDTC.

**Retention and Disposal Standards:** Audits are evergreen, they are permanently archived and form part of SDTC's corporate memory.

**RDA Number:** 99/004

**Related Class of Record Number:** [PRN 916](#)

**Bank Number:** PSU 941

### **Evaluation**

**Description:** This bank describes personal information related to SDTC's evaluation function and activities. Personal information may include name, contact information, biographical information, demographic information, financial information, identification numbers, gender, job titles, and opinions and views of, or about, individuals, which in some cases, are collected with informed consent.

**Class of Individuals:** Program participants, managers, employees, or partners of SDTC, including government representatives from other jurisdictions, representatives of businesses and private sector organizations, academics or other experts in the program area, and other stakeholders including members of the general public.

**Purpose:** Personal information is used in data collection and analysis when undertaking evaluations. In some cases, a limited amount of personal information, (typically names and /or titles of academics or other experts) may appear in evaluation reports where informed consent has been given by the person or persons to whom the information relates.

**Consistent Uses:** Information may be shared with the Chair of the Board of Directors or President & CEO of SDTC, relevant special committees, and program managers. Information may be also be shared with (1) government institutions or other partners involved in managing or delivering the program and in undertaking the evaluation; (2) Treasury Board Secretariat officials; and (3) consultants performing evaluation work on behalf of SDTC. Final evaluation reports are made publicly available.

**Retention and Disposal Standards:** Evaluations of SDTC are evergreen, they are permanently archived and form part of the Foundation's corporate memory.

**RDA Number:** 98/004

**Related Record Number:** [PRN 916](#)

**Bank Number:** PSU 942

### **Business Continuity Planning**

**Description:** Records may include but are not limited to SDTC's Business Continuity Planning which provides for the continued availability of services and associated assets that are critical to the health, safety, security or economic well-being of Canadians or the effective functioning of the Foundation in the event of a disaster or emergency. Business Continuity Planning complements emergency preparedness which is mandated by internal policies (e.g., fire and building evacuation plans, civil emergency plans) and includes the development and implementation of a Business Continuity Plan. The types of incidences for which the Plan may be initiated may vary from a minor incident, such as a building-specific power outage or an equipment or system failure, to one of provincial or national proportions. The Business Continuity Plan outlines and coordinates the efforts of SDTC staff and the implementation of advance arrangements and procedures to ensure that SDTC can continue or restart critical business operations within a reasonable timeframe.

**Document Types:** Disaster/emergency recovery plans; network and/or data backup procedures; emergency and recovery resources; emergency evacuation procedures; acts of terror emergency plan; IT hacking emergency plan; service level agreements (including Memoranda of Understanding with other institutions); essential records policies; notification procedures for emergency response teams; SDTC staff; Executive's staff; plan activation procedures; copies of Delegation/Designation of Authorities; disaster/emergency contact list; detailed business resumption; recovery and restoration procedures; and media handling procedures.

**Record Number:** PRN 928

### **Business Continuity Planning**

**Description:** This bank describes information that is used in support of Business Continuity Management functions which include the development and timely execution of plans, measures and procedures to minimize interruption to the availability of critical services and assets in the event of an emergency or disruption of service. Personal information may include: name, contact information, biographical information, employee personnel information and medical information. Personal information may also include the names and contact information of individuals identified by employees as emergency contacts.

**Class of Individuals:** Employees of SDTC; Chair of the Board, the President & CEO and exempt staff and other personnel of their offices; emergency contacts identified by employees; private sector emergency response officials and service providers; and federal, provincial or municipal officials who may need to be contacted in the event of an emergency or disruption of services.

**Purpose:** Personal information is used to plan and respond in a timely and effective manner to an emergency or to a disruption of service, to establish a list of employees, appropriate officials and their contact information. The list may be used to contact such individuals in the event of an emergency or the execution of the Business Continuity Plan. SDTC may also require that supervisors maintain a list of direct reports, home telephone numbers and the emergency contacts identified by the direct reports.

**Consistent Uses:** Information may be shared with federal, provincial, and municipal institutions, police, fire and other emergency response agencies as required. Some information may be shared with/described in the Standard Personal Information Banks [Employee Personnel Record - PSE 901](#) and [Occupational Health and Safety - PSE 907](#). Information may also be used or disclosed for program evaluation and reporting purposes.

**Retention and Disposal Standards:** SDTC's Business Continuity Plan and supporting documentation are archived when the Plan is superseded. These documents are destroyed after seven years of inactivity.

**RDA Number:** 98/001

**Related Record Number:** [PRN 928](#)

**Bank Number:** PSU 903

### **Disclosure to Investigative Bodies**

**Description:** Records may include but are not limited to requests received by SDTC from investigative bodies listed in [Schedule II of the Privacy Regulations](#) for personal information, collected for the purpose of authorized programs and activities of SDTC, to be disclosed

pursuant to paragraph 8(2)(e) of the Privacy Act and the responses thereof. Records of requests and responses received by SDTC are kept pursuant to sections 8(4) Privacy Act and 7 Privacy Regulations.

**Document Types:** Requests for information; responses and related correspondence; reports; policy interpretation; legal opinions; disclosure review and response procedures; copies of internal directives.

**Record Number:** PRN 937

#### **Disclosure to Investigative Bodies**

**Description:** This bank describes personal information about individuals that may be requested by and/or disclosed to an investigative body pursuant to paragraph 8(2)(e) of the *Privacy Act*. The personal information may include any personal information element that SDTC collects about an individual as part of one of its authorized program or activity and that is subsequently requested by an investigative body listed in [Schedule II of the Privacy Regulations](#).

**Note:** The Chair of the Board of Directors and the President & CEO are not required, in accordance to sub-section 9(2) *Privacy Act*, to account for the disclosure of the information under section 8(2)(e) in the personal information bank from which the personal information was requested.

**Class of Individuals:** Individuals whose personal information has been requested by federal investigative bodies pursuant to paragraph 8(2)(e) of the *Privacy Act*.

**Purpose:** The personal information is used to document requests received from investigative bodies pursuant to paragraph 8(2)(e) of the *Privacy Act* and the responses to such requests. Personal information is collected pursuant to section 8(4) of the *Privacy Act* and section 7 of the *Privacy Regulations*.

**Consistent Uses:** The information may be used or disclosed for statistical and audit purposes. Information may be shared with government institutions who are investigative bodies listed in [Schedule II of the Privacy Regulations](#). Investigative bodies that receive personal information as a result of disclosures pursuant to paragraph 8(2)(e) of the *Privacy Act* may subsequently share such personal information with other federal investigative bodies or law enforcement agencies, for the purpose of the administration or enforcement of a law and/or the detection, prevention, or suppression of crime.

**Retention and Disposal Standards:** Disclosures to investigative bodies' records are destroyed seven years after the record becomes inactive.

**RDA Number:** SDT TDD 1114

**Related Record Number:** [PRN 937](#)

**Bank Number:** PSU 913

#### **Boards, Committees and Councils**

**Description:** Records may include but are not limited to the establishment, organization, functions, activities and management of boards, committees and councils (including Governor in Council appointments) which are exclusive to SDTC and which have been established to provide oversight, guidance and recommendations to SDTC. Records may include information related to the nomination, appointment, resignation and/or termination of members including criteria for the identification and selection of members, terms and conditions of appointment (e.g., stipend, honoraria, travel allowance) roles and responsibilities, and

administrative support documentation. Records may also include correspondence among members and with SDTC, as well Natural Resources Canada's Ministerial Office about the selection of individuals.

**Document Types:** Terms of reference; agendas; minutes of meetings; notices; proceedings; recommendations documents; briefing and discussion papers; curricula vitae; travel claims; policy documents; communications materials released in all formats; audit and evaluation documentation; copies of Annual Reports; correspondence; backgrounders; reports, etc.

**Records Number:** PRN 938

### **Governor in Council Appointments**

**Description:** This bank describes information that is collected to support Governor in Council appointments to SDTC's Board of Directors. The personal information collected may include: the individual's full name, contact information, official language of choice, date of birth, country of birth, citizenship, gender, marital status, Social Insurance Number (SIN), unique identification number (e.g., unique employee number), terms and conditions of appointment including remuneration (e.g., stipend, honoraria, travel allowance) and benefits, signature, physical limitations and any other relevant medical information, photographs or other image recordings, educational background, employment status, work history, professional affiliations, credit card and financial institution information, biographical information (including information about family members), conflict of interest declarations, appointment date and duration and resignation dates, if applicable.

**Class of Individuals:** Current and former appointees and their family members.

**Purpose:** The personal information collected is used to support the identification and selection of individuals to serve as Governor in Council appointments which include the Chair of the Board of Directors. Successful individuals are named through an Order in Council - a process that is managed by the Privy Council Office. The personal information is also used to manage the administration of expenses (e.g., travel) and compensation and benefits packages, conduct performance evaluations, maintain an inventory of current and former appointees, record potential conflicts of interest and any compliance action required, and to communicate with these individuals.

**Consistent Uses:** Personal information about the appointee is contained in the Order in Council document which includes full name, contact information, the position to which she/he is being appointed, the length and tenure of the appointment, and the terms and conditions of the appointment (e.g., stipend, remuneration, benefits, etc.). This information is provided by the Privy Council Office to SDTC (refer to [Governor in Council Personnel Records - PCO PPU 020](#)). Additionally, this information may be used in the preparation of reports for senior management and broader audiences (e.g., Annual Reports) and communications materials (e.g., press releases, biographies, etc.) that may be disseminated in multiple formats, including SDTC's website. In some instances, the Privy Council Office receives notes and performance ratings to support the conduct of performance evaluations of selected individuals (refer to [Governor in Council Personnel Records - PCO PPU 020](#)). The Social Insurance Number (SIN) is collected pursuant to the *Income Tax Act* (refer to [Individual Returns and Payment Processing – CRA PPU 005](#)) and, where applicable, the Province of Quebec *Income Tax Act*.

**Retention and Disposal Standards:** Records related to Governor in Council appointments are evergreen, permanently archived and form part of SDTC's corporate memory.

**RDA Number:** SDT TDD 1101

**Related Record Number:** [PRN 938](#)

**Bank Number:** PSU 918

### **Members of Boards, Committees and Councils**

**Description:** This bank describes information used in the identification and selection of individuals to fill positions on SDTC's Board, Committees and Member Council. Personal information collected may include: full name, contact information, official language of choice, date of birth, country of birth, citizenship, gender, marital status, Social Insurance Number (SIN), unique identification number (e.g., unique employee number), terms and conditions of appointment including remuneration (e.g., stipend, honoraria, travel allowance) and benefits, signature, physical limitations and any other relevant medical information, photographs or other image recordings, educational background, employment status, work history, professional affiliations, credit card and financial institution information, security clearances, biographical information (including information about family members), conflict of interest declarations, letters of reference/recommendation, appointment date, and duration and resignation dates, if applicable.

**Class of Individuals:** Candidates, as well as current and former members of the Board of Directors, Committees, and Member Council, their family members, and individuals whose names have been provided as personal references.

**Purpose:** The personal information collected is used to support the identification and selection of individuals to serve on oversight or governance bodies. The information may be used to provide advice to the Chair of the Board of President & CEO to fill existing and/or forthcoming vacancies and to maintain an inventory of potential candidates. The personal information is also used to manage the administration of expenses (e.g., travel) and compensation and benefits packages, conduct performance evaluations, maintain an inventory of current and former appointees, record potential conflicts of interest and any compliance action required, and to communicate with these individuals.

**Consistent Uses:** This information may be used in the preparation of reports for senior management and broader audiences (e.g., Annual Reports), planning and evaluation purposes, and communications materials (e.g., press releases, biographies, etc.) that may be disseminated in multiple formats, including SDTC's website. The Social Insurance Number is collected pursuant to the *Income Tax Act*, for the Canada Revenue Agency (refer to [Individual Returns and Payment Processing – CRA PPU 005](#)) and, where applicable, the Province of Quebec *Income Tax Act*.

**Retention and Disposal Standards:** Records related to Board, Committees and Member Council appointments are evergreen, permanently archived and form part of SDTC's corporate memory.

**RDA Number:** SDT TDD 1102

**Related Record Number:** [PRN 938](#)

**Bank Number:** PSU 919

### **Planning and Reporting**

**Description:** Records may include but are not limited to the systematic management of planning and reporting activities such as the development and review of business, strategy



and corporate plans and other long-term organizational strategies, monitoring and review of program, services and internal results, SDTC performance management and reporting, and risk management. May also include records related to the preparation, organization and coordination and delivery of Annual Reports to Parliament, Report on Plans and Priorities and the Management Accountability Framework.

**Document Types:** Performance indicators and metrics; Corporate Plan; risk profiles and strategies; sustainable development plans; environmental scans; contingency plans; trends analysis; reports; succession plans.

**Records Number:** PRN 947

## LEGAL FRAMEWORK

SDTC's Legal Framework supports and facilitates the interpretation of the legislative and formal legal framework that governs SDTC's business activities. This Legal Framework guides activities undertaken to enable SDTC to: pursue policy, program and service delivery priorities and objectives.

### Legal Services

**Description:** Records may include but are not limited to activities undertaken to enable SDTC to pursue policy, program and service delivery priorities and objectives within a legally sound framework. Legal Services include the provision of policy and program advice, direction in the development and drafting of the legal content of bills, regulations, and guidelines, assistance in the identification, mitigation and management of legal risks, legal support in ensuring compliance and enforcement of standards, regulations, and guidelines, and representing SDTC's interests in litigation. May include information related to legal advice, preparation of legal documents, litigation services, and legislative drafting.

**Document Types:** Legal opinions; legislative proposals; draft legislation; regulations; orders in council; working papers; Memoranda to Cabinet; correspondence; copies of enacted legislation; legislative drafting instructions and procedures; records documenting consultations with federal institutions; schedules; parliamentary returns; written questions; petitions; motions; briefing books.

**Record Number:** PRN 902

## *Internal Services*

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Internal Services are those functions which support the delivery of SDTC's programs and services. In the course of delivering these internal services functions, SDTC has identified Standard Classes of Records. Standard Classes of Records describe records created, collected and maintained by SDTC to support common functions, programs and activities.

## ACQUIRED ASSETS AND SERVICES

Acquired Assets and Services involve activities related to the identification, procurement, use, maintenance and disposal of services and assets that are possessions of or are under the control of SDTC.

### Procurement and Contracting

**Description:** Records may include but are not limited to SDTC's Procurement and Contracting process to obtain goods and services in accordance with an agreement between SDTC and a

person or firm. Records may include information about identifying the goods or services to be purchased, selecting the most effective procurement approach, contract development and approval processes and procedures, contract negotiations, debriefs, administering awarded contracts, including amendments if required, and post-contract evaluations. May also include information related to the contractor, e.g., company profiles, resumes, work experience, previous contracts completed and clients.

**Document Types:** Contract case files and related correspondence; award criteria guidelines; regulations; approval requirements; statements of work; Requests for Proposals; contractor eligibility lists; feasibility studies; planning documents; solicitation or tender documents; monitoring reports; invoices; payment requisitions; post-completion evaluation reports; standing offers; supply arrangements; customer and vendor liaison documentation; purchase requisitions; security checks.

**Record Number:** PRN 912

### **Professional Services Contracts**

**Description:** This bank describes information contained in agreements between SDTC and a person or firm to provide goods, perform services, to construct works or to lease real property. Personal information may include name, contact information (including business name), biographical information, educational information, financial information, evaluations/assessments, Social Insurance Number (SIN), other identification number (e.g. Business Number) and signature.

**Class of Individuals:** Individuals representing themselves or employed through private companies (including temporary help services) who have submitted responses to Requests for Proposals and who have been engaged through contracts or standing offers with SDTC and individuals who are provided as professional references.

**Purpose:** Personal information is used to manage the contracting process, which includes the request for and receipt of proposals, evaluation of bids, selection of contractor, preparation, negotiation, execution, and award of contract, the disbursement of funds for services, deliverables, or both as specified within the contract, and post-contract evaluation. The SIN is collected pursuant to the *Income Tax Act*.

**Consistent Uses:** Information is used to maintain an inventory of potential contractors. Information may also be used to recover overpayments and debts owed to SDTC. Information may be used to confirm the identity of contractors (where required) for access to SDTC's websites and databases and for the loan of equipment and/or supplies. Information, including the Social Insurance Number and Business Number, is disclosed to the Canada Revenue Agency in T4A-NR Supplementary and T1204 slips (refer to [Individual Returns and Payment Processing – CRA PPU 005](#) and [Business Returns and Payment Processing – CRA PPU 047](#)) and the Province of Quebec (if applicable) for tax purposes. The information may be shared with/described in Standard Personal Information Banks [Accounts Payable - PSU 931](#) and [Accounts Receivable - PSU 932](#) for payment administration. Information may also be used or disclosed for evaluation or reporting purposes.

**Retention and Disposal Standards:** Records supporting Professional Services Contracts are destroyed after seven years of inactivity.

**RDA Number:** 99/004

**Related Record Number:** [PRN 912](#)



**Bank Number:** PSU 912

### **Materiel Management**

**Description:** Records may include but are not limited to the sustainable and financially responsible management of SDTC's movable assets (excluding money and records) such as furniture, furnishings, equipment, supplies, and other materiel used or acquired by SDTC to facilitate the efficient delivery of SDTC's programs and services. Records may include information relating to planning, purchasing, maintenance, repair and disposal of materiel, and operating standards.

**Document Types:** Inventories; price lists; disposal and surplus policies and procedures; insurance policies; licences; asset loss investigation reports; inventory control system specifications; asset transfer and disposal reports; user specifications; standing offer agreements; copies of procurement procedures; SDTC policies and guidelines; and vandalism and theft reports.

**Record Number:** PRN 945

### **COMMUNICATIONS SERVICES**

SDTC's Communications Services involve activities to ensure that internal and external stakeholders and the public have an understanding of SDTC's role and delivery methods.

#### **Proactive Disclosure**

**Description:** Includes records related to information published on SDTC's website pertaining to its business activities in accordance with SDTC's Disclosure Policy and travel and hospitality expenses disclosure practices.

**Document Types:** Disclosure Policy; aggregate quarterly reports; individual transaction reports; reports on travel and hospitality expenses.

**Record Number:** PRN 935

#### **Communications**

**Description:** Includes records related to the management of SDTC's internal and external communications. The Communications function includes, but is not limited to, the following activities: providing communications support and advice to Ministers and senior officials on (non-partisan) government matters, including the preparation of speeches, news releases, briefing notes, presentations, memoranda and correspondence; preparing and implementing communications plans and strategies (including analyses of the internal and external environments) in support of SDTC's policies, programs, services and initiatives; preparing, producing and disseminating information using all forms of media and graphic arts, including electronic publishing; collaborating with Government of Canada institutions to promote common communication objectives; integrating all communication activities, including Internet applications, marketing, advertising, public opinion research and media relations to promote consistent and well-coordinated communications with the public; providing, coordinating or contracting media monitoring services; communicating with the public, federal institutions, government institutions (municipal, provincial, international) and private sector organizations and providing information services through the Internet and other electronic media; planning, coordinating, implementing and evaluating advertising, publishing and public awareness programs and campaigns; planning, coordinating and promoting SDTC's participation in public events, including fairs and exhibitions; cultivating media contacts,

coordinating access to the media, authorizing and issuing press releases and briefings, and organizing media interviews; marketing and supplying publications by SDTC in various formats including the production, distribution and evaluation of film, video, audiovisual and multimedia productions via manual or electronic production (e.g., design, layout, typesetting, desktop publishing, printing, binding, etc.); developing and administering guidelines on the consistency in written style, graphic design, etc. within SDTC's documents; and designing logos, letterhead, stationary, publications, etc. that incorporate the corporate image of SDTC. Records may include information related to media relations, media monitoring and analysis, strategic communications advice and planning, public opinion research and analysis, SDTC publications, the development, design, management and maintenance of internal and external websites, and the development and maintenance of internal and external mailing and distribution lists.

**Document Types:** Media analyses and media lines; communications plans; announcements; communiqués; newsletters and updates to staff; news releases; backgrounders; fact sheets; media advisories; speeches; questions and answers; scenario notes; speaking notes; briefing notes; calendar of planned events; news clippings; biographies; protocols; PowerPoint presentations; mailing and distribution lists; public opinion research reports; style guides; SDTC communications policies; guidelines; standards and procedures; notices; pamphlets; service/customer satisfaction studies; literature reviews; crisis and emergency communications plans and policies; brochures; print and electronic publishing documentation; website content; and copies of SDTC's publications in all formats.

**Record Number:** PRN 939

#### **Public Communications**

**Description:** This bank describes information used to communicate with individuals external to SDTC and may include general inquiries (received by e-mail, telephone, mail) and responses, the distribution of public awareness and communications material, the dissemination of reports, publications, and other documentation including the release of previously released access to information packages (informal access requests), success stories, public opinion research, and information posted to social media platforms including wikis, blogs, and other collaborative Internet technologies used or hosted by SDTC. Personal information may include name, contact information, user names and passwords, employee personnel information, biographical information, photographs, video and audio recordings, views and opinions of, or about, individuals, and Internet Protocol (IP) routing addresses.

**Note:** This information may be stored in either hard copy format or electronically (e.g., in databases or on Web sites, including social media applications, etc.). Although Internet Protocol (IP) addresses are not specifically requested by SDTC, they may be captured electronically when an email is received.

**Class of Individuals:** Members of the public, representatives of private sector organizations and government institutions (i.e., municipal, provincial/territorial, and international), employees and other representatives of government institutions, who have requested information from, or submitted information to, SDTC; parents and guardians of minors; employees and other individuals with access to SDTC's networks, including individuals who have prepared information for dissemination, such as publication on SDTC's extranet or internet sites or who act as contact points within SDTC.

**Purpose:** Personal information is used to disseminate information about the functions, programs, and activities of SDTC, including about employees of the Foundation.

**Consistent Uses:** The names, photographs, recordings and other personal information about individuals who work for SDTC may be included in documentation posted on SDTC's extranet or Internet sites; e.g., within speeches, newsletters, etc. With consent of the individual, information may be shared with other areas of SDTC for program-specific mailing/distribution lists and/or telephone lists. Information may be used to moderate public discussion on the social media platforms used by SDTC. Responses to enquiries and any other relevant information are accounted for by SDTC's personal information bank related to the program area that sent the response. Requests for information may be transferred when the requested information, e.g., inquiry or complaint, falls under the responsibility of another institution, refer to [Executive Correspondence - PSU 902](#). Some information may also be posted on SDTC's websites for proactive disclosure purposes. Information may also be used or disclosed to provide statistical reports to management as well as for program evaluation.

**Retention and Disposal Standards:** Depending on the record in question, some are destroyed after two years of inactivity (e.g., correspondence) and others are destroyed after seven years of inactivity (e.g., speeches, newsletters, promotional materials).

**RDA Number:** SDT TDD 8410

**Related Record Number:** [PRN 939](#)

**Bank Number:** PSU 914

### **Internal Communications**

**Description:** This bank describes information used to communicate with individuals internal to SDTC and may include employee surveys (which are considered to be public opinion research), internal communications material, internal mailing and distribution lists, success stories, and information posted to social media sites including wikis, blogs, and other collaborative technologies that are utilized or hosted by SDTC. Personal information may include name, work contact information, user names and passwords, employee personnel information, biographical information, photographs, video and audio recordings, views and opinions of, or about, individuals, and Internet Protocol routing addresses.

**Note:** This information may be stored in either hard copy format or electronically (e.g., in databases or on websites, including social media applications, etc.). Although Internet Protocol addresses are not specifically requested by SDTC, they may be captured electronically when an e-mail is received.

**Class of Individuals:** Employees and other individuals with access to SDTC's networks including individuals who have prepared information for dissemination, such as publication on SDTC's intranet, or who act as contact points within SDTC.

**Purpose:** Personal information is used to manage internal communications.

**Consistent Uses:** The names, photographs, recordings and other personal information about individuals who work for SDTC may be included in documentation posted on SDTC's intranet: e.g., within speeches, newsletters, etc. Information may be used or disclosed to provide statistical reports to management as well as for program evaluation.

**Retention and Disposal Standards:** Depending on the record in questions, some are destroyed after two years of inactivity (e.g., correspondence) and others are destroyed

after seven years of inactivity (e.g., employee surveys, internal communiqués), Human Resource information (e.g., biographical information, personnel information, etc.) is destroyed after 10 years of inactivity.

**RDA Number:** SDT TDD 8420

**Related Record Number:** [PRN 939](#)

**Bank Number:** PSU 915

## **CORPORATE SUPPORT**

Corporate Support provides and administers support services to SDTC as a whole and involves activities related to: hospitality; travel; charitable initiatives; printing services; translation services; employee technical support; and, employee questions and feedback regarding SDTC policies, practices and plans.

### **Administrative Services**

**Description:** Includes records related to the management of internally-provided administrative services undertaken at SDTC, which help to manage and deliver SDTC's programs and services. Records may include information related to office accommodation, construction and modification of workstations, photocopy services, printing services, parking, telephone services, mail and messenger services, translation and locksmith services.

**Document Types:** Telephone lists; photocopier usage counts; print job ordering forms; copies of translation services guidelines and procedures; stationery supply reports; parking permit applications and correspondence; telephone equipment catalogues and manuals; mail logbooks; mail/courier slips; shipment permits; copies of internal procedures and policies; product information and price lists; and stationary request forms.

**Record Number:** PRN 901

### **Parking**

**Description:** This bank describes personal information related to parking permit applications and parking space permit holders of spaces on SDTC leased property. Personal information may include name, work and home contact information, employee personnel information, medical information (for those individuals who apply for parking for disability requirements), vehicle identification information, and signature.

**Class of Individuals:** Employees of SDTC, passengers, contractors or other individuals, property owners or representatives.

**Purpose:** Personal information is used for the administration of parking privileges.

**Consistent Uses:** Where SDTC or other property is damaged, the accident may be reported to policing authorities, or to the person(s) in charge or in control of the property. Information may also be used or disclosed for evaluation or reporting purposes.

**Retention and Disposal Standards:** Records related to Parking form a part of the individual's Human Resources file and are destroyed after 10 years of inactivity.

**RDA Number:** 98/001

**Related Record Number:** [PRN 901](#)

**Bank Number:** PSE 914

### **Hospitality**

**Description:** Includes records related to hospitality. Hospitality is the provision of a reception, meal or entertainment to guests of SDTC, including social events or ceremonies in accordance

with established policies and guidelines. Records may include information about the nature, scope, location, costs and type of function, including any event requiring special authority and approval by the appropriate delegated officials.

**Document Types:** Lists of attendees; locations; dates and expenses; event protocols; hospitality policies and guidelines; financial signing authorities.

**Record Number:** PRN 933

#### **Hospitality**

**Description:** This bank describes information related to the provision of beverages, meals, tours or other entertainment reimbursed by SDTC. Personal information may include name, contact information, employee personnel information, employee identification number, and financial information.

**Class of Individuals:** Employees of SDTC who incur hospitality expenses, their spouses, other attendees, private sector hospitality providers and/or other individuals (i.e. who receive a stipend or honorarium).

**Purpose:** Personal information is used to administer the hospitality expenses and reimbursements of SDTC.

**Consistent Uses:** Where applicable, hospitality expenses incurred by SDTC's Executives may be proactively disclosed on SDTC's websites. Information may be shared with/described in Standard Personal Information Bank [Accounts Payable - PSU 931](#). Information may also be used or disclosed for program evaluation and reporting purposes.

**Retention and Disposal Standards:** Records related to hospitality expenses are destroyed after seven years of inactivity.

**RDA Number:** 99/004

**Related Record Number:** [PRN 933](#) and/or [PRN 935](#)

**Bank Number:** PSU 908

#### **Travel**

**Description:** Includes records related to the authorized travel of individuals in support of SDTC's mandate. Records may include information related to employee entitlements and obligations, employer obligations, and travel allowances. The records may also include information related to the proactive disclosure of relevant travel expenses.

**Document Types:** Travel advance claims; expense claims and receipts; itineraries and correspondence; reporting templates; hotel and airline directories; and, where applicable, documents related to the mandatory online publication of travel expenses.

**Record Number:** PRN 934

#### **Travel**

**Description:** This bank describes information about employees who travel on official SDTC business. Personal information may include name, contact information, biographical information, employee identification number, employee personnel information, financial information and passport/visa information, travel history, travel claims, accommodations, meals, or preferences. Travellers may also be requested to provide date of birth and gender when booking travel arrangements.

**Class of Individuals:** Employees of SDTC and other individuals (may include

temporary staff, volunteers, students, consultants and contractors, or witnesses) who travel on official SDTC business, their spouses or common-law partners and dependants.  
**Purpose:** Personal information is used to process travel requirements for individuals who travel on behalf of SDTC.

**Consistent Uses:** Travel expenses incurred by SDTC Executives may be proactively disclosed on SDTC's websites. In some instances, information may also be shared with the Department of Foreign Affairs and International Trade Canada (e.g., official delegations to events in foreign countries). Information may also be shared with/described in Standard Personal Information Banks [Accounts Payable - PSU 931](#) and [Accounts Receivable – PSU 932](#). Information may be used or disclosed for program evaluation and reporting purposes.

**Retention and Disposal Standards:** Records related to travel expenses are destroyed after seven years of inactivity.

**RDA Number:** 98/001 and 99/004

**Related Record Number:** [PRN 934](#) and/or [PRN 935](#)

**Bank Number:** PSU 909

### **Executive Services**

**Description:** Includes records related to the provision of various administrative services for SDTC's Executives. Records may include the control and tracking of correspondence, the selection and/or implementation of technological systems to support the provision of services, management of senior executive committees including secretariat support services, preparation of executive briefing notes, issues management, and the collection of information on current executive issues.

**Document Types:** Questions and Answers; correspondence; briefings and briefing notes; speaking engagement invitations; and Executive Team meeting minutes, agendas and records of decision.

**Record Number:** PRN 943

#### **Executive Correspondence**

**Description:** The records containing the information described in this bank include general correspondence to the Chair of the Board, the President & CEO, their staff and other Executives within SDTC. Records used in preparation of responses to incoming correspondence may also contain personal information about individuals that is sometimes provided by SDTC to address issues and concerns raised in the incoming correspondence. Personal information may include the name of the correspondent, contact information and other personal information that may be included by the originator and/or respondent within the content of the correspondence.

**Class of Individuals:** General public, Members of Parliament, and officials representing other levels of government or international governments and agencies, external organizations and/or businesses.

**Purpose:** To manage, in a consistent and time-efficient manner, the receipt of, and responses to, correspondence or inquiries received from outside SDTC that require replies from the Executives of SDTC.

**Consistent Uses:** Incoming correspondence may be forwarded to federal or provincial institutions for a full or partial response if it is determined by SDTC that the issue(s)

contained within the correspondence fall under the jurisdiction of, and should be addressed by, the other institution(s). In some cases, incoming correspondence and the response may be copied to federal or provincial institution where the correspondence impacts on their roles and responsibilities. The information may be used in an aggregate format to report on system use, growth of the information collection, etc.

**Retention and Disposal Standards:** Records related to Executive Correspondence are destroyed after two years of inactivity.

**RDA Number:** 98/001

**Related Record Number:** [PRN 943](#)

**Bank Number:** PSU 902

## **FACILITIES MANAGEMENT**

Facilities Management Services involves activities related to providing a safe and comfortable working environment for SDTC employees including: location management; alterations to facilities under lease to SDTC; the formal management of the contents of facilities leased to SDTC; and, the administration and oversight of provisions of all services required under the terms of storage contracts.

### **Location Management**

**Description:** Includes records related to the administration and oversight of all services required under the terms of leases for all SDTC locations, as well as direct response to requests not covered by the relevant lease.

**Document Types:** Architectural drawings; building maintenance requests; facilities requests and correspondence; parking permit applications and correspondence; and, inventory control logs.

**Record Number:** SDT TDD 1240

## **FINANCIAL MANAGEMENT**

Financial Management involves activities relating to the accounting and control of incoming and outgoing funds including: ledger entry; forecasting; controlling incoming and outgoing funds; providing for sufficient funds to meet obligations and to capitalize on opportunities reconciling transactions; measuring and producing statements and interim reports of financial control; and, responding to special analytical requests, in regard to SDTC's operations.

### **Financial Management**

**Description:** Includes records related to the receipt, control, and expenditure of public funds within SDTC including establishing, operating, and maintaining accounting systems, financial oversight, control and planning, budget submissions and budget reporting, managing funds, managing revenue from trading and investments, financial risk (credit, liquidity, market, operational and legal risks) management. May include records relating to accounts payable (expenditures), accounts receivable (revenues), banking, budgeting, cash accounting, cost recoveries, goods and services tax, duties and tariffs, petty cash, grants, contributions and transfer payments, taxes, resource allocations, liability and revenue control, allotments and transfers, allowances, and accounting standards and methods. May also include documentation related to SDTC's automated financial management systems.

**Document Types:** Invoices; vouchers; financial statements; summaries; financial management reports and statistics; cheques; accounting codes; cash receipt journals; audit and compliance

reviews (internal and/or those undertaken by Agents of Parliament and other central agencies); estimates and working papers; budget forecasts; fiscal year reports; postage accounts; receipts; signing authority documentation (including Financial Delegation Authorities); packing slips; direct deposit applications; statements of account; taxation bulletins; purchase orders; insurance claims; commitment reports; fee information and schedules; encumbrance notices; grant management files; contribution case files; foreign exchange rates; acquisition cards and financial risk management policies; procedures; controls and contingency plans.

**Record Number:** PRN 914

### **Accounts Payable**

**Description:** This bank describes information related to individuals who are issued payments by SDTC. Payments maybe in respect of: travel and hospitality claims, education course fees, program payments, isolation allowances, awards, ex gratia, and other sundry payments. Personal information may include: name, contact information, financial information, nature of expenses/claim, employee identification number, other identifying numbers, signature, and Social Insurance Number (SIN).

**Note:** Individuals seeking access to this bank should specify whether they are an employee, claimant from the general public, contractor or representative of a company, corporation or association, and provide details of the payment such as amount, type, date(s), payment number, and type of program or service and name of institution. Personal information may be found in SDTC's Financial Management Systems.

**Class of Individuals:** Current and former employees of SDTC; claimants from the general public, contractors, and representatives of companies, corporations, and associations.

**Purpose:** Personal information is used to support the payment of financial benefits and entitlements in relation to expenses, fees, claims and other non-payroll payments. The SIN is collected pursuant to the *Income Tax Act* and may be used to issue various income reporting slips.

**Consistent Uses:** In some cases, the SIN and other information is shared with the Canada Revenue Agency and the Province of Quebec, and is used for data matching purposes, including income verification, refer to [Individual Returns and Payment Processing – CRA PPU 005](#) and [Business Returns and Payment Processing – CRA PPU 047](#). Information may be used or disclosed for financial reporting and program evaluation.

**Retention and Disposal Standards:** Records related to Accounts Payable are destroyed after seven years of inactivity.

**RDA Number:** 99/004

**Related Record Number:** [PRN 914](#)

**Bank Number:** PSU 931

### **Accounts Receivable**

**Description:** This bank describes information related to individuals who remit monies payable to SDTC. Types of remittances include reimbursement of overpayments. Personal information may include: name, contact information, credit information, financial information, nature of remittance, employee identification number, other identification numbers, signature, and Social Insurance Number (SIN).

**Note:** Individuals seeking access to this bank should specify whether they are an employee, member of the general public, contractor, representative of a company,



corporation, or association, and provide details of the monies remitted such as amount, type, date(s), relevant account number, and type of program or service and name of institution. Personal information may be found in SDTC's Financial Management Systems.

**Class of Individuals:** Individuals who remit monies to SDTC, including representatives of companies, corporations, and associations; current and former employees of SDTC.

**Purpose:** Personal information is used to support the collection of monies owing to SDTC. Personal information is collected pursuant to various federal laws and regulations. For the specific legal authority for the collection, consult SDTC's Access to Information and Privacy Coordinator. The SIN is collected pursuant to the *Income Tax Act* and may be used to issue income reporting documentation.

**Consistent Uses:** Information may be shared with SDTC's own financial institution. Information may be shared with financial institutions of foreign countries for transactions purposes. Information may also be shared with collection agencies for debt recovery purposes. In some cases, the SIN and other information is shared with the Canada Revenue Agency and the Province of Quebec, and is used for data matching purposes, including income verification, refer to [Individual Returns and Payment Processing – CRA PPU 005](#) and [Business Returns and Payment Processing – CRA PPU 047](#). Information may be used or disclosed for financial reporting and program evaluation.

**Retention and Disposal Standards:** Records related to Accounts Receivable are destroyed after seven years of inactivity.

**RDA Number:** 99/004

**Related Record Number:** [PRN 914](#)

**Bank Number:** PSU 932

#### **Acquisition Cards**

**Description:** This bank describes information that is used in support of SDTC's acquisition card program. Acquisition cards are used for the procurement and payment of goods and services. The personal information may include: the card holder's name, contact information, language, employee identification number, card number, expiration date, credit limit, and information related to any audits or compliance processes and investigations.

**Class of Individuals:** Individuals who apply for an acquisition card and those who are issued such cards.

**Purpose:** Personal information is used to administer an acquisition card program and may be used to issue, cancel, and renew cards, and to monitor transactions to ensure compliance.

**Consistent Uses:** Information may be shared with the private sector card issuer, namely, financial institutions. The information may be also be used or disclosed for program evaluation, enforcement (refer to [Security Incidents and Privacy Breaches - PSU 939](#) and [Discipline - PSE 911](#)), and for reporting to Senior Management.

**Retention and Disposal Standards:** Records related to Acquisition Cards are destroyed after seven years of inactivity.

**RDA Number:** 98/001

**Related Record Number:** [PRN 914](#)

**Bank Number:** PSU 940

## **HUMAN RESOURCE MANAGEMENT**

Human Resource Management involve activities related to: employee management, recruiting and staffing; supporting departments in regard to all human resource needs; improving organizational effectiveness through learning and development; employee compensation; pensions; and managing HR programs.

### **Employee Management**

**Description:** Includes records related to the overall planning, management of SDTC workforce across Canada, management of and career planning for individual employees.

**Document Types:** Job classifications; guides related to compensation; incentive pay and payroll earnings and deductions; performance plan templates and tools; Competency Guide.

**Record Number:** SDT TDD 5100

### **Classification of Positions**

**Description:** Includes records related to the criteria used to establish the relative value of work for an occupational group. Classification provides a means of grouping similar types of work together so that it can be ranked by levels of difficulty and differentiated from other, dissimilar work. It also provides a basis for employee compensation within SDTC.

**Document Types:** Employee lists and inventories; position classifications and reclassifications; organization charts; copies of internal policies; directives and guidelines; identification of functions or positions; competency requirements and/or profiles; statistical data; generic work descriptions.

**Record Number:** PRN 919

### **Recruitment and Staffing**

**Description:** Includes records related to the recruitment and staffing of people to fill full-time or part-time positions within SDTC. Records may include information related to screening, examining, testing, interviewing, assessing, selecting, hiring and promoting candidates for employment. May also include information related to terms and conditions of employment, deployments, assignments, and secondments, student, professional, and occupational recruitment, and area of selection, as well as information received from or shared with other employment agencies.

**Document Types:** Unsolicited resumes and curricula vitae; model interview questions; job posters and announcements; checklists and letters; inventories of qualified candidates; candidate inquiries and responses; copies of letters of offer.

**Record Number:** PRN 920

### **Employee Personnel Record**

**Description:** This bank describes information about an individual's employment with SDTC. Personal information may include name, contact information, biographical information (including any military service, professional certifications or designations), citizenship status, date and place of birth, educational information, employee identification number, alternative work arrangements (e.g., telework, compressed work week), information related to benefits, training and development, any other employment-related requirements, financial information (for pay administration), medical information (including any special needs identified under duty to accommodate, or in the event of an emergency), other identification numbers, signature and Social Insurance Number (SIN).

**Class of Individuals:** Current and former employees of SDTC, emergency contacts of employees, and may also include spouses, dependents, and beneficiaries.

**Purpose:** Personal information is used to facilitate personnel administration in SDTC and to ensure continuity and accuracy. The Social Insurance Number is collected pursuant to the *Income Tax Act*.

**Consistent Uses:** Information is disclosed to Canada Revenue Agency and to the Province of Quebec (where applicable) for income tax purposes. Information is also disclosed to Employment and Social Development Canada (ESDC) for employment insurance and pension purposes. Where applicable, information may also be disclosed to various provincial health insurance plans or third-party group insurance companies. Information may be used to confirm the identity of employees for access to SDTC's information technology infrastructure. Information may also be used or disclosed for program evaluation purposes.

**Retention and Disposal Standards:** Records related to Employee Personnel Files are destroyed after 10 years of inactivity.

**RDA Number:** 98/005 and 98/018

**Related Record Number:** [PRN 920](#)

**Bank Number:** PSE 901

### Staffing

**Description:** This bank describes information about recruitment and staffing activities, which includes solicited and unsolicited applications for employment, position reclassifications, secondments, deployments, and other work assignments or arrangements within SDTC. Personal information may include name, contact information, assessment/test results, biographical information, citizenship status, date and place of birth, educational information, employee identification number, employment equity information, employee personnel information, financial information, medical information, opinions and views of, or about, individuals, and signatures.

**Class of Individuals:** Employees of SDTC and other individuals who apply for employment with SDTC including through recruitment initiatives, as well as individuals who provide references or are supervisors of applicants.

**Purpose:** Personal information is used to administer recruitment and staffing activities in SDTC, which includes maintaining an inventory of potential candidates for future staffing actions

**Consistent Uses:** None.

**Retention and Disposal Standards:** Records related to staffing are destroyed after 10 years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 919](#) and [PRN 920](#)

**Bank Number:** PSE 902

### Applications for Employment

**Description:** This bank describes personal information related to individuals who have submitted applications for employment or provided curricula vitae (solicited or unsolicited) and related correspondence. The personal information provided by individuals on application forms, curricula vitae, and correspondence may include: name, contact information, employment status and history, educational background, marital

status, date of birth, gender, physical disability considerations, citizenship, transcripts, letters of recommendation, and other personal information.

**Class of Individuals:** Internal and external individuals seeking employment with SDTC; individuals whose names have been provided as employment references, personal references, or both; and individuals referring another individual for a position.

**Purpose:** To maintain an inventory of potential candidates that may be used for consideration in a staffing process when vacancies arise within SDTC.

**Consistent Uses:** Relevant information would be transferred to an employee personnel record (refer to Standard Personal Information Bank [Employee Personnel Record - PSE 901](#)) if the individual accepts an offer of employment. This information may also be used for planning and evaluation purposes. The data collected and maintained may be used for statistical purposes, training requirements, and other development opportunities. The personal information about individuals self-identified in employment equity groups may be used for statistical purposes by SDTC.

**Retention and Disposal Standards:** Records related to Applications for Employment are destroyed after 10 years of inactivity if the applicant is successful in obtaining a position, where applicants are not successful the records are destroyed after two years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 920](#)

**Bank Number:** PSU 911

### **Occupational Health and Safety**

**Description:** Includes records related to the provision of a safe and healthy working environment for all employees. Records may include information related to occupational health and safety training, and emergency medical services, first aid training, facilities, services and supplies, the selection and use of personal protective equipment and clothing, the rehabilitation and retaining of employees disabled by work injuries or illnesses, employee assistance services, the development and monitoring of occupational and environmental standards, procedures and other directives for the prevention of occupational illness and injury, the Employment Standards Act, and Occupational Health and Safety Committees.

**Document Types:** Accident/injury reports; safety guides; copies of ergonomic assessments; first aid needs assessments and treatment manuals; first aid reports; medical examination reports; occupational injury or illness investigation reports; first aid training programs; policies; standards; guidelines and procedures; and copies of relevant legislation and regulations.

**Record Number:** PRN 922

#### **Occupational Health and Safety**

**Description:** This bank describes information that is used in support of SDTC's occupational health and safety activity, including the prevention of accidents and injuries or illnesses related to occupations, authorization of leave and benefits associated with work-related injury or illness, employee assistance services, fitness to return to work assessments, duty to accommodate, health and ergonomic assessments, health and safety complaints, injury compensation, and rehabilitation and retraining. Personal information may include name, contact information, employee identification number,

employee personnel information, financial information, nature of complaint, medical information, opinions and views of, or about, individuals, and signature.

**Class of Individuals:** Current and former employees of SDTC, including casual and contract employees; private sector health practitioners; health and safety professionals; attendants for persons requiring assistance; and individuals designated as emergency contacts of employees.

**Purpose:** Personal information is used to administer occupational safety and health activities within SDTC, which includes the promotion of a safe and healthy workplace for employees and others, the prevention of accidents, occupational injuries and illnesses and, where applicable, the investigation of occurrences of such injuries and illnesses.

**Consistent Uses:** Information may be used or disclosed for the following reasons: to support decisions related to worker's compensation and injury-on-duty leave; as a means of preventing injuries and illnesses and subsequent disabilities arising out of, or aggravated by, conditions of work; to establish that individuals subject to certain identified occupational risks are able to continue working without detriment to their health or safety or to that of others; and to establish the conditions under which certain individuals with identified illnesses or disabilities are able to continue to work under controlled conditions. Information may be shared with private sector health care providers. Information may be used to communicate with contacts of employees in emergency situations. Information with respect to safety and health complaints and causes of accidents/injuries for accident prevention and health protection purposes is used to support the effective administration of SDTC's safety and health activity. Information is also used to process payments and charge-backs with respect to injury compensation claims. Information may also be used or disclosed for planning and program evaluation purposes.

**Retention and Disposal Standards:** Records related to Occupational Health and Safety are destroyed after 10 years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 922](#)

**Bank Number:** PSE 907

### **Harassment**

**Description:** This bank describes personal information related to complaints of harassment. In addition to the formal process, this bank also describes personal information related to any informal conflict management process. Personal information may include name(s) of complainant(s) and respondent(s), contact information, employee personnel information, employee identification number, biographical information, medical information, physical attributes, opinions and views of, or about, individuals, and date and nature of the alleged harassment.

**Class of Individuals:** Employees and other persons working for SDTC.

**Purpose:** Information is used to investigate and resolve harassment complaints (including through early resolution processes and mediation) and to determine any appropriate action resulting from the complaint, including discipline.

**Consistent Uses:** With consent, information may be disclosed to third party mediation services and with legal counsel if the complaint is pursued at a tribunal or in the courts. Where applicable, information may be disclosed to law enforcement agencies where

alleged violations of the Criminal Code of Canada may have occurred, such as in cases of assault. Information may be also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records related to Harassment are destroyed after 10 years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 922](#) and [PRN 926](#)

**Bank Number:** PSE 919

### **Training and Development**

**Description:** Includes records related to the implementation or programs ensuring competency development and continuous improvement of employees with regard to their performance in a position.

**Document Types:** Training and skills needs analysis documents; performance level descriptions; criteria; course schedules; presentations; course attendee lists; and, post-training surveys/evaluations.

**Record Number:** PRN 927

#### **Training and Development**

**Description:** This bank describes personal information collected to support SDTC's training and development programs (e.g., career orientation, developmental work assignments or arrangements, etc.). Personal information may include name, contact information, educational information, employee identification number, employment equity information, employee personnel information, financial information, biographical information, and assessment and training results.

**Class of Individuals:** Individuals who are employed by SDTC who register for training or development courses or programs.

**Purpose:** Personal information is used to register and pay for approved training and development activities. Where applicable, SDTC may receive information from course providers about registration costs and training results.

**Consistent Uses:** Some information may also be shared with/described in the Standard Personal Information Banks [Employee Performance Management Program – PSE 912](#) and [Employee Personnel Record - PSE 901](#). Information may also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records related to Training and Development are destroyed after 10 years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 927](#)

**Bank Number:** PSE 905

### **Compensation and Benefits**

**Description:** Includes records related to the programs and activities that establish and administer pay, and other benefit standards and practices to ensure that employees receive fair compensation/remuneration/payment for work performed. May include records related to continuous service, garnishment, maternity and parental benefits, attendance and leave, rates of absenteeism, overtime, pay authorities, performance pay, rates of pay, severance pay, part-time, casual and seasonal employees, pay administration, emergency salary

advance, life, disability, health and dental insurance plans, Canada Pension Plan, and RBC RRSP Program.

**Document Types:** Benefits chart, correspondence, compensation surveys, insurance plan directives and rules, copies of internal audit reports, terms and conditions relating to insurance eligibility, premiums, contributions, and benefits, memoranda of clarification, copies of agreements and terms and conditions of employment, part-time work agreements, and copies of relevant policies, procedures and guidelines.

**Record Number:** PRN 941

#### **Attendance and Leave**

**Description:** The records containing the information described in this bank may include absence reports and leave applications, as well as physicians' certificates associated with sick leave, all of which include the individual's employee identification number and correspondence about attendance and leave. The annual record of attendance and leave may be attached to the Employee Personnel Record. Some attendance and leave information exists in automated form in SDTC's personnel databases, especially in time/attendance, leave control and absenteeism systems.

**Class of Individuals:** Employees of SDTC.

**Purpose:** The purpose of these records is to support administration of employee attendance and leave.

**Consistent Uses:** To record attendance and authorize leave. To support decisions on pay and benefits, such as those concerning leave and termination of employment, and to evaluate use of leave and rates of absenteeism.

**Retention and Disposal Standards:** Records related to Attendance and Leave are destroyed after 10 years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 941](#)

**Bank Number:** PSE 903

#### **Pay and Benefits**

**Description:** This bank describes information related to the administration of pay and benefits within SDTC. Personal information may include name, contact information, biographical information, date of birth, date of death, employee identification number, employee personnel information, financial information, and Social Insurance Number (SIN).

**Class of Individuals:** Current and former employees of SDTC.

**Purpose:** Personal information is shared with SDTC's Finance Department and is used to disburse salaries and allowances and to process deductions and orders for garnishment and diversion of funds.

**Consistent Uses:** Information, including the SIN, is disclosed to the Canada Revenue Agency and the Province of Quebec (if applicable) for taxation and pension purposes. Information may also be shared with the Department of Justice Canada to administer the *Family Orders and Agreements Enforcement Assistance Act* and the *Garnishment, Attachment and Pension Diversion Act*. Information may be shared with third party service providers. Some information on pay and benefits may also be shared with/described in the Standard Personal Information Banks [Employee Personnel File - PSE 901](#), [Grievances -](#)



[PSE 910](#), and [Discipline - PSE 911](#). Information may also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records related to Pay and Benefits are destroyed after 10 years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 941](#)

**Bank Number:** PSE 904

### **Performance Management Reviews**

**Description:** Includes records related to the evaluation of the performance of employees based upon regularly established objectives. May include information related to training requirements, employee/employer objectives and expectations, competencies, employee misconduct, performance compensation, annual increments, probation, and discipline.

**Document Types:** Performance assessments; performance agreements; learning and development plan; talent management plan; investigation reports; action plan reports.

**Record Number:** PRN 946

### **Discipline**

**Description:** This bank describes personal information related to the application of discipline standards within SDTC and related penalties, including termination of employment, suspension, demotion to a position at a lower maximum rate of pay and financial penalties that may be applied for breaches of discipline or misconduct within SDTC. Personal information may include: name, contact information, biographical information, date of birth, employee identification number, employee personnel information, financial information, legal advice, medical information, nature of the misconduct and the disciplinary measure, opinions and views of, or about, individuals, and signature.

**Class of Individuals:** Employees and former employees of SDTC who are/were the subject of the alleged misconduct, interviewees, medical practitioners, representatives or bargaining agents, and witnesses.

**Purpose:** Personal information is used to investigate alleged misconduct within SDTC and to determine the need for, and nature of, disciplinary actions. Information is also collected to support decisions on pay and benefits, attendance and leave, transfer, demotion and termination of employment.

**Consistent Uses:** Some discipline measures may also be described in Standard Personal Information Bank [Employee Personnel Record - PSE 901](#). Where applicable, information may be shared with the following entities: 1) professional regulatory bodies, as required; and 2) law enforcement agencies in the event of an alleged criminal offence. Information may also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** 1) Records related to Discipline are destroyed after 10 years of inactivity. 2) In cases where a disciplinary action has been rescinded, the onus is on SDTC to ensure that the documentation of the action concerned is immediately destroyed.

**RDA Number:** 98/005

**Related Record Number:** [PRN 926](#) and [PRN 946](#)

**Bank Number:** PSE 911



### **Employee Performance Management Program**

**Description:** This bank describes information that is used in support of performance management of employees of SDTC. The personal information may include: name, biographical information, educational information, employee personnel information, medical information, employee identification number, other identification numbers, signature, views and opinions of, and about an individual.

**Note:** Bank formerly called Performance Management Reviews.

**Class of Individuals:** Employees of SDTC.

**Purpose:** The personal information is used to assess and rate employee performance against established expectations (work competencies and objectives) and rating scale. The personal information is also used to support decisions in respect of assigning recognition, undertaking remedial action plans, identification of training and development needs, approval of performance compensation and annual increments, promotions, transfers, retention, demotion of employees, termination of employment, extension of probation and rejection of employees on probation, employee assistance and occupational health and safety.

**Consistent Uses:** The information may be used or disclosed for the following purposes: reporting to senior management, evaluation, audit, talent management and succession planning, policy analysis, research and statistics.

**Retention and Disposal Standards:** Records related to the Employee Performance Management Program are destroyed after 10 years of inactivity.

**RDA Number:** 98/005

**Related Record Number:** [PRN 946](#)

**Bank Number:** PSE 912

### **Human Resources Planning**

**Description:** May include records related to the assessment of current human resources, the identification of future human resource requirements, and the development of plans to meet those requirements. Records may include information related to human resource planning and utilization, staff requisitions, pre-retirement, succession planning and knowledge transfer, vacancy and turnover rates, workforce adjustment, demographic analysis and forecasting, labour market surveying and analyses, environmental scanning, needs analysis, skills and competencies requirements and planning and performance monitoring activities.

**Document Types:** Environmental scans and gap analyses, employee surveys, labour market studies and reports, drafts and final versions of SDTC's multi-year human resource plans, human resources audits, discussion papers, Human Resource Committee meeting minutes, research studies and reports, special thematic studies, demographic data, statistical reports, and copies of relevant legislation, regulations and policies.

**Record Number:** PRN 949

#### **Human Resources Planning**

**Description:** This bank describes information related to salary management and human resources planning, including reporting and forecasting functions. Personal information may include name, contact information, biographical information, educational information, employee identification number, employee personnel information, and opinions and views of, or about, individuals.

**Class of Individuals:** Current and former employees of SDTC, job applicants, students, and contract employees.

**Purpose:** Personal information is collected to assess current and future human resources and salary requirements. Information may be used for a number of activities, including succession planning, facilities management, duty to accommodate persons with disabilities, determining vacancy and turnover rates, and workforce adjustment. Some information may be collected by means of employee exit interviews, which are used to identify issues, trends, and needs in the organization.

**Consistent Uses:** Some employee information may also be shared with/described in the Standard Personal Information Banks [Employee Personal Record - PSE 901](#), [Pay and Benefits - PSE 904](#), [Staffing - PSE 902](#), and [Training and Development - PSE 905](#).

Information may be also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records related to Human Resource Planning are destroyed after 10 years of inactivity.

**RDA Number:** SDT TDD 5610

**Related Record Number:** [PRN 949](#)

**Bank Number:** PSU 935

## INFORMATION MANAGEMENT SERVICES

Information Management Services involve activities undertaken to manage efficiently and effectively information in support of program and service delivery and to respond to formal requests for information, according to legislation and policy.

### Cooperation and Liaison

**Description:** Includes records related to the formal and informal cooperation and liaison activities with other federal, provincial/territorial, municipal and international governments/agencies, organizations and academic institutions (where applicable) to ensure the effective management of horizontal initiatives, communicate SDTC's activities, and promote integrated approaches to developing and coordinating programs to facilitate information exchanges in areas of common interest, sharing knowledge, expertise and best practices, developing joint service delivery initiative in partnership with the provinces and territories, reinforcing strategic partnerships with established partners and creating new networks of influence to expand and intensify ties with government and/or other organizations, and build more strategic relationships to advance SDTC's interests and priorities. May also include records related to outreach activities, the development of new strategic networks and partnerships, hosting and sharing information, and attending regional, national and international roundtables, symposia and conferences.

**Document Types:** Minutes, agendas and records of decisions of multilateral and bilateral meetings, proceedings of symposia, roundtables and conferences copies of bilateral and liaison agreements, drafts and final case studies reports, memoranda of cooperation, records of consultation activities and international activity reports.

**Record Number:** PRN 904

### Outreach Activities

**Description:** This bank describes information related to individuals who participate in outreach activities sponsored by SDTC. Such activities may involve consultations through various means, including hard-copy correspondence, e-mail, contests and competitions,

success stories or the use of social media platforms including wikis, blogs, and other collaborative Internet technologies that are used or hosted by SDTC. In some cases, individuals will be given prior notice that consultations will be recorded (audio or video). Types of activities may include surveys, symposia, conferences, forums, roundtables, seminars, and workshops. Personal information may include: name, contact information, biographical information, credit information, dietary restrictions and preferences, employee identification number, employment equity information, financial information, Internet Protocol (IP) addresses, medical information, and opinions and views of, or about, individuals.

**Note:** Wherever possible, individuals seeking access to this bank should specify the title and date of the outreach activity.

**Class of Individuals:** Current and former employees of SDTC, representatives of other levels of government, representatives of the academic and business communities, members of the general public (including parents and guardians where minors are concerned), and event speakers and facilitators.

**Purpose:** The information is used to enable individuals to participate in national and/or international outreach activities sponsored by SDTC. Such activities facilitate information exchanges in areas of common interest to SDTC and their stakeholders and allow for the sharing of knowledge, expertise, and best practices.

**Consistent Uses:** With notification, the proceedings of some outreach activities that are recorded may be made publicly available, including on the Internet. With consent, the information may be used to establish mailing lists to inform participants of future events or to contact individuals to seek views on issues of mutual interest. Information may be used to moderate public discussion on the social media platforms used by SDTC. Information may be also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records related to Outreach Activities are destroyed after seven years of inactivity.

**RDA Number:** SDT TDD 8100

**Related Record Number:** [PRN 904](#)

**Bank Number:** PSU 938

### **Access to Information and Privacy**

**Description:** Includes records related to the administering of the Access to Information and/or the Privacy Act including processing requests, preparing Annual Reports to Parliament, statistical reports and updates to the Info Source publications, providing advice, guidance and training to employees, responding to complaints from requestors, conducting privacy impact assessments and responding to investigations by the Offices of the Information and/or Privacy Commissioners. Records may include information related to all requests for information under the control of SDTC including correction of personal information and notification of correction of personal information, the identification, description and registration of personal information banks, informal requests, complaints, investigations and requests for judicial review, consultation with parties and information received from or sent to other institutions, legal advice and access to information concerns. Records may also include information related to requests leading to a change of policy or procedure and documentation pertaining to the software systems used within SDTC to manage the administration of access to information and privacy requests.

**Document Types:** Request case files (may include written requests for information, request forms, letters of acknowledgement, fee estimates, working notes, news clippings, summaries of analyses, request response package including cover letter and copies of released documents, requests to correct personal information, and Commissioner and judicial recommendations and orders), Annual Reports to Parliament, statistical reports, copies of relevant legislation, regulations and related policy instruments, internal policies, guidelines, directives and procedures, legal opinions, copies of audits and/or investigations from the Office of the Privacy Commissioner and/or Office of the Information Commissioner, updates to the Info Source publications, delegation of authority, staff time logs, notices of transfer, fees or extension of time, file lists, indices or finding aids, reports, memoranda and correspondence files.

**Record Number:** PRN 930

***Access to Information Act and Privacy Act Requests***

**Description:** This bank describes information that is related to formal requests for access to information and, access to or correction of personal information made by individuals in accordance with the *Access to Information Act* and the *Privacy Act*. The personal information may include: name, contact information, credit information, identification numbers, Social Insurance Number (SIN) and other processing information related to the request, as well as personal information contained in SDTC records that are relevant to the request.

**Class of Individuals:** Individuals and their representatives who make formal requests to either obtain information or correct personal information under the control of SDTC.

**Purpose:** The personal information is used to process and respond to formal requests made under the *Access to Information Act* and the *Privacy Act*, including subsequent complaints, investigations and judicial review when applicable. Personal information is collected pursuant to section 13 of the *Privacy Act*, sections 8 and 11 of the *Privacy Regulations*, sections 6 and 11 of the *Access to Information Act* and section 4 of the *Access to Information Regulations*. The SIN is collected when required to locate personal information held by a program authorized through legislation or policy approval to use the SIN.

**Consistent Uses:** Information may be shared with government institutions during consultations required to process and respond to formal requests made under the *Acts*. Information may be shared with the Office of the Privacy Commissioner during investigations, refer to [Privacy Complaints and Investigations – OPC PPU 005](#) and [Privacy Commissioner Ad Hoc – Complaints and Investigations – OPC PPU 008](#). Information may be shared with the Office of the Information Commissioner during investigations, refer to [Complaint Investigations – OIC PPU 3100](#) and [Ad Hoc Information Commissioner Complaint Investigations – OIC PPU 123](#).

**Retention and Disposal Standards:** Records related to *Access to Information Act* and *Privacy Act* Requests are evergreen and permanently archived.

**RDA Number:** 98/001

**Related Record Number:** [PRN 930](#)

**Bank Number:** PSU 901

### **Information Management**

**Description:** Includes records related to the cost-effective and efficient management of information under the control of SDTC throughout its lifecycle and regardless of format. Also includes the acquisition, control and disposal of other information products, items kept for reference purposes, and the provision of information management services to employees.

**Document Types:** Forms, acquisition materials, records inventories, retention schedules and disposition authorities, essential records policies, records classification systems, subscription renewals, library collection development policies, location lists, vital records plans, policies, guidelines and procedures related to the management of information, copies of relevant legislation and regulations, and documents related to liaison with Library and Archives Canada and/or other relevant information management organizations.

**Record Number:** PRN 944

### **PROCESS AND TECHNOLOGY MANAGEMENT SERVICES**

Process and Technology Management Services enable effective and operational work through analyses and process engineering, and through the design, configuration, integration, maintenance and support of tools that automate and facilitate administration and operations.

#### **Information Technology**

**Description:** Includes records related to the cost-effective and efficient management of computer equipment and associated software for both SDTC's computer networks and employees' workstations, (including peripheral equipment such as printers, Personal Digital Assistants, Wireless Handholds, etc.), electronic systems development and maintenance, and technical assistance and support for networks, office systems and databases. May also include records related to SDTC's technology architecture, standards and infrastructure, electronic mail systems and platforms, software and hardware acquisition, the annual planning process for the development of computer systems, and the business case process for application development and system acquisitions.

**Document Types:** Network systems specifications, information system security policies and procedures, information technology strategic management plans, hardware and/or software research and history files, threat risk assessment reports, application specific data dictionaries, installation, configuration and relocation documentation, feasibility studies, pilot project documentation, system user manuals and/or guides, change management processes, computer activity reports, systems and programming standards, user specifications, IT training courses materials, personal computer or desktop support procedures and guidelines, computer performance and maintenance reports, system logs, testing strategies, results and reports, database management documentation and policies, guidelines and procedures related to the management and use of technology.

**Document Number:** PRN 932

#### **Electronic Network Monitoring Logs**

**Description:** The records containing the information described in this bank relate to the use by individuals of SDTC's electronic networks. Logs containing details of network use by individuals are compiled and are reviewed by appropriate officials of SDTC when there is suspected misuse or potential compromise of SDTC's electronic network, as defined by SDTC's policies. Examples of information that may be in the records include network logs that may link an employee's workstation to an Internet Protocol address, listings of sites

visited and information on any transactions conducted, including date, time, duration and nature of the visit or transaction. The records may also include information on the use of authorization codes assigned to particular individuals, including successful or unsuccessful use of the codes, date, time and frequency.

**Class of Individuals:** Employees of SDTC and other individuals using SDTC's electronic networks, including: student employees; contract staff and agency personnel; members of the public; Ministerial staff; or Members of Parliament that send e-mail to SDTC or specific individuals within SDTC.

**Purpose:** The information contained in the records may be compiled to support the investigation of suspected or alleged misuse, or deliberate or inadvertent impairment or compromise of SDTC's electronic networks by persons employed by SDTC or by other individuals from outside SDTC.

**Consistent Uses:** The information may be used to substantiate any disciplinary action taken where violation of SDTC's policies is determined. If an internal investigation determines that criminal actions may have taken place, the information may be shared with appropriate police authorities. This information may be used to provide reports to management. The information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** Records related to Electronic Network Monitoring Logs are destroyed after seven years of inactivity.

**RDA Number:** 98/001

**Related Record Number:** [PRN 932](#)

**Bank Number:** PSU 905

## **SECURITY MANAGEMENT SERVICES**

Security Management Services is responsible for providing a secure working environment for SDTC employees, operations, information and assets without fear of disruption, harm, disturbance or injury. Security Management Services involves activities such as: disaster recovery; investigations of potential or actual breaches of security policy or laws; investigation into emergencies, such as acute employee health crises; physical security; intrusion detection systems; security of information; Temporary Visitor Access Control Logs and Access Badges; and, administration of personnel security screening.

### **Incidents – Emergency Response**

**Description:** Includes records related to the investigation and documentation of emergencies, such as acute employee health crises and fires.

**Document Types:** Incident Reports

**Document Number:** SDT TDD 4510

### **Security**

**Description:** Includes records related to the application of safeguards to protect employees, preserve the confidentiality, integrity, availability and value of assets, and assure the continued delivery of services from accidental or intentional damage or from unauthorized access. Records may include information related to facilities' design, physical safeguards, monitoring devices, access to restricted zones, storage, transportation and transmittal of information and goods, work-related violence, protected and classified information, entry and exit points, emergency services, signage, access badges, personnel security screening,

continuous security risk management, building and fire codes, and destruction of information and goods. May also include records related to liaison with federal institutions that have security-related responsibilities (for example, the Canadian Security Intelligence Service, Public Safety Canada, etc.)

**Document Types:** Security access procedures and tools (access pass), security incidents investigation reports, security training, copies of Threat and Risk Assessments, awareness and briefings documentation, incident response procedures, security program audit reports, baseline security requirements, evacuation plans, operational standards and technical documentation, business impact analyses, and copies of relevant labour, fire, building and electrical regulation and codes.

**Record Number:** PRN 931

#### **Temporary Visitor Access Control Logs and Access Badges**

**Description:** This bank describes information related employee and visitor access control, the records related to these subjects contain the actual access logs/registers used to issue temporary employee passes and temporary visitor passes. Personal information may include: name, signature, images. Personal information collected may include data logs, signatures, surnames, given names, telephone numbers, temporary pass control numbers and visitor company/organization information related to the issuance of temporary visitor passes.

**Class of Individuals:** Employees, and those on assignment or contract and visitors who require access to SDTC's office.

**Purpose:** The personal information is used to enhance the security of SDTC's facilities and of individuals and assets present in such facilities. Access logs/registers, temporary passes and any other records related to employee and visitor access control may also be used to monitor or investigate current or past security incidents.

**Consistent Uses:** The information may be used or disclosed to assist in the issuance of temporary access passes. Additionally, records may indicate entry times from facilities and may be used in the event of security-related incidents such as thefts or emergency situations. In such cases, this information may be shared with appropriate law enforcement agencies and emergency workers.

**Retention and Disposal Standards:** Records related to Temporary Access Control Logs are destroyed after two years of inactivity; records related to Access Badges are destroyed after 10 years of inactivity.

**RDA Number:** 98/001

**Related Record Number:** [PRN 931](#)

**Bank Number:** PSU 907

#### **Personnel Security Screening**

**Description:** This bank describes information that is related to security screening assessments of individuals working or applying for work with SDTC. Personal information may include: name(s), contact information, biographical information, biometric information (e.g., fingerprints, digital photographs, etc.), character assessments (e.g., loyalty, trustworthiness, etc.) citizenship status, credit information, criminal checks/history, date of birth, educational information, employee identification number, employee personnel information, financial information, other identification numbers, opinions and views of, or about, individuals, physical attributes, place of birth, signature,



and military service information. The bank may also describe personal information about any immediate relatives, including name, contact information, date of birth and death, and relationship to applicant.

**Class of Individuals:** General public, including volunteers, all current and former employees, contractors, immediate relatives, current and former spouse/common law partner, agency, casual employees, and students, individuals who give character references (including neighbours), current/former employers.

**Purpose:** Personal information is used to support decisions for granting or reviewing for cause the reliability status, security clearance or site access of individuals working or applying to work through appointment, assignment or contract.

**Consistent Uses:** Where applicable, information, including fingerprints, may be shared with the Royal Canadian Mounted Police and the Canadian Security Intelligence Service to conduct the requisite checks and/or investigation. The security screening status may be shared with Human Resources officials to update the individual's personnel file (refer to Standard Personal Information Bank Employee [Personnel Record - PSE 901](#)). Information may be shared with entities outside SDTC, including credit bureaus. Some information may be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records related to Personnel Security Screening are destroyed after 10 years of inactivity.

**RDA Number:** 98/001

**Related Class of Record Number:** [PRN 920](#) and/or [PRN 931](#)

**Bank Number:** PSU 917

### Access Badges

**Description:** This bank describes information used in support of physical security measures in the form of access badges. The personal information may include: signatures, name and card numbers of holders.

**Class of Individuals:** Employees and those individuals on assignment or contract who require access to SDTC's facilities.

**Purpose:** The personal information is used to maintain information relating to the issuance, use and cancellation of access badges, and to assist in ensuring the security of SDTC's facilities and the safety and security of individuals and assets present in such facilities.

**Consistent Uses:** The information may be used or disclosed for the following purposes: the access badges database may record entry times from facilities and may be used in the event of security-related incidents such as thefts or emergency situations. In such cases, the information may be shared with emergency workers, Human Resources, law enforcement or investigative bodies for further investigations, charges or disciplinary actions refer to [Security Incidents and Privacy Breaches – PSU 939](#) and [Discipline – PSE 911](#).

**Retention and Disposal Standards:** Records related to Identification Cards and Access Badges are destroyed after 10 years of inactivity.

**RDA Number:** 98/001

**Related Record Number:** [PRN 931](#)

**Bank Number:** PSE 917

### Security Incidents and Privacy Breaches



**Description:** This bank describes information related to physical, administrative, and technical security, which may include: security complaints and breaches, privacy breaches, threat and risk assessments, workplace violence, theft, fraud, vandalism, accidental damages, emergency and increased threat situations, or threats to the national interest of Canada. Personal information may include: name: contact information, physical attributes, employee identification number, employee personnel information, criminal charges/investigation information, financial information, opinions and views of, or about, individuals, and signature.

**Note:** Individuals seeking access to this bank should provide the type of incident, the location, and approximate date of the incident.

**Class of Individuals:** Employees of SDTC and other individuals involved in security incidents.

**Purpose:** Personal information is collected to report and investigate security incidents and to ensure that vulnerabilities are identified and the risk of future occurrences reduced.

**Consistent Uses:** Information may be disclosed to entities such as: SDTC information technology office, SDTC ATIP administrator, SDTC's contracted legal services, and the appropriate lead security agency which may include: the appropriate law enforcement authority for incidents suspected to be criminal offences; the Privy Council Office for incidents involving the compromise of Cabinet confidences; the Canadian Security Intelligence Service for incidents involving threats to the national interest; and the Office of Critical Infrastructure Protection and Emergency Preparedness for incidents and threats affecting the availability of critical assets and services. In the case of privacy breaches, information may also be disclosed to the Office of the Privacy Commissioner of Canada. Information may also be shared with human resources officials and managers, as required, to determine appropriate action and to support decisions regarding discipline or investigations. In this case, information may also be described in the following employee-related Standard Personal Information Banks: [Discipline - PSE 911](#), [Employee Personnel Record – PSE 901](#), and [Personnel Security Screening - PSU 917](#). The information may also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records related to Security Incidents and Privacy Breaches are evergreen and permanently archived by SDTC.

**RDA Number:** 98/001

**Related Record Number:** [PRN 931](#)

**Bank Number:** PSU 939

## *Classes of Personal Information*

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In the course of conducting the programs and activities of Sustainable Development Technology Canada, categories of personal information not used for administrative purposes may be accumulated. Such personal information includes, among other things, general biographies of individuals in relation to SDTC's program services and employee profile information posted on SDTC's intranet. This form of personal information is retrievable if specifics are provided concerning transactions filed e.g., names of portfolio projects, rather than by name of individual or other personal identifier.

Other information provided by or about individuals may also be found in corporate record holdings such as information services and accounts payable. This class of personal information is retrievable only if the requester identifies, in sufficient detail, the subject of the information that they wish to access. The retention periods are controlled by the record schedules of the general subject files in which they are stored.

## *Manuals*

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Applications Orientation Manual  
E-Grant User Manual  
Governance Process Manual – Board of Directors, Member Council, Board Committees  
Governance Process Manual – Investment Committee  
Human Resource Policy and Procedure Manual  
Lifecycle  
Purchase Process Manual  
Operations Manual  
RDD Manual  
Records Database Manual  
Records Management User Manual  
Screening & Evaluation Manual  
SDTC Website User Manual  
SharePoint Manuals  
SOI Data Entry Manuals

## *Additional Information*

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Access to Information Act and Privacy Act request procedures are available on [SDTC's website](#).

SDTC has always operated in an open and transparent manner while respecting the privacy and business interests of our applicant community. Under the Access to Information Act and the Privacy Act, SDTC will continue to operate in this manner by holding in confidence information submitted by applicants to the extent permitted under the law.

These Acts are intended to complement, not replace, established channels of communication. SDTC has always promoted open, informal communication with its applicant community and the public. We encourage you to contact SDTC informally should you be interested in SDTC information or activities.

Requests for information, either personal or non-personal, that are made pursuant to either the Access to Information Act or the Privacy Act should be directed in writing to:

Sustainable Development Technology Canada  
1850-45 O'Connor Street  
Ottawa, Ontario K1P 1A4

Attn: Melissa Lyon, Corporate Records & Governance Administrator  
Telephone: (613) 234-6313 ext. 351  
Fax: (613) 234-0303  
E-mail: [m.lyon@sdtc.ca](mailto:m.lyon@sdtc.ca)

A requester seeking access to records under the Access to Information Act must write the individual noted above providing a precise description of the records sought and enclosing an application fee of \$5.00 made out to Sustainable Development Technology Canada. Requests can be made using [this form](#).

There is no fee to process a request for information about yourself under the Privacy Act. The submission of a request does not guarantee that complete access will be provided to the records. SDTC must apply the exemptions and exceptions provided under the Access to Information Act and the Privacy Act when disclosure could be expected to injure private or public interests. Requests can be made using [this form](#).

## ***Reading Room***

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In accordance with the Access to Information Act, an area on the premises of this institution has been designated as a public reading room. The address is:

Sustainable Development Technology Canada  
1850-45 O'Connor Street, Ottawa ON