



Government  
of Canada

Gouvernement  
du Canada

# S Info Source

## Sources of Federal Government Information 2004–2005

Volume 1  
(A to H)

Canada

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# INTRODUCTION

## A. Foreward

**Note:** This introduction to Info Source is in large print to assist persons with visual disabilities.

**Info Source: Sources of Federal Government Information** will make it easier for you to find out about the Government of Canada, its organization and its information holdings. It will help you determine where you should go, write or call to make government enquiries, and is likely to be the first and only step you'll need to take to locate the source of the information you want.

This publication is one of a series of four reference tools to assist you and other members of the public in exercising your rights under two Canadian laws - the Access to Information Act and the Privacy Act. The Info Source publications support the government's policy to explain and promote open and accessible information regarding its activities.

**Info Source** is comprised of the following publications:

**Info Source: Sources of Federal Government Information:**

- provides information about the Government of Canada, its organization and its information holdings.
- helps individuals determine which institution to contact about requesting information formally or informally.
- provides individuals who are not, and who have never been employees of the federal government, with relevant information to facilitate access to personal information about them held by a federal government institution subject to the Privacy Act.

**Info Source: Sources of Federal Employee Information:**

- contains information to help current and former federal government employees to locate personal information held by the government.
- is intended to help former and current government employees to exercise their rights under the Privacy Act.

**Info Source: The Access to Information Act and Privacy Act Bulletin:**

- provides statistical information about the number of Access to Information and Privacy requests on an annual basis and cumulative statistics since 1983.
- contains a summary of federal court cases related to Access to Information.

**Info Source: Directory of Federal Government Enquiry Points:**

- contains addresses and telephone numbers for federal departments and agencies subject to the Access to Information Act and/or the Privacy Act.
- Other institutions associated with the federal government are included to facilitate access.

Info Source is distributed to libraries, municipal offices and federal government offices across Canada.

However, it is helpful for you to understand the basic differences between the Access to Information Act and the Privacy Act. The information accessible under each Act is different and there are different procedures to obtain it. The following pages describe the essential details.

## **B. Inside Info Source**

This **Info Source** publication has three main components:

### **Introduction**

The Introduction includes:

- a summary of the roles and responsibilities of the federal government institutions (**Section C – Roles and Responsibilities**) that are either responsible for the production of Info Source or are responsible for the provision of input to the Info Source publications;
- some essential points about the Access to Information Act (**Section D**) and the Privacy Act (**Section E**), and directions on how to locate information by using Info Source or by making a formal request under either Act (**Section F**);
- contact information if you wish to obtain a copy of any of the Info Source publications (**Section G**);
- a listing of those institutions for which Access to Information Requests must be accompanied by cheques or money orders made out to the institution itself and not to the Receiver General of Canada (**Section H**);
- information about the terms used throughout the book, including the description of the Standard Program Records (**Section I – Glossary of Terms**); and
- a listing of Access to Information and Privacy Coordinators, which is organized in the same order as the Table of Contents, gives you the address and telephone number of all Access to Information and Privacy offices.

### **Standard Program Records and Personal Information Banks**

**Standard Program Records:** There is some information that is almost universally collected and maintained by federal institutions in their record keeping systems in support of common functions and activities. This information is used to document internal administrative functions, systems and procedures. They describe information related to Human Resources, Material Management, Corporate Services, etc.

A number of standard program records and related descriptions have been established by Treasury Board Secretariat and are included in this publication. Institutions may declare one or more of these standard records, rather than develop institution-specific record descriptions.

**Standard Personal Information Banks:** Standardized descriptions of personal information have been developed by Treasury Board to describe personal information that may be found in records commonly maintained by federal institutions and are included in this publication. Institutions may choose to register and declare one or more of these standard Personal Information Banks rather than develop institution-specific PIBs.

## Chapters

There is one chapter for each federal government department or agency subject to the Access to Information Act and the Privacy Act, or to the Privacy Act only. Chapters are arranged in alphabetical order by the commonly used name of the institution. Each chapter contains the following (please note that institutions that are not subject to the Access to Information Act do not have to include these elements. Their reporting requirements are limited to Personal Information Banks):

### ***General Information about the institution, including:***

- Background
- Responsibilities
- Legislation
- Organization

### ***Information Holdings including:***

- Program Records
- Standard Program Records
- Personal Information Banks
- Standard Personal Information Banks
- Classes of Personal Information
- Manuals

### ***Additional Information including:***

- The name of the institution to which any payment should be made if the institution does not have an account with the Receiver General of Canada;
- The address of a central information source, as well as regional locations, if any; and
- The address(es) of Reading Room(s).

## Using Info Source quickly and effectively

### ***Determine the correct chapter***

Turn to the chapter of the department or agency you think has the information, and check the Program Records and the Personal Information Banks.

If you don't know if you have the correct department or agency, a telephone call or letter to any Access to Information and Privacy Coordinator's office should provide the answer.

### **For persons with disabilities**

Individuals who are unable to exercise their rights using regular procedures may obtain further assistance from any Access to Information and Privacy Coordinator's office.

## C. Roles and Responsibilities

### **Treasury Board Secretariat (TBS)**

In accordance with the Access to Information Act, Treasury Board is responsible for the annual creation and dissemination of a publication that provides a description of government organizations, program responsibilities and descriptions of records with sufficient clarity and detail to enable the public to exercise its rights under the Access to Information Act.

Treasury Board is also responsible for the annual publication of an index of personal information that will both serve to keep the public informed of how the government handles personal information, as well as facilitating the public's ability to exercise its rights under the Privacy Act. Treasury Board Secretariat fulfils these requirements through the annual publication of **Info Source**.

### **Library and Archives Canada (LAC)**

Under the Library and Archives Canada Act (2004), the Library and Archives Canada is charged with various responsibilities regarding the disposition of information created by federal institutions in support of public policy, administration of government and program delivery. These responsibilities include the authorization of records destruction by government institutions and the preservation of records for their historical or archival importance.

Through the Government Records Disposition Program, the Librarian and Archivist of Canada issues Records Disposition Authorities (RDA) to enable government institutions to dispose of records which no longer have operational value, either by permitting their destruction (at the discretion of institutions), by requiring their transfer to the Library and Archives Canada, or by agreeing to their alienation from the control of the Government of Canada.

Questions concerning the application or interpretation of the Multi-Institutional Disposition Authorities may be addressed to the Information Management Centre of the Library and Archives Canada (LAC) at (613) 944-IMGI (4644) or by e-mailing [imgi@lac-bac.gc.ca](mailto:imgi@lac-bac.gc.ca).

The Library and Archives Canada ([www.collectionscanada.ca/](http://www.collectionscanada.ca/)) provides guidelines on retention periods for common administrative records on their Internet site at [http://www.collectionscanada.ca/information-management/06\\_e.html](http://www.collectionscanada.ca/information-management/06_e.html).

### **Individual Institutions**

Government institutions are required to provide descriptions of their organization and information holdings to Treasury Board Secretariat on an annual basis. These descriptions are utilized in the production of the publications required by the Access to Information Act and Privacy Act. Each department and agency is responsible for the information it submits.

Government institutions are also responsible for ensuring that all information/records are managed within an established life cycle. It is incumbent upon each government institution to understand and apply any legislation regarding the retention of information and more specifically, its own legislation. Each government institution is required to determine the appropriate retention periods for its records, including those common administrative records covered by a MIDA. Accountability regarding the decision to destroy records, once a Records Disposition Authority (RDA) has been established, and the timing of records destruction rests with individual government institutions.

Each federal institution has an Access to Information and Privacy Coordinator or a Privacy Coordinator. The Coordinators' offices are staffed by people whose role it is to answer questions and help identify the records or information you wish to see.

Coordinators may be contacted in person, by telephone, e-mail, letter or through the submission of a completed Access to Information and/or Privacy Request Form.

## Information Commissioner

The Information Commissioner investigates formal complaints from members of the public arising from the Access to Information Act. If you have a complaint about the denial of access to information, fees charged for access, the time taken to respond to requests, refusal to give access in the official language requested, Info Source publications and other matters that relate to requesting or obtaining access to records, you may contact:

### Office of the Information Commissioner

Place de Ville, 22nd Floor, Tower B  
112 Kent Street  
Ottawa ON K1A 1H3

General Enquiries..... (613) 995 2410  
Fax ..... (613) 947 7294  
Toll-free ..... 1 800 267 0441

When the Information Commissioner's investigation is completed, an individual who is of the opinion that they have not been given access to all information which they are entitled to receive has the right to apply to the Federal Court - Trial Division for a review of the matter.

## Privacy Commissioner

The Privacy Commissioner is an ombudsman with the power to look into complaints of improper collection, use, storage, disclosure or disposition of personal information. The Privacy Commissioner may also help if you are dissatisfied with the response to your formal application or the time it has taken to obtain your response. If the Privacy Commissioner recommends that you be given access to records and the institution still refuses, an appeal may be made to the Federal Court.

When the Privacy Commissioner's investigation is completed, an individual who is of the opinion that they have not been given access to all of their personal information to which they are entitled, has the right to apply to the Federal Court - Trial Division for a review of the matter.

You may write or call the Privacy Commissioner's office at:

### Office of the Privacy Commissioner

Place de Ville, 3rd Floor, Tower B  
112 Kent Street  
Ottawa ON K1A 1H3

General Enquiries..... (613) 995 8210  
Fax ..... (613) 947 6850  
Toll-free ..... 1 800 282 1376  
TTY ..... (613) 992 9190  
Web Site..... [www.privcom.gc.ca](http://www.privcom.gc.ca)



## **D. Access to Information Act**

The Access to Information Act gives Canadian citizens as well as people and corporations present in Canada the right to have access to federal government records that are not of a personal nature. The Act complements but does not replace other procedures for obtaining government information. It is not intended to limit in any way the access to government information that is normally available to the public upon request.

### **Wide range of information**

You may ask for information, no matter what form it is in, including letters, memos, reports, photographs, films, microfilms and computerized data. This Info Source publication has been designed to help you pinpoint the department or agency where the information is held and assists you in obtaining it.

Some information may be exempt or excluded under the Act.

**Exemptions:** Exemptions protect certain types of information that could cause harm if released. For example, some information on national security, law enforcement or trade secrets falls into this category.

**Exclusions:** The Access to Information Act does not apply to public information that is already available, such as publications and material in libraries and museums. It also excludes material such as Cabinet documents.

**Note:** The Act cannot give you access to records that are not controlled by the federal government, such as those maintained by provincial or municipal governments or by private organizations such as commercial banks and credit bureaus. Most provincial governments have legislation similar to the Access to Information Act, but may be referred to as a Freedom of Information Act. Consult the provincial government listings in the blue pages of your local telephone book.

## **E. Privacy Act**

In its day-to-day operations, federal government departments and agencies collect personal information from almost all Canadians. The Privacy Act gives Canadian citizens and people present in Canada the right to have access to information that is held about them by the federal government. It also protects against unauthorized disclosure of that personal information. In addition, it strictly controls how the government will collect, use, store, disclose and dispose of any personal information.

### **Most information is available when you ask**

Most of your personal information is available to you at your request. This Info Source publication has been designed to help you pinpoint the department or agency where the information is held and assist you in obtaining it.

### **Types of personal information held**

You probably already know about many of the programs and operations of the government that use personal information such as income tax at Canada Customs and Revenue

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Agency, citizenship at Citizenship and Immigration Canada and the Employment Insurance program at Social Development Canada.

There is personal information that the federal government may not release under the Privacy Act. For example, some personal information may relate to individuals other than the person requesting the information, or it may be about sensitive national security matters or law enforcement investigations.

**Note:** The Privacy Act does not control nor give you access to records that are not held by the federal government, such as those maintained by provincial or municipal governments or by private organizations such as commercial banks and credit bureaus. Most provincial governments have legislation similar to the Privacy Act. Consult the provincial government listings in the blue pages of your local telephone book.

### **Some personal information is confidential**

The federal government must keep some personal information confidential under the Privacy Act, much of which relates to other people, national security or law enforcement.

### **Safeguarding personal information**

The protection of your personal information and privacy is a very important aspect of the Privacy Act. The Act states how and when the government may collect, store and dispose of personal information. It also covers specifically why and how the information may be used or given out, as well as who may use or receive it.

### **Giving out information**

The government may only disclose your information to someone else with your consent or when one or more of the criteria in the Privacy Act are met, such as to comply with a subpoena. Such disclosures are discretionary and are subject to any other Act of Parliament.

### **Personal Information Banks**

Personal Information Banks provide a summary of the type of information about individuals that is held by federal departments and agencies. The Privacy Act requires that Personal Information Banks include all personal information that is organized and retrievable by a person's name or by an identifying number, symbol or other particular assigned only to that person. Personal Information Banks must also include personal information that has been or is being used, or is available for use for an administrative purpose.

There are five types of Personal Information Banks (PIB), but this publication currently contains only two types of PIB.

**Standard Banks:** There are a number of Standard Personal Information Banks (Standard Banks) that describe personal information contained in records commonly maintained by most government institutions. Institutions may require several or all of these Standard Banks to describe the personal information contained within their records. The Standard Banks describe information about such activities as Access to Information and Privacy Requests, Executive Correspondence Management Systems, etc.

These Standard Banks are identified with the unique identifier "PSU".

**Particular Banks** : describe personal information about members of the general public, contained in the records of the particular institution declaring that PIB. In addition, this type of Personal Information Bank may describe personal information about members of the general public and federal employees (current and former).

These Personal Information Banks are identified with the unique identifier “PPU”.

The other types of Personal Information Banks (PIB) relate only to current and former Government of Canada employees and these PIBs are contained the complementary volume to this publication -- **Info Source: Sources of Federal Employee Information**, which is available in the office of the Access to Information and Privacy Coordinator at each federal government department or agency, federal government personnel offices and federal libraries.

The Personal Information Banks contained within **Info Source: Sources of Federal Employee Information** are as follows:

**Standard Employee Banks:** There are a number of Employee Related Standard Personal Information Banks (Standard Employee Banks) that describe personal information contained in records commonly maintained by most government institutions about their employees. Institutions may require several or all of these Standard Banks to describe the personal information contained within their records. The Standard Banks describe information about such activities as pay and benefits, training and development, performance, etc., and identified with the unique identifier “PSE”.

**Central Banks:** These records and their related banks are maintained by central agencies such as the Public Service Commission, Public Works and Government Services Canada, and the Treasury Board of Canada Secretariat. They describe information about employees from all or several government institutions and are identified with the unique identifier “PCE”.

**Particular Banks:** Particular Banks describe personal information about employees that is specific to the requirements of each department or agency and is held within their record keeping systems. These Banks are identified with the unique identifier “PPE”.

## F. How to Apply

### **Access to Information Act**

Once you have decided to make a formal request under the Access to Information Act, there are certain simple procedures to follow:

- Consult **Info Source** to find the appropriate department or agency.
- Obtain an **Access to Information Request Form** from any location where **Info Source** is available (including the Web Site: [www.tbs-sct.gc.ca/tbsf-fsct\\_e.html](http://www.tbs-sct.gc.ca/tbsf-fsct_e.html)).
- If it is not convenient for you to fill in a form, you may send a letter, mentioning the Act (see details below).
- Send the form or the letter to the Access to Information Coordinator at the appropriate department or agency.

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If you decide to submit a letter, you must state clearly that you are requesting information under the Access to Information Act, and include the following:

- description (be as specific as possible) of the records you want to see; preferred method of seeing the records (e.g. do you want to receive photocopies of the original documents or see the originals in the government office where they are located?); your name, street, address, city or town, province or territory, postal code, telephone number(s) and your signature;
- date of your request;
- application fee.

### **Fees and costs**

An application fee of \$5 (subject to change) applies and additional costs may be charged for each request. You will be notified in advance if there are additional costs and you may be asked to make a deposit.

Cheques and money orders are payable to the Receiver General of Canada with some exceptions. Please refer to **Section H -- Institutions Without Receiver General Accounts** for a list of institutions to which Access to Information Requests must be accompanied by cheques or money orders made out to the institution itself and not to the Receiver General of Canada.

### **Turnaround time**

Government departments must acknowledge your request within 30 days under the Access to Information Act. However, in special cases, they may need more time to process your request. If you feel it's taking too long, you may submit a complaint to the Office of the Information Commissioner (**See Section D – Roles and Responsibilities**).

### **Privacy Act**

When you have decided to make a formal request under the Privacy Act, there are certain procedures to follow. Remember, you will find what you are looking for faster if you already have a good idea of which department or agency has the information you want.

- Obtain a **Personal Information Request Form** at any location where **Info Source** is available (including the Web Site: [www.tbs-sct.gc.ca/tbsf-fsct\\_e.html](http://www.tbs-sct.gc.ca/tbsf-fsct_e.html)).
- Fill out the form and identify yourself in such a way that the government may verify who you are, i.e. that it is you, and not someone else, asking for your information. The more precise the information you provide, the faster your request can be answered.
- Send the form to the Privacy Coordinator of the appropriate department or agency.

There is no charge to apply for information under the Privacy Act.

### **To change the information**

If you believe the information that a federal institution has on file about you is untrue or misleading, you may ask to have it corrected. Even if the department or agency does not agree to change this information, it must make a note that you have asked for the change and attach it to the file.

**Turnaround time**

Under the law, all or most of the information you ask for should be disclosed within 30 days of receiving the request. If a time extension is required, you will be notified within the first 30 days and told why up to another 30 days may be needed.

**G. Where to obtain Info Source**

For more information about Info Source, the Access to Information Act or the Privacy Act, you may contact:

**Treasury Board of Canada Secretariat**

L'Esplanade Laurier, 8th Floor, East Tower  
140, O'Connor Street, Ottawa (Ontario) K1A 0R5

General Enquiries .....	(613) 957 2400
Publications.....	(613) 995 2855
Fax.....	(613) 996 0518
TTY.....	(613) 957 9090
General Library Reference.....	(613) 996 5494
E-Mail.....	infosource@tbs-sct.gc.ca
Web Site .....	www.tbs-sct.gc.ca

If you would like a copy of the Directory of Federal Government Enquiry Points or the Access to Information Act and Privacy Bulletin, please contact:

**Treasury Board Distribution Centre**

L'Esplanade Laurier, Room P-140, Level P-1W  
300 Laurier Avenue West  
Ottawa ON K1A 0R5

Telephone .....	(613) 995 2855
Fax.....	(613) 996 0518
E-Mail.....	Services-Distribution@tbs-sct.gc.ca

If you would like to purchase a copy of Sources of Federal Government Information or Sources of Federal Employee Information, please contact:

**Publishing and Depository Services****Public Works and Government Services Canada**

Ottawa ON K1A 0S5

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Telephone .....	(613) 941-5995
Telephone Toll-free.....	1-800-635-7943 (Canada & US)
Fax.....	(613) 954-5779
Fax Toll-free.....	1-800-565-7757 (Canada & US)
Web Site .....	http://publications.gc.ca

All four Info Source publications are also available free of charge on the Internet at:  
[www.infosource.gc.ca](http://www.infosource.gc.ca)

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**Note:** Access to Information Act and Privacy Act requests must be addressed to the appropriate institutions, at the addresses listed in the pages that follow.

## **H. Institutions without Receiver General Accounts**

Access to Information Requests being sent to the following institutions must be accompanied by cheques or money orders made out to the institution itself and not to the Receiver General of Canada:

Atlantic Pilotage Authority Canada  
Bank of Canada  
Blue Water Bridge Authority  
Business Development Bank of Canada  
Canada Council for the Arts  
Canada Deposit Insurance Corporation  
Canada Mortgage and Housing Corporation  
Canada Science and Technology Museum Corporation  
Canadian Air Transport Security Authority  
Canadian Commercial Corporation  
Canadian Cultural Property Export Review Board  
Canadian Museum of Civilization Corporation  
Canadian Polar Commission  
Canadian Tourism Commission  
Farm Credit Canada  
Federal Bridge Corporation Limited  
Fraser River Port Authority  
International Development Research Centre  
Jacques Cartier and Champlain Bridges Incorporated, The  
Laurentian Pilotage Authority Canada  
Mackenzie Valley Environmental Impact Review Board  
Montreal Port Authority  
National Capital Commission  
North Fraser Port Authority  
Office of the Chief Electoral Officer  
Port Alberni Port Authority  
Prince Rupert Port Authority  
Royal Canadian Mint

Saguenay Port Authority  
 Saint John Port Authority  
 Seaway International Bridge Corporation, Ltd.  
 Standards Council of Canada  
 Toronto Port Authority  
 Trois-Rivières Port Authority  
 Vancouver Port Authority  
 Windsor Port Authority  
 Yukon Surface Rights Board

## I. Useful Terms (GLOSSARY OF TERMS)

TERM	DEFINITION
Access to Information and Privacy Coordinator	Each federal government department or agency has an Access to Information and Privacy Coordinator. The Coordinators' offices are staffed by people to answer questions and help identify the records or information you wish to see.
Administrative Purpose	The use of personal information in a decision making process that directly affects the individual(s) to whom the information relates.
Bank (PIB) Number	A unique identifying number created for each Personal Information Bank. This number is assigned by each institution as a finding tool to link the PIB to the records and information maintained in their information management system.
Classes of Personal Information	<p>Personal information not used administratively or not retrievable by personal identifier, for instance unsolicited opinions or general correspondence may be described under "Classes of Personal Information".</p> <p>This category was created to ensure that government departments and agencies account for all personal information that they hold.</p>
Data Matching	An activity that involves comparing personal data obtained from a variety of sources, including personal information banks, for the purpose of making decisions about the individuals to whom the data pertains.
Information Life Cycle	The life cycle of information encompasses the stages of the planning, collection, creation, receipt, and capture of information by an institution. The life cycle includes the organization, retrieval, use, accessibility, dissemination and

TERM	DEFINITION
	transmission; storage, maintenance and protection; and disposition and preservation of information.
Manuals	Directives, instructions, guidelines or procedures that are used by the employees of a department or agency to carry out its operations, activities or programs.
Multi-Institutional Disposition Authority (MIDA)	A Records Disposition Authority granted by the Librarian and Archivist of Canada to government institutions on a multi-institutional basis. A MIDA relates to records managed by all or a multiple number of government institutions, and which allows the institutions empowered to use the authority to dispose of records under certain terms and conditions. MIDAs are designed to eliminate the need for government institutions individually to prepare submissions for and negotiate agreements with the National Archivist for records that have similar administrative or operational status.
Personal Information Bank (PIB)	<p>Personal Information Banks provide a summary of the type of information about individuals that is held by federal departments and agencies.</p> <ul style="list-style-type: none"> <li>• The <i>Privacy Act</i> requires that Personal Information Banks include all personal information that is organized and retrievable by a person's name or by an identifying number, symbol or other particular assigned only to that person.</li> <li>• Personal Information Banks must include personal information that has been or is being used, or is available for use for an administrative purpose.</li> </ul>
Program Records	Descriptions of the records and information created, captured and used by each federal government institution in support of its mandate. Program Records provide pointers to information usually held by federal government departments or agencies in their record keeping system. The Program Record descriptions identify the subject areas covered by an institution's functions, programs and activities.
Program Record Number	<p>A unique identifying number created for each Program Record description.</p> <p>This number is assigned by each institution as a finding tool to access the information contained in their records.</p>



TERM	DEFINITION
Reading Room	The <i>Access to Information Act</i> requires all government institutions to provide facilities where their information and/or manuals can be reviewed. One or more location may be provided by an institution.
Records Disposition Authority (RDA)	The instrument that the Librarian and Archivist of Canada issues to enable government institutions to dispose of records which no longer have operational or other utility. There are three disposition methods – destroying the records (at the discretion of institutions), transferring historical records to the control of the Library and Archives of Canada or the removal of records from the control of the Government of Canada, i.e. transferring them to a Special Operating Agency or other level of government.
Retention and Disposal Standards	A timetable for the length of time institutional information/record is maintained under the control of the institution. These standards also indicate the disposition method to be applied to institutional records when no longer required to meet operational, legal or other requirements, and when the RDA may be applied for final disposition.
Standard Personal Information Banks	Standard Personal Information Banks (PIBs) have been developed to describe personal information that may be found in types of records commonly maintained by federal institutions. These records document internal administrative functions, systems and procedures that are common to or shared by all federal government institutions. They describe information related to pay and benefits, training and development, performance, etc.
Standard Program Records	<p>Descriptions of records/information commonly created, collected and used by federal institutions, such as Human Resources, Physical Security, etc.</p> <p>Federal departments and agencies may declare one or all of the Standard Program Records within their chapters instead of developing institution-specific program record descriptions.</p>

## Access to Information and Privacy Coordinators

### **Agriculture and Agri-Food Canada**

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## Standard Program Records

This section describes the subject matter of certain records which are common to most federal departments and agencies, such as personnel records, financial records, purchasing and property control records, materiel management and central services. Individuals seeking access to the Standard Program Records of a particular institution should forward their access requests to the Access to Information and Privacy Coordinator at the address given in the previous pages.

### Accounts and Accounting

**Description:** Accounts and accounting generally; cash accounts; accounts payable; accounts receivable; and standing advances.

**Program Record Number:** 915

### Acts and Legislation

**Description:** Acts and legislation - general, departmental, federal, foreign and provincial.

**Program Record Number:** 902

### Access to Information and Privacy Requests

**Description:** Includes material related to the administration of and internal procedures for the processing of formal and informal requests, in accordance with the Access to Information Act and/or the Privacy Act.

These records may contain the requests made by individuals to obtain access to information under the control of the institution in accordance with the Access to Information Act and/or the Privacy Act, related replies and information related to their processing, such as the software systems used within institutions to manage the administration of access and privacy requests, i.e. ATIP Flow, ATIP Image software, Coordination of Access to Information Requests (CAIR) System, etc. These records may include requests for correction of personal information; informal requests; complaints, investigations and requests for judicial review; consultations received from or sent to other institutions; requests for advice received from institutional officials that raise privacy and/or access to information concerns, etc.

**Topics:** These records may include material related to cases leading to a change of policy or procedure, material related to reports to Parliament on the administration of the Acts; conference material; committee information; copies of relevant legislation, and related policies, as well as information related to the interpretation and application of these laws and policies.

**Program Record Number:** PRN 930

### Administration

**Description:** Administration generally; accidents generally; motor vehicle accidents; agreements; appreciation; complaints and enquiries; associations, clubs and societies; audit, review and evaluation; badges, emblems and flags;

bilingualism and biculturalism; cafeterias and eating facilities; campaigns and canvassing; ceremonies and celebrations; circulars, directives and orders; committees; conferences, meetings and symposia; corporations, companies and firms; emergency measures; inventions, patents and copyrights; licences and permits; parliamentary matters; plans and programs; reports and statistics; visits and tours.

**Program Record Number:** 901

### Administration and Management Services

**Description:** Administrative and management services generally; correspondence management; duplication services; electronic data processing; electronic networks; forms management; information services; legal services; library services; mail, messenger and postal services; management services; records management; security services; telecommunications; travel and transportation services; secretarial, typing and word processing services; translation services.

**Program Record Number:** 903

### Audits

**Description:** Auditor General reports and internal audit reports.

**Program Record Number:** 916

### Automated Document, Records, Information Management Systems

**Description:** Automated document, records and information management systems are used to manage the full life cycle, from creation/collection to final disposition, of electronic documents (e-mail, word processing documents, spreadsheets, graphics, images, etc.), as well as non-electronic records (hard copy, posters, photographs, video tapes, audio tapes, maps, etc.). Information contained within the automated system may be entered in an electronic format, i.e. the capture of an electronic object or the creation of an electronic object through scanning (OCR), or a summary (profile) of the non-electronic information that is manually entered into the automated system.

This document/records/information life cycle management is done to facilitate compliance with the existing legislative and policy framework for the federal government.

Automated systems of this type normally allow for

the integration of records and document management, imaging, and optical character recognition (OCR). Other features include the ability to search the information repositories for any word or string of words (full-text index searching and retrieval) and reporting capabilities. The automated system may also be electronically integrated with the institution's correspondence tracking system that is used to manage the tracking of incoming correspondence to ensure that responses about departmental policies, programs, initiatives and issues are prepared in a consistent and time-efficient manner.

**Topics:** The records related to Automated Document, Records and Information Management Systems may contain information about the institution's functional requirements, system specifications, the Treasury Board shared systems initiative, training information, procedures for the use of the system, implementation plans, maintenance procedures, migration strategies, technical support mechanisms, etc.

**Program Record Number:** PRN 929

#### **Business Continuity Plans (BCP)**

**Description:** In compliance with the 2004 Operational Security Standard - Business Continuity Planning (BCP) Program, institutions must establish a Business Continuity Planning (BCP) Program. This program 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 government. The BCP Program complements emergency preparedness that is mandated by legislation or government policy (e.g. fire and building evacuation plans; civil emergency plans). It also supports planning that is necessary to restore other-than-critical services and their associated assets and resources; departments should use this program to incorporate their planning for other-than-critical services.

The types of incidences for which the BCP 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 BCP outlines and coordinates: the efforts of institutional staff; and the implementation of advance arrangements and procedures to ensure that the institution can continue or restart critical business operations within a reasonable timeframe.

**Topics:** The records related to Business Continuity Plans (BCP) may contain information about: Recovery plans; network and/or data backup procedures; emergency and recovery

resources; service level agreements (including Memorandums of Understanding with other federal institutions); time-sensitive business functions; recovery or emergency response team members; essential records; plan escalation procedures; notification procedures for emergency response teams, institutional staff, Minister's staff, federal, provincial and municipal bodies; plan activation procedures; Command, Control and Emergency Centre Operations; Delegation/Designation of Authority; detailed business resumption, recovery and restoration procedures; software tools to create, and maintain the BCP; media handling procedures; etc..

**Program Record Number:** PRN 928

#### **Budgets**

**Description:** Budgets generally; estimates and supplementary estimates; and program forecasts.

**Program Record Number:** 917

#### **Buildings**

**Description:** Buildings generally; acquisition; alterations and repairs; construction; contracts; damages; disposal; fire and fire prevention; and maintenance.

**Program Record Number:** 906

#### **Buildings and Properties**

**Description:** Buildings and properties generally; accommodation; accounting and inventories; planning and requirements; reports and statistics.

**Program Record Number:** 905

#### **Classification of Positions**

**Description:** Classification generally; audits; category and group; individual positions; and standards.

**Program Record Number:** 919

#### **Co-operation and Liaison**

**Description:** Co-operation and liaison generally and at the federal, international, provincial, university, college and school levels.

**Program Record Number:** 904

#### **Employment and Staffing**

**Description:** Employment and staffing generally; applications; casual and term employees; competitions; programs recruitment; requests for staffing action; and summer students.

**Program Record Number:** 920

#### **Equipment and Supplies**

**Description:** Equipment and supplies generally; accountability and inventories; catalogues; clothing; disposal and surplus; food; forms; fuels; laboratory; loans; maintenance and repairs; price lists and stationery.

**Program Record Number:** 909

## Finance

**Description:** Finance generally; agreements and arrangements; allotments and transfers; allowances; banks and banking; cheques; claims; contracts; currency; encumbrances; expenditures; fees; funds; revolving funds and working capital advances; grants; signing authorities; taxes and travel allowances; and expenses.

**Program Record Number:** 914

## Furniture and Furnishings

**Description:** Furniture and furnishings generally; beds and bedding; chesterfields and sofas; drapes; filing cabinets; household and office furniture and furnishings; and pictures.

**Program Record Number:** 910

## Hospitality

**Description:** Hospitality is the provision of a reception, meal or entertainment to guests of government institutions, including social events or ceremonies in accordance with established policies and guidelines. Records related to hospitality events may contain information about the circumstances of the function, including any event requiring special authority; the form of hospitality; cost; location; number of attendees listed by category, i.e. guests, government employees; and approvals by the appropriate delegated officials.

**Topics:** The records may contain information about the function nature and scope, function type, i.e. dinner, reception, etc.; function location, i.e. private residence, restaurant, conference; financial limitations, who provided services related to the function, hospitality event protocols, etc. The records may also contain information about Hospitality Policies and Guidelines, financial signing authorities, the publication of hospitality information posted on-line, etc.

**Program Record Number:** PRN 933

## Human Resources

**Description:** Human resources generally; career management; inventories; performance appraisal; reports and statistics; requirements and utilization.

**Program Record Number:** 921

## Information Technology Services

**Description:** This includes records related to the computer equipment and associated software for both institutional computer networks and employees workstations, electronic systems development and maintenance, technical assistant and support for networks, office systems and databases. May also include material related to the institution'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.

**Topics:** Includes material related to network systems, hardware and/or software – including peripheral equipment, i.e. printers, Personal Digital Assistants (PDA), Wireless Handholds, system user manuals or guides, change management processes, IT training courses, personal computer or desktop support (Help Centre), computer maintenance, etc.

**Program Record Number:** PRN 932

## Lands

**Description:** Lands - general; acquisition; concessions; development; disposal; fencing; flood control; landscaping parking areas; roads; streets and sidewalks.

**Program Record Number:** 907

## Occupational Health, Safety and Welfare

**Description:** Occupational health, safety and welfare generally; counselling; health units; medical examinations; nursing services; recreation and sports; and surveys.

**Program Record Number:** 922

## Office Appliances

**Description:** Office appliances generally; calculators; data processing hardware; duplicating equipment; photographic and microfilming equipment; recorders and typewriters.

**Program Record Number:** 911

## Official Languages

**Description:** Official languages generally; identification and designation of bilingual positions; language requirements program; recruitment; and replacements.

**Program Record Number:** 923

## Pensions and Insurance

**Description:** Pensions and insurance generally; superannuation plans; Canada Pension Plan; Quebec Pension Plan; reciprocal agreements; federal, provincial and private hospital and medical insurance plans; death benefit plan; disability insurance and unemployment insurance plan.

**Program Record Number:** 924

## Personnel

**Description:** Personnel - general; accidents and injuries; appointments; attendance; awards and honours; Corps of Commissionaires; positions and levels; hours of work and overtime; leave and holidays; promotions and reclassifications; regulations and directives; reports and statistics;

retirements; and separations.

**Program Record Number:** 918

### Physical Security

**Description:** In accordance with the Physical Security Standard issued under the Government Security Policy, federal institutions are responsible for the establishment and maintenance of appropriate measures (physical, procedural and psychological) to prevent, detect and respond to unauthorized access and other threats. Related to this is the establishment and use of detection devices and methods to identify attempted or actual unauthorized access as well as procedures and tools to activate effective and appropriate responses.

**Topics:** Includes material related to physical security design; physical safeguards, monitoring devices, security access procedures and tools (pass/identity cards), access to restricted zones; storage, transportation and transmittal of information and goods; destruction of information and goods; and the protection of personnel and the public at large.

**Program Record Number:** PRN 931

### Proactive Disclosure

**Description:** These records include information about the mandatory publication on institutional web sites of specifically identified government information. The purpose of making these specific information elements available on the Internet is to promote transparency, facilitate public access, and provide relevant and timely information so that Canadians are better able to hold their Government and public sector officials to account. The intent of the proactive disclosure initiative is to ensure that this information is provided in a consistent manner across government and that information is regularly updated according to established timeframes and guidelines.

Federal institutions are required to update information identified for the purpose of pro-active disclosure every three months and post it on-line within 30 days of the end of each period.

**Topics:** These records include information related to tools and guidance from the Treasury Board Secretariat (TBS) and other lead agencies about proactive disclosure; the maintenance of web sites related to proactive disclosure; etc.

**Program Record Number:** PRN 935

### Procurement

**Description:** Procurement generally; contracts; local purchase orders; procedures and regulations; requisitions; standing offer agreements.

**Program Record Number:** 912

### Relocation

**Description:** These records are used to document and administer the relocation of individuals and their families.

**Topics:** Includes material related to employee entitlements and obligations, employer obligations, third party service providers, relocation claims, etc. May also include information about rental accommodations; travel to new locations; searching for new accommodation, i.e. house hunting; hotel/motel accommodation; copies of departmental policies and procedures pertaining to relocation; moving and storage company information; etc.

**Program Record Number:** PRN 936

### Salaries and Wages

**Description:** Salaries and wages generally; acting pay; deductions; pay rates; pay system; performance and senior merit pay; regulations; salary revisions; and severance pay.

**Program Record Number:** 925

### Staff Relations

**Description:** Staff relations generally; adjudication; bargaining agents; collective agreements and interpretations; discipline; grievances; managerial and confidential exclusions; and union relations.

**Program Record Number:** 926

### Training and Development

**Description:** Training and development generally; attendance; course content; course evaluations; individual courses; language training; nominations; plans; schedules and directives; and types of courses.

**Program Record Number:** 927

### Travel

**Description:** These records are used to document and manage the travel activities of individuals who travel in support of their institution's mandate. These records also include information related to the proactive disclosure of relevant travel expenses as specified in the Guidance Document: Proactive Disclosure of Travel and Hospitality Expenses issued by the Treasury Board Secretariat.

**Topics:** Includes material related to travel allowances, or per diem rates, travel expense claims, hotel directories, airline directories, etc. May also include copies of institutional policies and procedures pertaining to travel including the employee entitlements and obligations, employer obligations, payment for official institutional travel; etc.

**Program Record Number:** PRN 934

**Utilities**

**Description:** Utilities - general; air conditioning; electric power; water and sewage; garbage disposal; gas and oil; heating; lighting; plumbing and ventilation.

**Program Record Number:** 908

**Vehicles**

**Description:** Vehicles generally; air, land and water vehicles; insurance; maintenance and repairs; operating standards; registration and licences.

**Program Record Number:** 913

## Index of Standard Personnel Information Banks

<b>Bank Number</b>	<b>Main Book Standard Banks</b>
PSU 901	Access to Information and Privacy Requests
PSU 902	Executive Correspondence Management Systems
PSU 903	Business Continuity Planning (BCP)
PSU 904	Automated Document, Records, Information Management Systems
PSU 905	Electronic Network Monitoring Logs
PSU 906	Internal Disclosure of Wrongdoing in the Workplace
PSU 907	Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes
PSU 908	Hospitality
PSU 909	Travel
PSU 910	Relocation



## Main Book Standard Bank Descriptions

**Standard Personal Information Bank (PIBs) descriptions have been developed to describe personal information that may be found in types of records commonly maintained by federal institutions. These records document internal administrative functions, systems and procedures that are common to or shared by all federal government institutions.**

**These information banks are identified with the unique identifier “PSU” as part of the bank number contained within the PIB.**

### Retention and Disposal Standards for Standard PIBs:

**The following Retention and Disposal Standards statement applies to all Standard PIBs unless otherwise noted within a specific PIB.**

- The records containing the personal information described in the standard banks may be retained for different periods of time as decided by each government institution, unless otherwise specified.
- At a minimum, personal information used for an administrative purpose must be retained for at least two years unless the individual consents to its earlier disposal. Any disposal of such records must be in accordance with Records Disposition Authorities issued by the Librarian and Archivist of Canada.
  - The Privacy Act defines administrative purpose to mean the use of that information in a decision making process that directly affects an individual.
- For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution’s ATIP Co-ordinator..

### Access to Information and Privacy Requests

**Description:** The records containing the information described in this bank include requests made by individuals to obtain access to information under the control of the institution in accordance with the Access to Information Act and/or the Privacy Act, the replies to such requests, and information related to their processing. These records may include requests for correction of personal information; informal requests; records related to complaints, investigations and requests for judicial review; consultations received from other institutions; and requests for advice received from institutional officials that raise privacy or access to information concerns. Personal information may include the name of the requester, mailing address, telephone and facsimile numbers, e-mail address and other processing information related to the request, as well as personal information contained in institutional records that are relevant to the request.

**Note:** Personal information contained in institutional records relevant to the request is not used for administrative purposes.

**Class of Individuals:** Individuals who exercised their rights under the Access to Information Act and/or the Privacy Act, including individuals who made informal requests to obtain information under the control of the institution.

**Purpose:** The information described by this bank is used to administer the Access to Information Act and/or the Privacy Act as well as processing and responding to informal requests. This information may also be used during consultations with other government institutions, during investigations by the Offices of the Information and Privacy Commissioners and during court reviews. Aggregate information (does not identify individuals) is used to report to Parliament on the administration of the Acts.

**Consistent Uses:** Non-personal information may be used to provide reports on ATIP activities to management and to the Treasury Board Secretariat and other institutions, i.e. through CAIRS. The information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution’s ATIP Coordinator.

**RDA Number:** 98/001

**Related Program Number:** PRN 930

**Bank Number:** PSU 901

### **Automated Document, Records, Information Management Systems**

**Description:** The automated system described by this bank is used to capture and manage documents, records (including email) and information received and/or created by the institution in support of the institution's functions and activities. Documents and email received by the institution may be entered into the automated system in an electronic format or summarized (profiled) and entered manually into the system

**Class of Individuals:** Any individual about whom the institution may collect information in support of a function, program or activity.

All employees of an institution, including contractors, agency employees and students, as well as any individual corresponding with the institution.

**Purpose:** This type of an automated system is used to manage the life cycle of the institution's document, records and information collections, as well as facilitating access thereto. The automated system is used to ensure the information is available to support the operations of the institution, and then disposed of appropriately. The automated system also makes searching and retrieving information from the institution's information collections faster and easier.

**Consistent Uses:** The information may be used in an aggregate format to report on system use, growth of the information collection, etc. The automated system may also be electronically integrated with the institution's correspondence tracking system that is used to manage the tracking of incoming correspondence to ensure that responses about departmental policies, programs, initiatives and issues are prepared in a consistent and time-efficient manner.

The information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Co-ordinator.

**RDA Number:** 98/001

**Related Program Number:** PRN 929

**Bank Number:** PSU 904

### **Business Continuity Planning (BCP)**

**Description:** The information described by this bank includes personal information that is contained in institutional Business Continuity Plans (BCP). A BCP is established by a federal institution to provide 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 government.

The personal information contained within a BCP may include the names, home addresses, home telephone, pager and cellular phone numbers of employees and officers who are part of the institution's BCP response team, as well as similar emergency contact information for Ministers, exempt staff, senior officials. Also included are the names, emergency contact numbers (including cellular phone and pager numbers) of disaster response and/or recovery vendors and other service providers, in addition to federal, provincial and municipal officials who may have to be contacted to assist the institution as the result of an emergency situation.

**Class of Individuals:** Employees and officers who are members of the institution's response team, as well as Ministers, exempt staff, senior institutional officials and emergency response officials and recovery vendors/service providers.

**Purpose:** The purpose of the collection and use of the personal information described in this Bank is to ensure that the institution can contact appropriate and responsible individuals to respond in the event of an interruption in normal business operations.

**Consistent Uses:** Personal information described in this Bank may be shared with other federal institutions, police, fire and other emergency response agencies on an "as required" basis. Non-personal information may be used to provide reports to senior management about the execution of institutional Business Continuity Plans. This information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Coordinator.

**RDA Number:** 98/001

**Related Program Number:** PRN 928

**Bank Number:** PSU 903

### **Electronic Network Monitoring Logs**

**Description:** The records containing the information described in this bank relate to the use by individuals of federal government electronic networks. Logs containing details of network use by individuals are compiled and are reviewed by appropriate officials of the institution when there is suspected misuse of a federal government electronic network, as defined by

institutional policies or the Treasury Board Policy on the Use of Electronic Networks. Examples of information that may be in the records include network logs that may link an employee's workstation to an IP 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 the institution and other individuals using federal government electronic networks, including student employees, contract staff and agency personnel. Members of the public, Ministerial staff, Members of Parliament that send e-mail to the institution or to specific individuals within the institution.

**Purpose:** The information contained in the records is compiled to support the investigation of suspected or alleged misuse, or deliberate impairment of government electronic networks by persons employed by the institution or by other individuals from outside the institution.

**Consistent Uses:** The information may be used to substantiate any disciplinary action taken where violation of institutional policies or the Treasury Board Policy on the Use of Electronic Networks 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:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Co-ordinator.

**RDA Number:** 98/001

**Related Program Number:** PRN 932

**Bank Number:** PSU 905

### Employee Assistance

**Description:** The records containing the information described in this bank are treated in a confidential fashion that is relative to an employee's involvement in an Employee Assistance Program (EAP). These records may include notice of voluntary or mandatory (supervisory work performance related) referral; records of reference to, or reports and correspondence from a health professional or rehabilitation agency; and only non medical

interpretations concerning an employee's work capability or limitations. All personal medical data shall be maintained in a medical protected status under the control of the Workplace Health and Public Safety Program within Health Canada. Records relating to work performance deficiencies, absenteeism and disciplinary matters are to be held in the appropriate institutional record (with its related personal information bank) and not held with EAP files.

**Class of Individuals:** Individuals (Employees, contractors, volunteers and family members, etc.) who seek and/or receive services under the federal Employee Assistance Program

**Purpose:** The purpose of these records are to document information necessary for the administration of the Employee Assistance Program. To determine the need for employee assistance counselling, referrals for medical evaluations and participation in rehabilitation programs.

**Consistent Uses:** To support decisions regarding employee assistance measures.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Co-ordinator.

**RDA Number:** 98/005

**Related Program Number:** PRN 921

**Bank Number:** PSE 916

### Executive Correspondence Management Systems

**Description:** The records containing the information described in this bank include general correspondence to the Minister or Secretary of State, their Staff and other senior executives within the institution. Records used in preparation of responses to incoming correspondence may also contain personal information about individuals that is sometimes provided by institutional officials to address issues and concerns raised in the incoming correspondence.

Personal information may include the name of the correspondent, mailing address, telephone and facsimile numbers, e-mail address 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 the institution that require replies from senior executives of the institution.

**Consistent Uses:** Incoming correspondence may be forwarded to other federal or provincial institutions for a full or partial response if it is determined by the receiving institution 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 another 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. The Executive Correspondence Management System may be integrated with the institution's Automated Document, Records and Information Management System (see Standard Personal Information Bank Number PSU 929 for more details).

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Co-ordinator.

**RDA Number:** 98/001

**Related Program Number:** PRN 903

**Bank Number:** PSU 902

### Hospitality

**Description:** This information is collected to document hospitality-related activities and the circumstances in which they are incurred. The personal information collected may include the name and job title of government employees as well as the name and title of guests of the government (e.g. individuals from other governments, the private sector, etc). It may also include the names of their spouses or accompanying companions; and the name of the establishment where the hospitality function occurred and/or the name of caterer.

**Class of Individuals:** Deputy Ministers, Associate Deputy Ministers, Assistant Deputy Ministers, and their equivalents, including those individuals who incur hospitality expenses while acting in these positions, and their spouses or accompanying companions. Also includes Ministers, Ministers of State, Parliamentary Secretaries, and their office staff (also known as political or exempt staff because they are outside of the official Public Service) as well as Members of Parliament representing a Minister or Minister of State for official business purposes.

**Purpose:** Hospitality information is maintained to ensure that the provision of hospitality functions are done appropriately.

Proactive disclosure on government websites of hospitality expense-related information promotes transparency, facilitates public access to government information, and provides relevant and timely information to Canadians. The specific elements that are made available in compliance with proactive disclosure are: Hospitality activity description and date, attendees, location and total amount.

**Consistent Uses:** This information may be used to provide reports on hospitality-related expenses to management. The information may also be used for research, planning, budget, audit and evaluation purposes.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Coordinator.

**RDA Number:** 99/004

**Related Program Number:** PRN 933 and PRN 935

**Bank Number:** PSU 908

### Internal Disclosure of Wrongdoing in the Workplace

**Description:** The records containing the personal information described by this bank include general inquiries, advice, as well as formal and informal complaints of wrongdoing. Personal information may include the date and nature of the alleged wrongdoing, name of the individual alleged to have committed the wrongdoing and other pertinent information including name of individual(s) reporting or impacted as a result of the alleged wrongdoing, records of interviews, investigations and analyses of events and records of decision taken.

**Class of Individuals:** Employees reporting to all departments and organizations of the Public Service listed in Part I, Schedule I, of the Public Service Staff Relations Act. Any individual reporting an alleged wrongdoing or about whom the institution may collect information in support of a function, program or activity and who may be impacted upon as a result of the investigation of an alleged wrongdoing.

**Purpose:** This information is collected to investigate and resolve complaints submitted in accordance with the Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace. In well-founded cases, personal information may be used to determine appropriate

remedial action, including administrative, disciplinary or legal action. Information is also used to develop an annual report that provides statistics, issues, challenges and recommendations for the deputy head of the institution.

**Consistent Uses:** The information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Co-ordinator.

**RDA Number:** 98/005

**Related Program Number:** PRN 921

**Bank Number:** PSU 906

### Relocation

**Description:** This information is used to document the processes involved in the relocation of employees and their families. The personal information collected includes the individuals' name and job title, organization name, work telephone, work address, job classification and level, Personal Record Identifier (PRI), name of delegated departmental officer or manager, signatures, name of spouse or common-law partner, names of children and/or extended family members, special medical needs that may need to be accommodated, monthly statement of credit card expenses, personal declarations of expenses when receipts are not obtainable or have been inadvertently destroyed, mortgage or rental cost information, legal fees and real estate fees.

**Class of Individuals:** Employees who relocate and their spouses or common-law partners, their children and/or extended family members. Also includes individuals representing third party suppliers, such as moving and storage companies.

**Purpose:** The purpose of this information is to document and administer the relocation of individuals and their family members. This includes information related to relocation planning, the selection of new accommodations, the shipment of personal and household effects, move authorizations and claims.

**Consistent Uses:** Non-personal information may be used to provide reports on employee relocations to management. The information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained

by a given government institution, please contact that institution's ATIP Coordinator.

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

**Related Program Number:** PRN 936

**Bank Number:** PSU 910

### Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

**Description:** This information relates to video surveillance recordings generated by closed circuit television (CCTV) cameras located on the perimeters of, or within institutionally operated buildings and facilities. Additionally, in support of 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 collected may include recorded visual images, 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 a federal institution or any other person within proximity of video surveillance recording capabilities.

**Purpose:** This information is used to enhance the security of government facilities and of individuals and assets present in such facilities. Video surveillance is sometimes conducted in real time or recordings can be used to investigate past occurrences, security incidents or emergency situations. 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:** To assist security officials in the monitoring of activities and/or the issuance of temporary access passes. Additionally, records and recordings may record entry and exit 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. Video information that reveals evidence of illegal activity, employee misconduct or accidents may be disclosed to appropriate staff relations, enforcement or investigative bodies for further investigations, charges or disciplinary actions.

**Retention and Disposal Standards:** For the specific amount of time that different types of

common administrative documents are retained by a given government institution, please contact that institution's ATIP Co-ordinator.

**RDA Number:** 98/001

**Related Program Number:** PRN 931

**Bank Number:** PSU 907

### **Travel**

**Description:** This information is used to document travel activities and expenses related to official institutional business. The personal information collected includes the individuals' name and job title, organization name, work telephone, work address, job classification and level, Personal Record Identifier (PRI), name of delegated departmental officer or manager, signatures, name of spouse or common-law partner, name of children, monthly expense statements, personal declarations of expenses when receipts are not obtainable or have been inadvertently destroyed.

**Class of Individuals:** Employees and travellers (including term or casual employees, temporary agency staff, volunteers, students, consultants and contractors, and witnesses), who travel on behalf of an institution and their spouses or common-law partners and/or dependants. This includes Deputy Ministers, Associate Deputy Ministers, Assistant Deputy Ministers, and their equivalents, including those individuals who travel while acting in these positions, and their spouses and/or dependents. Also included are Ministers, Ministers of State, Parliamentary Secretaries, and their office staff (also known as political or exempt staff because they are outside of the official Public Service) as well as Members of Parliament representing a Minister or Minister of State or accompanying them as a guest for official business purposes.

**Purpose:** The purpose of this information is to document and administer the travel of individuals in support of the institution's mandate. This includes information related to employee entitlements and obligations, travel advances and related claims. Proactive disclosure on government websites of travel expense-related information promotes transparency, facilitates public access to government information, and provides relevant and timely information to Canadians. The specific elements that are made available in compliance with proactive disclosure are: the purpose of travel; date(s) and destination(s); air fare and other transportation costs; accommodation, meals and incidentals; other expenses (all other expenses incurred that are not reflected in the information fields above, such as cost of a special passport, visas, and

associated photos, calls to the office or home, dependant care where applicable, etc.); and the total amount.

**Consistent Uses:** This information may be used to provide reports on travel activities and costs to management. The information may also be used for research, planning, budget, audit and evaluation purposes.

**Retention and Disposal Standards:** For the specific amount of time that different types of common administrative documents are retained by a given government institution, please contact that institution's ATIP Coordinator.

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

**Related Program Number:** PRN 934

**Bank Number:** PSU 909



# Agriculture and Agri-Food Canada

## Chapter 1

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source

### General Information

#### Background

The Department of Agriculture was established in 1867, the year of Confederation, by an act of Parliament. The formation of the Experimental Farms System followed in 1886 and a Dairy Commissioner was appointed in 1890. The aim of Agriculture and Agri-Food Canada today is to promote the development, adaptation, and competitiveness of the agriculture and agri-food sector in a manner that respects the environment and contributes to the best quality of life for all Canadians. It helps the sector maximize its contribution to Canada's economic, social and environmental objectives, which are to provide for the needs of Canadian consumers and export markets in a manner which ensures a dependable supply of safe, nutritious food at reasonable prices; to ensure equitable returns to producers, processors and marketers; and to meet Canadian food and technological aid commitments to international development. The Minister of Agriculture and Agri-Food, the Department and portfolio agencies administer 22 acts concerning food and agriculture industries. The activities of the Department extend from the farmer to the consumer, through all phases of production, processing and marketing of agriculture and agri-food food products. The Department also assists farmers through crop insurance, margin stabilization and agricultural adjustment programs to alleviate losses caused by the weather, changing markets and other hazards.

#### Responsibilities

The mandate of Agriculture and Agri-Food Canada (AAFC) is to provide information, research and technology and policies and programs that achieve security of the food system, health of the environment and innovation for growth. The Department's responsibilities embrace most aspects of the agricultural industry. It carries out research into the physical and economic problems of agriculture; assists with market and export development; and carries out programs aimed at

environmentally sustainable resource use. The Department enforces laws governing the sales of feed, fertilizers and pesticides; and assists farmers through measures such as production insurance. It also supervises racetrack betting.

AAFC is implementing a comprehensive national Agricultural Policy Framework with the goal of making Canada a world leader in Food Safety and Quality, Innovation and Environmentally Sustainable Production. To effectively deliver this program, the department now has a team-based governance. This new direction is a responsive and comprehensive approach to the risks facing the agriculture and agri-food business.

Horizontal teams are comprised of policy, science researchers, support staff, and others in order to get the best possible results, reflecting the Department's priority areas (Business Risk Management, Food Safety and Quality, Environment, Science and Innovation, Renewal, and International Issues). In order to sustain our ability to deliver our business priorities, seven enabling teams have also been established to support the horizontal teams.

The strategic outcomes of the Agricultural Policy Framework is to make Canada the world leader in: producing, processing and distributing safe and reliable food to meet the needs and preferences of consumers; in using environmental resources in a manner that ensures their quality and availability for present and future generations; and in innovation to develop food and other related agricultural products and services that capture opportunities in diversified domestic and global markets.

#### Legislation

- Agricultural Marketing Programs Act
- Agriculture and Agri-Food Administrative Monetary Penalties Act
- Animal Pedigree Act
- Canada Grain Act
- Canadian Dairy Commission Act
- Criminal Code, Section 204 (Minister of Justice and Attorney General of Canada)
- Department of Agriculture and Agri-Food Act



- Department of Foreign Affairs and International Trade Act, paragraph 10(2)(e) (Minister of Foreign Affairs)
- Experimental Farm Stations Act
- Farm Credit Corporation Act
- Farm Debt Mediation Act
- Farm Improvement and Marketing Cooperatives Loans Act
- Farm Income Protection Act
- Farm Products Agencies Act
- Plant Breeders' Rights Act
- Prairie Farm Rehabilitation Act
- Western Grain Transition Payments Act

## Organization

### Horizontal Teams:

#### Business Risk Management Team

The Business Risk Management Team is committed to improving the producer's capacity to manage risk, and increasing the sector's viability and profitability through the development of an integrated business risk management framework.

#### Environment Team

The Environment Team is responsible for encouraging and supporting the adoption of beneficial management practices on farms across Canada based on sound science. The Environment Team develops programs and policies that help minimize the adverse impacts, as well as enhance the benefits that agriculture can have on the environment (i.e. soil, water, air, biodiversity), and establishes procedures with which to monitor improvements in the sector's agri-environmental performance.

#### Food Safety & Quality Team

The Food Safety & Quality Team is responsible for minimizing the risk and impact of food-borne hazards on human health, increasing consumer confidence and improving the sector's ability to meet or exceed market requirements for food products.

#### Innovation & Renewal Team

This Innovation & Renewal Team's mission is to improve the on-going competitiveness of the Canadian food and agriculture sector through the development and transfer of innovative technologies. The Team provides the agri-food sector with access to business management skills, new production systems, bio-products and

strategies to seize opportunities and manage change.

#### International Issues Team

The International Issues Team's mission is to achieve increased recognition, at home and abroad, of the Canadian industry's world-leading capacity in meeting the demands of a rapidly changing and highly segmented global market, to promote Canada's advantages as an investment location, and to expand Canadian industry's access to foreign markets in order to maximize the benefits realized from Canada's reputation.

### Enabling Teams:

#### Asset Management Team

The Asset Management Team is responsible for the planning, acquisition, maintenance and disposal of the Department's fixed and moveable assets; this includes policy development, contracting for goods and services, major capital planning and construction, fleet management, and accommodations. This team also delivers financial and human resources services in research centres in conjunction with Human Resources and Finance teams.

#### Communications & Consultations Team

The Communications & Consultations Team helps the Department understand its stakeholders and clients as well as the public environment through strategic and inclusive consultations, and by targeting audiences in the general public and among commodity/special interest groups. The Communications and Consultations Team, in accordance with the Communications Policy of the Government of Canada, manages AAFC's advertising, publishing, consultations and public opinion research, internal communications, media relations activities, and corporate and rural exhibit programs. Also, the Team aims to promote a better public understanding of the Agricultural Policy Framework and the agriculture and agri-food sector through awareness initiatives.

#### Finance Team

The Finance Team supports the sound stewardship of departmental resources and informed decision-making by management through the provision of timely, robust and relevant financial information, advice, services and policies. The Finance Team is the primary point of contact with the Treasury Board and Privy Council Office (PCO) on all Treasury Board submissions and requests for Orders in Council which together provide the department the requisite authorities and funding to implement

departmental priorities. The Finance Team also offers a wide array of financial services principally in the domain of accounts payable/receivable transaction processing. Accountable for the integrity of the department's financial controls, the Finance Team continuously monitors financial expenditures to ensure compliance with all applicable central agency policies and directives.

### **Human Resources Team**

The Human Resources Team is responsible for the planning, management and development of Agriculture and Agri-food Canada's human resources. They provide Human Resources management policies, programs and services that support working horizontally and achieve the objectives of the Agricultural Policy Framework and departmental business results.

### **Information Systems Team**

The Information Systems Team assists the Department in achieving its objectives by providing expertise and support on technological tools, electronic document management systems, portal technology, knowledge management strategies, information technology strategies, web content management, and business intelligence tools.

### **Policy & Planning Team**

The Policy & Planning Team supports integrated policy development through strategic planning, policy development on cross-cutting issues, liaison, and research. It also establishes the framework for departmental strategic management and leads the planning, performance measurement and management policy development.

### **Program Delivery Team**

The Program Delivery Team ensures efficient and effective client-focussed program delivery through the design and implementation of a full range of national programs and services in support of the agriculture and agri-food sector and rural communities.

### **Corporate Offices:**

#### **Audit & Evaluation Team**

The Audit & Evaluation Team provides the Departmental Audit and Evaluation Team (DAET) with independent assurance, information and advice on the effectiveness, efficiency and economy of Departmental programs, policies and operations.

### **Canadian Pari-Mutuel Agency**

Canadian Pari-Mutuel Agency has a responsibility to protect the wagering public against fraudulent practices and to help maintain a viable racing industry in Canada. The Canadian Pari-Mutuel Agency is also responsible for providing daily auditing of all betting activities; for providing expertise, and conducting research in the areas of photo-finish, video race patrols, totalizer systems and equine drug control. The agency also ensures a 99.9 per cent accuracy in all betting transactions; provides efficient and effective pari-mutual supervision within the resource level of the federal levy and provides and promotes services that contribute to the positive image of racing.

### **Executive Offices**

The Executive Offices are responsible for the correspondence, briefing and activity scheduling systems for the Minister and the Deputy Minister, for tracking and reporting on major current issues of concern to the Department, for Parliamentary Relations, and for providing secretariat services to the Departmental Management Committee, Management Council, the Heads Up Committee of the Department and the Departmental Audit and Evaluation Team.

### **Legal Services Team**

The Legal Services Team provides legal information and advice on the development and implementation of Departmental programs, policies and operations.

### **Prairie Farm Rehabilitation Administration (PFRA)**

The Prairie Farm Rehabilitation Administration (PFRA) works with people on the prairies to develop a viable agricultural industry and sustainable rural economy. In partnership with other levels of government, farm groups, producers and industry, PFRA protects Prairie soils, develops and conserves the area's water resources, and encourages diversification into new crops, value-added processing and other wealth-creating activities.

### **Rural & Co-operatives Secretariat**

The Rural Secretariat, located in Agriculture and Agri-Food Canada, is the central point for rural policy issues within the Government of Canada. The Rural Secretariat's mandate is to provide analysis and advice on issues affecting rural and remote regions; facilitate the creation of partnerships around rural issues and priorities; promote dialogue between rural stakeholders and the federal government, and between the federal,

provincial and territorial governments. The Co-operatives Secretariat is dedicated to the economic growth and social development of Canada by encouraging the establishment of partnerships between the co-operative sector and the federal government that support the development of co-operatives in areas of federal priority including rural and aboriginal economic development, health care service delivery and agriculture value added.

## Information Holdings

### Program Records

#### Horizontal Teams:

#### Business Risk Management Team

##### Business Redevelopment

**Description:** Includes information relating to Farm Income, Knowledge/Product/Process Information, service transformation.

**Program Record Number:** AAFC 6900

##### Farm Program Delivery

**Description:** Includes information relating to program administration, client service operations.

**Program Record Number:** AAFC 7000

##### Farm Program Maintenance

**Description:** Includes information relating to program and agreement approval, revision, and extension, accountability and performance measures, environmental assessment, audit and review.

**Program Record Number:** AAFC 7100

#### Information Monitoring, Analysis and Reporting

**Description:** Includes information relating to industry economic performance and analysis, advice on compliance with international trade rules, performance measurement, documentation and business continuity, economic analysis and forecasting for program support.

**Program Record Number:** AAFC 7200

#### Strategic Policy and Program Development

**Description:** Includes information relating to the development of Farm Income Risk Management Strategy, Farm Income Risk Management Program design, Integrated Risk Management approach, Policy Review, Policy Research Institute.

**Program Record Number:** AAFC 7300

### Environment Team

#### Delivering Environmental Tools and Practices

**Description:** Includes information relating to program development, Federal/Provincial agreements, program implementation, certification, outreach, water management, water control.

**Program Record Number:** AAFC 3700

#### Developing Knowledge for Environmental Tools and Practices

**Description:** Includes research and information relating to the development of tools and practices for soil use assessment and health, water quality, water quantity, Greenhouse Gases and air quality, adaptation to global warming, nutrient cycling, organic residues, reduction and alternatives to chemical pest control, biodiversity, technology transfer and commercialization.

**Program Record Number:** AAFC 3600

#### Environmental Awareness

**Description:** Includes information that fosters and promotes an awareness of agri-environmental issues and serves as a basis for sound decision-making and the resolution of those agri-environmental issues.

**Program Record Number:** AAFC 3100

#### Environmental Monitoring

**Description:** Includes information relating to National Land & Water Information System (includes data collected from Geographic Information System-based tools monitoring rural land and water resource management such as flood protection, plant hardiness zones, land use information), National Land & Water Information System Management Structure; National Agri-environmental Health Analysis and Reporting Program, Agri-Environmental Indicators work (in such areas as Environmental Farm Management, Soil Quality, Water Quality, Agroecosystem Greenhouse Gas Emissions, Agroecosystem Biodiversity, and Production Intensity), modeling, economic valuation; National Agroclimate Information Service.

**Program Record Number:** AAFC 3200

#### Environmental Stewardship

**Description:** Includes information which supports the realization of environmental benefits and the mitigation of environmental risks in the agriculture and agri-food sector.

**Program Record Number:** AAFC 3500

#### Environmental Strategy

**Description:** Includes information relating to strategy Development, Sustainable Development

strategy.

**Program Record Number:** AAFC 3400

### **Environment Health**

**Description:** Includes information which supports the use of environmental resources in a manner that ensures their quality and availability for present and future generations.

**Program Record Number:** AAFC 3000

### **Information to Consumers and the Public**

**Description:** Includes information relating to stakeholder fora, public opinion research and tracking, communication tools.

**Program Record Number:** AAFC 3300

### **Integrated Environmental Tools and Practices**

**Description:** Includes information relating to technical assessments, best management practices and standards.

**Program Record Number:** AAFC 3800

### **International Environmental Commitments**

**Description:** Includes information relating to policy development, consultations, international negotiations, market intelligence.

**Program Record Number:** AAFC 3900

### **Food Safety & Quality Team**

#### **Consumer Confidence**

**Description:** Includes information relating to the promotion of a high level of consumer confidence in the quality, safety and production of Canadian food.

**Program Record Number:** AAFC 6100

#### **Developing Knowledge and Tools to Support a Safe and Secure Food Supply**

**Description:** Includes research and information relating to improved and new products (fresh and processed) and improved and new processes, knowledge and tools in support of food safety and regulations, quality to meet consumer preferences and nutritional needs, technology transfer, commercialization and marketing.

**Program Record Number:** AAFC 6200

#### **Food Quality Systems**

**Description:** Includes information relating to the development of food quality assurance systems throughout the chain, capacity within the industry to verify.

**Program Record Number:** AAFC 6300

#### **Food Safety Systems**

**Description:** Includes information relating to the development and implementation of on-farm Hazard Analysis and Critical Control Points (HACCP)-based systems, development and implementation of HACCP-based systems throughout the chain, capacity within the industry

to verify.

**Program Record Number:** AAFC 6400

### **Identity Preservation, Tracking and Tracing Systems**

**Description:** Includes information relating to the development of tracking and tracing systems throughout the chain including provision of financial assistance, capacity within the industry to verify, promotion of e-commerce and Internet use at all levels of the agri-food value chain, breeder and buyer protection under Animal Pedigree Act, creation of domestic structures, promotion of genetic innovations, and branding Canadian genetics.

**Program Record Number:** AAFC 6500

### **Information to Consumers**

**Description:** Includes information relating to stakeholder fora (Canadian Partnership for Consumer Education), public opinion research and tracking, communication tools, assistance for the agri-food sector in development of accurate public communications on the safety and reliability of Canadian Agri-Food Products (CAFI).

**Program Record Number:** AAFC 6600

### **Integrated Food Safety Strategy Development**

**Description:** Includes information which supports the production, processing and distribution of safe and reliable food to meet the needs and preferences of consumers.

**Program Record Number:** AAFC 6000

### **Policy and Strategy Development**

**Description:** Includes information relating to common federal policy, Federal, Provincial coordination, research international initiatives (initiatives of other countries) aimed at food safety and quality.

**Program Record Number:** AAFC 6700

### **Innovation & Renewal Team**

#### **Business Climate, Policies and Regulations**

**Description:** Includes information relating to the implication of human resource, policy and regulatory constraints and issues related to investment, growth and competitiveness in the sector, provision of rapid response teams to address irritants identified by agri-food and life science sector firms and providing case by case problem solving.

**Program Record Number:** AAFC 5200

### **Development and Adoption of New Production Bioproducts and Bioprocesses**

**Description:** Includes research and information relating to chemistry, engineering, genetics and metabolism and the resulting bioproducts and bioprocesses, including nutraceuticals and

functional foods, other biochemicals, bioenergy, and biomass, technology transfer, commercialization and marketing of new value-added bioproducts and bioprocesses.

**Program Record Number:** AAFC 4200

#### **Development and Adoption of New Value-Added Bio-products and Bio-processes**

**Description:** Includes research and information relating to bio-products and bio-processes such as nutraceuticals and functional foods, other biochemicals, bioenergy and biomass, bioinformation such as genomics, proteomics and metabolomics and bioinformatics, technology transfer, commercialization and marketing of new value-added bio-products and bio-processes.

**Program Record Number:** AAFC 4300

#### **High Quality Personnel**

**Description:** Includes information relating to entrepreneurial skill requirements, sector capacity and gaps.

**Program Record Number:** AAFC 5300

#### **Innovation and Discovery**

**Description:** Includes information relating to the development and adoption of agricultural products, processes, technologies and services.

**Program Record Number:** AAFC 4100

#### **Innovation for Growth**

**Description:** Includes information which fosters innovation in the development of food and other related agricultural products and services that capture opportunities in diversified domestic and global markets.

**Program Record Number:** AAFC 4000

#### **Integrated Science Strategy**

**Description:** includes information relating to integrated science policies, processes, and strategies, collaborations with partners in the science and technology community (tools, policies, consultations, programs).

**Program Record Number:** AAFC4400

#### **Renewal**

**Description:** Includes information relating to the provision of adequate access to skills and investment for rural Canada, business and skills assessment services, opportunities to improve farmer's business and technical skills, continuous learning strategies, access to capital, partner with citizens to expand and promote co-operatives, access to the tools necessary to enhance sustainability, through application of the Rural Lens for rural agricultural communities, improved physical access for rural diversification opportunities.

**Program Record Number:** AAFC 5400

#### **Skills**

**Description:** Includes information that promotes an entrepreneurial and highly-skilled work force.

**Program Record Number:** AAFC 5000

#### **International Issues Team**

##### **Awareness Building**

**Description:** Includes information relating to the development and delivery of targeted branding and investment promotion materials and tools (including KPMG, LS brochures), promotion of Canada's advantages through missions, signature events and branding initiatives (including seminars, conferences and assistance provided to industry through such programs as Canadian Agriculture and Food – International Program.

**Program Record Number:** AAFC 4610

##### **Branding Canada**

**Description:** Includes information relating to the development and implementation of a branding strategy, participation in Team Canada Inc Brand Canada program.

**Program Record Number:** AAFC 4600

##### **Domestic Collaboration**

**Description:** Includes information relating to Federal/Provincial/Territorial relations on market access, stakeholder consultation process, work with industry to address market access issues through the development of export strategies (e.g., Canadian Agri-Food – International Program) including provision of intelligence and technical information.

**Program Record Number:** AAFC 7500

##### **International Development**

**Description:** Includes information relating to technical assistance and capacity building in developing countries, support and participation in international fora (e.g., Food and Agriculture Organization, Inter-American Institute for Cooperation on Agriculture), development of partnerships with International Financial Institutions, promotion of Canadian leadership, policies, programs through multilateral fora (eg. Conférence de Montréal), building strategic alliances with developing countries through multilateral fora and events.

**Program Record Number:** AAFC 4700

##### **International Leadership**

**Description:** Includes information relating to the building of strategic alliances with developing countries, developing international leadership through policy positions at multilateral fora.

**Program Record Number:** AAFC 7600

**International Market Development Strategy**

**Description:** Includes information relating to the development of strategies for emerging and established markets, contributing to the Government's International Business Development Strategy (Team Canada Inc), Federal/Provincial/industry consultation and coordination.

**Program Record Number:** AAFC 4800

**Investment Strategy**

**Description:** Includes information relating to the development of federal/provincial investment strategy in the Agricultural Policy Framework (APF) context (International Policy Council Action Plan, Agri-food & Life Science Strategy Action Plan).

**Program Record Number:** AAFC 4910

**Market & Sector Development**

**Description:** Includes information relating to market intelligence and analysis, industry intelligence and analysis, enhancement of economic development of aboriginal Small or Medium-sized (Canadian owned) enterprises and communities (eg. Aboriginal exporter support), export trade development and promotion (eg. Team Canada Inc/Agri-Food Trade Service exporter development services, missions, international events, trade shows), domestic trade promotion, assisting the agri-food sector including development of market strategies (eg. Agri-Food Credit Facility, Canadian International Grains Institute, Canadian Wheat Board, Canadian Agriculture and Food International Program).

**Program Record Number:** AAFC 4900

**Market Diversification**

**Description:** Includes information relating to diversified markets captured by Canadian products and services.

**Program Record Number:** AAFC 4500

**Policy Integration**

**Description:** Includes information relating to the development and implementation of a strategic framework that integrates trade policy, market and investment, development, international, and domestic policies.

**Program Record Number:** AAFC 7700

**Retention, Expansion, Attraction of Investment to Canada**

**Description:** Includes information related to targeted investment promotion programs, in collaboration with partners (Company targeting, International Policy Council Round Tables, Federal/Provincial Steering Committee on Investment), encouragement of world class firms

to invest in Canada through ongoing liaison and identification of opportunities, matching emerging ideas/technologies in the life sciences with potential investors.

**Program Record Number:** AAFC 4920

**Secure Marketplace**

**Description:** Includes information which supports a secure domestic and international marketplace for Canadian agricultural products.

**Program Record Number:** AAFC 7400

**Technical Trade Issues**

**Description:** Includes information relating to the improvement of Agriculture and Agri-Food Canada's capacity to analyze and negotiate technical trade issues and opportunities, active participation on technical issues in the international arena.

**Program Record Number:** AAFC 7800

**Trade Liberalization**

**Description:** Includes information relating to impediments to domestic and international trade (e.g., Food systems security), bilateral, regional and multilateral agriculture negotiations and resolution of trade disputes (e.g., Free Trade Area of the Americas (FTAA), World Trade Organization (WTO), and North American Free Trade Agreement (NAFTA) disputes), management of bilateral trade relationships and resolution of market access issues (e.g., Bovine Spongiform Encephalopathy (BSE), Canada-U.S., Consultative Committee on Agriculture, Canada-Mexico Consultative Committee on Agriculture).

**Program Record Number:** AAFC 7900

**Enabling Teams:****Asset Management Team****Emergency Planning**

**Description:** Information on federal, provincial/territorial, international emergencies, plans and exercises. Information on the departmental on Business Continuity Planning Program and facility business continuity plans.

**Topics:** Liaison in emergency planning matters with Privy Council Office and the Office of Critical Infrastructure Protection and Emergency Preparedness, other federal departments, provincial departments of agriculture, U.S. Department of Agriculture, North Atlantic Treaty Organisation (NATO) and other organizations deemed necessary in the event of an emergency; orientation in Agricultural Emergency Planning.

**Program Record Number:** AAFC 225

**Engineering and Environmental Services**

**Description:** Information on delivery of long-term major capital program, engineering support to

infrastructure, and delivery of central agencies programs such as Underground Storage tanks, contaminated sites, energy consumption, and data on key indicators.

**Program Record Number:** AAFC 250

#### **Facilities Management**

**Description:** Information pertaining to day-to-day building operations, minor capital delivery, maintenance of equipment, buildings and infrastructure, and minor repairs.

**Program Record Number:** AAFC 275

#### **Leased Accommodations**

**Description:** Information on office leases including current and future planning, requirements for expansion, allocation of space, floor layouts and office design.

**Program Record Number:** AAFC 280

#### **Life-cycle management**

**Description:** Information on life-cycle management (e.g., procurement activities, contracts, requests for services, inventory, maintenance, disposal) of assets under AAFC's control. Includes management of capital assets which are high value moveable items valued over \$10,000 such as major technical equipment, vehicles, and machinery.

**Program Record Number:** AAFC 200

#### **Material Management**

**Description:** Information on requirements, procurement, cataloguing, acquisition, distribution, storage, maintenance and disposal of material.

**Program Record Number:** AAFC 300

#### **Real Property**

**Description:** Documents pertaining to the acquisition and disposal of lands and buildings, leases and easements, licenses of occupation, property taxes, accommodation, federal identity for facilities, titles holders, heritage properties and land claims.

**Program Record Number:** AAFC 325

#### **Security**

**Description:** Physical security (including threats and risk assessment, guards services, access to buildings, contingency planning, investigations, protection, theft, vandalism), personnel security (including security clearances and reliability checks, building passes, employee identification cards), information technology security (including electronic network monitoring logs), visits and visitors, inspections, surveys, regulations and orders.

**Program Record Number:** AAFC 350

### **Communications & Consultations Team**

#### **Advertising**

**Description:** Information on development of promotional materials and public awareness materials, requests for advertising, Canadian Agriculture and Food Celebration (CAFC), Government Advertising Committee (GAC), and information on advertising development, production, procedures and approvals.

**Program Record Number:** AAFC 675

#### **E-Communications**

**Description:** Information related to the overall vision, business planning and management of the Department's corporate Intranet (AgriSource) and Internet (AAFC Online) web sites, AgriSource (intranet) and multimedia projects.

**Program Record Number:** AAFC 750

#### **Internal Communications**

**Description:** Information related to advice and support on internal communications issues, on the development of internal communications tools and products, on the monitoring and evaluation of internal communications initiatives in the Department, and on the coordination of the activities of the Employee Advisory Committee (EAC) on Internal Communications.

**Program Record Number:** AAFC 655

#### **Publishing, Translation and Text Revision Services**

**Description:** Information related to the management of corporate publishing projects, advice, quality control, development, and delivery on all matters related to publishing, including the coordination and implementation of the AAFC graphic standards and the Federal Identity Program (FIP) policy and guidelines. Includes information on the management of translation services for the Department and coordination of revision activities.

**Program Record Number:** AAFC 775

#### **Public Events and Announcements**

**Description:** Information pertaining to public relations, news releases, participation in fairs and exhibitions, Corporate Exhibits Program, and Rural Exhibits Program.

**Program Record Number:** AAFC 725

#### **Stakeholder and Media Relations**

**Description:** Information on media lines process, media interviews, analysis of news coverage, drafting and approval of speeches, Minister's column, messages from the Minister, APF Info, coordination of venues, identification of speakers, on-site support to speakers, and review of

feedback and audience response.

**Program Record Number:** AAFC 700

### **Strategic Communications Planning**

**Description:** Information on development, control and monitoring of communication strategies, corporate identity and diversity in communications materials communications support for AAFC programs, branding guidelines, consultations, public opinion research, risk communication (including crisis and emergency communication), communication management and coordination, and regional communications operations.

**Program Record Number:** AAFC 650

### **Finance Team**

#### **Accounting**

**Description:** Information relating to accounting systems, account reports, balance sheets, financial statements, appropriations and disbursements, registers, cost accounting, and statements of revenue.

**Program Record Number:** AAFC 825

#### **Accounts Payable**

**Description:** Information pertaining to any monies owed by Agriculture and Agri-Food Canada as the result of a purchase of goods or services from an outside source on a credit basis. Includes information such as invoices, vouchers, ledgers and registers, imprest accounts, advisory, professional and technical services rendered to the Department, services to other institutions, statements, utilities, abstracts, bills of lading, cheque requisitions, contracts, credits to advances, purchase orders and requisitions including local, refunds, travel claims, travel advance and mileage allowances.

**Program Record Number:** AAFC 850

#### **Accounts Receivable**

**Description:** Information related to any monies owed to Agriculture and Agri-Food Canada as a result of a purchase of goods or services from it on a credit basis, or as a result of a refund for the return of goods and containers. Information includes credit notes, ledgers and registers including refund and drawbacks ledgers, statements, bills, credits, official receipts, sales slips from all sources including accounts recoverable from concessions, claims, fees, rentals.

**Program Record Number:** AAFC 875

#### **Budgets and Estimates**

**Description:** Information pertains to budget forecasts by Agriculture and Agri-Food Canada, or any of its organizations, of its expenditures and revenues for a specified time period, financial

planning, budget management, forecasting and variance analysis, budgetary approval, institutional budgets and estimates, team budgets and estimates.

**Program Record Number:** AAFC 900

#### **Employee Relocation**

**Description:** Information related to the reimbursement of relocation expenses in accordance with the Treasury Board Relocation Directive.

**Program Record Number:** AAFC 925

#### **Finance and Resource Management**

**Description:** Information on departmental resource allocation process; acquisition card administration; financial policy development; financial planning, budgeting, forecasting and variance analysis; collection, validation and reconciliation of financial information for internal and external reporting; accounts payable and accounts receivable processing; employee relocation; acquisition card administration; gating, sampling and monitoring pursuant to section 33 of the Financial Administration Act; Treasury Board submissions and Memoranda to Cabinet; key financial documents include the monthly Financial Situation Report, Public Accounts, Financial Statements, the Report on Plans and Priorities and the Departmental Performance Report; and Financial policy development, dissemination and training.

**Program Record Number:** AAFC 800

#### **Financial Audits**

**Description:** Information related to external audits and/or program evaluations conducted by a central agency, common service agency or by the Auditor General, internal audits and/or program evaluations.

**Program Record Number:** AAFC 950

#### **Human Resources Team**

##### **Classification**

**Description:** Occupational groups and categories, relative salaries, pay rates, classification standards, classification review, application of standards, conversion of positions, development, review and promulgation of classification standards, and classification delegation, corporate classification, executive classification.

**Program Record Number:** AAFC 1125

##### **Diversity**

**Description:** All aspects of employment equity, including enabling equitable representation of women, Aboriginal people, members of visible minority groups, and persons with disabilities.



Includes records related to workforce survey questionnaires, workforce analyses, reviews of employment systems, employment equity plans including monitoring of implementation, employment equity activities and information provided to employees.

**Program Record Number:** AAFC 1150

#### **Employee Benefits**

**Description:** Compensation and benefits packages, annual leave, statutory holidays, life insurance, severance packages, retirement, hours of work and overtime.

**Program Record Number:** AAFC 1175

#### **Health and Safety**

**Description:** Health and safety awareness programs, accident claims and investigations, Employee Assistance Program (includes policy and routine information relating to contracts for outside services, advice, medical diagnosis, referrals, training, monitoring and audits).

**Program Record Number:** AAFC 1200

#### **Human Resources Planning**

**Description:** The planning, management and development of Agriculture and Agri-food Canada's human resources.

**Program Record Number:** AAFC 1100

#### **Official Languages**

**Description:** Official languages, course applications, enrollment, attendance, qualifications, language examination, exemptions and training records.

**Program Record Number:** AAFC 1225

#### **Staff Relations**

**Description:** Employee-management relations and services, certification, designated employees, strikes and work stoppages, administration of grievance adjudication, anti-discrimination complaints, appeals, collective agreements (includes guidelines, interpretations, agreements by category), discipline (includes policy and routine information relating to misconduct, intoxication, misuse of government property), conflict of interest and post-employment code (includes guidelines, disclosures, investigations), managerial and confidential exclusions (includes casual, part time, managerial and confidential exclusions from collective bargaining agreements), personal harassment, union relations (includes use of employer's facilities, union dues.).

**Program Record Number:** AAFC 1250

#### **Staffing**

**Description:** Delegated staffing, selection standards, statements of qualifications,

recruitment programs, competitions and exams, and documentation related to the Priority Administration System (includes priority lists), advertisement of job openings, co-operative programs with universities and colleges, work experience, recruitment programs.

**Program Record Number:** AAFC 1275

#### **Training and Development**

**Description:** Administration of training functions and activities, directives, Human Resources development plans and programs, training plans, rotational training, orientation, training schedules, internal and external courses, policy and routine information relating to performance appraisals, awards programs, recognition programs, career management and professional association memberships.

**Program Record Number:** AAFC 1300

#### **Information Systems Team**

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

**Description:** Information pertaining to requests for access to records under the Access to Information Act and the Privacy Act, privacy impact assessments, reports, registrations, and complaints.

**Program Record Number:** AAFC 1425

##### **Forms Management**

**Description:** Information related to the analysis, design and control, identification, authorization, review, preparation and physical characteristics of forms.

**Program Record Number:** AAFC 1450

##### **Information Management and Technology**

**Description:** Information related to technological tools, electronic document management systems, portal technology, knowledge management strategies, information technology strategies, web content management, and business intelligence tools.

**Program Record Number:** AAFC 1400

##### **Library**

**Description:** Information related to the delivery of library services, documentation and reference services, and research tools.

**Program Record Number:** AAFC 1475

##### **Mail and Distribution**

**Description:** Information pertaining to the delivery of mail, messenger and postal services, bulk payment system, liaison with public and private service providers, mailing lists, and registers and registration related to mail.

**Program Record Number:** AAFC 1500

### Records Management

**Description:** Information related to the management of Departmental records and documents, records and document classification, records retention, disposition of records, disposition authorities, lists, indices and registers of files or records destroyed, information on essential records program and protection of essential records, micrographics and imaging program.

**Program Record Number:** AAFC 1525

### Systems and Operational Support

**Description:** Information related to electronic systems development, maintenance, and technical assistance (includes information relating to problem ticket systems) for office systems and databases that support common administrative functions.

**Program Record Number:** AAFC 1550

### Policy & Planning Team

#### Policy Analysis and Planning

**Description:** Includes information relating to Departmental policy and planning initiatives, Team policy and planning initiatives, development and maintenance of the Department's forward planning agenda, development and maintenance of the Department's strategic and business planning and accountability frameworks, departmental progress and performance measures against plans and policy objectives.

**Program Record Number:** AAFC 1650

#### Program Delivery Team

##### Program Delivery and Monitoring

**Description:** Includes information created, collected, or received by Agriculture and Agri-Food Canada to support and document business functions, programs, processes, transactions, services, and all other activities uniquely or specifically assigned to Agriculture and Agri-Food Canada through legislation, regulation, or policy.

**Program Record Number:** AAFC 2000

#### Corporate Offices:

#### Audit & Evaluation Team

##### Audit and Evaluation

**Description:** Information and advice relating to the performance, effectiveness, efficiency and economy of Departmental programs, policies and operations.

**Program Record Number:** AAFC 500

### Canadian Pari-Mutuel Agency

#### Canadian Pari-Mutuel Agency (CPMA)

**Description:** The CPMA is responsible for providing daily auditing of all betting activities; for providing expertise, and conducting research in the areas of photo-finish, video race patrols, totalizer systems and equine drug control. The agency also ensures a 99.9 per cent accuracy in all betting transactions; provides efficient and effective pari-mutuel supervision within the resource level of the federal levy and provides and promotes services that contribute to the positive image of racing.

**Program Record Number:** AAFC 8000

#### Pari-Mutuel Supervision

**Description:** Information on the regulation and supervision of pari-mutuel betting on horse races.  
**Topics:** Daily pari-mutuel betting activities; pool distribution; investigation reports into alleged race fixing; betting dates; tests of totalizer equipment; race track facilities; racing commissions; conferences; betting systems; betting permits; security of bets and betting data; federal levy on wagering.

**Access:** Files arranged by racing associations, topic, event and date.

**Program Record Number:** AAFC 8100

#### Race Surveillance

**Description:** Information on the surveillance of horse races.

**Topics:** Daily supervision reports; photo finish service; race patrol service; drug control service.

**Access:** Files arranged by racing association, event and date.

**Format:** Film, videotapes and photographic print.

**Program Record Number:** AAFC 8200

#### Surveillance Research

**Description:** Information on all aspects of research into race track surveillance.

**Topics:** Diagnostic activities; drug detection; recording of races on film or video tape; effect of drug administration on horses.

**Access:** Files arranged by drug study.

**Format:** Film, videotapes and photographic prints and hard copy reports.

**Program Record Number:** AAFC 8300

### Executive Offices

#### Deputy Minister's Office

**Description:** Includes information created, collected, or received by Agriculture and Agri-Food Canada to support and document internal administrative and service-oriented functions that are common to or shared by all federal government institutions. Includes general

administrative correspondence and correspondence management, general information relating to meetings and seminars, internal office procedures and office services, duplication and reproduction services.

**Program Record Number:** AAFC 100

### **Rural & Co-operatives Secretariat**

#### **Canadian Agricultural Rural Communities Initiative (CARCI)**

**Description:** The Canadian Agricultural Rural Communities Initiative (CARCI) is a three year program designed to increase the viability of agricultural rural communities, particularly those affected by changes in the agricultural sector. CARCI funded projects that responded to agricultural rural community issues. Eligible activities included: Rural coordination organizations; Partnership projects; Workshops, conferences and Seminars; and Research. CARCI was allocated \$9.3 million from the Canadian Adaptation and Rural Development (CARD II) Fund. Its projects complemented other projects funded from CARD. The CARCI initiative responds to CARD's rural development priority. The final date for acceptance and approval of applications was March 31, 2003.

**Topics:** Proposals from applicants; contribution agreements between AAFC and the proponents; financial information and reports; database program for tracking purpose.

**Program Record Number:** AAFC 8100

#### **Canadian Rural Partnership (CRP) Pilot Projects Initiative**

**Description:** The Pilot Projects Initiative is a four-year [1998/99 to 2001-02] program designed to support creative, community-based initiatives that promote strong, sustainable community development in rural and remote areas. The Initiative works through partnerships with other levels of government and with community groups operating in rural areas. Applications are accepted annually - last acceptance date was April 30, 2001.

**Topics:** Proposals from applicants; agreements between departments; contribution agreements between AAFC and the proponents; financial information and reports; database program for tracking purposes.

**Program Record Number:** AAFC 8000

#### **Co-operative Development Initiative (CDI)**

**Description:** The recently implemented Co-operatives Development Initiative (CDI) provides technical advice and assistance to individuals, groups and communities wishing to develop new co-operatives or strengthen existing ones under

the Advisory Services component as well as providing funding to research and test innovative applications of the co-operative model in areas of federal priority under the Innovation and Research component. The Advisory Services is available in all provinces and territories, in both official languages and is designed to complement existing capacity. The Innovation and Research component is open to individuals, groups and communities who wish to study or demonstrate innovative uses of the co-operative model. Expected applicants include individual co-operatives and co-operative associations and federations; community economic development groups; aboriginal communities; social development groups; and research and learning institutes engaged in co-operative research.

**Topics:** Proposals from applicants; contribution agreements between AAFC and the proponents; financial information and reports; database program for tracking purpose.

**Program Record Number:** AAFC 8200

### **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Audits

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Proactive Disclosure

Procurement

Relocation  
 Salaries and Wages  
 Training and Development  
 Travel  
 Utilities  
 Vehicles

## Personal Information Banks

### Horizontal Teams:

#### Environment Team

#### Soil and Water Conservation Programs

**Description:** Programs and activities which involve the storage of personal information include the PFRA Shelterbelt Program, the Southwest Saskatchewan Irrigation Projects, the Irrigation Demonstration Program, the Community Pasture Program, the Soil and Water On-Farm Activities, including the Rural Water Development and Soil Conservation Programs.

**Class of Individuals:** Prairie farmers.

**Purpose:** The information is used to administer programs on stabilizing and rehabilitating lands sub-marginal for cereal production and conserving and storing water on the drought-prone prairies.

**Consistent Uses:** Information may also be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would be made under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** Records are held for 53 to 66 years after the file was created, and then transferred to National Archives.

**RDA Number:** 2001/019

**Related PR#:** AAFC 200

**TBS Registration:** 001719

**Bank Number:** AAFC PPU 220

#### Soil Conservation Survey of Attitudes

**Description:** This bank contains the results of surveys conducted in order to determine farmers' attitudes towards soil conservation, and to understand the limitations of soil conservation activities as perceived by farmers.

**Class of Individuals:** Prairie farmers who have received technical, financial and material assistance from the Soil Conservation Program and prairie farmers whose farms are located in the vicinity of Prairie Farm Rehabilitation Administration groups.

**Purpose:** The survey provides baseline data for future evaluations and the subsequent progression of soil conservation activities. This information is used to evaluate the level of satisfaction of farmers who received services

under the Soil Conservation Program and the program's effectiveness, according to farmers, in sustaining soil resources. The results will be used to evaluate the existing programs and to develop future programs.

**Consistent Uses:** Personal data will be cross-referenced with responses from the survey in order to assess the relative needs of certain target groups. The evaluation of the needs assessment may be used in revising existing programs as well as in the development of future programs.

**Retention and Disposal Standards:** Records are retained for five years after the survey, and then transferred to National Archives.

**RDA Number:** 2001/019

**TBS Registration:** 002583

**Bank Number:** AAFC PPU 350

### Innovation & Renewal Team

#### Applications for Employment

**Description:** This bank contains information on individuals who have submitted written applications for employment as a research scientist, veterinarian agricultural officer or primary products inspector with Agriculture and Agri-Food Canada. The files contain letters, completed application forms, résumés, letters of reference, letters from Agriculture and Agri-Food Canada acknowledging receipt of applications.

**Class of Individuals:** The bank contains personal information concerning individuals who are interested in securing employment with the Department of Agriculture and Agri-Food and who meet the basic requirements for the above-mentioned positions.

**Purpose:** These records are used for referral when vacancies arise.

**Consistent Uses:** To maintain current inventories within the Department.

**Retention and Disposal Standards:** The information is updated regularly at the request of the applicant. The research Branch manages the inventory of applicants for research scientist positions, and the Food Production and Inspection Branch manages the inventories for veterinarian, agricultural officer and primary products inspector positions. Records are maintained on an active basis for varying periods according to the specific inventory, and they can be reactivated at the request of the applicant.

**RDA Number:** 98/005

**Related PR#:** AAFC 1275, 5300

**TBS Registration:** 002703

**Bank Number:** AAFC PPU 360

### **Inventory of Canadian Agri-Food Research**

**Description:** This bank contains information on agricultural food, human nutrition, and Aquaculture and related biotechnology research projects under way in Canada. This includes research by federal and provincial governments, colleges, universities, corporations and private organizations.

**Class of Individuals:** All persons conducting agricultural and food research.

**Purpose:** To provide a current and retrospective inventory on research in agriculture and food and to produce a summary publication of person-year effort in agricultural research.

**Consistent Uses:** The inventory is used to manage and allocate resources and to answer queries on agri-food research.

**Retention and Disposal Standards:** These files are retained indefinitely.

**RDA Number:** Under review.

**TBS Registration:** 000895

**Bank Number:** AAFC PPU 130

### **Visiting Fellowship Applications and Records**

**Description:** This bank contains applications by and records about individuals seeking visiting fellowships in the department. It includes personal information about the applicants and details about their education and experience.

**Class of Individuals:** Individuals who received their doctoral degrees in the natural sciences or engineering no earlier than five years prior to the application deadline, or who expect to complete their doctoral degrees no later than 14 months following the application deadline.

**Purpose:** The information is used to assess and rank the applicants' qualifications against identified fellowship needs within the department.

**Consistent Uses:** The information is used to select the best qualified persons for fellowships within the department.

**Retention and Disposal Standards:**

Unsuccessful files are retained for two years following the application deadline and successful files are retained for five years following the application deadline.

**Note:** The information is collected and distributed by the Natural Sciences and Engineering Research Council which administers this program on behalf of participating departments.

**RDA Number:** Under review.

**Related PR#:** AAFC 5300

**TBS Registration:** 002288

**Bank Number:** AAFC PPU 137

### **International Issues Team**

#### **Agri-Food Development Agreements**

**Description:** This bank is no longer active however contained information on clients' name, addresses, types of farms (livestock, crops, etc.); acres farmed, acres not farmed, cross farm sales by Statistics Canada Grouping; program applied to and program applied to and program description. The program was designed to improve competitiveness, self-reliance and long term sustainability of farms in the province; identify and develop domestic and export market opportunities; encourage the developments of production and processing activities; improve productivity and quality of agri-food products; and increase the contribution of the sector to the economy of the Quebec economy. The program focussed on sub-programs of market development, technology development, introduction and acceleration, human resources development, land/soil management and information and evaluation.

**Class of Individuals:** Any individuals or companies, organized producer groups, corporation or cooperatives, universities, research foundations, farm/producer organizations and government agencies involved in the agri-food industry in Quebec.

**Purpose:** This information bank was used to make payments under the Canada/Quebec Agri-Food Development.

**Consistent Uses:** This bank was used to record payments received by individuals, companies, organized producer groups, partnerships, corporations or cooperatives and government agencies. Information could be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would have been made under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** Files will be retained for 6 years after the fiscal year of the last administrative use. Quebec – (until March 2004) The files are then transferred to National Archives for selective retention.

**RDA Number:** 2001/007

**TBS Registration:** 002028

**Bank Number:** AAFC PPU 245

#### **Agri-Food Testing and Experimentation for Quebec**

**Description:** This bank is no longer active but contained information on applicants' organizational structure, size of farm, projects description and amount of contribution requested from Agriculture and Agri-Food Canada.

**Class of Individuals:** Organizations, individuals

or firms associated with agricultural production or the food or beverage industries, research and specialized educational institutions.

**Purpose:** The information was used to determine the eligibility of applicants, the level of financial assistance and to carry out the program's objectives of agri-food development.

**Consistent Uses:** The bank was used to record payments to Quebec farmers. Information could have been used to assess applicants' financial and managerial capabilities and to assess projected economic benefits to be derived from undertaking specific projects and to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would have been done under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** The files are retained for a minimum of six years after the fiscal year of the last administrative use (until March 31, 2004) and then destroyed or transferred to National Archives for selective retention.

**RDA Number:** Under review.

**TBS Registration:** 002930

**Bank Number:** AAFC PPU 186

#### **Agri-Food Trade 2000 (AFT 2000)**

**Description:** This bank is no longer active, but contained information on clients' names, addresses, organizational structures, project descriptions and other pertinent information.

**Class of Individuals:** The primary clients were industry associations and alliances which represent a significant portion of a given industry sector. Individual firms were eligible but usually would receive support only when representing a broader industry interest.

**Purpose:** This bank was used by departmental/branch personnel to make informed/consistent decisions regarding the allocation of program dollars.

**Consistent Uses:** The overall objective of AFT 2000 was to increase sales of Canadian agriculture, food and beverage products in domestic and foreign markets. The primary focus was to encourage export trade development that all supported activities will contribute either directly or indirectly to increasing market share for Canadian products.

**Retention and Disposal Standards:** This program sunsetted on March 31, 2000. Files are stored for a minimum of three years (until March 31, 2003.) and then transferred to National Archives

**RDA Number:** Under Review.

**TBS Registration:** 003929

**Bank Number:** AAFC PPU 370

#### **Agricultural Testing Network Program for Quebec**

**Description:** This bank is no longer active but contained information on the applicants' enterprises, number of livestock and acres in production, main production and the enterprises' capacity to meet the requirements set by the call for tender.

**Class of Individuals:** Agricultural producers.

**Purpose:** The information was used to determine the applicants' eligibility and to carry out the program's objective which is to accelerate the transfer of technology to the farm.

**Consistent Uses:** The bank was used to record payments to Quebec producers. Information could have been used to assess the applicants' managerial capability and to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity was done under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** The files will be stored for a minimum of 4 to 6 years (until March 31, 2004) and then transferred to National Archives.

**RDA Number:** Under review.

**TBS Registration:** 002938

**Bank Number:** AAFC PPU 251

#### **Agriculture Labour Replacement Program**

**Description:** This bank is no longer active but contained information on applicants' need for labour replacement in order that their aspiring or beginning farmers be able to attend a collegial course on farm business management. It also contained information on the level of assistance requested from Agriculture and Agri-Food Canada.

**Class of Individuals:** Agricultural producers.

**Purpose:** The purpose of the information was to determine the eligibility of the applicants, to establish the level of assistance and to carry out the objective of the program which was to improve the management skills of the young and beginning farmers.

**Consistent Uses:** The bank was used to record payments to Quebec producers. Information could have been used to assess the applicants' managerial capability and used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity was made under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** The files will be stored for 4 to 6 years (until March 31, 2004) and then transferred to National Archives.

**RDA Number:** Under review.

**TBS Registration:** 002937

**Bank Number:** AAFC PPU 327

#### **Animal Pedigree Act**

**Description:** This bank contains information on the breed associations and clients' correspondence pertaining to the Animal Pedigree Act (APA) such as breed associations' names and addresses, telephone numbers, etc.

**Class of Individuals:** Breed Associations.

**Purpose:** This bank is used to monitor the breed associations and to store information on inquiries into the APA and the specific breed associations.

**Consistent Uses:** This bank is used to ensure that the breed associations are operating in compliance with the APA.

**Retention and Disposal Standards:** Files are retained for 10 years from the date the file was created, and then destroyed or transferred to NA.

**RDA Number:** Under review.

**TBS Registration:** 002939

**Bank Number:** AAFC PPU 252

#### **Atlantic Livestock Feed Initiatives (ALFI)**

**Description:** This bank is no longer active but contained information on clients' application forms including gross costs of projects and the amount of Agriculture and Agri-Food Canada assistance. Some files may contain farm data on acres of crops and investment in facilities. ALFI was designed to develop a competitive and expanded livestock sector that is economically viable over the long term.

**Class of Individuals:** Farmers, agri-business, universities, research institutions and farm organizations.

**Purpose:** This information bank was used to make payments under the federal/provincial Livestock Feed Development Agreements with the Atlantic provinces to individuals, corporations, agencies, associations and marketing boards.

**Consistent Uses:** The bank was also used to record payments to individuals, corporations, agencies, associations and marketing boards. Information may also be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs.

This activity would have been made under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** Files will be retained for 6 years after the fiscal year of the last administrative use (March 31, 2001) and transferred to National Archives for selective retention.

**RDA Number:** 2001/007

**TBS Registration:** 002042

**Bank Number:** AAFC PPU 315

#### **Grape and Wine Adjustment Program**

**Description:** This bank is no longer active but contained information on clients' names, addresses, land location, quota for grapes, surplus grapes, etc., for producer applicants wishing to remove grape vines from production.

**Class of Individuals:** Grape producers in Ontario, British Columbia, Quebec and Ontario.

**Purpose:** This information bank was used to make payments under the Grape and Wine Adjustment Program for the removal of grape vines in surplus to industry needs.

**Consistent Uses:** This bank was also used to evaluate producer eligibility.

**Retention and Disposal Standards:** Files are retained for seven years (March 31, 2003) following program expiry, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/007

**TBS Registration:** 002936

**Bank Number:** AAFC PPU 249

#### **Tobacco Transition Adjustment Initiatives (TTAI)**

**Description:** The bank is no longer active but contained information on client's names, addresses and quota information on tobacco producers in New Brunswick, Nova Scotia, Prince Edward Island and Quebec who had applied for assistance in terminating tobacco production.

**Class of Individuals:** Tobacco producers in New Brunswick, Nova Scotia, Prince Edward Island and Quebec.

**Purpose:** The information was used to determine eligibility and make payments under the Tobacco Diversification Plan's Tobacco Transition Adjustment Initiatives.

**Consistent Uses:** Same as Purpose.

**Retention and Disposal Standards:** Files will be kept for up to 10 years (QcC – 2002; PEI/NS/NB – 2006) following project expiry, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/007

**TBS Registration:** 002033

**Bank Number:** AAFC PPU 270

#### **Enabling Teams:**

##### **Asset Management Team**

##### **Goods, Services and Construction Contracts Under Agriculture and Agri-Food Canada Authority**

**Description:** This bank is maintained by the assets Management and Capital Planning Section

to record information on services contracts awarded under Agriculture and Agri-Food Canada authority in compliance with the Financial Administration Act and Treasury Board and internal departmental directives.

**Class of Individuals:** Individuals or firms engaged in contracting with the Department of Agriculture and Agri-Food.

**Purpose:** The bank is used to monitor, analyze and report departmental contracting activities.

**Consistent Uses:** These records are also used during auditing functions.

**Retention and Disposal Standards:** Information in this bank is retained for six years after the fiscal year of completion and non-renewal of a contract, and is then destroyed.

**RDA Number:** 2001/013

**TBS Registration:** 002046

**Bank Number:** AAFC PPU 202

#### Identification and Access Control Cards

**Description:** This bank contains photographs, signatures, surnames and given names, date of birth and card numbers for AAFC staff and others who occupy AAFC buildings or who require routine access. The bank also contains information related to the access/egress to the buildings by cardholders. The identification/access control card information is collected by means of an application form and is stored in an automated database. Records are accessible by providing full name and date of birth.

**Class of Individuals:** Employees of AAFC and other departments who occupy AAFC space as well as contractors who require access to the building on a routine basis.

**Purpose:** The purpose of this bank is to maintain information related to the issuance, cancellation and use of identification and access cards. For safety and security reasons the cards are used to control building access and to certain areas within the buildings and to provide security and safety to the occupants and assets of the buildings.

**Consistent Uses:** Issuance of identification and access control cards. Information may be used to produce reports for statistical analysis or for incident investigation.

**Retention and Disposal Standards:** Information related to access to the AAFC buildings is collected solely for safety and security reasons. Information collected during core hours is purged on a daily basis. Information collected during silent hours and on entry control logs is retained for 2 years for investigation purposes and is then destroyed. Identification records are retained for 5 years after release from the department and are

then destroyed.

**RDA Number:** under review

**Related PR#:** AAFC 350

**TBS Registration:** 003981

**Bank Number:** AAFC PPU 211

#### Mailing Lists

**Description:** This bank contains mailing lists with the names and addresses of individuals, academic and farming organizations, firms, companies, group, etc.

**Class of Individuals:** Individuals, academic and farming organizations, firms, companies, groups, government officials, etc.

**Purpose:** To maintain standard lists of individuals, organizations, groups, businesses, etc. for the purpose of mailing publications, reports, newsletters, press releases and other documentation on departmental activities and programs.

**Consistent Uses:** The information is used to mail and distribute documentation to individuals on the mailing lists. Use of the mailing lists will be based on one of the following criteria: 1) The individuals were informed that their names and addresses would be used for that purpose. 2) The use of the names and addresses for a mailing list is authorized by legislation or a regulation. 3) The individuals have consented to being on a mailing list and/or to having additional information distributed to them. 4) It is clearly to the benefit of the individual or in the general public interest to distribute the information (this would only occur in exceptional circumstances).

**Retention and Disposal Standards:** Records are updated continuously and the information is kept up to when superseded.

**RDA Number:** 2001/019

**Related PR#:** AAFC 1500

**TBS Registration:** 002695

**Bank Number:** AAFC PPU 204

#### Real Property Legal File

**Description:** This bank contains land grants, deeds, titles, leases and easements.

**Class of Individuals:** Property owners, proprietors, tenants, licensees, lessees.

**Purpose:** Information is used to conclude land transactions and for economic cost management of real property holdings.

**Consistent Uses:** The information is also used to maintain legal records of holdings and transactions, and for cost control.

**Retention and Disposal Standards:** Records are retained for a minimum of two years and then transferred to National Archives when they are of no further value to Agriculture and Agri-Food Canada. Original documents are retained in



provincial or court registry offices.

**RDA Number:** 2001/013

**Related PR#:** AAFC 325

**TBS Registration:** 002290

**Bank Number:** AAFC PPU 345

## Communications & Consultations Team

### Surveys

**Description:** From time to time, agricultural and non-agricultural surveys are carried out by the Department to obtain information. These agricultural surveys include information on the socio-economic characteristics of farm operators and information relating to crops, livestock, poultry, machinery, farm operating expenses and agriculture receipts. The non-agricultural surveys include information on production, inventory and sales in the fruit, vegetable and dairy processing sectors. The bank also contains information from the grain and oilseed industries and the agri-food sectors. Program evaluations routinely collect information from the agricultural sector relating to program performance. Other similar surveys may occur as the need arises.

**Class of Individuals:** Producers, processors, distributors, wholesalers and retailers.

**Purpose:** This bank provides a base inventory of Canadian agriculture, as well as information for production, marketing, administrative and policy decisions.

**Consistent Uses:** The results of the surveys will be used to provide statistics which will assist the various branches in assessing the relevance and impact of Department of Agriculture and Agri-Food programs, and the extent to which these have successfully achieved their objectives.

**Retention and Disposal Standards:** Each survey will be retained for a minimum period of five years after the survey is completed. They are then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**Related PR#:** AAFC 2000

**TBS Registration:** 001877

**Bank Number:** AAFC PPU 193

## Finance Team

### Expenditure Accounts – Public

**Description:** This bank contains information such records as claims, authorizations, expense reports, receipts, cheque requisitions, advances, correspondence and other supporting documents relating to expenses being reimbursed, fees being paid, claims being settled, and other payments. This bank also contains personal information (i.e. name, address, and SIN) for individuals requiring a tax information slip (e.g. AGR.1) and T4As.

**Class of Individuals:** Contractors engaged by the Department of Agriculture and Agri-Food and farmers receiving various forms of payments from the Department.

**Purpose:** The bank is used for the payment of invoices and claims to contractors engaged by the Department and farmers receiving various forms of payments from the Department. The SIN is required for inclusion on tax information slips, T4As, and on tax information files that the department must send to Revenue Canada and Revenue Quebec.

**Retention and Disposal Standards:** Records are retained for six years after fiscal year of the last administrative use, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/019

**Related PR#:** AAFC 850

**TBS Registration:** 002286

**Bank Number:** AAFC PPU 335

## Revenue Accounting and Control

**Description:** This bank is used for managing the accounts receivable system to effect cost recovery on behalf of Agriculture and Agri-Food Canada. Related information is maintained to administer these responsibilities.

**Class of Individuals:** Private sector individuals to whom invoices are issued to record their indebtedness to the Department.

**Purpose:** Information is used to manage the granting of credit by the Department to individuals and the collection of revenues owing to the Department. The collection of revenues may involve the use of Private Collection Agencies and the provision to them of information provided by the individuals.

**Consistent Uses:** Information may be used to recover debts due to the Department by set-off against any payment made by the Crown to individuals. Information may also be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would be made under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** Records are retained for six years after the fiscal year of the last administrative use, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/019

**Related PR#:** AAFC 875

**TBS Registration:** 002287

**Bank Number:** AAFC PPU 340

## Human Resources Team

### Governor-in-Council/Ministerial Personnel Records

**Description:** This bank contains manual and computerized information on current, former and possible incumbents of executive positions occupied by individuals appointed by Governor-in-Council (GIC) or Ministerial. Records include letters of recommendation, correspondence, memoranda, education, and employment history. GIC and Ministerial appointees and potential candidates for these positions.

**Class of Individuals:** Individuals, employees of the Department, or senior officials of various Associations.

**Purpose:** To support the requirements of the appointments officer in their role of identifying candidates and the maintenance of information of these executive appointments for various Boards or Council.

**Consistent Uses:** For appointments only.

**Retention and Disposal Standards:** Two years after last administrative use and then transferred to National Archives.

**RDA Number:** 98/005

**Related PR#:** AAFC 1275

**TBS Registration:** 004009

**Bank Number:** AAFC PPU 500

### Information Systems Team

#### Access to Information Request Files

**Description:** This bank contains the Access to Information Request Forms sent by individuals requesting access to departmental files, the replies to such requests and information related to their processing. Information on exemptions or exclusions claimed, on complaints handled, or on fee waivers may also be included.

**Class of Individuals:** Individuals present in Canada.

**Purpose:** To administer access requests in accordance with the Access to Information Act.

**Consistent Uses:** The bank is used to record the processing of requests under the Access to Information Act, to report to Treasury Board and to Parliament on requests received and completed, and for the purposes of consultations with other government institutions.

**Retention and Disposal Standards:** Files will be kept for two years after the last administrative use and then destroyed.

**RDA Number:** 98/001

**Related PR#:** AAFC 1425

**TBS Registration:** 000908

**Bank Number:** AAFC PPU 200

### Information Disclosed to Investigative Bodies

**Description:** This bank contains copies of requests from investigative bodies listed in the Privacy Regulations for access to personal information pursuant to section 8(2)(e) of the Act. The bank also contains the replies to such requests, the records of information disclosed, any correspondence with the Privacy Commissioner and all records relating to the processing of the requests.

**Class of Individuals:** Individuals about whom requests for personal information have been received pursuant to paragraph 8(2)(e) of the Privacy Act from federal investigative bodies.

**Purpose:** The purpose of this bank is to permit the Privacy Commissioner to review disclosures made under paragraph 8(2)(e) of the Privacy Act to federal investigative bodies for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Consistent Uses:** This bank will be used to compile statistics relating to requests from federal investigative bodies. Also this bank will be used for the auditing of the procedures concerning the exchange of personal information with investigative bodies as defined in section 8(2)(e) of the Privacy Act.

**Retention and Disposal Standards:** Information held in this bank is retained for two years after the last entry date and then destroyed.

**RDA Number:** 98/001

**Related PR#:** AAFC 1425

**TBS Registration:** 002045

**Bank Number:** AAFC PPU 201

#### Privacy Request Files

**Description:** This bank contains Personal Information Request files sent by individuals requesting access to their files, the replies to such requests and information related to their processing. Information on exemptions claimed or on complaints handled may also be included.

**Class of Individuals:** Individuals who apply under the Privacy Act for access to their personal files, including employees of Agriculture and Agri-Food Canada.

**Purpose:** The information is used to administer access to personal information requests in accordance with the Privacy Act.

**Consistent Uses:** The bank is used to access personal information requests; to report to Treasury Board and to Parliament on requests received and completed under the Privacy Act; to verify the identity of requesters; and for the purpose of consultations with other government institutions.

**Retention and Disposal Standards:** Files will be kept for two years after the last administrative use and then destroyed.

**RDA Number:** 98/001

**Related PR#:** AAFC 1425

**TBS Registration:** 000907

**Bank Number:** AAFC PPU 195

## Policy & Planning Team

### Farm Level Data Services

**Description:** This bank contains demographic information, financial information, (i.e. farm balance sheet, farm income statement, revenue and expense documents, etc.) and detailed information on the production facilities, practices and physical and biological performance characteristics of the farm enterprises.

**Class of Individuals:** Grain and Oilseed Farmers, Horticultural Farmers, Hog Farmers and Beef Farmers.

**Purpose:** To develop a database of farm level production financial information that will enhance the whole farm and enterprise levels financial and production data in the various provinces.

**Consistent Uses:** The information in this bank will be used to monitor and evaluate the existing and new agricultural programs such as GRIP and NISA as well for policy analysis on other issues such as relating to economic and environmental sustainability questions.

**Retention and Disposal Standards:** The information will be kept for a minimum of 20 years following the creation of the database, and then transferred to National Archives.

**RDA Number:** Under review.

**TBS Registration:** 003122

**Bank Number:** AAFC PPU 141

### Farm Support and Adjustment Measures II (FSAM II)

**Description:** Information collected under FSAM II will include names, addresses, Canadian Wheat Board permit book numbers, crop insurance contract numbers, telephone numbers, acreage figures, and farm sales and revenue data.

**Class of Individuals:** Agricultural producers and other entities who meet eligibility criteria.

**Purpose:** This information would be collected to provide financial assistance to eligible applicants in the Prairie and Atlantic provinces. Information may also be used for the purpose of locating individuals in order to collect a debt owing to the Crown.

**Consistent Uses:** The Government of Canada may use Canadian Wheat Board records, and/or Crop Insurance, Gross Revenue Insurance Plan, Net Income Stabilization Account, Special Canadian Grains Program, and Prairie Grain

Advance Payments Administration records relating to the applicants' farming operations for 1989, 1990 and 1991 to verify the applicants' declarations. These records may also be used for program evaluation purposes.

**Retention and Disposal Standards:** Records are retained for six years after fiscal year of the last administrative use, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/007

**TBS Registration:** 003141

**Bank Number:** AAFC PPU 184

### National Talent Bank of Farm and Rural Women

**Description:** Talent bank will be made up of names, addresses and phone contact numbers as well as personal profiles (c.v's) of candidates qualified to serve on federal agencies, boards and commissions.

**Class of Individuals:** Farm and rural women from the private sector in Canada.

**Purpose:** The Farm Women's Talent Bank is used by the AAFC Minister and Deputy Minister when considering appointments to voluntary or paid positions on federal agencies, boards, commissions and consultation committees. The Bank supports the department's efforts to increase representation of women in agricultural decision and policy making. Secondly, it broadens the department's access to grassroots farm women in consultations on key policy and program issues.

**Consistent Uses:** As vacancies occur on AAFC agencies, boards and commissions, also when new committees/task forces are established. Ongoing. Access to and maintenance of the talent bank will be restricted to the offices of the Minister, Deputy Minister and the Farm women's Bureau. The Bureau will also monitor the consistent usage of the talent bank and produce quarterly or annual statistical reports for the Departmental's use.

**Retention and Disposal Standards:** Talent bank records will be updated annually and retained for departmental 2 year standard unless specifically notified to the contrary by the Minister's or Deputy Minister's office and then transferred to National Archives.

**RDA Number:** Under review.

**TBS Registration:** 004006

**Bank Number:** AAFC PPU 185

### Resource and Environmental Programs

**Description:** This bank contains information on clients' names, addresses, description of projects and level of assistance requested from Agriculture and Agri-Food Canada. Some files may contain

farm data on the number of hectares in production, type of crops and manure handling facilities. The goals of these agreements are to define and implement the activities, programs, coordination processes, and levels of human, technical, and financial resource commitments by the federal and provincial governments to soil conservation. The overall purpose of these activities is the development and adoption of the most appropriate technology in soil resource management and use that is within practical economic limits and is compatible with the soil's capability, in order to sustain the long term productivity of the land.

**Class of Individuals:** Dependent on the agreement, it may include individuals, groups of farmers, legally incorporated special interest groups, farm and agri-food organizations, conservation districts, universities, colleges, cooperatives, environmental groups, aboriginal groups, other provincial and municipal governments or agencies of these governments, provincial crown corporations, non-government corporations and financial institutions.

**Purpose:** This information bank is used to determine the eligibility of the applicants, to establish the level of assistance, to carry out the objectives of the federal/provincial agreements on environmental sustainability under the National Soil Conservation Program, Environmental Sustainability Initiative, Land Management Assistance Program and the Green Plan in the following provinces: Newfoundland, Prince Edward Island, Nova Scotia, New Brunswick, Quebec, Ontario and British Columbia, and to make payments to farmers, farm organizations, consultant firms and research institutions.

**Consistent Uses:** This bank is used to record payments received by farmers, farm organizations, consultant firms and research institutions. Information may also be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would be made under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** Files are retained for six years after fiscal year of the last administrative use, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**TBS Registration:** 002933

**Bank Number:** AAFC PPU 246

#### **Risk Management & Safety Net Program – Survey**

**Description:** This bank contains the results of a national survey on risk management and safety

net programs. The survey examined risk concerns, producers' use of government programs and private risk management tools, and producers' farm financial situation.

**Class of Individuals:** Interviews were completed with 2, 400 producers in November and December 1999 whose main farm enterprise was field crops, beef cattle, hogs, or horticulture.

**Purpose:** The survey was conducted to examine the use of safety net programs and private risk management tools to help manage price and production risks, and to assess the impact of these tools on farm financial situations.

**Consistent Uses:** Data will be used to assess safety net programs and the Net Income Stabilization Account.

**Retention and Disposal Standards:** This data will be kept for seven years after the completion of the survey (December 1999) and then transferred to National Archives for selective retention.

**RDA Number:** Under review.

**Related PR#:** AAFC 1650

**TBS Registration:** 005111

**Bank Number:** AAFC PPU 306

#### **Program Delivery Team**

##### **Agricultural Marketing Programs Act (AMPA) Advance Payments Program**

**Description:** This bank contains information on producer organizations applying under the Advance Payment Program, AMPA and on producers in default under the program. This information includes bank statements, credit checks, producers' and producer organizations' names and addresses, the amount of advances, payments, the repayment schedule, judgements against defaults, action taken by producer organization groups to obtain payment, organizational structures, management and organizational process description, audited financial statements, terms and conditions of guarantee provided.

**Class of Individuals:** Individual farm-product producers.

**Purpose:** To ensure repayment of advances to producer groups and including Canadian Wheat Board, who distribute funds to individual producers under the Advance Payment Program.

**Consistent Uses:** (1) Information is used to ensure adherence to the terms and conditions of AMPA and to take the necessary actions to ensure collection from defaulters. (2) Information may also be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would be used by the provinces to collect accounts receivable owing to the federal government from

several federal agricultural programs under the Farm Income Assistance Initiative.

**Retention and Disposal Standards:** These files are retained for six years after the fiscal year of the payment of the loan. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**Related PR#:** AAFC 2000

**TBS Registration:** 000897

**Bank Number:** AAFC PPU 140

### **Agricultural Marketing Programs Act (AMPA) – Price Pooling Program**

**Description:** This bank contains information on applicants under the Price Pooling Program, AMPA. This information includes names and addresses of the applicants, organizational structures, management and organizational process description, audited financial statements, marketing strategy, historical data on prices received, terms and conditions of guarantee provided

**Class of Individuals:** Marketing agencies, producers organizations, processors.

**Purpose:** To make informed/consistent decisions regarding the eligibility of the applicant and to establish the price guarantee.

**Consistent Uses:** (1) Information is used to ensure adherence to the terms and conditions of AMPA; (2) to ensure compliance to the terms of the price agreement entered into with the marketing agency (3) to ensure the validity of claims for loss and to determine the government liability payment.

**Retention and Disposal Standards:** These files are retained for a minimum of six years after the fiscal year of the termination of the agreement of the liability payment. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**Related PR#:** AAFC 2000

**TBS Registration:** 004270

**Bank Number:** AAFC PPU 209

### **Canadian Crop Drought Assistance Program**

**Description:** This bank contains records of applications for drought assistance under the Canadian Crop Drought Assistance Program for the 1988 crop year. This information includes producer names, addresses and land locations, Canadian Wheat Board numbers, irrigation licence numbers, and Irrigation District/Prairie Farm Rehabilitation project name.

**Class of Individuals:** Producers of all cultivated crops in areas determined by the Program to have significantly reduced yields as a result of the 1988 drought in Alberta, Saskatchewan, Manitoba and

Ontario.

**Purpose:** The information in this bank was compiled in order to facilitate the implementation of the program. It is used to determine the eligibility of producers for assistance and the level of assistance that they will receive under the program formula. It is also used to issue payments.

**Consistent Uses:** (1) Information is used to determine the eligibility and the level of assistance to producers under the program formula, and to issue payments. (2) Data matching is done under Section 155 of the Financial Administration Act. The Minister may authorize retention of funds for indebtedness to recover funds owing under the following: the Advance Payments for Crops Act, the Farm Improvement Loans Act, the Agricultural Stabilization Act, and the Special Canadian Grains Act. The potential for this disclosure was outlined in both the Program Terms and Conditions and the Claim Forms. (3) Information may be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would be made under the Family Orders and Enforcement Assistance Act. (4) The information will be used by the provinces to collect accounts receivable owing to the federal government from several federal agricultural programs under the Farm Income Assistance Initiative.

**Retention and Disposal Standards:** Records are retained for six years after the date of application, and then transferred to National Archives.

**RDA Number:** Under review.

**Related PR:** AAFC 2000

**TBS Registration:** 002584

**Bank Number:** AAFC PPU 182

### **Canadian Farm Business Management Program (CFBMP)**

**Description:** This bank contains information on the CFBMP including information necessary to effectively deliver the various activities. CFBMP is an initiative funded by Agriculture and Agri-Food Canada. Implementation is generally through a provincial delivery organization which undertakes to have training materials developed, and training provided to eligible applicants. Program elements differ significantly between provinces.

**Class of Individuals:** Farm producers participating in training courses. Contractors and consultants hired to develop materials and deliver courses.

**Purpose:** This bank is used to identify and address the farm management needs in the agricultural sector and those contracted to

undertake the development and delivery of farm business management courses.

**Consistent Uses:** This bank is used to monitor farm management training and related services provided to producers.

**Retention and Disposal Standards:** Files will be retained for the purpose of delivering the three-year initiative and for audit and evaluation purposes by the delivery organizations for periods specified in the agreements; after which, files will then be destroyed.

**RDA Number:** Under review.

**Related PR#:** AAFC 2000

**TBS Registration:** 002940

**Bank Number:** AAFC PPU 253

### Canadian Rural Transition Program

**Description:** The bank contains information on clients' names, addresses, social insurance numbers, descendants' lists, as well as specific business criteria for making determination on eligibility. The case files are kept secured in Canada Employment Centre offices.

**Class of Individuals:** Farmers who, by reasons of financial difficulty, have left or are leaving agriculture and are seeking assistance under the CRTP.

**Purpose:** The application is the basis for determining the eligibility of an applicant to receive assistance under the Program, i.e. the Transition Grant and Supplementary Transition Assistance. Social insurance numbers (SINs) are collected by the CRTP under the authority of the Unemployment Insurance Act and are also required to determine applicants' eligibility, i.e., whether or not he/she is in receipt of unemployment insurance or social assistance. In addition, the SIN is the basis of identification for payment of eligible applicants by the Department of Supply and Services and is also of use in advising Revenue Canada (Taxation) of any taxable benefits received under CRTP in a given tax year, and receipts are issued accordingly to the client.

**Consistent Uses:** In cases of acceptance, information rests with Canada Employment Centre offices. In cases of rejection, information is transferred to Ottawa Human Resources Development Canada – CRTP Office/policy Agriculture and Agri-Food Canada where all rejections are reviewed, and in some instances, decisions to reject are overturned.

**Retention and Disposal Standards:** All files will be kept for a minimum of two years after the client's farming activities have ceased. Canada Employment Centres will keep all files for the duration of the program (until March 31, 1997) and

then transferred to National Archives.

**RDA Number:** 2001/007

**Related PR#:** AAFC 2000

**TBS Registration:** 002044

**Bank Number:** AAFC PPU 325

### Farm Consultation Service (FCS)

**Description:** The bank contains information on farmers in financial difficulty who have applied for review of their financial situation under the Farm Consultation Service, a Departmental Program developed as a complimentary program to the farm Debt Mediation Service. Specific information includes the applicant's name, address, principal commodity, creditors, estimated liabilities and list of all assets. The case files are kept secured in the Farm Consultation Service's offices.

**Class of Individuals:** Farmers in financial difficulty.

**Purpose:** The Farm Consultation Service ensure that farmer operators in financial difficulty have access to a financial review of their circumstances that would help resolve their difficulties and prevent more serious problems from occurring in the future. In order for the Farm Consultation Service to conduct a proper review, accurate financial information is required of the applicant. The information is provided on a Farm Financial Statement and may also include an Operational Plan.

**Consistent Uses:** Copies of the Farm Financial Statement (and Operational Plan) are provided to the applicant. The information is used in evaluating the farmer's operations and developing an operational plan or alternatives to assist in improving the farmer's situation.

**Retention and Disposal Standards:** All files are kept for six years from the date the file is closed or the last administrative action, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**Related PR#:** AAFC 2000

**TBS Registration:** 004007

**Bank Number:** AAFC PPU 226

### Farm Debt Mediation Service (FDMS)

**Description:** The bank contains information on insolvent farmers who have applied for a review of their financial situation and mediation under section 5(1)(a) or (b) of the Farm Debt Mediation Act. Specific information includes the applicant's names, address, principal commodity, creditors, estimated liabilities and list of all assets. The case files are kept secured in the FDMS offices.

**Class of Individuals:** Insolvent farmers

**Purpose:** The Farm Debt Mediation Act ensures that insolvent farmers, whether or not they have received a Notice of Intent to Realize on their

security, have access to an impartial third party review and mediation. This includes a review of the farmer's financial affairs and mediation between the farmer and the farmer's creditors for the purpose of assisting them to reach a mutually acceptable arrangement. In order for the Farm Debt Mediation Service to conduct a proper review, accurate financial information is required of the applicant. The information is provided on a Farm Financial Statement and may also include a Recovery Plan.

**Consistent Uses:** Copies of the farmer's Farm Financial Statement (and Recovery Plan) are provided to the mediator and to persons who will be participating in the mediation. The information is used in evaluating the farmer's alternatives and in mediation discussions with the farmer's creditors. The financial information of farmers in the province of Saskatchewan and Manitoba may be provided, with the farmer's consent, to the Saskatchewan farm Land Security Board and the Manitoba Board respectively to assist in their farm debt review programs.

**Retention and Disposal Standards:** All files will be kept for a period of six years from the date the file closed or the last administrative action, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**Related PR#:** AAFC 2000

**TBS Registration:** 004008

**Bank Number:** AAFC PPU 227

#### **Farm Debt Review Board**

**Description:** This bank is no longer active. This bank contained information on farmers in financial difficulty and on insolvent farmers who applied for a review under section 16 and section 20 of the Farm Debt Review Act. Specific information included the applicant's name, address, Social Insurance Number (SIN), principal commodity, creditors, estimated liabilities and list of all assets. The case files were kept secured in the Board's offices.

**Class of Individuals:** Farmers in financial difficulty and insolvent farmers.

**Purpose:** The Farm Debt Review Act ensured that farm operators in financial difficulty, or facing a farm foreclosure, had access to an impartial third-party review of individual circumstances and possible financing or re-financing options. In order for the Board to conduct a proper review, accurate financial information was required of the applicant. A voluntary agreement between a farmer and his or her creditor(s) for a mutually satisfactory arrangement was sought. Social insurance numbers were collected on the Farm

Financial Statement under the authority of the Farm Debt Review Act to conduct reviews of detailed financial information regarding solvent and insolvent farmers in order to arrive at financial agreements with creditors and to provide assistance in facilitating arrangements with creditors.

**Consistent Uses:** Copies of the farmer's financial information were provided to the FDRB panel members for review. The information was used in evaluating the farmer's alternatives and in mediation discussions with the farmer's creditors. The financial information of farmers in the provinces of Saskatchewan and Manitoba was provided on a voluntary basis to the Saskatchewan Farm Land Security Board and the Manitoba Farm Mediation Board respectively to assist in their farm debt review programs.

**Retention and Disposal Standards:** All files will be kept for a minimum period of six years from the date the file is closed, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**Related PR#:** AAFC 2000

**TBS Registration:** 001867

**Bank Number:** AAFC PPU 176

#### **Farm Improvement and Marketing Co-operatives Loans Information**

**Description:** This bank contains names and addresses of borrowers, the purposes and amounts of loans, and other financial details when a claim for loss is submitted.

**Class of Individuals:** Farmers.

**Purpose:** To facilitate the availability of intermediate and short-term credit to farmers for the improvement or development of farms.

**Consistent Uses:** To ensure the validity of loss claims. Information may also be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would be made under the Family Orders and Enforcement Assistance Act. The information will also be used by the provinces to collect accounts receivable owing to the federal government from several federal agricultural programs under the Farm Income Assistance Initiative.

**Retention and Disposal Standards:** Records are retained for six years after fiscal year of the last administrative use, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/013

**Related PR#:** AAFC 2000

**TBS Registration:** 000902

**Bank Number:** AAFC PPU 165

**Net Income Stabilization Account (NISA)**

**Description:** This bank contains information provided by producers including name, address, financial information, Social Insurance Number (SIN) or Trust number, and corporation or business number.

**Class of Individuals:** Canadian Agriculture Producers who are eligible or that have applied for income assistance under the Farm Income Protection Act (FIPA).

**Purpose:** Information in this bank is used to determine eligibility and entitlements of the individual to any financial assistance under the Net Income Stabilization Account (NISA). NISA is a voluntary stabilization program in which individual producers make deposits to an individual account and contributions are matched by the federal and provincial governments. The producer is entitled to make account withdrawals when his/her net income is low. Portions of this account may be held with private financial institutions such as banks or credit unions. Information in this bank is collected on an annual basis directly from producers and agencies of provincial governments which have agreements in place to administer programs such as NISA, Canadian Farm Income Program (CFIP), the Canadian Agricultural Income Stabilization (CAIS) Program and/or equivalent programs as defined in the Agricultural Policy Framework (APF) Agreements. Collection of this information is authorized through FIPA.

**Consistent Uses:** (1) Information may also be shared with authorized parties to assist the Department in the collection of NISA overpayments. (2) Data consisting of producers' NISA bank deposits will be exchanged with institutions with the producer's consent. (3) Information herein may be used for further verification, program evaluation purposes and/or for the administration of CFIP and the CAIS Program. (4) The information may be shared with the provincial department responsible for agriculture for the purposes of audit, analysis, evaluation, program development and administration of NISA or an equivalent program as defined in the provincial APF agreement which is in place. (5) Names and addresses of producers may be used for distribution of material on new agricultural programs. (6) Data obtained may be used for public opinion polling on a regular basis. (7) In order to ensure that information submitted is consistent with information provided to the Canada Customs and Revenue Agency (CCRA) for income tax purposes, a link with the SIN or the Corporate Tax Number will be required. Use of the SIN is authorized under sections 10

and 11 of FIPA and section 241(4)(d)(xi) of the Income Tax Act. FIPA authorises collection and disclosure of the SIN to federal government institutions or departments. (8) Information may be used to garnish payments received by individuals under several Agriculture and Agri-Food Canada programs. This activity would be made under the Family Orders and Enforcement Assistance Act.

**Retention and Disposal Standards:** Records are held for 7 years after the last administrative action and then transferred to National Archives for selective retention.

**RDA Number:** 2001/008

**Related PR#:** AAFC 2000

**TBS Registration:** 002929

**Bank Number:** AAFC PPU 183

**Western Grain Stabilization Program**

**Description:** The bank was used to administer stabilization payments to grain producers. It contains the grain receipts and levy payments of holders of permits issued by the Canadian Wheat Board in Manitoba, Saskatchewan, Alberta and British Columbia.

**Class of Individuals:** Grain producers in Manitoba, Saskatchewan, Alberta and British Columbia.

**Purpose:** Files in this bank were used to calculate and issue stabilization payments to participating grain producers.

**Consistent Uses:** Disclosure: (1) On an individual request basis, account information supplied to Revenue Canada to assist in its investigations. (2) The four western provincial crown corporations (Manitoba Crop Insurance Corporation, Saskatchewan Crop Insurance Corporation and the Farm Income and Crop Insurance Branch of the British Columbia Ministry of Agriculture and Food requested use of our data bank. Information provided concerning specific producers' sales by grain type and tonnes (not sales value) and generally extends over a number of crop years. The requests are ongoing and average perhaps one per week involving perhaps a dozen producers at most. In addition, we also provided computer tape files of our participants identified by permit number only while quoting the outstanding levy to be deducted from these accounts. This information was used in conducting audits of crop insurance claims and in pursuing fraudulent claims through the courts. The computer tape files used for matching participant to claimant in order to determine the amount of levy to be deducted from the claimant's indemnity payment (the provincial corporations were registered as designated purchasers under



the WAGS Act). (3) Western Grain Transportation Agency: Grain sales information specific to producers in a specific area covering a ten year period was provided. This was an annual request. This information is used to establish compensatory amounts for the additional cost of transporting grain by truck as a result of rail line abandonment and the closure of grain elevators contiguous to it. As additional rail lines become eligible each year for removal from the network, more producers are affected by elevator closures. (4) Canada Grains Council: Historical data which are non-specific as to producer. The data are statistical in nature and used by the council for various analyses and studies. This was an annual request at one time but we have not received a request for the past two years. (5) Auditor General: Complete copies of our master file of name and addresses as well as our payout file. The information is requested annually. The information is used to verify the propriety and accuracy of stabilization payments. (6) RCMP: Detailed information specific to individuals is provided which would include name and address as well as grain sales for one or more years. The information is requested on an as needed basis (very infrequently). This information is issued to conduct criminal investigations. (7) Statistics Canada: Statistical information is provided on an ad hoc basis. Requests are very infrequent. The information is not producer specific and is used to conduct various analyses and studies. (8) Canadian Wheat Board (CWB) Payouts: Producer permit numbers, participant status and the amount of levy yet to be deducted is provided to the CWB once or twice a year. Conversely, each week the CWB furnishes WGSA with a computer tape of name and address changes and new permit number issues. The information enables the CWB to match participant files to their payment files in order to deduct the WGS levy from interim, adjustment and final payments. Information on the payout and the levy by producer is returned for processing to the WGS accounts. The CWB also forwards information weekly providing information about new permit book numbers and name and address which is used to update the WGS data base prior to levy refunds or stabilization payouts. (9) Revenue Canada: Statutory set-offs are received and recorded to intercept amounts owing to the Crown. Levy refunds and stabilization payments are matched to the file of set-offs and may confirmed amounts are diverted to Revenue Canada. (10) Family Orders and Agreements Enforcement Assistance Act: Monthly a computer tape file is received from Justice Canada to

perform a name and address match against the WGSA master file. The matching is carried out to identify payees against whom there is an outstanding summons. WGSA payments are intercepted and set aside for instructions from Justice as to the amount to be diverted.

**Retention and Disposal Standards:** Records are held for 20 years after the file is closed, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/007

**Related PR#:** AAFC 2000

**TBS Registration:** 001715

**Bank Number:** AAFC PPU 180

## Corporate Offices

### Canadian Pari-Mutuel Agency

#### Application for Pari-Mutuel Betting Permits

**Description:** This bank contains correspondence, personal information submitted by the applicant, criminal histories and corporate ownership (directors, and signing officer over 10 percent of the shares).

**Class of Individuals:** Race track operators.

**Purpose:** The purpose of this bank is to consolidate information used to grant qualified applicants permits to conduct pari-mutuel betting on horse races pursuant to section 204 of the Criminal Code.

**Consistent Uses:** The bank is used to qualify associations for betting privilege, and to fix dates for betting.

**Retention and Disposal Standards:** These files are retained for 10 years from the date the file was created, and then transferred to National Archives for selective retention.

**RDA Number:** 2001/007

**Related PR#:** AAFC 8100

**TBS Registration:** 000894

**Bank Number:** AAFC PPU 125

## Executive Offices

### Quality Service Request Data Base and Public Information Request Services (PIRS)

**Description:** This database contains contact coordinates for individuals, Associations, and firms that have contacted either the Agriculture and Agri-Food Canada or the Canadian Food Inspection Agency 1-800 line and general inquiries.

**Class of Individuals:** General public.

**Purpose:** To maintain an administrative record of such calls to ensure all callers receive the requested information in a timely manner.

**Consistent Uses:** To allow follow-up with the caller to permit quality service assurance such as to measure the timeliness of response and

determine if the proper information has been provided and for statistical purposes.

**Retention and Disposal Standards:** The records will be kept for a period of 24 months from the end of the fiscal year in which they occur and then these will be destroyed.

**RDA Number:** Under review.

**Related PR#:** AAFC 1500, 100

**TBS Registration:** 004004

**Bank Number:** AAFC PPU 010

## Rural & Co-operatives Secretariat

### Rural Dialogue

**Description:** The Rural Dialogue is an ongoing discussion between the federal government and rural and remote citizens in order to better understand local and regional issues and to identify the appropriate role for the federal government in addressing key rural and remote issues. A database has been developed to track names and addresses of rural and remote citizens and representatives from rural organizations across Canada who have participated in the Dialogue to date. This database also includes representatives from federal and provincial governments who have participated in the Dialogue as observers.

**Class of Individuals:** Rural and remote citizens and rural organizations across Canada; federal, provincial and municipal government representatives.

**Purpose:** Names and addresses were collected for the purpose of distributing material published by the Rural Secretariat and other federal government departments and agencies to keep Rural Dialogue participants informed of the Government of Canada's actions vis-à-vis rural and remote Canada.

**Retention and Disposal Standards:** Individual records will be kept in the inactive archives for one year after a request for deletion from the system has been received.

**RDA Number:** Under review.

**TBS Registration:** 005110

**Bank Number:** AAFC PPU 302

### The Rural Times

**Description:** This bank is no longer active. This bank contained 5, 040 names and addresses of: rural and remote citizens across Canada, federal, provincial and municipal departments/offices/field sites, Chambers of Commerce, agencies and organizations, learning institutions, libraries etc.

**Class of Individuals:** Rural and remote citizens across Canada, Federal, provincial and municipal departments/offices, Chambers of Commerce, agencies, learning institutions, Community Access Program Sites, libraries.

**Purpose:** This information was collected for the purposes of distributing The Rural Times, a quarterly national newsletter published by the Rural Secretariat for rural and remote residents.

**Consistent Uses:** The bank was amended on a daily basis and was used for The Rural Times mailing list. Upon consent, subscribers' names and addresses are shared with Canadian rural partnership.

**Retention and Disposal Standards:** Individual records will be kept in the inactive archives for one year after the deletion from the active system upon request.

**RDA Number:** Under review.

**TBS Registration:** 005109

**Bank Number:** AAFC PPU 301

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Travel

Relocation

## Classes of Personal Information

### General Correspondence and Enquiries

Personal information in this class relates to routine correspondence concerning the regulatory and licensing activities associated with meat inspection, pesticides, feeds and fertilizers, veterinary biologics and the humane transportation of animals. It also relates to general enquiries concerning agricultural research, market intelligence, food advisory information and financial assistance to marketing boards and co-operatives. The personal information contained in this class normally includes the name and address of the enquirer, but is neither arranged nor retrievable by personal identifiers. This form of personal information exists in a fragmented form throughout the subject files controlled by the Department and is normally retrievable only if specifics are provided concerning the subject and the date of the correspondence. The retention period for this class of personal information is controlled by the retention period of the files in which they are stored.

### Ministerial Correspondence

This class of information contains correspondence received by the Departmental Secretariat from

external organizations and individuals in the form of requests for information, complaints, opinions and other similar submissions related to a broad range of policy issues pertaining to Agriculture and Agri-Food Canada's activities, wherein some unsolicited personal information has been provided by the correspondent. This form of information would be retrievable only if specifics of name, date of communication and subject were to be provided; it is not arranged or retrievable by personal identifiers. The retention periods of these classes of personal information are controlled by the record schedules of the general subject files in which they are stored.

### **Other Programs and Agreements**

This class reflects other programs and agreements not specifically covered under the other classes. These other programs and agreements are aimed at resolving specific problems of a limited nature or in specifically defined areas of the country. For example, Federal-Provincial Agreements such as those under the Agricultural and Rural Development Act (ARDA) are concerned with rural problems of unemployment and social disadvantages. Special ARDA agreements have been used as a vehicle to improve the economic circumstances of native people by providing financial and other assistance to create job opportunities. Personal information may be stored in administering programs falling within this class. This information may include financial, employment, demographic and educational data on individuals. Such data, however, would be stored as part of the general subject files where records are not normally retrieved by name of individual or other personal identifier. This form of personal information is normally retrievable only if specifics are provided concerning the name of the program concerned and the name of the specific project.

### **Manuals**

- Administration Guidelines, Advance Payments Program, Agricultural Marketing Programs Act
- Administration Guidelines, Price Pooling Program, Agricultural Marketing Programs Act
- Agri-Food Safety Emergency Manual of Procedures
- Agri-Food Trade 2000 Procedures Manual
- Agriculture and Agri-Food Canada Forms Catalogue
- Canadian Adaptation and Rural Development (CARD) Management Guide

- Departmental Security Manual
- Departmental Specialty Store Catalogue
- Drafting Standards Manual
- Enterprise Training Manual
- Farm Consultation Service Manual
- Farm Debt Review Board Implementation Manual
- Farm Dept Mediation Service Manual
- Farm Improvement and Marketing Co-operatives Loans Administration Manual
- Financial Management Manual – Policies and Procedures
- Food & Agriculture Emergency Response System (FAERS) Manual
- Guidelines and Procedures, Crop Insurance Act
- Human Resources Management Manual
- Information Handbook – *Listeria monocytogenes*
- Inspection and Trade Memoranda
- Inventory of Canadian Agri-Food Research Instructions Kit
- Manual for Describing Soils in the Field
- Manual of Administrative Policy and Procedures
- Operational Manual (Race Track Supervision)
- Pari Mutuel Betting Supervision Regulations
- PFRA Policy and Procedure Manual
- PFRA Survey Manual
- Precipitation and Evaporation Tables (1911-1981)
- Race Track Officer Training Manual
- Records Management Manual
- Reference Listing of Accepted Materials and Equipment
- Safety Manual
- Saturn Training Manuals
- Small Dam Design and Construction Manual

### **Additional Information**

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Department and its various programs and functions may be directed to:

Public Information Requests Services  
Corporate Management Branch  
Agriculture and Agri-Food Canada  
Sir John Carling Building  
930 Carling Avenue  
Ottawa ON K1A 0C5  
Tel.: (613) 759-1000

## **Reading Room**

The library of this institution has been designated as a public reading room in accordance with Access to Information Act.

Canadian Agriculture Library  
Reference Services, Room 169  
Sir John Carling Building  
930 Carling Avenue  
Ottawa ON K1A 0C5  
Tel.: (613) 759-7068

# Atlantic Canada Opportunities Agency

## Chapter 2

### General Information

#### Background

The Atlantic Canada Opportunities Agency (ACOA) is a federal government agency whose mission is to work in partnership with the people of Atlantic Canada to improve the economy of our communities through the successful development of businesses and job opportunities.

Established in 1987, ACOA offers a broad range of programs and services designed to create economic growth and business opportunities in Atlantic Canada. The Agency ensures that a wide variety of business development tools and resources are available to Atlantic entrepreneurs throughout all stages of the business lifecycle, from the time they are thinking about setting up a new business, to the time they are planning for growth and expansion .

Even though ACOA is part of the Industry Portfolio, the Agency reports to Parliament through the Minister of ACOA.

#### Responsibilities

ACOA has a broad mandate for economic development in Atlantic Canada to increase the number of jobs and the earned income of Atlantic Canadians. Because new employment is the direct result of business growth, particularly among small and medium-sized enterprises (SMEs), ACOA seeks to provide people with encouragement, advice and information, and the capital and technology they need to start and expand their own businesses.

To fulfill its mandate, the Agency pursues two distinct activities: to ensure that a wide variety of business development tools and resources serve the diverse needs of the region's emerging and existing entrepreneurs; and, to ensure that all economic development programs and activities in Atlantic Canada are coordinated and designed to improve the climate for business growth generally.

#### Priorities

ACOA approaches its work in a strategic manner, focusing on the means to facilitate the creation and growth of small- and medium-sized enterprises (SMEs) on overcoming barriers to

growth, and on fostering a more entrepreneurial environment.

ACOA's key objectives are: to provide Atlantic Canadians with enhanced policy research and analysis to help create more and better economic opportunities in the region; and to provide business services to support SME growth and competitiveness.

ACOA categorizes its priorities as follows: Innovation; Trade, Tourism and Investment; Policy, Advocacy and Coordination; Entrepreneur and Business Skills Development; Community Economic Development; and Access to Capital and Information

#### Our Programs and Services

To meet its objectives in each of its key strategic development areas, ACOA administers, or is involved in, several programs.

#### Business Development Program

The BDP provides financial assistance to small and medium-sized businesses wishing to establish themselves, or expand and modernize their operations. Loans are interest free and unsecured, and are provided especially for those projects considered to be critical to competitiveness, but which are at the same time frequently considered to be too risky for conventional lenders.

Atlantic Investment Partnership (AIP) In June 2000, the Government of Canada introduced the Atlantic Investment Partnership (AIP). This initiative has been launched in order to help the Atlantic region benefit more directly from and overcome the challenges associated with the knowledge-based economy. The AIP's priorities of innovation, community economic development, entrepreneurship and business skills development, and trade build on the success of ACOA's existing programs.

#### Bilateral Economic Development Agreements

These are comprehensive, federal-provincial, cost-shared agreements involving strategic investments designed to benefit an industry, a sector, a community, and/or a province.

## Pan-Atlantic Economic Development Agreements

These are comprehensive, multi-sectoral agreements, involving all four Atlantic provinces, designed to strengthen and support economically significant activities, such as trade and tourism.

## Canada Business Service Centres (CBSC)

CBSCs, a network established to provide business-related services and information products to small and medium-sized enterprises are administered in the Atlantic region by ACOA. They are accessible via a 1-800 telephone service, Internet connection, fax, and walk-in services.

## Community Business Development Corporations

ACOA supports these autonomous, not-for-profit corporations, which serve most rural areas of the region. They work to assist in the creation of small businesses, and in the expansion, modernization and stabilization of existing businesses. They help entrepreneurs gain access to the information, advice and capital they need to succeed.

## Adjustment Programs and other Activities

These programs provide assistance to communities in the development of alternate forms of employment where traditional industries - such as the Atlantic ground fishery - have suffered a downturn. Recent examples of adjustment activities include: Base closure initiatives, and Borden-Cape Tormentine redevelopment programs. ACOA is also responsible for implementing the municipal/federal/ provincial Canada Infrastructure agreements in Atlantic Canada on behalf of the Government of Canada.

## Legislation

- Canada Small Business Financing Act
- Government Organization Act, Atlantic Canada,
- Regional Development Incentives Act,
- Small Business Loans Act
- Special Areas Act

## Organization

Organization Structure: ACOA's Head Office is located in Moncton, New Brunswick. It is comprised of the President's office, Policy and Programs, Finance and Corporate Services, Legal Services and Human Resources.

In each provincial capital in Atlantic Canada, regional Vice-Presidents are responsible for the delivery of ACOA programs. In Sydney, Nova Scotia, the Vice-President of Enterprise Cape Breton Corporation is responsible for delivering ACOA programs in Cape Breton. Each Vice-President is equipped with delegated authorities from the Minister to approve most projects and proposals.

Through its Ottawa office, which reports to the Vice-President responsible for Policy and Programs, ACOA advocates on behalf of Atlantic Canadians in the development of national policies and programs, as well as assisting the region's entrepreneurs in the procurement of federal government contracts.

ACOA legislation provides for an ACOA Advisory Board. The Board members represent all areas of Atlantic Canada. The President of ACOA is Chairperson.

The President of ACOA is also CEO & Chairman of the Board of Directors of Enterprise Cape Breton Corporation (ECBC). ECBC is a Crown Corporation established by legislation to promote and assist the financing and the development of industry on Cape Breton Island in order to provide employment outside the coal-producing industry and to broaden the base of the economy in Cape Breton Island.

While ECBC and ACOA have a close working relationship, and many ACOA programs are delivered in Cape Breton through the Corporation, ECBC is a separate entity and reports separately to Parliament.

## Information Holdings

### Program Records

#### ACOA – General

**Description:** Includes records relating to ACOA - its creation and organization, policies, mission, acts and legislation, program authorities, initiatives. It also includes records on the federal government's program review initiative as it relates to ACOA.

**Topics:** Policies, General Information, Delegated Program Authorities, Initiatives, Creation of ACOA, Savoie Transition to Maturity, DRIE/ACOA Transition, ACOA Program Review, ACOA Acts and Legislation.

**Program Record Number:** ACO GEN 001

### **ACOA Action Program**

**Description:** Includes records relating to ACOA's Action Program that was established to provide direct financial assistance to small and medium-sized businesses to increase competitiveness, expand sales, introduce new products or develop new businesses in selected industrial sectors. Eligible sectors included: aquaculture, business service industries (including services to primary sectors), commercial research and development facilities, manufacturing and processing, mining and tourism. This program was replaced by the Business Development Program.

**Topics:** Policies, General Information, Recoveries, Benefits Monitoring, Eligibility of Projects, Reviews, Evaluations, and Individual Projects.

**Program Record Number:** ACO PRO 012

### **ACOA Committees/Meetings/Conferences**

**Description:** Includes records relating to the establishment, organization, functions, agendas, minutes, reports, etc, of committees, boards, meetings, conferences that are specific to ACOA or that have an ACOA representation.

**Topics:** Policies, General Information, Conference Reports, ACOA Advisory Board Atlantic Enterprise Board, Enterprise Cape Breton Board, Executive Committee, Ministerial Executive Committee, Standing Committees Meetings on Policy, Planning and Programs. Meetings with ACOA President and ACOA Minister, Federal/Provincial Committees, Conferences and Info-Fairs Interdepartmental Committees, Economic Summits, Review Committees, Small Business Weeks, Workshops, Business Information Series, Briefings, Roundtables, Cabinet Committees, Deputy Ministers Meetings and Committees, Inter-Agency Meetings, Ministerial Consultations, Regional Executive Directors Committee, and Task Force on ACOA Regulations.

**Program Record Number:** ACO GEN 030

### **ACOA Strategic Priorities/Corporate Plan**

**Description:** Includes records relating to the Agency's strategic priorities in various sectors such as entrepreneurship, trade and investment, innovation and technology, human resource development, investment support, procurement, diversification, etc, as identified in the whole business/corporate plan of the Agency. **Topics:** General Information, Repositioning ACOA Strategic Planning, Industry Portfolio Strategic Plans.

**Program Record Number:** ACO GEN 002

### **ACOA Program Design**

**Description:** Includes records relating to ACOA initiatives that promote regional economic development in the Atlantic Region. Other ACOA initiatives can be found in various sections of this guide, according to subject or program.

**Topics:** General Information and Consultations.

**Program Record Number:** ACO GEN 036

### **Advocacy**

**Description:** Includes records relating to the role of Advocacy within ACOA that is to make new government initiative more responsive to the needs of Atlantic Canada. This is accomplished through environmental scanning and the monitoring of the federal government's priorities for linkages and impacts, alerting and advising government officials on emerging issues, feeding information about Atlantic Canada to central agencies, line departments and to Cabinet, and influencing government's procurement agenda.

**Topics:** Policies and General Information.

**Program Record Number:** ACO PRO 009

### **Atlantic Base Closure Adjustment Fund/Program**

**Description:** Includes records relating to ACOA's involvement in the Base Closure Adjustment Program that was established to assist communities in Atlantic Canada affected by the closure or reduction of military installations, to attach new economic activity, diversify the industrial base and generate employment opportunities in the Atlantic Region.

**Topics:** General, Base Closure Adjustment Programs (NB, NL, and NS).

**Program Record Number:** ACO PRO 021

### **Atlantic Canada Cultural and Economic Partnership (ACCEP)**

**Description:** Includes records relating to the Atlantic Canada Cultural and Economic Partnership which is a \$10 million initiative funded jointly on an equal basis by ACOA and the Department of Canadian Heritage. This initiative seeks to support the development initiatives in the region's cultural communities and to serve as an investment instrument relating, primarily, to development in the cultural sector, with particular emphasis on the 400th anniversary of l'Acadie.

**Topics:** General Information and Individual Projects.

**Program Record Number:** ACO PRO 040

### **Atlantic Enterprise Program (AEP)**

**Description:** Includes records relating to the Agency's Atlantic Enterprise Program (AEP), that was developed to promote long-term economic growth in the Atlantic Region. AEP offered

financial assistance to businesses across a wide range of industry sectors and complemented other assistance programs of the Department of Regional Industrial Expansion (DRIE), such as the Industrial and Regional Development Program (IRDP), the Small Business Loans Act (SBLA) and the federal-provincial sub-agreements. This program is no longer active.

**Topics:** Policies, General Information and Individual Projects.

**Program Record Number:** ACO PRO 015

#### **Atlantic Investment Partnership (AIP)**

**Description:** Includes records, relating to the Agency's Atlantic Investment Partnership Program that is designed to stimulate stronger economic growth and create good quality jobs. It involves the research community, the private sector, community leaders and the four Atlantic provincial governments. There are major investments in four major areas: Innovation, Community Economic Development, Trade and Investment, Entrepreneurship and Skills Development.

**Topics:** Policies, General Information, Atlantic Innovation Fund (AIF), AIF Advisory Board, AIF Consultations, AIF

Meetings/Conferences/Workshops, AIF Review Committee, Strategic Community Investment Fund (SCIF), Innovation Skills Development Initiative, Women in Business Initiative, Young Entrepreneur Development Initiative, Atlantic Trade and Investment Partnership (ATIP), and Individual projects under each major area.

**Program Record Number:** ACO PRO 031

#### **Atlantic Policy Research Initiative (APRI)**

**Description:** Includes records relating to the Agency's involvement in the Atlantic Policy Research Initiative that was established to support the federal priorities of building policy capacity, to enhance ACOA's capability to coordinate federal economic development activities and to identify economic opportunities and challenges and plan strategic approaches to address them, and to support policy research projects in the Atlantic region. This initiative is a continuation/amendment of the Pan-Atlantic Economic Coordination and Research Initiative.

**Topics:** Policies, General Information, Proposals, Evaluations and Individual Projects.

**Program Record Number:** ACO PRO 38

#### **Business Development Program**

**Description:** Includes records relating to ACOA's Business Development Program that is designed to provide assistance to small and medium-sized enterprises to establish, expand or modernize. The program offers access to capital in the form of

interest-free, unsecured loans and provisionally repayable loans. Funding is also available to non-profit organization for activities that support SMEs. This program replaced the Agency's Action Program.

**Topics:** Policies, General Information, Evaluations, and Individual Projects.

**Program Record Number:** ACO PRO 028

#### **Business Management Practices**

**Description:** Includes records relating to ACOA's involvement in the Business Management Practices Initiative that was established to build a broadly-based partnership to make the most efficient use of business management practices, and increase awareness of the benefits accruing from quality management which are essential to any company's success.

**Topics:** Policies, General Information.

**Program Record Number:** ACO PRO 014

#### **Canada Apparel and Textile Industries Program (CATIP)**

**Description:** Includes records relating to the Agency's activities and involvement in the delivery of the Canadian Apparel & Textile Industries Program (CATIP). The Program, which resides with Industry Canada and delivered in Atlantic Canada by ACOA, is to help firms identify and introduce best practices and better access to capital markets and exploit leading edge technologies through support for a number of projects. This initiative is intended to assist apparel and textile firms to diversify their markets and increase competitiveness.

**Topics:** General Programs Information and applications for funding.

**Program Record Number:** ACO PRO 041

#### **Canada Business Service Centres (CBCSCs)**

**Description:** Includes records relating to the Agency's Canada Business Services Centres program that provides information and assistance to the public as a "One Stop Shop" on various programs and services offered by federal, provincial and municipal partners, as well as private partners.

**Topics:** Policies, General Information, Committees, Business Plans Budgets, Evaluations, Staffing, Communications Issues, and Reports.

**Program Record Number:** ACO PRO 007

#### **Canada Infrastructure Program**

**Description:** Includes records relating to ACOA's involvement in the Canada Infrastructure Program was established to renew municipal infrastructure, improve the environment and enhance Canada's competitiveness while accelerating economic



recovery through job creation.

**Topics:** Policies, General Information Agreements with Atlantic Provinces, Report of the Auditor General .

**Program Record Number:** ACO PRO 013

#### **Canada Small Business Financing Act(CSBF)**

**Description:** Includes records relating to the Canada Small Business Financing Act (formerly known as Canada Small Business Loans Act) Program established to encourage lenders in the private sector to increase the availability of loans for the purpose of the establishment, expansion, modernization and improvement of small business enterprises.

**Topics:** Policies, General Information, and Program Review.

**Program Record Number:** ACO PRO 011

#### **Canadian Fisheries Adjustment & Restructuring Initiative (CFAR)**

**Description:** Includes records relating to ACOA's involvement in the Canadian Fishery Adjustment and Restructuring Initiative (CFAR) that was established as part of a series of measures to assist individuals and coastal communities in Atlantic Canada to deal with the permanent downsizing of the Atlantic ground fishing industry. ACOA is involved in the delivery of the economic development component of post-TAGS (Atlantic Groundfish Strategy).

**Topics:** Policies, General Information, and Individual Projects in NL and NS.

**Program Record Number:** ACO PRO 032

#### **Communications Services**

**Description:** Includes records relating to the communications function of the Agency that is to establish a profile and understanding of ACOA among the general public and target audiences and to increase awareness of ACOA's role as a policy leader in Atlantic Canada. This is accomplished through the Agency's general administration of public affairs, marketing and media relations (news releases, clippings, slides, videos, photographs, advertising, press conferences, public opinion surveys, success stories, newsletters, brochures, speeches and communications meetings).

**Topics:** Policies/ Communication Plans, General Information, Media Relations, Biographies, News Release Procedures, Project Announcements News Clippings, Situation Analysis, Slides/Videos, Advertising, Newsletter, Speeches, Public Opinion Surveys, Briefing Material, Conferences and Meetings.

**Program Record Number:** ACO GEN 037

#### **Community Development Fund (Newfoundland and Labrador)**

**Description:** Includes records relating to ACOA's involvement in the Community Development Fund program that was established to assist communities affected by the closure of the fish plants in Newfoundland and Labrador.

**Topics:** General

**Program Record Number:** ACO PRO 023

#### **Community Diversification Fund (Newfoundland Office)**

**Description:** Includes records relating to ACOA's involvement in the Community Diversification Fund Program that was established to assist communities affected by the closure of CN Railway in Newfoundland and Labrador.

**Topics:** General Information, and Projects.

**Program Record Number:** ACO PRO 022

#### **Community Futures Program /Community Economic Development**

**Description:** Includes records relating to the Community Futures Program that is established to support autonomous, not for profit Community Business Development Corporations (CBDCs) to help entrepreneurs in rural areas to access the information, advice and capital required to succeed.

**Topics:** Policies, General Information, Communications Issues, Regional Economic Development Organization and Individual Projects.

**Program Record Number:** ACO PRO 029

#### **Consulting Advisory Service (CAS)**

**Description:** Includes records relating to ACOA's Consulting Advisory Services that was established to provide business clients access to consulting expertise to pursue business opportunities or solve problems.

**Topics:** Policies, General Information, Evaluation and Contracts.

**Program Record Number:** ACO PRO 005

#### **Cooperation and Liaison (General/Federal/ Provincial/ International/Universities)**

**Description:** Includes records relating to activities, discussions and sharing of ideas between ACOA and organizations, federal government departments, provincial government departments, international organizations and universities.

**Topics:** Policies, General Information, Chamber of Commerce, Atlantic Provinces Economic Council, Atlantic Canada Chinese Business Council, Atlantic Provinces Education Foundation, Atlantic Canada Plus, federal government departments, provincial government departments,

municipal government, universities, colleges, business development banks, Council of Maritime Premiers, Canadian Federation of Independent Business, Conference Board of Canada, Conseil économique du Canada, Cooperatives, Canadian Opportunity Investment Network, Enterprise Cape Breton Corporation, and other regional development agencies.

**Program Record Number:** ACO GEN 031

#### **Cooperation Program/Agreements**

**Description:** Includes records relating to the Agency's activities and involvement in the COOPERATION Program that was established to create partnerships between ACOA, the Atlantic Provinces and the private sector to assist in developing a variety of sectors of the Atlantic economy.

**Topics:** Policies, General Information, Meetings, Committees, Evaluations, Federal/Provincial Framework, Communications Issues, Individual Federal/Provincial Agreements (NB, NL, NS and PEI), Pan-Atlantic Aboriginal Partnership, Atlantic Agri-Products Competitiveness Initiative, Cooperation Agreement on International Business Development, and Individual Projects.

**Program Record Number:** ACO PRO 016

#### **Coordination**

**Description:** Includes records, relating to the role of Coordination within ACOA that is to provide leadership on major economic issues and in the management of special projects and key initiatives on behalf of the Government of Canada. In sum, the objective of the Coordination function is to engage economic partners in addressing the Atlantic region's strategic economic priorities.

**Topics:** Policies, General Information, Official Languages Act (Article 41 & 42), Canada-France COOPERATION Agreement, Canadian Multiculturalism Act, Interdepartmental Partnership on the Official Language Communities (IPOLC).

**Program Record Number:** ACO PRO 010

#### **Entrepreneurship Program**

**Description:** Includes records relating to ACOA's initiative to promote entrepreneurship and small business development for the economic, social and cultural development of our country in partnership with private sector, provincial and territorial governments and the academic community.

**Topics:** Policies, General Information, Reports, Proposals Initiatives, Forums, Conferences, Seminars, Committees, Awards, Publications, Evaluation, Women Entrepreneurs, Young Entrepreneurs, Shad Valley Program, and Small

Business Counselling.

**Program Record Number:** ACO PRO 006

#### **Federal Regional Councils (Secretariat)**

**Description:** Includes records relating to the activities, discussions, and sharing of ideas between ACOA and the Federal Regional Councils, which are composed of senior federal officials in each of the Atlantic provinces to coordinate and advocate federal initiatives in Atlantic Canada. These networks bring to the Portfolio, and the government as a whole, a special understanding of the Atlantic economy and the challenges and opportunities facing the region's business community (The Secretariat files should be returned to the Secretariat if the Chairperson changes.)

**Topics:** Policies, General Information, Task Force on Coordination of Federal Activities in Region.

**Program Record Number:** ACO GEN 35

#### **Fisheries Alternative Program (FAP)/Community Economic Diversification Program (CEDP)**

**Description:** Includes records relating to ACOA's involvement in the Fisheries Alternative Program that was established as the Federal Response to give financial assistance to communities after termination or disruption in their major economic circumstances as a result of the downturn in the Atlantic fishing industry. This program is no longer active. It has been replaced by the Canadian Fisheries Adjustment & Restructuring (CFAR) Initiative.

**Topics:** Policies, General Information, Evaluation and Individual Projects in Atlantic Provinces.

**Program Record Number:** ACO PRO 020

#### **Fixed Link Redevelopment Initiative**

**Description:** Includes records relating to the Agency's involvement in the Tripartite Agreement between Canada and the provinces of PEI and NB. Funds provided by the Government of Canada are for the redevelopment of Borden, PEI, and Cape Tormentine, NB, to offset adverse effects of termination of ferry between Borden and Cape Tormentine.

**Topics:** Policies, General Information, Borden Redevelopment Program (PEI Projects), and Cape Tormentine Area Redevelopment Program (NB Projects).

**Program Record Number:** ACO PRO 019

## **Government Procurement**

**Description:** Includes records relating to the Agency's involvement in the procurement strategy to increase long term economic activity in Atlantic Canada and to help successful companies leverage federal contracts into non-government markets.

**Topics:** Policies, General Information, Atlantic Opportunities Program, Annual Strategic Acquisition Plan Atlantic Canada Supplier Development Program Canadian Automated Air Traffic Control System Defence Procurement, Free Trade Agreement Procurement Provisions, Committees, Meetings, Studies, Science and Technology Procurement Network, and Western Supplier Development Program (WSDP).

**Program Record Number:** ACO PRO 018

## **Industrial Regional Development Program (IRDP)**

**Description:** Includes records relating to the Industrial Regional Development Program (IRDP) that was established by the former Department of Regional Industrial Expansion (DRIE) to promote regional industrial development through the support of private sector initiatives. The program provided financial assistance to business and non-profit organizations through contributions and repayable contributions. The Program is no longer active.

**Topics:** Policies, General Information, and Individual Projects.

**Program Record Number:** ACO PRO 017

## **Industries**

**Description:** This section includes records relating to ACOA's activities and involvement in various industry sectors to promote regional economic development within the Atlantic region. These sectors include: agriculture, defence, energy, environment, fisheries, forestry, manufacturing, mining, innovation and technology, health, geomatics, shipbuilding, tourism, trade and transportation.

**Topics:** Policies and General Information, Committees, Meetings, Conferences, Initiatives, Strategies.

**Program Record Number:** ACO IND 024

## **Innovation**

**Description:** Includes records relating to a strategic priority of ACOA to strengthen the innovation performance of the Atlantic region through development and commercialization of new technologies, enhanced technology capability and growth of strategic sectors. Information relating to ACOA-funded innovation projects can be found under ACOA Action Program section,

Atlantic Investment Partnership Section, Cooperation Program Section and the Business Development Program Section.

**Topics:** Policies, General Information, Committees, Working Groups, Meetings, Technology Breakfasts, Roundtables Space Programs, Canada-Israel Research and Development Foundation, National Research Council, Commercialization of Research, Technology Partnerships Canada, Canadian Foundation for Innovation, Innovation White Paper, Canada Innovation Strategy, Ongoing Solution to Indirect Costs of Academic Research, Evaluations, E-Commerce.

**Program Record Number:** ACO IND 025

## **Pan-Atlantic Coordination and Research Initiative**

**Description:** Includes records relating to the Agency's activities and involvement in the Pan-Atlantic Coordination Research Initiative that was established to build upon the interest shown by the Atlantic provinces in the promotion of economic growth through greater economic cooperation and integration and to enhance the capability of ACOA to coordinate federal economic development activities/opportunities in the Atlantic region.

**Topics:** Policies, General Information, Proposals, Evaluations and Individual Projects.

**Program Record Number:** ACO PRO 39

## **Policy, Research and Development**

**Description:** Includes records relating to the role of policy within ACOA to provide a targeted program of policy research and analysis to improve the understanding of issues and to provide a sound basis for decision-making and build consensus among various departments, regional economy, stakeholders both within and outside government. This includes internally driven research, research carried out by and with external partners and policy roundtables and seminars.

**Topics:** Policies, General Information, Atlantic Economic Development, Aboriginal Economic Development, Micro Economic Action Plan, Studies and Surveys, Policy Research Initiative, Medium Term Policy Planning Paper on Productivity, Conference and Meetings.

**Program Record Number:** ACO GEN 003

## **Programs/Agreements – General**

**Description:** Includes records relating to programs, initiatives, agreements and sub-agreements not found elsewhere in this section, in which ACOA is involved with through funding or support; these may be with other agencies,

government departments (federal or provincial), groups or individuals. Also includes records relating to the program evaluation general function of the Agency, the Venture Loan Program, as well as legal information relating to operational issues of ACOA.

**Topics:** Policies, General Information, Funding Trail Endowment Fund– John Cabot Corporation, Pictou County Economic Development Fund, Preston and Area Development Fund DEVCO-ECBC Transition, ECB/ECBC Assessment, Proposed ECBC/ACOA Transition Venture Capital Program Task Forces, Committees, Working Groups and Meetings, Evaluations and Evaluation Committees, Legal Matters of ACOA Clients, Federal Youth Strategy, Aboriginal Economic Development Strategy, Volunteer Sector Initiative, Urban Issues, Rural Economic Renewal Initiative, and Broadband for Rural and Northern Development Pilot Program, and Quality Service Initiative

**Program Record Number:** ACO PRO 004

#### **Programs/Agreements – Reports**

**Description:** Includes records relating to all reports (weekly, monthly, etc.) as well as annual reports, reports to Parliament prepared for the ACOA Minister, the ACOA President and all ACOA vice-presidents on all the Agency's Programs/Agreements.

**Topics:** Policies, General Information, Program Reports, (Weekly, Monthly, Quarterly

**Program Record Number:** ACO PRO 008

#### **Sustainable Development Strategy**

**Description:** Includes records relating to ACOA's two main activities related to Sustainable Development which are: providing programs to inform and fund private sector business and internal operations. Also includes records pertaining to the Canadian Environmental Assessment Act.

**Topics:** Policies, General Information, Environmental Assessment, Reports, Reviews, Environment Week, Conferences and Meetings.

**Program Record Number:** ACO GEN 034

#### **Tourism**

**Description:** Includes records, relating to a strategic priority of ACOA to promote Atlantic Canada as a desirable tourism destination. This is done in partnership with the Atlantic provinces and key industry stakeholders.

**Topics:** Policies, General Information, Initiatives, Canadian Tourism Commission, Canada/Atlantic COOPERATION Agreement on International Tourism Marketing, Meetings, Conferences, Working Group, Roundtables, Coast of Difference,

Atlantic Canada Agreement on Tourism, Surveys, Aboriginal Tourism, Tourism Industry Association of Canada, Association of Tourist Operators, Atlantic Canada Tourism Partnership, Tourism Campaigns, and Evaluation, Individual Projects  
**Program Record Number:** ACO IND 026

#### **Trade**

**Description:** Includes records, relating to a strategic priority of ACOA to enhance Atlantic Canada's trade and export skills and strengthen the export performance of the Atlantic region by enhancing the capabilities and capacity of SMEs to initiate and expand export activity. This is accomplished through a series of developmental and support activities in four key strategic areas: awareness, skills development financing and policy, advocacy and coordination. ACOA-funded trade projects are under COOPERATION Program/Agreements Section. Also includes records relating to ACOA's priority to increase foreign direct investment in the Atlantic region through targeted investment missions, investment research, information management dissemination, promotional activities and investment development partnership.

**Topics:** Policies, General Information, Publications, Meetings, Committees, Multilateral Trade Negotiations, International Trade, Interprovincial Trade, Trade Missions, Trade Shows, Investment Promotion, and Proposals, Enhanced Representation in the US Initiative.

**Program Record Number:** ACO IND 027

### **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Classification of Positions

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings  
 Hospitality  
 Human Resources  
 Occupational Health, Safety and Welfare  
 Office Appliances  
 Official Languages  
 Pensions and Insurance  
 Personnel  
 Procurement  
 Relocation  
 Salaries and Wages  
 Staff Relations  
 Training and Development  
 Travel  
 Vehicles

## **Standard Personal Information Banks**

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Hospitality

Relocation

Internal Disclosure of Wrongdoing in the Work-Place

Travel

## **Classes of Personal Information**

### **Mailing Lists**

This class of personal information contains the names and addresses of individuals who are on a mailing list to receive specific information or publications on departmental programs and activities. The lists are used by all bureaus to distribute departmental information and to respond to requests by individuals. The lists are updated on a continuing basis. The lists are maintained for a minimum of two years.

### **Ministerial Correspondence**

This class of information contains correspondence addressed to the Minister, from external organizations and individuals in the form of requests for information, complaints, opinions and other submissions related to a broad range of

policy issues pertaining to ACOA's activities wherein some unsolicited personal information has been provided by the correspondent. This form of information would be retrievable only if specifics of name, date of communication and subject were to be provided; it is not arranged or retrievable by personal identifiers. The retention periods of these classes of personal information are controlled by the record schedules of the general subject files in which they are stored.

### **Programs and Agreements**

This class of information contains documents related to programs and agreements administered by ACOA. Personal information may be stored in administering programs falling within this class. The information may include financial, employment and demographic data on individuals. Such data, however, would be stored as part of the general subject files where records are not normally retrieved by name of individual or other personal identifier. This form of information is normally retrievable only if specifics are provided.

### **Public Opinion Research**

This is a class of records generated by departmental officials who conducted public opinion research on a vast spectrum of topics related to the mandate and mission of ACOA. Retrievable records consist of data gathering instruments, such as, but not exclusively, questionnaires which may contain personal information that reveals the identification of the research subject. Data contained in this class of records are not used for administrative purposes. Individuals seeking access to these records must provide the title of the research project in which they participated, the location and the date of the search, and any other data that may help to identify and locate the personal information they are seeking.

### **Suggestions**

This class of information may contain the names of persons, working at the Atlantic Canada Opportunities Agency, who have submitted suggestions either in hard copy or electronically regarding various facets of the workplace, such as internal communications, leadership, career development, teamwork, and business process.

### **Manuals**

- ACOA Acquisition Card Policy
- ACOA Classification Designation Guide
- ACOA Financial Coding Manual

- ACOA Parking Policy
- ACOA Vehicle Management Policy
- Business Development Program – Policy and Procedures Manual
- Classification/Designation of Information Guide
- Community Futures Program – Policy and Procedures Manual
- Employee Codes
- Employee Guide to Government Security
- GMAX (Entry and Escape)
- Guidelines for the Preparation of Minister's Correspondence
- Guidelines for the Preparation of the President's Correspondence
- Payment Authorization
- Payment Requisition
- Pre-authorized Payments for Travel
- Stop Payment/Cancelled Cheques
- Subject Classification Guide
- Supplier Codes (Operating and Maintenance, and Grants and Contributions)
- The ACOA Trade Toolkit
- Visual Identity Manual

## Reading Room

The library at the Agency Head Office has been designated as a public reading room for the purposes of the Access to Information Act. The address is:

Library  
Atlantic Canada Opportunities Agency  
Head Office  
644 Main Street, 3rd Floor  
P. O. Box 6051  
Moncton NB E1C 9J8

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Agency and its various programs and functions may be directed to:

Head Office  
Atlantic Canada Opportunities Agency  
644 Main Street, 3rd Floor  
P. O. Box 6051  
Moncton NB E1C 9J8

Tel.: (506) 851-2271  
Toll-free: 1-800-561-7862  
Fax: (506) 851-7403  
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Web Site: [www.acoa-apeca.ca](http://www.acoa-apeca.ca)

# Atlantic Pilotage Authority Canada

## Chapter 3

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

As a result of recommendations made by the Royal Commission on Pilotage in Canada, the Pilotage Act was assented to by Her Majesty and the Governor-in-Council and proclaimed February 1, 1972.

The Pilotage Act created four pilotage regions with specific authorities, thereby replacing a large number of local pilotage districts. The four pilotage authorities – Atlantic, Laurentian, Great Lakes, and Pacific – are Crown corporations, responsible to Parliament through the Minister of Transport.

The Atlantic Pilotage Authority was incorporated in carrying out the Pilotage Act in 1972, and pursuant to the Financial Administration Act, (Schedule SC 1983-84, 31) was designated a Schedule III Part I Crown corporation.

#### Responsibilities

The role of the Authority is to establish, operate, maintain and administer, in the interest of safety, an efficient and economical pilotage service within its geographical boundaries – all coastal waters in the Atlantic region. As a further goal, the authority prescribes tariffs of pilotage charges that are fair, reasonable and consistent with providing revenues sufficient to permit the Authority to operate on a self-sustaining financial basis.

#### Legislation

- Atlantic Pilotage Regulations
- Authority By-Laws
- Canadian Shipping Act
- General Pilotage Regulations
- Pilotage Act

#### Organization

##### Administration Division

This Division provides administrative and financial services as required to operate within accepted corporate business procedures.

##### Operations Division

This Division provides pilotage services by assigning and dispatching qualified pilots to ships navigating within the boundaries of the Atlantic Pilotage Authority.

### Information Holdings

#### Program Records

##### Pilotage Services

**Description:** Information on the provision of pilotage services within the Atlantic region.

**Topics:** Dispatching records; pilotage licences; tariff charges; assignments of pilots to vessels; collective agreements; international shipping affairs.

**Program Record Number:** APA OPD 005

##### Tariffs

**Description:** Information on the setting of tariffs for the provision of pilotage services; also the conduct and results of negotiations concerning the setting of tariffs in various districts throughout the region as well as results of National Transportation Agency of Canada hearings.

**Program Record Number:** APA OPD 010

#### Manuals

- Accounting Procedures
- Administrative Directives
- Collective Agreements
- Dispatching Procedures
- Pilot Licence Register
- Pilotage Tariffs
- Service Contracts
- Working Rules

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Atlantic Pilotage Authority under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Atlantic Pilotage Authority .

Requests for further information about the Authority and its various programs and functions may be directed to:

Atlantic Pilotage Authority  
Cogswell Tower, Suite 910  
2000 Barrington Street  
Halifax NS B3J 3K1  
Tel.: (902) 426-2550

## Reading Room

An area on the premises of this institution has been designated as a public reading room according to the provisions of the Access to Information Act. The address is:

Suite 910  
2000 Barrington Street  
Halifax, Nova Scotia B3J 3K1



# Bank of Canada

## Chapter 4

### General Information

#### Background

The Bank of Canada is the country's central bank. It was incorporated in 1934 under the Bank of Canada Act. Under the preamble of the Act, unchanged since its inception, the Bank of Canada is required "to regulate credit and currency in the best interests of the economic life of the nation, to control and protect the external value of the national monetary unit and to mitigate by its influence fluctuations in the general level of production, trade, prices and employment, so far as may be possible within the scope of monetary action, and generally to promote the economic and financial welfare of Canada."

Overall responsibility for the management of the Bank is assigned to the Board of Directors, composed of the Governor, the Senior Deputy Governor and 12 directors. The Governor and Senior Deputy Governor are appointed for seven-year terms, the directors for three years. The Deputy Minister of Finance sits on the board as a non-voting member. The Governor is the Chief Executive Officer of the Bank and is responsible for the business of the Bank. As a practical matter, since 1994, the Governing Council, composed of the Governor, the Senior Deputy Governor and the four other Deputy Governors has conducted Monetary Policy. The Executive Management Committee which includes a broader representation of management ensures that matters related to strategic direction and management are reviewed at the executive level.

#### Responsibilities

The Bank of Canada's primary responsibilities can be grouped into four broad functions: developing and implementing monetary policy, issuing bank notes, promoting the safety and efficiency of Canada's financial systems and providing funds management services.

Monetary policy is the Bank's primary function and most important responsibility. Monetary policy is concerned with managing the rate of monetary expansion in a way that is consistent with preserving the value of money. As part of its financial system role, the Bank oversees and provides operational support for major clearing

and settlement systems, and conducts research into financial stability issues. In funds management, the Bank serves as fiscal agent for the government, advising on the management of the federal public debt and providing treasury management services. The Bank also has sole responsibility for issuing Canada's bank notes, undoubtedly its best-known product. This responsibility involves note design (including features that enhance security against counterfeiting), as well as printing, distributing and eventually replacing bank notes. Coinage, on the other hand, is produced by the Royal Canadian Mint. Lastly, as the government's fiscal agent, the Bank advises the government on matters relating to the public debt, issues government debt, maintains bondholder records, and makes payments on behalf of the government for interest and debt redemption.

#### Legislation

- Bank Act
- Bank of Canada Act
- Currency Act
- Financial Administration Act
- Payment, Clearing and Settlement Act

#### Organization

##### Corporate Administration Departments

The Corporate Administration Departments provide advice, information and internal services that support the management of the Bank. The Corporate Administration departments are: Executive and Legal Services, Communications, Corporate Services, Financial Services (information, human resources, facilities, office, protective and automation services) and Audit Services. Executive and Legal Services provide corporate secretary support to the Bank's Board of Directors and the management of the Bank. Communications provide publication and public information services and Financial Services is responsible for the internal financial functions of the Bank, statutory financial reporting requirements, accounting in support of the Exchange Fund Account and administration of unclaimed bank balances.

## Department of Banking Operations

The overall responsibility of the Department is to provide efficient and effective service to other central banks, international financial organizations, the Government of Canada, chartered banks, trust companies and other financial organizations. Its responsibilities include the security and administration of valuables such as gold and securities, the provision of banking services to other clients, and all aspects of the issuance of bank notes, including custody of the National Currency Collection. The Department also provides fiscal functions for which the Bank of Canada acts as an agent for the Government of Canada. These functions include the clearing of government obligations and receiving deposits for the account of the Government of Canada. Finally the Department participates with the Research Department in the Bank's Regional Presence activities.

## Department of Monetary and Financial Analysis

This department is responsible for analyzing the transmission mechanism of monetary policy and contributing to the Bank's role in providing for financial stability. The department monitors and analyzes the evolution of financial variables such as monetary aggregates, credit aggregates and interest rates. It also monitors the evolution of the financial institutions, financial intermediation and payments systems to assess the implications for monetary policy and financial stability. It provides advice on regulatory and supervisory issues related to the financial sector policies under the jurisdiction of the federal government. Finally the department is responsible for the regulatory oversight of major clearing and settlement systems.

## Financial Markets Department

This department has both operational and analytical duties. Its most important operational functions are to help implement monetary policy through its activities in financial markets, to conduct foreign exchange operations as fiscal agent for the government and the Bank, and to issue Government of Canada securities (principally treasury bills and marketable bonds) both domestically and abroad. Its analytical function is to monitor conditions in financial markets, forecast key financial flows and study relevant financial relationships. The results are communicated to the Bank's senior officers for their use in formulating monetary policy, advising the government on matters related to debt management, and influencing the development of

capital market structures appropriate to Canadian needs.

## Debt Administration Office

This department is responsible for administering Government of Canada domestic securities. Its functions include: development and distribution of debt certificates; maintenance of the debt register information; servicing the holders of debt instruments through account statements, interest payments, product information and other client services; and managing the order-taking and redemption processes through intermediaries.

## International Department

The principal responsibilities of this department include producing timely analyses of current and prospective economic developments in foreign countries, providing policy advice on issues addressed by international organizations such as the International Monetary Fund and the OECD, and undertaking studies on international financial markets and economic policy issues.

## Research Department

This department's primary responsibility is to assess the significance of current economic developments and prospects in Canada and to keep Bank management fully informed about them. An aspect of this responsibility is to seek further understanding of the operation of the economy and of public policies which are, or could be, employed in an attempt to regulate it.

## Information Holdings

### Program Records

#### Corporate Administration Departments

#### Confirmation of Balances and Statements of Gold and Securities Held in Safekeeping by the Bank of Canada

**Description:** Information on the custodial responsibilities of the Bank towards clients for the safekeeping of their gold or securities.

**Topics:** Central banks; chartered banks; domestic financial institutions; Government of Canada accounts; Government of Canada agencies; international financial institutions; dealers.

**Access:** Files are arranged by organization.

**Format:** Paper and electronic.

**Program Record Number:** BOC CSD 345

### **Exchange Fund Account**

**Description:** Information on the Minister of Finance's Exchange Fund Account, the principal repository of Canada's foreign exchange reserves.

**Topics:** Legislation, transactions and accounting procedures; portfolio management; Exchange Fund Account reports.

**Access:** Files arranged by subject

**Format:** Paper and electronic

**Program Record Number:** BOC CSD 350

### **General Accounting Records**

**Description:** Information on various accounts and accounting as prescribed by the Bank of Canada Act.

**Topics:** Accounting; Bank of Canada balance sheets; Bank of Canada notes -general, orders and deliveries, destruction, pricing; statements/reports; banks in liquidation -loan analysis; investment transactions; unclaimed bank balances.

**Access:** Files arranged by subject

**Format:** Paper and electronic

**Program Record Number:** BOC CSD 340

### **Department of Banking Operations**

#### **Bank Note Research**

**Description:** Information on all phases of bank note design, production, anti-counterfeiting measures, distribution and special studies on the automation of handling of bank notes.

**Topics:** Special studies; committees and conferences; currency usage -technological developments; coin/note substitutions; bank note design -general, series and denominations, counterfeiting/simulations, security features, research, security research; bank note production; note flows issues; notes flows -studies/projects; automation.

**Access:** Files arranged by subject

**Format:** Paper and electronic

**Program Record Number:** BOC DBO 285

#### **Bank of Canada Notes, Government Securities and Gold**

**Description:** Information on the finishing, inventory and distribution of Bank of Canada notes and Government of Canada securities; the processing and destruction of used and mutilated bank notes; custodial responsibilities for gold.

**Topics:** Accounting procedures; Bank of Canada notes -general, statements, bank note companies, orders/deliveries, shipments, transportation, inventory, redemption and disposal, destruction certificates -unissuable notes; coins -general, statements, mutilated, requisitions; securities; treasury bills; Canadian National Railway bonds; Government of Canada bonds; Canada Savings

Bonds; client gold accounts arrangements and transactions.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 300

#### **Canadian Institutions and Financial Sector Automation**

**Description:** Information on the payment systems of major Canadian institutions.

**Topics:** Chartered banks and savings banks; trust and mortgage loan companies; credit unions and caisses populaires; provincial government savings institutions; Canadian government departments and agencies; retailers; communications carriers; protocols.

**Access:** Files arranged by company.

**Format:** Paper and electronic

**Program Record Number:** BOC DBO 301

#### **Client Accounts**

**Description:** Information on the maintenance of client accounts and related transactions.

**Topics:** Accounts related to the Government of Canada; Government of Canada agencies; chartered banks and non-banks; central banks and international financial institutions.

**Access:** Files arranged by client account.

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 275

#### **Domestic Payment System Developments and Implications**

**Description:** Information on planning in the Canadian payments system as it evolves towards more electronic methods.

**Topics:** Canadian clearing system; task forces and committees; Canadian Computer Communications Task Force; Working Group 3 study; payments system policy; Canadian Payments Association.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 302

#### **Government Banking and Agency Operations**

**Description:** Information on field operations of banking services to other central banks and fiscal agent services provided to the Government of Canada.

**Topics:** See Government Banking and Fiscal Services, Client Accounts and Loans of or Guaranteed by the Government of Canada.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 290

### **Government Banking and Fiscal Services**

**Description:** Information on general banking services to other central banks and to fiscal agent services provided for the Government of Canada.

**Topics:** Bank Act security; Canadian Bankers' Association; clearing; government deposits; Interbank International Payments System; safekeeping of valuables; one dollar coin; Bank of Canada accounts at central banks; Bank of Canada gold accounts at central banks; external signing authorizations; Bank of Canada notes - general, operational procedures, enquiries/comments, pricing and ordering, design and release, circulation, counterfeit, redemption and disposal, bank note companies; coins - general, enquiries, specimen and commemorative coins; deposits and payments processed through client accounts; Canadian Payments Association - general, automated clearing settlement system (ACSS); Large Value Transfer System (LVTS); Banknote Operation System (BNOS); Note Exchange System (NES); Funds Management (Financial Asset/Liability Management); Financial Stability (Settlement and Credit Operations); agency operational procedures; cash overages and shortages; client services; automation -bank note distribution systems -general -meetings; taxation -policies and procedures; transportation administration; transportation contracting; transportation security matters; closing of agencies' cash operations; regional presence, regional distribution points.

**Access:** Files arranged by subject

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 270

### **Government of Canada Clearings and Redemptions**

**Description:** Information on the processing of government items and the related payments or deposits to be made to or on behalf of the government.

**Topics:** Balance and recapitulations; government deposits; redemptions; settlement enquiries; deposit letters.

**Access:** Files arranged by subject

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 295

### **International Payments System Developments and Implications**

**Description:** Information on international payments system automation research and planning.

**Topics:** Bank for International Settlements (BIS); central banks; International Standardization Organization (ISO) -automation standards; Society for World-Wide Inter-bank Financial

Telecommunications (SWIFT).

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 303

### **Loans of or Guaranteed by the Government of Canada**

**Description:** Information on loans issued by or guaranteed by the Government of Canada for which the Bank of Canada acts as manager of the public debt; also rules, regulations and transactions of each issue.

**Topics:** Transfers and exchanges; transfer and guarantee of signatures on securities -resolutions; treasury bills; Canadian National Railways bond issues; Government of Canada bonds; instructions to agents on the delivery of Government of Canada loans, bond auctions and Canada Savings Bonds; interest payments and commission due on foreign borrowings; Revolving Standby Credit Facilities.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 280

### **Role of Banks in Providing Computer Services**

**Description:** Research performed by the Canadian Computer Communications Task Force and the Interdepartmental Steering Committee on the electronic payments system.

**Topics:** Task forces and committees; computer services offered by financial institutions; computer services bureaus.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC DBO 304

### **Department of Monetary and Financial Analysis**

#### **Capital Markets**

**Description:** Information and studies into the functioning of capital markets.

**Topics:** Household credit; bond markets; equity markets; money markets; securitization.

**Access:** Files arranged by subject.

**Format:** Paper and electronic

**Program Record Number:** BOC MFA 155

#### **Chartered Bank Analysis**

**Description:** Information on balance-sheet and income statements of chartered banks and descriptive and econometric analysis of the banking system.

**Topics:** Canadian dollar assets; Canadian dollar liabilities; foreign currency business and operations abroad; earnings, expenses and balance of revenue; chartered bank operations through affiliates.

**Access:** Files arranged by transactions.

**Format:** EDP systems.

**Program Record Number:** BOC MFA 105

### Consumer Credit Markets

**Description:** Information collected by the Bank of Canada or Statistics Canada on the consumer debt held by financial institutions; also analyses of consumer credit markets.

**Topics:** Consumer credit and Household credit.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 125

### Data Administration

**Description:** Documentation of data bases and requirements.

**Topics:** Data base documentation; data requirements; data definitions; data adjustments; data sources; data operations manuals.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 165

### Econometric Analysis and Background Studies

**Description:** Econometric models of financial markets, econometric analysis of the demand for financial assets, econometric investigation of financial-real linkages and general information on recent developments in econometric techniques.

**Topics:** Econometric analysis of the monetary system; econometric models of markets; econometric models on financial-real linkages; technical support and special projects.

**Access:** Files arranged chronologically.

**Format:** EDP systems.

**Program Record Number:** BOC MFA 140

### Financial Flows and Forecasting

**Description:** Information on the flow of credit between broad sectors of the economy; summary tables published semi-annually in the Bank of Canada Review.

**Topics:** Financial flows matrix; credit market summary tables; sectoral analyses; financial markets projects.

**Access:** Files arranged by subject, sector and financial instrument.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 135

### Interest Rates

**Description:** Statistical information on market and administered rates in Canada and abroad; also analytical material related to interest rates, such as analyses of the term structure of real interest rates, and of the relationship between interest rates and inflation.

**Topics:** Canadian financial institutions' interest rates; Canadian securities market interest rates; American interest rates; European interest rates.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 130

### Monetary Policy

**Description:** Technical and econometric analyses of the role of monetary and credit aggregates as targets or indicators of monetary policy, as well as some analyses of the importance of international linkages in the conduct of monetary policy.

**Topics:** Bank of Canada balance sheet data; instruments of monetary policy; targets and indicators of monetary policy; international aspects of monetary policy.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 100

### Mortgage Market

**Description:** Information on mortgage loan approvals and mortgages outstanding held by financial institutions collected for the most part from published sources; also analyses of the mortgage market.

**Topics:** Private institutional lenders; government lenders; new housing; existing housing.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 120

### Non-bank Financial Intermediaries

**Description:** Balance-sheet data and analyses of the non-bank financial institutions.

**Topics:** Trust and mortgage loan companies; credit unions and caisses populaires; sales finance and consumer loan companies; affiliates of foreign banks; life insurance companies; Quebec Savings Bank; provincial savings offices.

**Access:** Files arranged by company.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 110

### Regulatory Issues

**Description:** Reports and studies on regulatory issues.

**Topics:** Deposit Insurance; ownership of financial institutions; statutory revisions; structure of financial institutions; Payments systems.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 160

## Reviews and Comments on External Documents

**Description:** Reviews and/or comments on external documents received by the Bank of Canada.

**Topics:** Documents from Department of Finance, Statistics Canada, The Conference Board of Canada, various other Canadian government departments, provincial governments, private sector organizations, American organizations (e.g. DRI, Conference Board), international organizations (e.g. IMF, OECD); academic publications or discussion papers.

**Access:** File arranged by institution.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 170

## Security

**Description:** The security business line is responsible for administering the Bank's Security Policy and the Canadian Government Security Policy. It has the responsibility to develop policies and procedures in the areas of access control, physical security, security of personnel, security of material, security of information technology, security of informatics and communications security.

**Topics:** Physical access control; security breaches; access cards; security screening and clearances; policies and standards; threat and risk assessments; security awareness and training; business continuity management program; physical security systems and equipment; advice and training on the use of security equipment; access control credentials and associated access rights to the Bank's IT environment.

**Access:** files arranged by subject

**Format:** paper files and electronic records

**Program Record Number:** BOC CSD 355

## Surveys, Reports and Returns

**Description:** Information on the collection of financial data required for the monitoring and analysis of financial developments.

**Topics:** Reports and returns -trust companies, mortgage loan companies, non-financial companies, sales finance and consumer loan companies, affiliates of foreign banks; credit unions.

**Access:** Files arranged by company or organization.

**Format:** Paper and electronic.

**Program Record Number:** BOC MFA 150

## United States and other Non-Canadian Financial Developments

**Description:** Information on American monetary policy and recent and projected financial

developments in the U.S. and rest of world.

**Topics:** United States -monetary policy and regulations, banking system; securities markets; thrift institutions and mortgage market; financial commentaries; financial data.

**Access:** Files arranged by subject.

**Format:** Paper and electronic

**Program Record Number:** BOC MFA 145

## Financial Markets Department

### Book-Entry Securities Systems Development

**Description:** Information on the studies, planning, development, coordination and implementation of book-entry securities systems.

**Topics:** New issue distribution service (NIDS); Canada bond bring-on project (CBBO); Money Market System (MMS); risk containment and regulation; debt clearing service; other special projects.

**Access:** Files arranged by subject

**Format:** Paper and electronic

**Program Record Number:** BOC FMD 071

### Capital Markets

**Description:** Reports of economic and financial developments in the Atlantic region of Canada; also activities of various organizations that relate to capital market developments of interest to the Bank of Canada.

**Topics:** Capital market coverage; government regulatory bodies; Canadian Depository for Securities; United States Securities Regulations; financial structure and regulation.

**Access:** Files arranged by subject.

**Format:** Paper and electronic

**Program Record Number:** BOC FMD 005

### Chartered Bank Cash Management

**Description:** Information relating to the cash reserve management operations of the Bank of Canada and the chartered banks; the assets and liabilities of the Bank of Canada; and the characteristics of the institutional relationship within the clearing and settlement system.

**Topics:** Bank of Canada balance sheets; advances; underbought/overbought position; cash reserves; reserve requirements; clearings and payments system; Government of Canada deposits; note circulation; statements; compensation to financial institutions; chartered banks; direct clearing members of the Canadian Payments Association; Zero Reserve Operations; cumulative averaging.

**Access:** Files arranged by subject and institution.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 035

### **Domestic Financing -General**

**Description:** The release of general information outlining the terms and conditions of Government of Canada new loan issues.

**Topics:** New loan and bond auction press releases; prospectuses; confirmation of offering; procedures; allotments; participation; statements.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 050

### **Domestic Financing -Matured Government of Canada Loans and Canada Savings Bonds**

**Description:** Historical statistical information on the administrative details of each Government of Canada loan operation; used as research material for current borrowing operations.

**Topics:** Loans.

**Access:** By name or maturity.

**Format:** Microfilm.

**Program Record Number:** BOC FMD 055

### **Foreign Exchange Market Analysis**

**Description:** Information on developments in the Canadian and overseas exchange markets, trading in Canadian dollars against foreign currencies, the value of the major foreign currencies and exchange arrangements maintained by other major countries.

**Topics:** Summary reports on exchange rates; statistical reviews and exchange rate development in overseas countries; exchange market settlement and accounting features; foreign exchange market surveys; forward market, swaps, currency futures and other financial innovations; statistical reports; external financing and takeovers; globalization of the foreign exchange market.

**Access:** Arranged by institution and by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 080

### **Foreign Exchange Transactions**

**Description:** Information on foreign exchange bookkeeping and trading procedures of the Bank of Canada and transactions with other central banks.

**Topics:** Transactions and procedures; portfolio management; reports; signing authorities; Bank of Canada foreign accounts.

**Access:** Files arranged by subject or organization.

**Format:** Paper and electronic.

**Program Record Number:** BOC CSD 355

### **Foreign Financing -Government of Canada**

**Description:** Legal documentation for Government of Canada foreign loans and standby credit facilities. Statistical information used to

monitor and analyze developments in international capital markets. Statistical and administrative documentation of the procedures undertaken by the Government of Canada to borrow abroad.

**Topics:** Foreign financing general; foreign banks; Exchange Fund Account; Government of Canada foreign loans issued; standby credit facilities; Canada bills; interest rate and currency swaps; Yankee Bond buyback program; foreign underwriters.

**Access:** Files arranged by subject, by loan and issue date and by company.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 060

### **Government of Canada Cash Projections and Debt Management Planning**

**Description:** Information on the management and forecasting of the Government of Canada's cash balances. Analytical studies to support debt management planning and initiatives are prepared.

**Topics:** Federal budget and main estimates; government cash reports and forecasts; debt management issues.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 065

### **Government Sector Analysis and Forecasting**

**Description:** Information on developments in the government sector. Projections of federal and provincial government revenues and expenditures are developed.

**Topics:** Monitoring and forecasting using the Quarterly Projection Model; QPM-related and other special reports; program and policy analysis; provincial budget and borrowing analysis.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 066

### **Intervention**

**Description:** Documents and papers prepared in Canada and in other major countries relating to the Working Group on Exchange Market Intervention. The group was established at the Versailles Summit of the Heads of State and Government, June 1982.

**Topics:** Intervention studies.

**Access:** Files arranged by subject and by country.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 090

### **Money Market Analysis and Primary Distribution**

**Description:** Information on the general financial market activity of various institutions and

organizations with particular emphasis on the money market arrangements (with Bank of Canada) and money market activity of banks and investment dealers.

**Topics:** Industries and associations; Financial Research Foundation of Canada; financial institutions; stock exchanges; insurance companies; mortgage companies; finance companies; non-financial institutions; primary distributors; jobber money market report; municipal financing; banker's acceptances; mergers of companies and organizations; brokers.

**Access:** Files arranged by subject and company.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 010

#### **Official International Reserves**

**Description:** Information on Canada's foreign exchange reserves, including holdings of the Minister of Finance, the Receiver General and the Bank of Canada, as well as borrowings by the Canadian government in foreign currencies.

**Topics:** Definitions and historical data; reports and statements on reserve status; Government of Canada foreign currency borrowings and loans; reserves -investments.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 095

#### **Open Market Operations and Securities Market Analysis**

**Description:** Statistical and analytical information relating to financial markets.

**Topics:** Interest rates; treasury bills; comments on markets; purchase and resale agreements; stock averages and prices; short-term paper; client transactions; issues placements; bond prices, yields and quotes; securities transactions; holdings of securities; U.S. securities; Bank of Canada portfolio; provincial, corporate and municipal markets; interest rate futures.

**Access:** Files arranged by year and transaction.

**Format:** Microfilm.

**Program Record Number:** BOC FMD 030

#### **Primary Distributors -Dealers**

**Description:** Reports on the volumes of transactions in the Canadian securities markets - used to assess the level of activity in Canadian securities markets.

**Topics:** Dealers by name.

**Access:** Files arranged geographically and by company.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 020

#### **Primary Distributors -Jobbers**

**Description:** Information on the financial arrangements between the Bank of Canada and major Canadian investment dealers relating to money market activities.

**Topics:** Jobbers.

**Access:** By name.

**Program Record Number:** BOC FMD 015

#### **Primary Distributors -Statistics**

**Description:** Detailed statistical information on the levels of participation by each Canadian investment dealer in each Government of Canada loan.

**Topics:** Jobbers and dealers by name.

**Access:** Files arranged by institution, company and region.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 025

#### **Special Studies and Analysis**

**Description:** Studies and analyses of the various techniques used to implement monetary policy, debt management and securities market strategy.

**Topics:** Debt management analysis; cash reserve management studies; interest rate analysis; macroeconomics policy papers; capital market analysis; money market analysis; marketing government debt; Canada Savings Bond analysis and surveys.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 070

#### **Debt Administration Office**

##### **Accounting for Government of Canada Securities**

**Description:** Information on the recording, for reporting and controlling purposes, of activities for the period during which the securities are in existence.

**Topics:** Accounting records and controls; financial reports.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 330

##### **Administrative Arrangements with Financial Institutions**

**Description:** Instructions and other data made available to financial institutions through which the Bank of Canada deals with bond owners in the normal course of business.

**Topics:** Issue of Government of Canada loans and securities; maintenance of securities registers; retirement of securities; agents and distributors; Canadian Payments Association.

**Access:** Files arranged by subject, by loan.



**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 335

### **Government Securities in the Retail Debt Market**

**Description:** Information on the planning, coordination and administration of the sale of Government Securities in the retail debt market; also reports/statistics on the monitoring and analysis of the results of the sale of these securities.

**Topics:** Government Securities in the retail debt market -general; automation; inquiries; materials - general, distribution, materials distribution centre and lists, inventory, production, transportation; Payroll Savings Plan -campaign, loans, organization, personnel, personnel remuneration, regions/territories, remittance schedules, sales; public service campaign; remittances; sales agents -general, arrangements, coordination, associations, fees and commissions, subagents; sales and redemption.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 340

### **Government Securities, Retail Debt Market - Sales and Processing Agents**

**Description:** The administrative arrangements between the Bank of Canada and eligible Sales Agents and Processing Agents.

**Topics:** Sales Agents and Processing Agents - companies, trust companies, trust companies - non-listed, schedule "B" banks; sales agents other than trusts; processing agents other than trusts and banks.

**Access:** Files arranged by company.

**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 345

### **Issue of Government of Canada Loans and Securities**

**Description:** Information on the domestic and foreign borrowings by the Government of Canada for which the Bank of Canada acts as fiscal agent or participates as an advisory body.

**Topics:** Treasury bills; Canadian National Railway bonds; Canada Savings Bonds; New Canada Payroll Savings Plan; Canada Premium Bonds; foreign loans; Government of Canada marketable bonds; Government of Canada loans issued; real return bond issues.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 305

### **Maintenance of Securities Registers**

**Description:** Information on procedures and individual security registers and their periodic

updating.

**Topics:** Transfer and exchanges; change of address; lost, stolen or destroyed coupons; lost, stolen or destroyed security certificates; securities registrations; securities processing; guarantee of signatures.

**Access:** Files arranged by subject.

**Format:** Microfilm.

**Program Record Number:** BOC GSS 315

### **Payment of Interest**

**Description:** Information on the various means and processes by which the contractual obligation to pay interest is discharged.

**Topics:** Direct deposit; cheques; coupons; withholding tax; interest notices; interest cheque production; cash bonuses; adjustments; taxation.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 320

### **Production of Security Certificates**

**Description:** Information on all phases necessary to obtain adequate supplies of security certificates and their distribution to the appropriate locations.

**Topics:** Production reports; certificate design; foreign issues; printing errors; certificates ordered and distributed; contracts with suppliers.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 310

### **Retirement of Government Securities**

**Description:** Information on the process through which owners of Government of Canada securities are reimbursed at maturity or in accordance with the terms under which the securities were issued.

**Topics:** Canada Savings Bonds; Canada Premium Bonds; Government of Canada marketable bonds; treasury bills; war saving certificates; Canadian National Railways bonds; International Bank for Reconstruction and Development (World Bank) bonds; redemptions of foreign loans.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC GSS 325

### **International Department**

#### **Bank for International Settlements (BIS)**

**Description:** Information on meetings at the Bank for International Settlements (BIS), the work of various BIS committees and the provision of Eurocurrency statistics.

**Topics:** Meetings -general; Group of Ten - Governors Meetings; Gold and Foreign Exchange Meetings; Concertation Meetings; Meetings of Computer and Databank Experts; Committee on

Banking Regulation and Supervision; multilateral surveillance statistics meetings; Standing Committee on Eurocurrency Market; Financial Stability Forum; Eurocurrency statistics; bridge financing -credit facility.

**Access:** Files arranged by subject, committee and country.

**Format:** Paper and electronic.

**Program Record Number:** BOC INT 235

#### **Contacts**

**Description:** Information on various contacts of the Bank of Canada with institutions and organizations in the foreign exchange area in Canada and abroad, principally as an aid to monitoring and analyzing developments in exchange markets.

**Topics:** Legislation and bank reporting; Canadian Bankers' Association; general brokerage services; Canadian chartered banks; central banks and monetary authorities; foreign commercial banks; governmental departments, agencies and Crown corporations; non-bank financial institutions.

**Access:** Files arranged by institution or organization.

**Format:** Paper and electronic.

**Program Record Number:** BOC INT 200

#### **Developments in Foreign Countries**

**Description:** Information on current economic and financial developments in overseas countries, including relations with the International Monetary Fund (IMF), economic projections for major industrial countries, international comparisons, press reports on developments in overseas countries, international capital markets and international organizations.

**Topics:** Projections by international organizations and the Bank of Canada; developments in various countries; Bank for International Settlements press summaries; Commonwealth of Independent States (CIS).

**Access:** Files arranged by subject and country.

**Format:** Paper and electronic

**Program Record Number:** BOC INT 220

#### **Developments in the United States**

**Description:** Information on current economic and financial developments in the United States, and the economic outlook, including analysis of economic projections and studies produced by international organizations (IMF and OECD).

**Topics:** Developments in the United States; projections by international organizations and the Bank of Canada.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC INT 221

#### **Federal Organizations and Interdepartmental Committees**

**Description:** Information on federal government organizations or interdepartmental committees that deal with international economic questions in which the Bank has some involvement.

**Topics:** Export Development Corporation (EDC); Canadian International Development Agency (CIDA); interdepartmental meetings; interdepartmental committees on economic relations with developing countries and assistant deputy ministers' sub-committee on economic relations; Department of Finance; Department of External Affairs; information technology sub-committee of the Privy Council Office (PCO).

**Access:** Files arranged by organization or committee.

**Format:** Paper and electronic.

**Program Record Number:** BOC INT 215

#### **Gold, Silver and Other Commodities**

**Description:** Information on gold, silver and commodity market practices -statistics, legislation and official gold transactions.

**Topics:** Gold legislation; gold operations; gold markets; export-import reports; silver legislation and oil.

**Access:** Files arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC FMD 086

#### **International Developments**

**Description:** Information on developments in international capital markets, in particular international banking, Eurocurrency and bond markets, external debt of overseas countries, deployment of oil exporter's surpluses and recycling and major commodities, including commodity agreements.

**Topics:** International finance; international capital markets -recent developments and borrowing and recycling; commodities; inter-central bank arrangements.

**Access:** Files arranged by subject.

**Format:** Paper and electronic

**Program Record Number:** BOC INT 210

#### **International Monetary Fund (IMF)**

**Description:** Information on the work and activities of the International Monetary Fund (IMF), issues discussed at IMF Executive Board meetings and at the Interim Committee.

**Topics:** IMF General Account -drawings and repurchases, special drawing rights, general arrangements to borrow; Canadian consultations; International Monetary System and Reform Exercise; other lending facilities; annual meetings; amendments to articles of agreement.

**Access:** Files arranged by subject.

**Format:** Paper and electronic

**Program Record Number:** BOC INT 230

### International Organizations and Institutions

**Description:** Information on the activities of various international or regional economic organizations, in particular those aspects that relate to world economic or financial issues of interest to the Bank.

**Topics:** International Bank for Reconstruction and Development (IBRD); European Economic Community (EEC); Commonwealth/Committees Meetings; Technicians of Central Banks of the American Continent (CEMLA); Summit Meetings; Group of Ten; Organization for Economic Co-operation and Development (OECD) International Co-operation and Policy Coordination; European Bank for Reconstruction and Development (EBRD); Asian Development Bank; Group of Twenty-two; Group of Thirty-Three; other international organizations and institutions; structural reform and adjustment in eastern Europe; international assistance in response of gulf crisis.

**Access:** Files arranged by organization.

**Format:** Paper and electronic.

**Program Record Number:** BOC INT 225

### Research Department

#### Current Analysis and Economic Developments

**Description:** Interpretation of current economic data for Canada and analysis of the economic implications of current economic developments.

**Topics:** Current analysis; National Accounts; Balance of Payments; economic cycles/indicators; conferences; consumption/saving; housing; investment/inventories/cost of capital; supply and demand for labour; wages; prices (inflation); direct taxes; indirect taxes and subsidies; foreign sector; financial sector; productivity; production functions; capacity utilization; economic potential; income distribution; regions of Canada; industries; rest of the world; Canadian farm sector; world energy markets; resource sector (other than farm and energy); demographics; world commodity markets; Canadian energy sector; exchange rates; interest rates.

**Access:** Files are arranged by subject.

**Format:** Paper and electronic

**Program Record Number:** BOC RES 081

#### General Economic Analysis -Theory and Models

**Description:** Information on the structure and use of Bank of Canada econometric models, and other analyses of the structure and behaviour of economies.

**Topics:** Theory; input/output; economic cycles/indicators; history; conferences; consumption/saving; investment/inventories/cost of capital; supply and demand for labour; wages; prices (inflation); direct taxes; indirect taxes and subsidies; foreign sector; financial sector; productivity; production functions; capacity utilization; economic potential; income distribution; regions of Canada; industries; rest of the world; Canadian farm sector; world energy markets; resource sector (other than farm and energy); models in general; RDX2; RDXF; SAM; QPM; demographics; world commodity markets; Canadian energy sector; exchange rates; interest rates.

**Access:** Files are arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC RES 086

#### Projections, Policy Simulations and Policy Analysis

**Description:** Economic projections for the Canadian economy, information on the use of econometric models for analysis of alternative macroeconomic policies, and other policy analyses.

**Topics:** Staff projections; price and incomes policy; market structure policy; government expenditures and transfers; government finance; monetary policy; fiscal policy; exchange rates; interest rates.

**Access:** Files are arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC RES 076

#### Quantitative Methods, Computer and Data (Sources and Methods)

**Description:** Descriptions of research methods, data construction and computer systems.

**Topics:** Econometrics; programming and computer systems; time series analysis; input/output; National Accounts; Balance of Payments; demographics; general methodology.

**Access:** Files are arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC RES 096

#### Reviews and Comments on External Documents

**Description:** Reviews and/or comments on external documents received by the Bank of Canada.

**Topics:** Documents from Department of Finance, Economic Council of Canada, Statistics Canada, The Conference Board of Canada, various other Canadian government departments, provincial governments, private sector organizations, American organizations (e.g. DRI, Conference

Board), international organizations (e.g. IMF, OECD); academic publications or discussion papers.

**Access:** Files are arranged by subject.

**Format:** Paper and electronic.

**Program Record Number:** BOC RES 091

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Business Continuity Plans

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Human Resources

Information Technology Services

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Procurement

Salaries and Wages

Staff Relations

Training and Development

Utilities

Vehicles

## Personal Information Banks

### Access to Information and Privacy Requests Data Bank

**Description:** This bank contains the access to information and personal information request forms or letters sent by individuals requesting access to files, the replies to such requests and information related to their processing, including copies of information that may have been disclosed and any record of subsequent complaints.

**Class of Individuals:** Canadian citizens, permanent residents of Canada, and individuals present in Canada.

**Purpose:** The information is used for processing requests; to assist in the preparation of annual reports, and to provide a record of all such requests received by the Bank.

**Consistent Uses:** Non-personal information may be used to provide reports on ATIP activities to management and to the Treasury Board Secretariat and other institutions, i.e. through CAIRS. The information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** These files are held for two years after the last administrative use, then destroyed.

**RDA Number:** 98/001

**Related PR#:** BOC 930

**TBS Registration:** 001596

**Bank Number:** BOC PPU 030

### Applications for Employment

**Description:** This bank contains all applications received from the general public requesting employment with the Bank of Canada. It includes completed application forms and self-identification information on employment equity group status, letters, curriculum vitae, complaints and other personal information. Individuals are identified by name.

**Class of Individuals:** Individuals seeking employment.

**Purpose:** To maintain a record of Applications for Employment.

**Consistent Uses:** The files are used in the selection of staff, and for reporting and statistical purposes.

**Retention and Disposal Standards:** Solicited and unsolicited applications which have been considered in a staffing process are to be kept for a period of two years after the last administrative

use. Complaint files are kept for five years following date of resolution, then destroyed. Unsolicited applications which have not been considered in a staffing process are kept for a period of one year, then destroyed.

**RDA Number:** 98/005

**Related PR#:** BOC 920

**TBS Registration:** 001597

**Bank Number:** BOC PPU 035

#### **Bank Act Section 427 - Client Records**

**Description:** This bank contains information about individuals' use of the registry services provided under S. 427 of the Bank Act including account information used to establish credit accounts for those individuals. Services include searches of the register and the provision of copies of Notices of Intention and Certificates of Release.

**Class of Individuals:** Registry services clients including individuals whose intention it is to give security under S. 427 and individuals who seek to access information on the register.

**Purpose:** The purpose of this bank is to maintain a record of client account information including requests for registry services by individual clients and financial information concerning the clients which will permit them to establish accounts for payment for registry services.

**Consistent Uses:** The information is used to notify clients of errors made in the register, assess and improve the delivery of registry services and permit clients to pay for registry services by means other than cash on delivery.

**Retention and Disposal Standards:** Records are held for 7 years after account closes, then destroyed.

**RDA Number:** to be determined

**Related to PR#:** BOC DBO 270

**TBS Registration:** 004038

**Bank Number:** BOC PPU 046

#### **Bank Act Section 427 - Register**

**Description:** The Section 427 Register consists of the Notices of Intention which are registered pursuant to Section 427 of the Bank Act and the Certificates of Release which pertain to those Notices. A Notice of Intention contains the name of a person, firm or company and mailing address whose intention it is to give security under S. 427. It includes the name of the Schedule I or II bank to which the security is intended to be given.

**Note:** It is not necessary to make a formal request for access to the Bank Act Security register. Information on the register is available under the Bank Act to anyone on payment of the prescribed fee. Inquiries may be directed to Canadian Securities Registration Systems, Suite

300, 4126 Norland Avenue, Burnaby, B.C., V5G 3S8

**Class of Individuals:** Persons whose intention it is to give security under S. 427.

**Purpose:** To maintain a record of Notices of Intention that have been registered and registrations that have been cancelled by a Certificate of Release.

**Consistent Uses:** The information is used to respond to inquiries from the general public regarding the existence of a Notice of Intention.

**Retention and Disposal Standards:** Records are held for 7 years from date of cancellation, or expiration then destroyed.

**RDA Number:** TBD

**Related PR#:** BOC DBO 270

**TBS Registration:** 004037

**Bank Number:** BOC PPU 045

#### **Bondholder Enquiries and Estate Files**

**Description:** This bank contains names, addresses, social insurance numbers, registration or account identifiers and copies of legal documents that support the transfer of ownership of Government of Canada Securities and other correspondence between bondholders, or their authorized representatives, and the Bank of Canada. Included in the correspondence are: requests for information on Government of Canada Securities presently or previously held; communications regarding errors in registration, lost security certificates, coupons and interest cheques. As of June 1995, general inquiries such as requests for information concerning the terms and conditions of specific issues and interpretations of the Domestic Bonds of Canada Regulations are retained only if received in paper form. The medium of retention is electronic.

**Note:** It is normally not necessary to make a formal request under the Privacy Act for your own personal information appearing in this register. Personal inquiries should be directed to New Canada Savings Bonds by calling 1-800-575-5151; by e-mail at [csb@csb.gc.ca](mailto:csb@csb.gc.ca); by writing to PO Box/CP 2770, Stn/Succ D, Ottawa, Ontario, K1P 1J7.

**Class of Individuals:** General public.

**Purpose:** The purpose of this bank is to store documents that support the transfer of ownership of Government of Canada Securities and other correspondence between bondholders, or their authorized representatives, and the Bank of Canada. The use of the social insurance number is required under the Income Tax Act.

**Consistent Uses:** The information is used to respond to enquiries from holders of Government of Canada Securities or their authorized

representatives.

**Retention and Disposal Standards:** Retention periods range from two years to indefinite. The records for lost security certificates or coupons are retained indefinitely if the original security certificates or coupons have not been located. However, if the original security certificate or coupon has been located after a replacement has been issued, these records are destroyed two years after reimbursement to the Bank of Canada. However, if the original security certificate or coupon is located prior to replacement, paper and images are destroyed one year after notification of discovery. The records pertaining to estate matters are held for ten years on microfiche, microfilm or electronic media and are then destroyed.

**RDA Number:** TBD

**Related PR#:** BOC GSS 335

**TBS Registration:** 004134

**Bank Number:** BOC PPU 015

#### **Government of Canada Securities Registers**

**Description:** This bank contains names, addresses, social insurance numbers, registration or account identifiers and a record of the securities held and redeemed by persons.

**Note:** It is normally not necessary to make a formal request under the Privacy Act for your own personal information appearing in this register. Personal inquiries should be directed to New Canada Savings Bonds by calling 1-800-575-5151; by e-mail at [csb@csb.gc.ca](mailto:csb@csb.gc.ca); by writing to PO Box 2770, Stn D, Ottawa, Ontario, K1P 1J7.

**Class of Individuals:** Registered owners of Government of Canada Securities.

**Purpose:** The purpose of this bank is to maintain a record from which the liability of the Government of Canada in the form of direct or guaranteed securities can be administered (the liability is established in the Receiver General's account (authority -Financial Administration Act). Other purposes are to establish the status of individual securities and to respond to enquiries from bondholders or their authorized representatives. The use of the social insurance number is required under the Income Tax Act.

**Consistent Uses:** The information is used in the general administration of the government's debt and, in particular, to maintain a record of ownership of fully registered securities as required by the Domestic Bonds of Canada Regulations issued under the authority of the Financial Administration Act. The registers of fully registered bonds form the basis on which interest payments are made. The registers are also used to consult with bondholders periodically to

determine client needs and the level of satisfaction with services provided, and to advise bondholders of new bond offerings.

**Retention and Disposal Standards:** Records are maintained indefinitely on microfiche, microfilm or electronic media, including a computer database.

**RDA Number:** TBD

**Related PR#:** BOC GSS 315

**TBS Registration:** 004132

**Bank Number:** BOC PPU 005

#### **Personal Information Disclosed to Federal Investigative Bodies**

**Description:** This bank has been established in accordance with subsection 8(4) of the Privacy Act in order to retain copies of requests received from authorized federal investigative bodies for personal information pursuant to paragraph 8(2)(e) of the Privacy Act, for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Class of Individuals:** Individuals about whom requests for personal information have been received pursuant to paragraph 8(2)(e) of the Privacy Act from federal investigative bodies.

**Purpose:** The purpose of this bank is to permit the Privacy Commissioner to review disclosures, investigate complaints and report on any abuse of this disclosure provision. The use of the social insurance number is a requirement under the Income Tax Act.

**Consistent Uses:** This bank is used to service inquiries from federal investigative bodies.

**Retention and Disposal Standards:** Records are retained for at least two years following the date on which a request is received and are then destroyed.

**RDA Number:** TBD

**Related PR#:** BOC GSS 340

**TBS Registration:** 001595

**Bank Number:** BOC PPU 025

#### **Public Key Infrastructure Subscriber Information**

**Description:** This bank contains subscribers information collected by the Certification Authority of the Bank of Canada's Public Key Infrastructure. The Certification Authority is an internal entity used to issue, sign, revoke and manage digital certificates. A digital certificate is a secure electronic identity. Certificates typically contain a user's name and public key. Individuals that are subscribers of the Bank's Public Key Infrastructure have provided some identification and authentication information that may consist of their first and last name, photocopies of their passport, birth certificate, driver's license, employee service

specific identification card, health card or marriage certificate.

**Class of Individuals:** Bank of Canada employees, contractors, business partners and the public.

**Purpose:** to assist the Bank in providing security services for Web based transactions. These services include encryption, authentication and digital signature services.

**Consistent Uses:** the information collected by the Certification Authority will only be used for the purpose of issuing digital certificates and to enrol and verify a subscriber's identity.

**Retention and Disposal Standards:** private decryption keys stored by the CA never expire and will be kept indefinitely. Audit information, subscriber agreements and acknowledgements, and any identification and authentication information is retained for a minimum of seven (7) years following the termination of a certificate and then destroyed.

**RDA Number:** 98/001

**Related PR#:** BOC CSD 355

**TBS Registration:** 005156

**Bank Number:** BOC PPU 050

#### **Registers of Interest Paid and Accrued**

**Description:** This bank contains names, addresses, social insurance numbers and registration or account identifiers of persons to whom interest is paid, together with a record of all Government of Canada Securities held. The marketable debt interest payment data are maintained by interest payment date and series in a computer database. Since 1993, copies of these data have also been maintained on microfiche. The data on retail debt instruments are retained on microfiche, microfilm and electronic media, including a computer database. These data contain details relating to Income Tax Information Slips issued to holders of compound interest retail debt instruments purchased in 1990 and subsequent years. In addition, this bank contains requests to update data in the bank, including instructions for direct deposit of payments through a financial institution and for changes of address for mailing payments and Income Tax Information Slips.

**Note:** It is normally not necessary to make a formal request under the Privacy Act for your own personal information appearing in this register. Personal inquiries should be directed to New Canada Savings Bonds by calling 1-800-575-5151; by e-mail at [csb@csb.gc.ca](mailto:csb@csb.gc.ca); by writing to PO Box 2770, Stn D, Ottawa, Ontario, K1P 1J7.

**Class of Individuals:** Registered owners of Government of Canada Securities.

**Purpose:** The purpose of this bank is to maintain a record of the interest paid to holders of Government of Canada Securities. The use of the social insurance number is required under the Income Tax Act.

**Consistent Uses:** The information is used to investigate and respond to enquiries from holders of Government of Canada Securities relating to interest payments.

**Retention and Disposal Standards:** The marketable debt interest payment data are retained for six years in electronic form for cashed cheques. Records for outstanding cheques are held indefinitely. The interest payment data for retail debt instruments are retained on the computer database for a minimum of one year after issuance of the payment. Copies of these records are also retained on microfiche, microfilm or an electronic medium. Outstanding cheques and held payment data are retained indefinitely. Any direct deposit instructions received in paper form are recorded on microfilm and the paper request is destroyed. The microfilm records are retained for fifteen years and then are destroyed. Change of address notifications received in paper form are retained for six months and then the paper request is destroyed. All address updates, regardless of the medium of the request, are maintained on a computer database for at least one year.

**RDA Number:** TBD

**Related PR#:** BOC GSS 320

**TBS Registration:** 004133

**Bank Number:** BOC PPU 010

#### **Retail Debt Products Surveys**

**Description:** This bank contains information collected from the general public on their attitudes towards financial product attributes and to different combinations of these attributes. It also contains information on the public's ownership of various financial products (financial assets), the likelihood of purchase of new investment products and the amount of their purchase.

**Class of Individuals:** General public.

**Purpose:** The information is used for the purpose of determining the attitudes and reactions of the general public towards holding various investment instruments, including government debt instruments in particular.

**Retention and Disposal Standards:** Records are kept for a period of two years, then destroyed.

**RDA Number:** TBD

**Related PR#:** BOC GSS 340

**TBS Registration:** 001941

**Bank Number:** BOC PPU 040

### **Unclaimed Bank Balance Inquiries**

**Description:** This bank contains letters requesting verification of ownership of unclaimed bank balances as well as requests to purchase the Unclaimed Bank Balance file. Requests originate with individuals, chartered banks, trust companies, barristers and solicitors and tracing companies acting on behalf of their clients.

**Note:** Canadian chartered banks are required to transfer all deposit accounts, maintained in Canadian currency, that have been inactive for a period of ten years or more to the Bank of Canada, in accordance with Section 438 of the Bank Act. This also includes all instruments (bank drafts, certified cheques, deposit receipts, money orders and travellers' cheques) that remain on the books of the chartered banks after a period of ten years from the date of issue. The Bank of Canada acts as a custodian for unclaimed bank balances, responds to general inquiries and claims, and makes payments, without fees, to those persons entitled to receive the proceeds. Balances with a value of less than \$500.00 that remain unclaimed are kept for a period of twenty years, from the last date of transaction, then are transferred to the Receiver General for Canada. The accounts that represent a balance of \$500.00 or more are kept indefinitely, or until claimed. It is not necessary to make a formal Access to Information request for access to the register of dormant accounts; personal inquiries may be directed to Unclaimed Balances Services (telephone: 1-888-891-6398); the register may also be searched via the Web at: [ucbswww.bank-banque-canada.ca](http://ucbswww.bank-banque-canada.ca). As well, these records are available for sale, on a cost recovery basis, on certain magnetic media.

**Class of Individuals:** General public.

**Purpose:** The purpose of this bank is to process requests, to compile statistics and to maintain a record of the results of the verification process.

**Consistent Uses:** The information is used to respond to inquiries from owners of dormant accounts, or their authorized representatives in order to arrange for payments to rightful owners of these accounts.

**Retention and Disposal Standards:** Positive responses to requests for verification of ownership are kept for seven years, then destroyed. Vouchers and supporting documentation regarding paid accounts under \$1000 are kept for 10 years. Negative responses to requests for verification of ownership are kept for two years, then destroyed. Records relating to the purchase of the unclaimed bank balance file are kept for a period of seven years, then destroyed.

**RDA Number:** TBD

**Related to PR#:** BOC CSD 340

**TBS Registration:** 000073

**Bank Number:** BOC PPU 020

## **Classes of Personal Information**

### **General Correspondence and Enquiries**

Correspondence received from external organizations and individuals including requests for information, complaints, comments and suggestions related to a broad range of policy issues pertaining to the Bank's activities.

The personal information contained in this class normally includes the name and address of the enquirer, however, this form of personal information exists in a fragmented form throughout the subject files and is normally retrievable only if specifics of name, subject and the date of communication are provided.

The retention periods of these classes of personal information are controlled by the record schedules of the general subject files in which they are stored.

### **Mailing Lists**

This class contains correspondence and mailing lists which may contain personal information in the form of an individual's name, client number and, his or her home, business or mailing address.

The purpose of this class is to maintain standard lists for the mailing of publications, reports, press releases and other documentation on the Bank's activities and programs.

Paper records are kept for a period of three years, then destroyed. Records on the automated system are updated continuously as required and/or information is kept for two years on the system from the time a client becomes inactive.

### **Manuals**

- Agency Procedures Manual
- Control of Data and Valuables Manuals
- Data Examination and Preparation Manuals
- Data Processing Clerical Manuals
- External Procedures Manuals
- Interim Procedures Circulars
- Records Retrieval Manual
- Sample Letter Catalogue
- Statistics Canada -Bank of Canada Commodity Trade Concordance
- Statistics Manuals



## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

**Note:** Requests made to the Bank of Canada under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Bank of Canada.

It is normally not necessary to make a formal request under the Privacy Act for information relating to an individual's own bond holdings or unclaimed bank balances. Individuals who wish to inquire about their status with respect to Canada Savings Bonds or other Government of Canada securities, may do so informally by writing to or contacting New Canada Savings Bonds:

Tel.: 1-800-575-5151  
 TTY: (Hearing Impaired): 1-800-354-2222  
 Fax: (613) 782-8096  
 E-mail: [csb@csb.gc.ca](mailto:csb@csb.gc.ca)

Mailing address:

New Canada Savings Bonds  
 P.O. Box 2770, Stn D  
 Ottawa ON K1P 1J7

For Unclaimed Bank Balances, personal inquiries may be directed to:

Tel.: 1-888-891-6398  
 E-mail: [ucbalances@bank-banque-canada.ca](mailto:ucbalances@bank-banque-canada.ca)

Requests for further information about the Bank and its programs and functions may be directed to:

Bank of Canada  
 234 Wellington Street  
 Ottawa ON K1A 0G9

Public Information Office:  
 Tel.: 1-800-303-1282  
 Fax: (613) 782-7713

For information about or copies of Bank of Canada publications:

Publications Distribution:  
 Tel.: (613) 782-8248  
 E-mail: [publications@bank-banque-canada.ca](mailto:publications@bank-banque-canada.ca)

For access to press releases, many of our major publications, and current financial data:

Web Site: [www.bank-banque-canada.ca](http://www.bank-banque-canada.ca)

## Reading Room

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

Bank of Canada  
 234 Wellington Street  
 Ottawa, Ontario

Hours of operation are from 09:00 to 17:00, Monday through Friday.

For those individuals who wish to access files at the Bank's regional offices, special arrangements will be made upon request.

### British Columbia and Yukon

900 West Hastings Street  
 Vancouver BC V6C 1E6  
 Tel.: (604) 643-6227

### Prairie Provinces and Northwest Territories

404-6th Avenue S.-W.  
 Suite 200  
 Calgary AB T2P 0R9  
 Tel.: (403) 215-6700

### Ontario

150 King Street W.  
 20th Floor  
 Toronto ON M5H 1J9  
 Tel.: (416) 542-1251

### Quebec

1501 McGill College Avenue  
 Suite 2030  
 Montreal QC H3A 3M8  
 Tel.: (514) 496-4800

### Atlantic Provinces

1583 Hollis Street  
 Halifax NS B3J 1V4  
 Tel.: (902) 420-4600

# Belledune Port Authority

## Chapter 5

### General Information

#### Background

The Belledune Port Authority was established pursuant to the Canada Marine Act which received Royal Assent on the 11th day of June 1998 and came into force with respect to Belledune on March 29th, 2000. As a consequential amendment, the port authority was added to Schedule I of the Access to Information Act and the Schedule of the Privacy Act.

The port of Belledune is located at the mouth of the St. Lawrence River on the south shore of the Bay of Chaleur. The Westerly limit shall be a line drawn parallel to and approximately 8,500 feet West of a line drawn through the most Northerly tip of Chapel Point in a direction North 20°38' East, which Westerly limit runs in a Northerly direction from ordinary High Water Mark on Chaleur Bay a distance of approximately 6,081 feet into such Bay; the Easterly limit shall be a line parallel to and approximately 18,329 feet East of the Westerly limit above described, which Easterly limit runs in a Northerly direction from ordinary High Water Mark on Chaleur Bay a distance of approximately 8,017 feet into such Bay; the Northerly limit shall be a line drawn between the Northward extremities of the Westerly and Easterly limits as above described, the direction of which line is South 69°22' East and the length whereof is approximately 18,829 feet; the Southerly limit shall be the line of ordinary High Water Mark from time to time as extending between the Southward extremities of the Westerly and Easterly limits as above described.

#### Responsibilities

The mission of the Belledune Port Authority is to develop to the fullest, the services and facilities of the port, to enable it to become the anchor of economy in northern New Brunswick.

#### Legislation

- Canada Marine Act, C.A. 1998, Chapter C-10
- Port Authorities Management Regulations
- Port Authorities Operations Regulations

### Organization

#### Board of Directors

The Belledune Port Authority is managed by a seven-member board of directors. The federal, provincial and municipal government each appoint one member. The other four members are named by the Belledune Port Authority Nominating Committee and are appointed by the Minister. The board then elects a chairman and a vice-chairman from among its members.

#### Chief Executive Officer

As the administrative head of the Authority, the President and Chief Executive Officer shall discharge the duties conferred on him by the Act, the Regulations, the Letters Patent and the by-laws. He leads a team of managers consisting of the Director of Operations and the Director, Finance and Administration.

#### Operations

The Operations Department is responsible for technical and environmental services, maintenance, harbour master's office and security services.

#### Finance

The Finance Department looks after general accounting, finance and cash flow, computer service, human resources and purchasing and supplies.

### Information Holdings

#### Program Records

##### Board of Directors

**Description:** Information on the members of the board of directors.

**Topics:** Resumé; appointment and data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 024

##### Cargo Flex News

**Description:** Information on the Belledune Port Authority.

**Topics:** Quarterly Newsletter to community.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 021

### Corporate Plans

**Description:** Information on the corporate plan.

**Topics:** Guidelines, assessment; research; forecasts, data and cost analysis.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 010

### Engineering Services

**Description:** Information on the planning, design, construction and maintenance of Belledune Port Authority.

**Topics:** Construction supervision; consultant management; research; drafting; tenders; inspections; progress reports and payments.

**Access:** Files are arranged by project.

**Format:** Paper.

**Program Record Number:** BEL ENG 005

### Freight Services

**Description:** Information on the freight services to Newfoundland.

**Topics:** Assessment; research; forecasts, data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 023

### Health and Safety

**Description:** Information relating to accidents and investigations.

**Topics:** Incident summaries; assessments; research.

**Access:** Files are arranged by topics.

**Format:** Paper.

**Program Record Number:** BEL SSC 015

### Information Technology

**Description:** Information on the computer structure.

**Topics:** Training; guidelines and data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 030

### Services

**Description:** Information on the different services offered by third parties.

**Topics:** Pilotage services; rail services and air services.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 026

### Shipping Agencies

**Description:** Information on the shipping agencies.

**Topics:** Data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 025

### Ship's Schedules

**Description:** Information on the shipping schedule.

**Topics:** Schedule and data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 028

### Special Examination

**Description:** Information on the Special Examination as per the Canada Marine Act.

**Topics:** Assessment; reports; audit; research and data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 029

### Tariffs

**Description:** Information on the establishment of, and revisions to, tariffs.

**Topics:** Harbour dues; berthage charges; wharfage rate; passenger charges; water services charges; railway shipping charges; notices.

**Program Record Number:** BEL TAR 020

### Tenant

**Description:** Information on principal tenant, leaseholders.

**Topics:** Data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 022

### Testimonials

**Description:** Testimonials by stakeholders.

**Topics:** Data.

**Access:** Files are arranged by year.

**Format:** Paper.

**Program Record Number:** BEL CCP 027

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Audits

Budgets

Finance

Human Resources

Information Technology

Pensions and Insurance

Standard Personal Information Bank

Access to Information and Privacy Requests

## Classes of Personal Information

In the course of conducting the programs and activities of the Authority, categories of personal information may be accumulated which are not contained in the specific personal information banks described above. Such personal information includes: requests for information, expressions of public support, offers of services, and complaints. This information is stored as part of the general subject files, where records are not normally retrieved by name of individual or other identifier.

This form of personal information is normally retrievable only if specifics are provided concerning the subject matter, related program activity, as well as the date on which the information was received by the Authority and the name of the person to who it was addressed. The retention periods for these classes of personal information are controlled by the records disposal schedules of the general subject files in which they are stored.

## Manuals

- Environmental Management System
- Financial Management Policies and Guidelines
- Port Information and Advice to Masters

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Belledune Port Authority may be directed to:

Belledune Port Authority  
112 Shannon Drive  
Belledune NB E8G 2W2  
Tel.: (506) 522-1200  
Fax: (506) 522-0803  
E-Mail: [info@portofbelledune.ca](mailto:info@portofbelledune.ca)  
Web Site: [www.portofbelledune.ca](http://www.portofbelledune.ca)

## Reading Room

Belledune Port Authority's small conference room has been designated under the Access Information Act as a public reading room. The address is:

112 Shannon Drive  
Belledune, New Brunswick

# Blue Water Bridge Authority

## Chapter 6

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

The Blue Water Bridge Authority (BWBA) was created in 1964 by the Blue Water Bridge Authority Act to own, operate and maintain the Canadian half of the highway toll bridge over the St. Clair River between Point Edward, Ontario and Port Huron, Michigan.

The BWBA has a four-member Board of Directors. The Chair is appointed by the Governor in Council and the three other Directors are appointed by the Minister of Transport, to hold office during pleasure pursuant to the BWBA Act and the Financial Administration Act. The President/CEO is responsible for the day to day operation of the BWBA and is also appointed by the Governor in Council.

#### Responsibilities

The mandate of The Blue Water Bridge Authority is to operate and manage the international toll bridge between Point Edward, Ontario and Port Huron, Michigan.

#### Legislation

- Blue Water Bridge Authority Act

#### Organization

##### Currency Exchange

This section is responsible for providing financial services to patrons. The Currency Exchange operation is an ancillary business to the Blue Water Bridge Authority which provides additional amenities, such as exchanging currencies, to the travelling public and local businesses and residents at the border crossing.

##### Finance

This section is responsible for the operation of the Accounting and Financial reporting functions and all accounting related systems including Property Management, Risk Management and IT Management.

#### Human Resources/Administration

This section is responsible for Human Resource Management and provides overall administration services including marketing and records management.

#### Maintenance

This section is responsible for the inspection and maintenance of bridge structures, plaza, buildings and property.

#### Operations

This section is responsible for collection of toll, traffic flow and security.

#### Project Management

This section is responsible to review and maintain awareness of land development opportunities; to administer capital projects; to review and address property issues including development and implementation of master plan.

### Information Holdings

#### Program Records

##### Media/Public Relations

**Description:** Information on Blue Water Bridge Authority's media relations and events.

**Topics:** Includes information on ceremonies and events, charitable campaigns, complaints, commendations and inquiries, advertising, news clippings and photographs, news releases and promotional material and speeches and presentations.

**Program Record Number:** BWBA MED 100

#### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Buildings and Properties

Equipment and Supplies

Human Resources

Vehicles

## Personal Information Banks

### Access to Information and Privacy

**Description:** This bank contains requests to obtain access to departmental records under the Access to Information Act and the Privacy Act, the replies to such requests, and information related to their processing. It also contains requests for correction of personal information; informal requests; records related to complaints; investigations and requests for judicial review; consultations received from other institutions and requests for advice received from departmental officials on issues that raise privacy concerns. Personal information may include the name of the requestor, address, telephone and facsimile numbers, correspondence and other processing information related to the request, as well as personal information contained in departmental records that are relevant to the request.

**Note:** The personal information contained in departmental records relevant to the request is not used for administrative purposes.

**Class of Individuals:** Individuals who exercised their rights under the Access to the Information Act and/or the Privacy Act; individuals who made informal request to obtain information under the control of the Institution.

**Purpose:** The information in this bank is used to administer the Access to Information Act and the Privacy Act. It is used to process and respond to formal and informal requests, during consultations with other government institutions, during investigations by the Offices of the Information Commissioner and of the Privacy Commissioner and during court reviews. It is also used to report to Parliament on the administration of the Acts.

**Consistent Uses:** This bank is used to provide reports on ATIP activities to management and to the Treasury Board Secretariat. The information may be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** Files are retained for two years after the last administrative action and then destroyed.

**RDA Number:** 98/001

**TBS Registration:** 005466

**Bank Number:** BWBA PPU 005

### Accidents

**Description:** This bank contains records on all accidents that occur on the Blue Water Bridge and plaza involving vehicles, damage to buildings and chemical spills. Records include reports, drawings, photographs, calculations, copies of vouchers for repairs and invoices to drivers, copies of cheques and correspondence and copies of drivers' licences and addresses for

insurance purposes. This bank also includes information on suicides and attempted suicides.

**Class of Individuals:** Individuals involved in accidents that occur on the Blue Water Bridge and plaza and individuals who attempted or committed suicide.

**Purpose:** This file is used to conserve data on requests for compensation by or from the Blue Water Bridge Authority. The information is used to authorize or determine amounts owing to or claimed by the Blue Water Bridge Authority in the event of loss or damage.

**Consistent Uses:** This bank is used to determine any safety related issues concerning the bridge and the plaza and to make recommendations and modifications based on the outcomes of those issues.

**Retention and Disposal Standards:** The records are kept for ten years after the last administrative action. Once the Record Disposition Authority (RDA) has been approved, records will be destroyed after the retention has expired.

**RDA Number:** TBD

**TBS Registration:** 005467

**Bank Number:** BWBA PPU 010.

### Board of Directors

**Description:** This bank contains information on appointments to the Board of Directors and conflicts of interest. Personal information includes the name, address, biography, qualifications, date of birth and social insurance number (SIN). The SIN is collected for the issuance of the appropriate taxation forms, as authorized by The Income Tax Act.

**Class of Individuals:** Members of the Board of Directors and potential candidates for appointment.

**Purpose:** The information is compiled to provide advice to the Minister on existing and forthcoming vacancies, to assist in the appointment process, and to record potential conflicts of interest and any compliance action required.

**Consistent Uses:** This information is used to provide Transport Canada with the personal and professional history of members of the Board of Directors for the Annual Report.

**Retention and Disposal Standards:** Files are retained for two years after the last administrative action. Once the Record Disposition Authority (RDA) has been approved, records will be destroyed at the end of the retention period.

**RDA Number:** TBD

**TBS Registration:** 005468

**Bank Number:** BWBA PPU 015

### **Employment Applications**

**Description:** This bank contains application for employment and related correspondence. Personal information includes the names of applicants, addresses, telephone and fax numbers, education, employment history, resumes, letters of recommendation, test results and staffing interviews.

**Class of Individuals:** Individuals seeking employment with the Blue Water Bridge Authority.

**Purpose:** The bank is used to support decisions regarding the referral of candidates for staffing purposes.

**Consistent Uses:** Information may be transferred to an employee bank if the individual is offered and accepts employment. The candidate's skills may be assessed and, if deemed suitable, the candidate may be invited to serve in a capacity other than the position or level of initial interest. The information may also be used for planning and evaluation purposes.

**Retention and Disposal Standards:** Solicited and unsolicited applications that have been considered in a staffing process are kept for a period of two years after the last administrative use. Unsolicited applications that have not been considered in a staffing process are kept for six months. Records will be destroyed after the retention period has expired.

**RDA Number:** 98/005

**TBS Registration:** 005469

**Bank Number:** BWBA PPU 020

### **Financial Services**

**Description:** This bank includes records regarding financial services offered by the BWBA, including currency exchange transactions. Types of personal information contained in customer information files and commercial account files includes a photocopy of driver's license, passport, birth certificate or government issued identification, addresses and telephone numbers, copies of cheques cashed and records of financial transactions.

**Class of Individuals:** Individuals who use financial services offered by the Blue Water Bridge Authority.

**Purpose:** The information is used for record keeping and client identification requirements. It is also used to report suspicious financial transactions and cross-border movements of currency and monetary instruments, as required by the Proceeds of Crime (Money Laundering) and Terrorist Financing Act.

**Retention and Disposal Standards:** Records are kept for seven years after the transaction was completed or the account was terminated. Once

the Record Disposition Authority (RDA) has been approved, records will be destroyed after the retention period has expired.

**RDA Number:** TBD

**TBS Registration:** 005470

**Bank Number:** BWBA PPU 025

### **Tenant Leases**

**Description:** This bank contains records relating to the leasing of houses, offices and buildings to customs brokers, specialty vendors, duty free managers, customs and immigration staff and private residents. The records include leases, credit applications, copies of drivers' licenses, background notes and correspondence.

**Class of Individuals:** Individuals who lease land or property from the Blue Water Bridge Authority.

**Purpose:** The purpose of this bank is to maintain information on the leasing of land, houses, buildings and office accommodation from the Blue Water Bridge Authority. It is used to document the decision-making process in property matters including tenant approval and the development of legal contracts and leases.

**Retention and Disposal Standards:** Records are kept for twenty years after the expiration of the lease. Once the Record Disposition Authority (RDA) has been approved, records will be destroyed after the retention period has expired.

**RDA Number:** TBD

**TBS Registration:** 005471

**Bank Number:** BWBA PPU 030

## **Manuals**

- Blue Water Bridge Standard Operational Procedures Manual
- Blue Water Bridge Emergency Standard Operational Procedures Manual
- Human Resources Policies and Procedures Manual
- Health & Safety Policies and Procedures Manual
- Records Management Manual

## **Additional Information**

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Blue Water Bridge Authority under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Blue Water Bridge Authority.

Requests for further information about the Blue Water Bridge Authority and its various activities, programs and publications may be directed to:

**President/CEO**

Blue Water Bridge Authority  
1 Bridge Street  
Point Edward ON N7V 4J5  
Tel: (519) 336-2720  
Fax: (519) 336-7622  
email: [delash@bwba.org](mailto:delash@bwba.org)  
Web Site: [www.bwba.org](http://www.bwba.org)

**Reading Room**

The Blue Water Bridge Authority has designated its Board Room as a reading room for the purposes of the Access to Information Act and the Privacy Act. The address is:

Blue Water Bridge Authority  
Administration Offices  
Bridge Plaza  
Point Edward, Ontario N7V 4J5



# British Columbia Treaty Commission

## Chapter 7

### General Information

#### Background

The BC Treaty Commission (“BCTC”) was created in September 1992 through an agreement between the Government of Canada, the Government of British Columbia and the First Nations Summit (“the Principals”), whose members represent the majority of First Nations in British Columbia.

The BCTC received statutory recognition through the Treaty Commission Act passed by the Legislature of British Columbia in April 1993 and through the BC Treaty Commission Act passed by the federal government in December 1995, both of which were proclaimed in force in March 1996. The First Nations Summit also passed a resolution in April 1993 to establish the BCTC.

#### Responsibilities

The role of the BCTC is to facilitate the negotiation of treaties and, where the Parties agree, other related agreements in British Columbia.

#### Legislation

- British Columbia Treaty Commission Act, S.C. 1995, c. 45
- Treaty Commission Act, R.S.B.C. 1996 c. 461.

#### Organization

##### Administration

Responsible for finance, contracts and administration, human resources, and information management.

##### Table Negotiations

Responsible for monitoring and facilitating negotiations and providing advice and assistance in dispute resolution as agreed by the parties; monitoring compliance with the Commission’s Policies & Procedures for negotiations.

##### Negotiation Support Funding

Responsible for administering negotiation support funding which is provided by Canada and British Columbia to First Nations in the process.

#### Communications

Responsible for reporting annually on the Treaty Commission, the treaty process, treaty negotiations and the status of each negotiation, and under a Public Information and Education Agreement with the Government of Canada and the Government of British Columbia begun in 1997, responsible for province-wide information on the treaty process and treaty negotiations.

### Information Holdings

#### Program Records

##### Table Negotiations

**Description:** Records relating to progress of negotiations at all treaty negotiation tables.

**Topics:** Information relating to Statements of Intent, Readiness Submissions, Framework Agreements, and Agreement in Principle negotiations.

**Access:** By negotiation table.

**Format:** Hard copies, and electronic (PDF) copies for some records; information also available on website: [www.bctreaty.net](http://www.bctreaty.net)

**Program Record Number:** BCTC NEG 005

##### Negotiation Support Funding

**Description:** Records relating to the allocation of negotiation support funding.

**Topics:** Funding agreements, budgets, workplans, audits.

**Access:** By negotiation table.

**Format:** Hard copies, and electronic (PDF) copies for some records; information also available on website: [www.bctreaty.net](http://www.bctreaty.net).

**Program Record Number:** BCTC NSF 010

##### Communications

**Description:** Records relating to communication programs.

**Topics:** Plans, Annual reports, newsletters, news releases, projects.

**Access:** By communications project or topic.

**Format:** Hard copies, and electronic (PDF) copies for some records; information also available on website: [www.bctreaty.net](http://www.bctreaty.net)

**Program Record Number:** BCTC COM 015

##### BCTC Process

**Description:** Records relating to the treaty process generally.

**Topics:** Treaty process generally; BCTC Policies

and Procedures; aboriginal policy issues; legal issues; land and resource issues; meetings and communications with Principals; Treaty Commission meetings.

**Access:** By classification (issue; Commission meetings; Policies and Procedures; Principals communications; projects; general).

**Format:** Hard copies, and electronic (PDF) copies for some records; information also available on website: [www.bctreaty.net](http://www.bctreaty.net) .

**Program Record Number:** BCTC PRO 010

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Audits

Automated Document, Records, Information Management Systems

Budgets

Equipment and Supplies

Employment and Staffing

Finance

Hospitality

Human Resources

Information Technology Services

Pensions and Insurance

Physical Security

Salaries and Wages

Training and Development

Travel

## Personal Information Banks

### Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems

Electronic Network Monitoring Logs

Hospitality

Internal Disclosure of Wrong Doing in the Work-Place

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel

## Classes of Personal Information

### Table Negotiations

The files kept for monitoring progress in negotiations contain some limited information on individuals within organizations participating in negotiations. This information is neither arranged nor retrievable by personal identifiers, except through a phone list.

### Negotiation Support Funding

In the course of managing negotiation support funding, some limited information is acquired on individuals within organizations dealing with funding. This information is neither arranged nor retrievable by personal identifiers, except through a phone list.

## Manuals

- BCTC Policies & Procedures Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

For general public information enquiries, please contact:

Brian Mitchell, Communications Manager  
British Columbia Treaty Commission  
Suite 203, 1155 West Pender Street  
Vancouver BC V6E 2P4  
Tel.: (604) 482-9215

## Reading Room

In accordance with the Access to Information Act, an area on the premises of the Commission has been designated as a reading room. This reading room is located at:

Suite 203, 1155 West Pender Street  
Vancouver BC V6E 2P4

# Business Development Bank of Canada

## Chapter 8

### General Information

#### Background

The Business Development Bank of Canada (BDC) is a Crown corporation which was established by an Act of Parliament effective October 2, 1975 as the Federal Business Development Bank (FBDB), and continued under its new name by an Act of Parliament on July 13, 1995. FBDB, in turn, had succeeded the Industrial Development Bank which was formed in 1944.

BDC's mandate is to support Canadian entrepreneurship by providing financial and management services, giving particular attention to the needs of small and medium-sized enterprises. A network of branches across Canada provide the full range of the Bank's services to small and medium-sized businesses located in each branch territory.

#### Responsibilities

The Bank is responsible for acting as a complementary lender, providing funds by means of loans and equity financing to small and medium-sized businesses to fill out or complete services available from commercial financial institutions. Through its Investment Group, the Bank is also responsible for providing venture capital and subordinate financing in addition to, or in place of, loans and guarantees.

#### Legislation

- Business Development Bank of Canada Act

#### Organization

The Bank has a network of approximately eighty branches across Canada organized into areas reporting to a Head Office located in Montreal.

Corporate resources located in regional Service Centres and Head Office provide guidance to branches with respect to the application of established Bank policy and procedures. They also process financing applications for amounts exceeding branch limits.

The branches provide financing and management services to small and medium businesses located within their particular territory. Enquiries and

applications for financing and managerial support are received by branch personnel and processed in accordance with established policy and procedure.

Furthermore, enquiries and applications may be received through the Business Service Centre located in Head Office.

The various services and departments of the Bank include the following:

#### Consulting Group (formerly Management Services Division)

The Consulting Group offers BDC's management services by providing consulting services to help Canadian entrepreneurs strengthen their management capabilities.

BDC's consulting services provide entrepreneurs with the specialized support they need to enhance their business performance. Consulting in a variety of areas including finance and accounting, human resources, marketing, planning and general management is provided through a network of experienced business professionals and specialists.

#### Financial Services

##### Investment Group

Responsible for all equity, venture capital and subordinate financing. Its role is to act as a catalyst in stimulating the formation of risk capital for companies with high growth potential. It ensures that all proposals satisfy Bank policy and are financially viable. This Division assesses, on a continuing basis, the adequacy and suitability of investment policy and procedures and, when necessary, recommends changes. The services of this Division include direct purchase of a minority ownership interest as well as syndication of proposals to other venture capitalists and financial institutions.

##### Loans Division

Establishes and oversees policies and procedures with respect to the provision of financial assistance to small and medium-sized businesses. In addition, the Division oversees the management of the Bank's loan portfolio for the entire life of all accounts. Most financing is provided in the form of loans for such purposes as purchasing fixed assets, replenishing working capital, refinancing, and financing a change of ownership. Guarantees may be provided to other

financial institutions to enable a business to obtain an adequate line of credit. Through the operations of BDC Connex - BDC's "virtual bank" - BDC offers on-line access to its financial services.

### **Head Office Departments**

#### **Audit and Inspection Department**

Conducts reviews of the Bank's systems of internal control.

#### **Controller's & Real Estate & Facilities Management**

Responsible for all financial planning, accounting and control in the Bank. It also provides overall administration support services including lease administration of the Bank's premises.

#### **Corporate Planning**

Responsible for formulating the Bank's strategic, corporate and operating plans, analysis of existing activities and corporate development. It also provides information on economic conditions and the impact of the Bank's activities upon the economy.

#### **Corporate Office**

Provides the Bank with the strategic direction required to manage its activities and achieve its mandate and objectives.

#### **Government Relations**

Responsible for the coordination of communications between the Bank and the Minister, the government and members of Parliament, and has responsibility for international relations.

#### **Human Resources**

Provides the Bank with corporate-wide human resources management. It is also responsible for official languages, employment equity and payroll services

#### **Insurance**

Responsible for insurance related to loan security and corporate insurance.

#### **Legal Services and Corporate Secretariat**

Provides legal advice to the Bank in connection with its specific program activities and support departments. This department is also responsible for the Board of Directors, its Committees, and responses to Parliament.

#### **Portfolio Risk Management**

Develops, improves and produces risk information required for strategic decision-making, regular reports oriented to driving action on risks such as

concentration, repayment quality, risk mix and pricing and maintains and improves risk-oriented tools such as the pricing and risk rating systems.

#### **Marketing & E-business**

Develops all financial products, and ensure that the Bank's products evolve with the needs of its customers.

#### **Ombudsman's Office**

Resolves all customer complaints not solved at other levels.

#### **Public Affairs**

This department is responsible for advertising and public relations to promote the role and activities of the Bank.

#### **Systems and Technology**

Develops and maintains business systems (manual and computerized) to support the operational functions and management information needs of the Bank.

#### **Training**

Responsible for establishing and executing competency standards and accreditation methods to develop a balanced and skilled work force.

#### **Treasury**

Responsible for funding of corporate cash requirements, monitoring of cash flow, deposit and investment of corporate funds and interest rate forecasts.

#### **Special Initiatives**

The Bank may also deliver programs from time to time on behalf of other government departments to meet the needs of specific entrepreneurial groups.

## **Information Holdings**

### **Program Records**

#### **Accounts History File**

**Description:** Statistical information on all (past and present, dormant and active) loans, guarantees, investments and customer accounts since 1944.

**Topics:** Account number; date authorized; geographical code; industrial code; original maturity date; actual maturity date.

**Access:** Files are arranged by customer number.

**Format:** Computer tape.

**Program Record Number:** BDBC FLS 030

### **Advanced Commercial Banking System (ACBS) (formerly Loan Accounting and Processing System (LAPS))**

**Description:** Database containing accounting and statistical information on BDC customer loans. The initial data, Loan Authorization, is bridged from "The Manager" software and is continually updated throughout the administration of a customer account.

**Topics:** Customer identification – loan number, name, address, branch, industry code and banking information; loan information - type of loan, risk rating code, security, interest rate/repayment terms; disbursement, payment and write-off information.

**Access:** Files arranged by customer number.

**Format:** Computer disk or tape.

**Program Record Number:** BDBC FLS 025

### **Consulting Group**

**Description:** Basic administrative records of the Consulting Group's management services, including publicity for the various services, budgets, costs, and financial statements; reports and operating statistics for each activity, as well as miscellaneous information, copyright data, and correspondence with other organizations.

**Topics:** Complimentary letters; CASE and management training; budgets; operational plans; strategic overviews; accounting; auditors; sales tax; systems development; activity reports - head office, regional and branch statistical reports, evaluations and related correspondence; Small Business Week; Business Management Awards.

**Access:** Files arranged by subject.

**Format:** Hard copy and electronic files.

**Program Record Number:** BDBC MTS 050

### **Corporate Secretariat**

**Description:** Information relating to the administration of BDC's Board of Directors and its Committees.

**Topics:** Minutes of meetings and lists of topics examined; Members of the Board and Committee Members; logistics of meetings.

**Access:** By subject.

**Format:** Paper files and electronic records.

**Program Record Number:** BDBC FLS 050

### **Dead Loan File**

**Description:** Statistical information on all loans.

**Topics:** Account number; name; type of financing; zone codes; modifier; interest rate; statistical codes; authorization date; maturity date; gross authorized; net authorized and write-offs.

**Access:** Files arranged by customer number.

**Format:** Computer tape.

**Program Record Number:** BDBC FLS 035

### **Investments and Venture Capital**

**Description:** Correspondence, policy, procedures, and records related to the disbursement and monitoring of funds where there is an investment or venture capital factor.

**Topics:** Enquiries; submission and authorization procedures; policy and procedures on superseding and supplementary proposals; disbursements; monitoring of investments; underwriting; mergers; acquisitions and divestitures; arrears; category classification; write-offs.

**Access:** Files arranged by customer name and number.

**Format:** Hard copy files.

**Program Record Number:** BDBC FLS 045

### **Loans, Guarantees and Other Types of Financing**

**Description:** Information on submission and authorization procedures, disbursements and category classification, as well as policy, procedures and correspondence related to other forms of financing.

**Topics:** Superseding and supplementary credits; closely related accounts; leasing; interim bridge financing; conditional sales contracts; joint loans; disbursements; category classification and write-offs.

**Access:** Files arranged by customer number and/or subject.

**Format:** Hard copy and electronic files.

**Program Record Number:** BDBC FLS 020

### **Management Counselling and Consulting**

**Description:** Information on policy matters governing the administration of the Bank's counselling and consulting services, accounting procedures and related correspondence. For many years, FBDB and BDC carried on their counselling services under the acronym "CASE" (Counselling Assistance to Small Enterprises). Information on policy matters and activities of financial and strategic planning services and related correspondence.

**Topics:** Engagement of coordinators; contract administration; coordinator conferences; recruiting of counsellors in each region; engagement of outside consultants; legal liability of counsellors; type of assignments; counsellor training; accounting and administration records; and the history of CASE. Evaluations of planning programs; conferences; activity reports; budgets; general administration.

**Access:** Files arranged by subject.

**Format:** Hard copy and electronic files.

**Program Record Number:** BDBC MTS 055

**Policy**

**Description:** Information on Bank lending policy and, in particular, its policy with respect to the availability of funds elsewhere, commitment and standby fees, prepayment indemnities, interest rates, and refinancing of funds.

**Topics:** Availability of funds; change of ownership; types of business; commitment and standby fees; interest rates; refinancing; prepayment indemnity; working capital; credit bureaus.

**Access:** Files arranged by subject.

**Format:** Electronic versions on BDC's intranet.

**Program Record Number:** BDBC FLS 010

**Reports**

**Description:** Activity reports prepared by Financial Services at Head Office, the areas and branches, including reports of accounts in arrears, equity investments, write-offs, and disbursements.

**Topics:** Reports - from head office, areas and branches on accounts (over \$500,000) in arrears for more than one month; progressive reports; estimate of possible losses; equity investments report (monthly and semi-annually); summary of write-offs and review report; applications declined; report on operations; regional activity schedule; report analysis of accounts by category; report on loan authorizations; liability reports; loans partially disbursed; recoveries expected on accounts written off; monthly report on loans fully undisbursed; and semi-annual investment return reports.

**Access:** Files arranged by subject.

**Format:** Electronic database.

**Program Record Number:** BDBC FLS 005

**Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Office Appliances

Official Languages

Procurement

Relocation

Salaries and Wages

Training and Development

Travel

Utilities

Vehicles

**Personal Information Banks****Particular Personal Information Banks****Applications for Employment**

**Description:** This bank contains recruitment documents or applications for employment with the Bank and any related correspondence. This bank may also contain personnel or staffing interviews, psychological tests, test results and analysts' reports.

**Class of Individuals:** Potential BDC employees.

**Purpose:** To meet the human resources needs of BDC.

**Consistent Uses:** Information may be transferred to an employee bank if the individual is offered and accepts employment. This information may also be used for research, planning, evaluation and statistical purposes.

**Retention and Disposal Standards:** Retained a minimum of two years. However, unsolicited applications are destroyed after six months. Solicited applications are retained for 2 years after they are processed, then are destroyed..

**RDA Number:** 98/005

**Related PR#:** BDBC PRN 920

**TBS Registration:** 003750

**Bank Number:** BDBC PPU 020

### Board of Directors

**Description:** This bank contains correspondence relating to recommended nominees, the Order-in-Council appointing the member, a brief biography, statement of qualifications, statement of acceptances, oath of fidelity and secrecy and statement of conflict of interest.

**Class of Individuals:** Candidates for appointment and appointees to the Bank's Board of Directors.

**Purpose:** The purpose of this bank is to assist in the appointment of individuals as directors of the Bank and to record information regarding their services as directors, including declarations on conflict of interest.

**Consistent Uses:** The information in this bank is used for reporting required for Treasury Board Secretariat and the Privy Council Office.

**Retention and Disposal Standards:** Records are retained permanently for historical purposes.

**RDA Number:** 81/007-1

**Related PR#:** BDBC FLS 050

**TBS Registration:** 003754

**Bank Number:** BDBC PPU 095

### Consulting Group's Participants

**Description:** This bank contains the names, addresses and telephone numbers of participants in seminars and workshops offered under the consulting, counselling, training and mentoring programs of BDC's Consulting Group (formerly the Management Services Division). It may also contain company name, type of business, size of business and other company demographics.

**Class of Individuals:** Individuals, organizations, firms, businesses, etc.

**Purpose:** To maintain standard lists of individuals, organizations, firms and businesses for marketing purposes to mail information on current forthcoming events. The information may also be used for statistical purposes to provide analytical reports and have a better understanding of clientele profile.

**Consistent Uses:** The information is used to mail and distribute documentation to participants.

**Retention and Disposal Standards:** Records are updated continuously and information kept until superseded. The obsolete information is destroyed when superseded.

**RDA Number:** 98/001

**Related PR#:** BDBC MTS 055

**TBS Registration:** 003756

**Bank Number:** BDBC PPU 040

### Customer Surveys

**Description:** This bank contains responses obtained via questionnaires relating to customer knowledge of BDC products and/or satisfaction

with its dealings with BDC and may include the customer's name, address and telephone number.

**Class of Individuals:** Potential, current, and former BDC customers.

**Purpose:** The information is used to obtain an accurate assessment of customer satisfaction and awareness.

**Consistent Uses:** Compiling statistics for required reports.

**Retention and Disposal Standards:** Records are kept for a period of 1 year, archived for 5 years then destroyed.

**RDA Number:** 81/007

**Related PR#:** BDBC FLS 020 and BDBC MTS 050

**TBS Registration:** 003924

**Bank Number:** BDBC PPU 100

### Loan Applications - Client Files

**Description:** This bank contains information relating to individuals who apply for different types of loans offered by the Bank under various programs. The information consists of loan application forms, financial statements, appraisal reports, personal income and other client profile information, copies of correspondence relating to the repayment and ongoing administration of the loans and related legal documentation.

**Class of Individuals:** Individuals who apply for loans.

**Purpose:** The purpose of this bank is to determine eligibility for loans and the administration of loans.

**Consistent Uses:** Information in this bank is used for statistical purposes, monitoring, loan renewals, collection and recovery administration. Information may be shared with entities used by BDC in collection and recovery proceedings.

**Retention and Disposal Standards:** Records on approved loans are retained for 1 year from the date loan is fully repaid/cancelled, and then archived for 9 years after which time they are destroyed. Files for abortive loans or withdrawn/rejected applications are kept for 2 years, and then destroyed. Written off accounts are kept one year after they've been written off and archived for another 9 years and then destroyed.

**RDA Number:** 81/007-1

**Related PR#:** BDBC FLS 020 and BDBC FLS 025

**TBS Registration:** 003753

**Bank Number:** BDBC PPU 050

### Mailing Lists

**Description:** This bank contains mailing lists with the names and addresses of individuals, firms, companies, groups, etc.

**Class of Individuals:** Individuals, firms, companies, groups, etc.

**Purpose:** To maintain standard lists of individuals, organizations, groups, businesses, etc., for the purpose of mailing publications, reports, newsletters, information bulletins and other documentation on BDC's activities, programs and marketing.

**Consistent Uses:** The information is used to mail and distribute documentation to individuals on the mailing lists.

**Retention and Disposal Standards:** Records are updated continuously and the information is kept until superseded. The obsolete information is destroyed when superseded.

**RDA Number:** 98/001

**Related PR#:** BDBC FLS 025 , BDBC FLS 045, BDBC MTS 055

**TBS Registration:** 003755

**Bank Number:** BDBC PPU 045

### Regional Register of CASE Counsellors and Consultants

**Description:** This bank contains information on business and professional people who are registered as counsellors under the Bank's Consulting Group Services (formerly, the CASE counselling program) . The information consists of their name, address, telephone number, SIN number, areas of specialization, availability, travel restrictions and background.

**Class of Individuals:** Business and professional people registered under the program.

**Purpose:** The data was compiled or obtained to provide information to coordinators on the qualifications and experience of counsellors with a view to matching them with the needs of the applicant business.

**Consistent Uses:** The bank is used for statistical purposes and human resources administration and planning.

**Retention and Disposal Standards:** Records are retained for six years from the date they become inactive and then destroyed.

**RDA Number:** 98/005

**Related PR#:** BDBC MTS 055

**TBS Registration:** 003371

**Bank Number:** BDBC PPU 005

### Requests from Federal Investigative Bodies

**Description:** This bank contains requests for personal information pursuant to paragraph 8(2)(e) of the Privacy Act by federal investigative bodies, the replies to such requests, the records of information disclosed, any correspondence with the Privacy Commissioner and all records relating to the processing of the requests.

**Class of Individuals:** Individuals being investigated by federal investigative bodies.

**Purpose:** The purpose of this bank is to meet the requirements of the Act.

**Consistent Uses:** Compiling statistics relating to requests from federal investigative bodies.

**Retention and Disposal Standards:** Files are retained for six years after their last administrative action and are then destroyed.

**RDA Number:** 98/001

**Related PR#:** BDBC FLS 025, BDBC FLS 045, BDBC MTS 055

**TBS Registration:** 003746

**Bank Number:** BDBC PPU 025

### Temporary Help Agencies

**Description:** This bank contains a list of calls made for temporary help services. It includes the names of the agencies contacted, the name of the person referred, the hourly rate charges by the agency, the approximate duration of employment, the name of the contact person at the agency and a description of the selection criteria.

**Class of Individuals:** Personnel referred by the agencies.

**Purpose:** The purpose of this bank is to maintain a record of temporary help personnel.

**Consistent Uses:** This bank is also used to back up financial records and invoices.

**Retention and Disposal Standards:** The records are retained for two years for administrative purposes and then destroyed.

**RDA Number:** 98/005

**Related PR#:** BDBC PRN 912

**TBS Registration:** 003749

**Bank Number:** BDBC PPU 015

### Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks and a description of their contents

Access to Information and Privacy Requests

Electronic Network Monitoring Logs

Hospitality

Relocation

Travel

### Classes of Personal Information

In the course of conducting the programs and activities of the Loans, Investment Group and Consulting Group Divisions, some personal information may be accumulated within the Bank's



client files. Information may include such items as an individual's name, age, marital status, employment or managerial history, or information relating to financial transactions in which the individual is or has been involved. This form of personal information is normally retrievable only if specific information concerning the name of the enterprise or the number of the account concerned is provided.

## Manuals

- BDC Circular Manual
- Environmental Risk Management Manual
- Legal - Miscellaneous Procedures Guides
- Modules and resource books for Credit Personnel Training Program
- Standard File Classification Manual
- Various guidebooks for new BDC financing products and consulting services

## Additional Information

Please note: Requests made to the Business Development Bank of Canada under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Business Development Bank of Canada.

Requests for further information about the Bank and its various programs and functions may be directed to:

Public Affairs  
Business Development Bank of Canada  
BDC Building  
5 Place Ville Marie  
Montréal QC H3B 5E7  
Tel.: (514) 283-7515

## Reading Room

In accordance with the Access to Information Act, an area in the Bank's Legal Services library at the premises listed below has been designated as a public reading room:

Head Office  
BDC Building  
5 Place Ville Marie  
Montréal QC H3B 5E7  
Tel.: (514) 283-5904

# Canada Border Services Agency

## Chapter 9

### General Information

#### Background

The Prime Minister announced the creation of the Canada Border Services Agency (CBSA) on December 12, 2003. The new Agency brings together key border security and intelligence functions previously carried out by three Government organizations: the Customs program from the Canada Customs and Revenue Agency (CCRA); the Intelligence, Interdiction, and Enforcement program from Citizenship and Immigration Canada (CBSA); and Import Inspection at Ports of Entry from the Canadian Food Inspection Agency (CFIA).

The CBSA is part of the new portfolio of Public Safety and Emergency Preparedness (PSEP) and is an integral component of Canada's national security approach. The President of the CBSA reports directly to the Minister of Public Safety and Emergency Preparedness.

The PSEP portfolio brings together a number of government organizations with a key role to play in ensuring public safety, and allows for an integrated response to emergencies and potential threats to Canadian security. Other organizations within the PSEP portfolio are the Royal Canadian Mounted Police, the Canadian Security Intelligence Service, the Correctional Service of Canada, the National Parole Board, and the Canada Firearms Centre.

#### Responsibilities

The CBSA integrates complementary business lines to protect public security and facilitate and control the movement of people and goods. All people and goods entering Canada, whether by air, land, or sea, must report to the CBSA at a port of entry. The CBSA operates at 1,369 service points across Canada and 39 locations abroad. It employs over 10,200 public servants who serve some 170,000 commercial importers and more than 98 million travellers each year.

The responsibilities of the CBSA include: Managing airports, land and sea ports of entry, by administering and enforcing domestic laws, as well as international agreements, that govern trade and travel; Ensuring that all travellers coming into Canada are admissible, comply with

Canadian laws and regulations, and pay applicable duties and taxes; Processing all commercial shipments at ports of entry to ensure Canadian laws and regulations are adhered to and that no illegal goods enter the country; Detaining migrants who may cause a threat to Canada; Removing persons who have been determined inadmissible to Canada; and Ensuring food safety, and plant and animal health by identifying and interdicting high-risk, regulated commodities at air, land, and seaports.

#### Legislation

- Aeronautics Act
- Anti-Personnel Mines Convention
- Implementation Act (through the Export and Import Permits Act)
- Blue Water Bridge Authority Act
- Bretton Woods and Related Agreements Act
- Canada Agricultural Products Act
- Canada Customs and Revenue Agency Act
- Canada Grain Act
- Canada Post Corporation Act
- Canada Shipping Act
- Canada-Chile Free Trade Agreement Implementation Act
- Canada-Costa Rica Free Trade Agreement Implementation Act
- Canada-Israel Free Trade Agreement Implementation Act
- Canada-United States Free Trade Agreement Implementation Act
- Canadian Dairy Commission Act
- Canadian Environmental Protection Act, 1999
- Canadian Food Inspection Agency Act
- Canadian Human Rights Act
- Canadian International Trade Tribunal Act
- Canadian Wheat Board Act
- Carriage by Air Act
- Chemical Weapons Convention Implementation Act (through the Export and Import Permits Act)

- Civil International Space Station Agreement Implementation Act
- Coastal Fisheries Protection Act
- Coasting Trade Act
- Consumer Packaging and Labelling Act
- Controlled Drug and Substances Act
- Convention on International Trade in Endangered Species of Wild Fauna and Flora
- Copyright Act
- Criminal Code
- Cultural Property Export and Import Act
- Customs Act
- Customs and Excise Offshore Application Act
- Customs Tariff Act
- Defence Production Act
- Department of Health Act
- Department of Industry Act
- Energy Administration Act
- Energy Efficiency Act
- Excise Act
- Excise Act, 2001
- Excise Tax Act
- Explosives Act
- Export Act
- Export and Import of Rough Diamonds Act
- Export and Import Permits Act
- Federal-Provincial Fiscal Arrangements Act
- Feeds Act
- Fertilizers Act
- Financial Administration Act
- Firearms Act
- Fish Inspection Act
- Fisheries Act
- Food and Drugs Act
- Foreign Missions and International Organizations Act
- Freshwater Fish Marketing Act
- Hazardous Products Act
- Health of Animals Act
- Immigration and Refugee Protection Act
- Immigration and Refugee Protection Regulations
- Importation of Intoxicating Liquors Act
- Integrated Circuit Topography Act
- International Boundary Commission Act
- Manganese-based Fuel Additives Act
- Meat Inspection Act
- Motor Vehicle Fuel Consumption Standards Act (not in force)
- Motor Vehicle Safety Act
- National Energy Board Act
- Navigable Waters Protection Act
- North American Free Trade Agreement Implementation Act
- Nuclear Energy Act
- Nuclear Safety and Control Act
- Pest Control Products Act
- Pilotage Act
- Plant Breeders' Rights Act
- Plant Protection Act
- Precious Metals Marking Act
- Preclearance Act
- Privileges and Immunities (North Atlantic Organization) Act
- Proceeds of Crime (Money Laundering) and Terrorist Financing Act
- Quarantine Act
- Quebec Harbour, Port Warden Act
- Radiation Emitting Devices Act
- Radiocommunication Act
- Seeds Act
- Special Economic Measures Act
- Special Import Measures Act
- Statistics Act
- Telecommunications Act
- Textile Labelling Act
- Trademarks Act
- Transportation of Dangerous Goods Act, 1992
- United Nations Act

- United States Wreckers Act
- Visiting Forces Act
- Wild Animal and Plant Protection and Regulation of International and Interprovincial Trade Act

## Organization

The CBSA has seven branches, which are each led by a vice-president who reports directly to the President and Executive Vice-President.

### Strategy and Coordination Branch

The Strategy and Coordination Branch is responsible for developing and establishing the internal corporate support framework for the stewardship of the CBSA's mandate and for ensuring that short- and long-term border management issues are identified and that strategies to address them are developed and communicated to the public. The functional activities include strategic policy and planning; audit and evaluation; international and federal/provincial programs; access to information and privacy (ATIP), cabinet/portfolio affairs and executive services; and public affairs functions and activities, including strategic and corporate communications, operational communications services, regional coordination and liaison, media relations and publishing.

### Admissibility Branch

The Admissibility Branch develops national programs and operational policies related to the admissibility, processing, and recourse mechanisms for the import and export of goods and the movement of travellers, as well as the investigation of complaints related to unfair trade practices. The branch is also responsible for ensuring that the appropriate relationships exist with other government organizations, in particular with the Canadian Food Inspection Agency and Citizenship and Immigration Canada.

### Enforcement Branch

The Enforcement Branch develops national procedures, strategies, and operational policies related to the CBSA intelligence, investigations, and enforcement programs. The branch is also responsible for collecting, analysing, and distributing intelligence regarding threats to the security of Canada's borders and the integrity of the CBSA's programs; providing intelligence support with respect to immigration and refugee cases; providing functional direction and support to field staff at posts abroad, ports of entry, and inland offices, as well as to Migration Integrity Officers located abroad; providing functional

direction and support for the detention and removal programs; providing a focal point for the CBSA's relations with the security, law enforcement, and intelligence communities; researching, testing, purchasing, and maintaining high-technology detection equipment; developing and delivering specialized training to the field; developing and managing partnerships with other government departments, agencies, provincial and foreign governments, and the private sector; and working with international partners on the design of new programs.

### Innovation and Technology Branch

The Innovation and Technology Branch translates business requirements, as outlined by the programs, into reality through the management of major projects to research, design, develop, and integrate quality business and Information Technology (IT) solutions to meet the challenges of border management. The branch is also responsible for the establishment, management, and operation of the corporate IT infrastructure and the management of IT service agreements, as well as for the direction of strategic research and development of innovative technologies, and the acquisition and management of technology.

### Operations Branch

The Operations Branch is responsible for consistent program delivery in the regions and the coordination of regional operations. The branch also provides a single point of contact for the regions at the national level and ensures that regional interests are well represented at headquarters.

### Human Resources Branch

The Human Resources Branch provides human resources (HR) support to build the new CBSA (including organizational design, change management, and HR systems), while at the same time constructing a blended CBSA HR regime from the three inherited regimes. The branch is also responsible for establishing an integrated framework of HR strategies, policies, and programs, and provides functional guidance and support for operations.

### Comptrollership Branch

The Comptrollership Branch is responsible for establishing the financial and administrative infrastructure and corporate accountabilities for the CBSA, and provides strategic direction and executive oversight and delivery of all comptrollership functions, including financial, administrative, security, and real property

functions, as well as policies, systems, and management practices. The branch also provides authoritative advice to senior management to ensure effective corporate governance and stewardship for resources, as well as functional guidance and support for operations.

## Information Holdings

### Program Records

#### Admissibility Branch

##### Account Security

**Description:** Information on Customs Brokers and Importers who have applied for Release from Customs prior to Payment of Duties and/or Acceptance of Uncertified Cheques privileges.

**Topics:** Records include original Surety and/or Bank Bonds; original riders/endorsements; annual security review letters; copies of acknowledgment/rejection letters pertaining to the submission of bonds/riders/endorsements; and various correspondence relating to the broker's and importers Account Security Profile e.g., B205, interim payment, defaults etc. Imported files are currently maintained with Brokers Licensing and Account Security programs pending the scanning of the records by Information Management Division. Also maintained is the correspondence relating to the two options available to brokers, Direct Security and GST Direct Payment. Copies of the GST Agreement Letters, Direct Security Letters, and acknowledgment letters. Note that not all Customs Brokers have a working paper file as many brokers do not use the Direct Security or GST Direct Payment Options.

**Program Record Number:** CBSA ENT 001

##### Administrative Monetary Penalty System (AMPS)

**Description:** Authorizes Customs to assess a range of graduated monetary penalties for all contraventions of the Customs Act and the Customs Tariff Act and the regulations pursuant to these acts. This new penalty regime largely replaces seizures and ascertained forfeitures for commercial importations and exportations of goods.

**Topics:** Commercial seizures,

**Program Record Number:** CBSA ENT 002

##### Admission of Persons to Canada - (shared with CIC)

**Description:** Information on policies and programs concerning the admission of persons to Canada.

**Topics:** Admission data on immigrants according

to component groups (economic, social and humanitarian immigrants) and of visitors including tourists, temporary workers and foreign students. Related background information including labour market and demographic data. Description of selection criteria and processing systems.

**Access:** Paper and electronic records.

**Program Record Number:** CBSA ENT 003

##### Anti-dumping Investigations

**Description:** Information on the analysis of complaints alleging injurious dumping and resultant investigative activity.

**Topics:** Original complaint; initial evaluation and investigation; detailed investigation; calculations and working papers.

**Access:** Files are maintained by commodity.

**Program Record Number:** CBSA ENT 004

##### Appeals (Anti-dumping and Countervailing)

**Description:** Information on the processing of B2 appeals against dumping and countervailing decisions made under the Special Import Measures Act (SIMA); and in the case of Binational Panels appeals, an Administrative Record comprised of an Index, documentation identical to that described for Customs Branch – Anti-dumping Investigations and Customs Branch – Countervailing Investigations, complainant's briefs and responses thereto, motions and disclosure orders.

**Topics:** Appeal documents and working papers relating thereto.

**Access:** Files are maintained by commodity.

**Program Record Number:** CBSA ENT 005

##### Brokers Licensing

**Description:** Information on the licensing and control of Customs Brokers.

**Topics:** Customs Brokers Qualifying Examinations, Licensing Advisory Committee; Customs Brokers \$50,000 Performance Bonds; Customs Brokers documents agents; power of attorney.

**Access:** Customs brokers records are filed alphabetically by name and location.

**Program Record Number:** CBSA ENT 006

##### CANPASS

**Description:** Documentation on the development, implementation and maintenance of computer systems pertaining to Traveller CANPASS systems in the Customs and Trade Administration environment.

**Topics:** Travellers rates and declaration database; vehicle passage database; line officer reference manuals for all CANPASS modes of travel, as well as data dictionary and schemas; procedural documents for problem reporting and

resolution for CANPASS.

**Program Record Number:** CBSA ENT 007

#### **Carrier Control**

**Description:** Information on the report and control of the use of non-duty-paid instruments of international conveyance entering, exiting and transiting Canada; all modes of transport and transport-related equipment in accordance with Customs and transportation policy.

**Topics:** Remission orders for, vessels, aircraft; policy directives and information of a general or specific nature relating to carriers of all modes; cargo containers.

**Access:** Case files are divided into different carrier modes and are filed alphabetically by company.

**Program Record Number:** CBSA ENT 008

#### **Casual Refund System (CRS)/CREDITS – Maintenance and Support**

**Description:** Information on CRS.

**Topics:** User Manuals, desk instructions, functional specifications, various test packages, bulletins to systems users.

**Access:** Manuals are filed by subsystem and/or system name. Files are indexed numerically and by subject.

**Program Record Number:** CBSA ENT 009

#### **Client Service - Cost Recovery Program**

**Description:** Information on the application of "fees for service" to all requests from external clients and other government departments for new or enhanced, long-term customs service.

**Topics:** General, policy, specific initiatives.

**Access:** Files are arranged by operational file number and by client name.

**Program Record Number:** CBSA ENT 010

#### **Client Service - Fees for Documents**

**Description:** Information on the application of fees when clients request copies of documents related to the import or export of goods.

**Topics:** General, policy/regulations (D1-3-1), public complaints, regulatory review process.

**Access:** Files are arranged numerically.

**Program Record Number:** CBSA ENT 011

#### **Client Service - Special Service Charges**

**Description:** Information on the application of service fees pursuant to section 167 of the Customs Act for ad hoc customs service provided outside authorized hours, at a location other than a customs office or which is outside the normal realm of a customs officer's duties.

**Topics:** general, policy/regulations (D1-2-1), public complaints, and regulatory review process.

**Access:** Files are arranged by number and

subject.

**Program Record Number:** CBSA ENT 012

#### **Commercial Verification**

**Description:** Information on policies and procedures respecting the legislation administered by Customs prior to the release of commercial goods to the importer or his agent and similar information on goods exported from Canada.

**Topics:** Regulations, operational policies, processes, and procedures, contravention's and sanctions, and verification processes and methodology.

**Access:** Memoranda and files containing instructions can be accessed alphabetically.

**Program Record Number:** CBSA ENT 013

#### **Compliance and Performance Surveys**

**Description:** Information on the compliance of travellers; commercial goods arriving by highway, air and marine container; and courier and postal shipments.

**Topics:** Traveller and commercial compliance rated, for travellers, the dollar value of duties evaded, percentages of travellers sampled who were fully satisfied to fully unsatisfied with customs service.

**Access:** Files are arranged by customs office name and by date of survey.

**Program Record Number:** CBSA ENT 014

#### **Countervailing Investigations**

**Description:** Information on the analysis on complaints of the allegedly injurious importations of subsidized goods and the possible requirement for imposition of a countervailing duty.

**Topics:** Evaluation of complaints; conduct of investigation; calculations and working papers.

**Access:** Files are maintained by commodity.

**Program Record Number:** CBSA ENT 015

#### **Courier Systems and Procedures**

**Description:** Information on the legislation, regulations and policies governing couriers involved in the clearance of low-value shipments through Customs.

**Topics:** Courier policy and procedures, remission order, cost recovery, statistics, and correspondence with courier companies and associations.

**Access:** Information is filed by subject matter.

**Program Record Number:** CBSA ENT 016

#### **Customs Appeals Directorate (Trade related disputes)**

**Description:** Information on dispute resolution processes, including policies and procedures relating to K14D disputes for re-determinations of tariff classification, origin or value for duty

decisions made under the Customs Act; appeals to the Canadian International Trade Tribunal (CITT) and Federal Court; referrals and inquiries from regional appeals offices; consultations with the Department of Justice; the analysis of facts and positions as well as their ramifications with respect to CITT/Federal Court cases; objectives, organization and responsibilities; work plans; workload and resource projections and resource allocations; training; “procedural” type policies and manuals.

**Topics:** Procedural guidelines; mandates; authority delegations; regional referrals; K14D’s and notices of appeal with related documentation; position papers; protocols with other branches.  
**Access:** Filed by Harmonized System Subheading, court reference number, and subject.  
**Program Record Number:** CBSA ENT 017

### **Customs Appeals Directorate (Enforcement related disputes)**

**Description:** Information on all appealed enforcement actions made under the Customs Act, Excise Act, Excise Act 2001, Proceeds of Crime (Money Laundering) and Terrorist Financing Act for contravention of these or other Acts of Parliament for which the Agency has administrative authority.

**Topics:** Information retained includes original enforcement action documents, officer reports and supplementary reports, the letter of appeal; the Notice of Reasons for Action, and the decision.  
**Access:** Cases are filed by number.  
**Program Record Number:** CBSA ENT 018

### **Customs Commercial System (CCS)**

**Description:** Information on the design, development, testing and implementation of CCS.  
**Topics:** Systems descriptions; functional specifications; applications; Memorandum of Understanding; Participant Requirement Documents; implementation plans; quality assurance programs; pre and post-implementation evaluation reports; user manuals and training material.

**Access:** Files are indexed numerically and by subject matter.  
**Program Record Number:** CBSA ENT 019

### **Drawbacks and Refunds**

**Description:** Information on the administrative policies for drawbacks of customs duties on exported goods, the refunds of Customs duties under various regulations (excluding appeals) and the development of Canadian legislation covering the drawback and refund programs.

**Topics:** Correspondence on drawbacks – claims and claimants; refunds – claims and claimants;

exports; obsolete or surplus goods; railway rolling stock; ships’ stores; home consumption; post-audit and conditional remission Orders in Council.

**Access:** Subject files and case files are arranged by subject or company name. Refund and drawback claims are filed by claim number.  
**Program Record Number:** CBSA ENT 020

### **Duty Deferral**

**Description:** Information on duties deferral unit and the development of Canadian legislation covering various relief/refund/remission programs.

**Topics:** Payment of claims withheld to offset debts due to the Crown; post-audit procedures; seizures arising from drawback or refund investigations; and trade talks and negotiations.  
**Access:** Files are arranged by subject, company, country or Agency.  
**Program Record Number:** CBSA ENT 021

### **Duty Deferral, Drawback and Bonded Warehouse**

**Description:** Customs Bonded Warehouses are departmentally licensed and related facilities operated by the private sector. Goods in a bonded warehouse are considered to be imported into Canada but have not been released from customs. These facilities provide for the complete deferral of customs duties, anti-dumping and countervailing duties, excise duties (except tobacco and alcohol destined for release into Canada) and taxes including the GST.

**Topics:** Customs Bonded Warehouses.  
**Access:** Individual Bonded Warehouse records are filed alphabetically by name and held in various offices.  
**Program Record Number:** CBSA ENT 022

### **Duty Free Shop Licensing**

**Description:** Information on the objectives and implementation of the duty free shop program at the land border, and information on airport duty free shops.

**Topics:** Criteria and procedures for licensee selection; standards of operations; duty free shop regulations and directives; licensee evaluation and monitoring system report (LEMS).

**Access:** Individual land border and airport duty free shops records are filed by site; general information is filed by subject matter.  
**Program Record Number:** CBSA ENT 023

### **Entry Accounting and Adjustment Policy**

**Description:** Information on Customs entry of commercial goods and related documentation: revenue accounting, invoicing and adjustments against accounting documents.

**Topics:** B3 entry documentation; provisional entries; B2 requests for adjustment; amending

entries; Canada Customs invoicing requirements

**Access:** Records are filed alphabetically.

**Program Record Number:** CBSA ENT 024

### Export Reporting

**Description:** Information on export procedures applicable to goods from Canada to the U.S. and to non U.S. destinations.

**Topics:** Electronic reporting, (Canadian Automated Export Declaration – CAED, G7), other methods of reporting (B13 Export Declaration Summary Reporting).

**Program Record Number:** CBSA ENT 025

### General

**Description:** Information on the overall functions of commercial entry systems (e.g., audits, co-operation and liaison, meetings, projects and reports).

**Topics:** Commodity coding; contingency plans; Customs Act revisions; co-operation with the Canadian Exporters' Association, Canadian Society of Customs Brokers, Canadian Importers' Association, Canadian Industrial Traffic League, and external agencies in general.

**Access:** Information is contained in the "D" memoranda, which can be accessed alphabetically.

**Program Record Number:** CBSA ENT 026

### Harmonized Commodity Description and Coding System

**Description:** Information on the Harmonized Commodity Description and Coding System (HS).

**Topics:** Meetings of the Harmonized System Committee of the Customs Co-operation Council (CCC) World Customs Organization (WCO) and the HS review sub-committee; the Nomenclature of the CCC/WCO and the HS; Canadian tariff and statistical nomenclature based on the HS.

**Access:** Files and reports are filed by topic.

**Program Record Number:** CBSA ENT 027

### Integrated Customs Systems (ICS)

**Description:** The Integrated Customs System (ICS) is based upon the Customs Blueprint initiatives designed to streamline and expedite legitimate trade and facilitate processing of low-risk travellers, enhanced import and export control effectiveness, and ensure Government revenues are collected. The ICS combines new components, applications, and technical infrastructure, with interfaces to existing Commercial Traveller, and Enforcement systems.

**Topics:** Documentation includes information on the design, development, testing, and implementation of the components, applications, and infrastructure that comprise ICS. Systems descriptions, conceptual designs, database

models, project development and deployment schedules, procurement records, integrated testing strategy and problem reporting instructions, and problem management strategy.

**Program Record Number:** CBSA ENT 028

### Import Process Division – Contracting Out

**Description:** Information related to the data capture of entry accounting and cargo data by private sector firms using Customs equipment and facilities.

**Topics:** Operating procedures manual; Public Works and Government Services Canada contract; various reports, forms and files.

**Access:** Manual is filed by name and files are indexed numerically and by subject.

**Program Record Number:** CBSA ENT 029

### Origin and Valuation Audits

**Description:** Information on audit and verification policies, procedures and activities, respecting the rules of origin regulations under the North American Free Trade Agreement (NAFTA), the Canada-Chile Free Trade Agreement (CCFTA), the Canada-Israel Free Trade Agreement (CIFTA), the Canada-Costa Rica Free Trade Agreement (CCRFTA) and the Least Developed Countries (LDCs) Market Access Initiative.

**Topics:** Policies and procedures, related legislation and regulations, NAFTA Audit Manual, origin and valuation correspondence and working paper templates, audit plan and case files.

**Access:** Files are arranged by FTA and/or subject and/or company name.

**Program Record Number:** CBSA ENT 030

### Policy and Administration (Anti-dumping and Countervailing)

**Description:** Information on the development of Canadian legislation covering anti-dumping, countervail, and the development and review of systems and procedures relating to the application of these programs; liaison with other Departments, foreign trade; and tax legislation.

**Topics:** Legislation; policy and technical interpretation of anti-dumping and countervail programs; correspondence and manuals; documents relating Agency involvement with the General Agreement on Tariffs and Trade (GATT) World Trade Organization (WTO) Agreement; trade negotiations [Free Trade Agreement (FTA), North American Free Trade Agreement (NAFTA), Canada-Chile Free Trade Agreement (CCFTA) Multilateral Steel Agreement (MSA)] and internal studies [Organization for Economic Co-operation and Development (OECD) study on trade and competition policies], studies and reviews on trade



and tax legislation of foreign countries.

**Program Record Number:** CBSA ENT 031

### **Policy and Administration (Origin)**

**Description:** Information for the policies and procedures of the Memorandum of Understanding (MOU) for the Exchange of NAFTA-Related Information Between the Bureau of Customs and Border Protection and the CBSA that have been established in order to fulfill our commitment under Section 512 of the North American Free Trade Agreement (NAFTA)-to collect and exchange information and statistics regarding the importation and exportation of goods in order to ensure equitable implementation of the NAFTA and ensuring all exporters of a level playing field.

**Topics:** Reasons for the exchange of the trade data, policies and procedures, the Customs Notice 514- Memorandum of Understanding for the Exchange of North American Free Trade Agreement(NAFTA)-Related information, related legislation and Regulations,required data elements and documentation, manner in which data is to be exchanged and the timing of the exchange (monthly/quarterly).

**Access:** The individual origin verification determinations are filed by period.

**Program Record Number:** CBSA ENT 032

### **Policy and Administration (Valuation)**

**Description:** Information on the development of Canadian legislation covering valuation and the development and review of systems relating to the administration of valuation; information on the delivery of international technical assistance; liaison with other Government Departments and other branches and divisions within Customs; valuation legislation, policies and practices of World Trade Organization (WTO) signatories to the International Valuation Agreement.

**Topics:** Legislation, policy and technical interpretation of the valuation program; correspondence and training material; documents concerning Agency participation at General Agreement on Tariffs and Trade (GATT) World Trade Organization (WTO) Agreement meetings and at the Customs Cooperation Council (CCC)/World Customs Organization (WCO) Technical Committee on Customs Valuation meetings. Participation on Government Trade Agreement Initiatives (e.g. APEC, NAFTA, EFTA, FTAA, Chile, etc.).

**Program Record Number:** CBSA ENT 033

### **Postal Policies, Procedures and Automated Systems**

**Description:** Information on various policies, procedures, operational and automated systems

respecting the importation of goods through the postal system by commercial and non-commercial importers; also co-operation and liaison with domestic and foreign authorities.

**Topics:** Interpretations of legislation, regulations and policies; postal methods of payment for duties and taxes; postal import remissions; postal release procedures; complaints; mail movement and control; prohibited goods disposal; co-operation and liaison with domestic (and foreign) authorities such as the Royal Canadian Mounted Police, Agriculture Canada, Health and Welfare Canada, Canada Post Corporation and Statistics Canada.

**Program Record Number:** CBSA ENT 034

### **Project Management - Customs Commercial Systems (CCS) Systems Maintenance**

**Description:** Information on problems resolution; design and implementation of system enhancements; audits and post-implementation reviews.

**Topics:** CCS Priorities; systems problems; systems enhancements; pre- and post-implementation audit reports and responses; various test packages to assess the different valid and invalid situations in the system functional specifications.

**Access:** Files are indexed numerically and by subject matter.

**Program Record Number:** CBSA ENT 035

### **Remissions**

**Description:** Information on the eligibility of companies and types of commodities for exemption or remission of duties and taxes under standing remission Orders-in-Council, special remissions, applications to the Interdepartmental Remission Committee and the development of Canadian legislation covering the remission program.

**Topics:** Applications, background information, research data and decisions relating to standing remission Orders-in-Council; special remissions; Canadian goods abroad and temporary entry provisions.

**Access:** Cases are filed by company name, subject and Order in Council number.

**Program Record Number:** CBSA ENT 036

### **Rules of Origin**

**Description:** Information on the determination of tariff treatment in accordance with the Canadian rules-of-origin regulations and trade agreements (the North American Free Trade Agreement in particular).

**Topics:** Inquiries; reports; requests for information; verifications; investigations and final

decisions on such things as entries; invoicing; preferential tariff; and direct shipment.

**Access:** Files are arranged by subject and country.

**Program Record Number:** CBSA ENT 037

### Scientific/Advisory Services

**Description:** Information on the analytical and scientific advisory services provided in support of the administration of the Customs Tariff Act and related legislation; the Excise Act and related legislation and the Spirits Instrument Certification Program; on Forensic Document Analysis in support of investigations and prosecution of fraud; on scientific and technical research and development work in support of the administration of Customs and Excise policies, regulations and procedures.

**Topics:** (i) Technical information and methodology for the analysis of commodity importations, suspected contraband, seized spirits and tobacco products, denatured alcohols and other goods subject to excise duty and/or taxes; laboratory reports and certificates on analysed products; certificates issued for the Spirits Instruments Certification Program; and laboratory reports related to the examination of fraudulent documents. (ii) Project reports and working papers associated with the investigation and development of scientific methods, systems and equipment for the detection and identification of goods subject to Customs and Excise control; reports from external consultants providing specialized laboratory services; and information from scientific equipment manufacturers.

**Access:** (i) methods, laboratory reports and certificates indexed on Electronic Data Processing database; and (ii) project reports filed numerically by project or electronically, external consultants reports filed by date and equipment filed by subject and manufacturer.

**Program Record Number:** CBSA ENT 038

### Tariffs

**Description:** Information on the overall functions and programs that concern the Tariff Classification and International Nomenclature Division.

**Topics:** prohibited goods, end-use privileges; Customs laboratory reports; industry complaints and reviews; Consultations with Other Government Departments and bilateral and multilateral negotiations on tariff classification issues; the Customs and Excise Offshore Application Act; and regional referrals.

**Access:** Files are arranged by tariff item and commodity.

**Program Record Number:** CBSA ENT 039

### TEPS/PICS/PALS/CECPS/TPHS

**Description:** Documentation on the development, implementation and maintenance of computer systems pertaining to Commercial, Postal, Traveller, and Enforcement systems in the Customs and Trade Administration environment.

**Topics:** Commercial and Travellers rates and declaration database; postal rates and declaration database; vehicle passage database; as well as data dictionary and schemas; procedural documents for problem reporting and resolution.

**Program Record Number:** CBSA ENT 040

### Travellers

**Description:** Information on the administration and application of specific tariff items and remission orders pertaining to travellers entitlements; and on the control and processing of travellers and their baggage entering Canada by all modes of transportation.

**Topics:** Interpretative guidance on tariff items pertaining to visitors, former residents, settlers and their effects; maintenance of travellers declarations; liaison with other departments; and inspection procedures.

**Access:** Correspondence and policy decisions on commodity classification is filed by Harmonized System sub-heading number. General correspondence and policy information is filed numerically by subject matter.

**Program Record Number:** CBSA ENT 041

### Travellers Year in Review

**Description:** The Travellers Year in Review is an annual publication providing an analytical look at statistical data (national and regional), compliance measurement and client satisfaction. It includes overviews of key events and activities within the Customs Travellers Program.

**Topics:** Summaries of compliance and performance measurement surveys conducted annually, traveller volumes, examination rates, enforcement rates and numbers of small collections on a national, regional and select customs office basis.

**Access:** The Year in Review is distributed to select managers in HQ and regionally.

**Program Record Number:** CBSA ENT 042

### Valuation

**Description:** Information in support of regionally conducted valuation verifications concerning the value for duty of imported goods.

**Topics:** Instructions to importers; documentation, information on formal requests for re-appraisal.

**Access:** Files are maintained by file number for the commodity and by importer name.

**Program Record Number:** CBSA ENT 043

## Warehouse Licensing

**Description:** Information on the licensing and operation of various types of Customs warehouses.

**Topics:** Customs sufferance warehouses; frontier warehouses.

**Access:** Individual sufferance warehouses records are filed alphabetically by name and location.

**Program Record Number:** CBSA ENT 044

## Comptrollership Branch

### Program Planning and Analysis

**Description:** Information concerning Branch planning and budgeting activities including multi-year operational planning process (MYOP); the Branch monitoring framework for programs; Customs inspector uniform program; operational issues related to health and safety and union-sensitive issues; PASS program (Personal Alarm Security System); special services; disposal of goods; claims against the Crown; briefing material for senior management on operational issues; responses to internal audit reports, program evaluations and Auditor General reports; co-ordination of special events (e.g. G-7 meetings, Olympic Games Expositions); policies to be followed in the communications centre regarding communications between the regions and headquarters in crisis situations; and statistics on inspector assaults.

**Topics:** Program planning and analysis-general, policy development, interbranch and interdepartmental coordination, monitoring, branch planning and budgeting.

**Program Record Number:** CBSA COM 001

### Security

**Description:** Information on policies, correspondence and protective procedures relating to implementation and administration of the Government Security Policy in the Department (except IT security and investigations).

**Topics:** Policies and procedures on personnel, physical, communications and administrative security, minutes of meetings; briefs, reports, plans.

**Program Record Number:** CBSA COM 002

## Enforcement Branch

### Customs Enforcement

#### Advance Passenger Information/Passenger Name Record Program

**Description:** Information on the legislation, policies, and procedures as well as the design, development, testing, and implementation of PAXIS (Passenger Information System). Included

are information relating to passengers and crew as obtained from airlines' reservations or departure control systems as well as result scores from subsequent enforcement database queries.

**Topics:** Regulations; operational policies and procedures; correspondence; system descriptions and test packages; evaluation reports; user manuals and training material; memoranda of understanding; disclosure release forms; statistics.

**Access:** Files are indexed numerically and by subject matter. PAXIS data can be searched by data field.

**Program Record Number:** CBSA ENF 001

### Anti-Evasion

**Description:** Information on anti-evasion, smuggling and fraud initiatives, on liaison with other organizations involved in anti-evasion, smuggling and fraud initiatives; on coordinated law enforcement activities.

**Topics:** Research, analysis and assessment of smuggling and fraud; co-ordination of the activities on anti-evasion, smuggling and fraud; money laundering; organized crime.

**Program Record Number:** CBSA ENF 002

### Commercial Enforcement

**Description:** Information on the development of enforcement policies, techniques and procedures.

**Topics:** Import and export enforcement policies and procedures; policies on the utilization of intelligence data in enforcement programs.

**Access:** Files are in numerical order.

**Program Record Number:** CBSA ENF 003

### Customs Intelligence Data

**Description:** Information exchanged with foreign Customs administrations and law enforcement agencies used to produce intelligence relating to the detection and successful interdiction of actual and potential Customs violations.

**Topics:** Offence-related data; profiles of individuals, companies, and organizations considered to be high-risk Customs offenders; information on past infractions by companies or persons; suspect files of individuals or companies; commodity data pertaining to goods likely to be smuggled; methods of concealment, modus operandi of the smuggler, routing; demographics of smugglers, etc.

**Access:** All data can be retrieved via printouts matching various selected fields or search of file material. Individual names, company names, addresses and telephone numbers can be the subject of search criteria. All fields can be sorted according to the data (i.e. alphabetically or numerically).

**Program Record Number:** CBSA ENF 004

## Detection and Investigations

**Description:** Information specific to non-compliance, avoidance, evasion with respect to the Customs Act and other related laws. The information relates to the detection, identification and investigation of potential, alleged, and actual violations with respect to the provisions of the Acts.

**Topics:** Information pertaining to persons specific to non-compliance, and duties avoidance, evasion and fraud.

**Access:** Cases are filed alphabetically by vendor's name and case file, and numerically by enforcement file.

**Program Record Number:** CBSA ENF 005

## Enforcement (Anti-dumping and Countervailing)

**Description:** Information respecting the enforcement of the Canadian International Trade Tribunal's findings, including case Enforcement Plans.

**Topics:** Entry documents and working papers related thereto.

**Access:** Records are filed by case. Instructions and values available through an automated system. Certain data may be of a proprietary or sensitive nature and cannot be released.

**Program Record Number:** CBSA ENF 006

## Integrated Customs Enforcement System (ICES)

**Description:** Information on the design, development and implementation of ICES, the major automated enforcement support system in the Customs Stream.

**Topics:** System descriptions; System Design and Architecture Documents; Implementation plans; User Manuals and Training material.

**Access:** Files are indexed numerically by subject matter.

**Program Record Number:** CBSA ENF 007

## Immigration Enforcement

### Enforcement

**Description:** General correspondence relating to enforcement activities, including letters, briefing notes and ministerial correspondence; policies, statistics, directives, manuals, forms, operational memoranda on specific Immigration enforcement functions and obligations; the Immigration and Refugee Protection Act and Regulations, proposed amendments thereto, historical amendments and Regulatory Impact Analysis Statements (RIAS), and other related statutory instruments.

**Topics:** Investigations, Removals, Hearings and Inadmissibility, and Detention: Primary and

secondary examinations; Documents required by persons seeking to enter Canada; Examinations of Canadian citizens, permanent residents and temporary resident permit holders; Examination of immigrants; Processing student authorizations; Examinations of visitors and foreign workers; Lookouts; Preparation of section 44 reports, voluntary withdrawal, and directions to return to the United States; Immigration Officer functions at ports of entry; Maritime procedures; Search and seizure of documents and private vehicles, fingerprinting and photographing; Holding, detaining and seizing vehicles operated by transportation companies; Obligations and liabilities of transportation companies; Memorandum of Understanding with commercial transporters; Verification of departure at ports of exit; Temporary entry of business persons under the North American Free Trade Agreement (NAFTA); Reciprocal Arrangement with the United States Memorandum of Understanding with the Canada Customs; Memorandum of Understanding with Health Canada; Canada/US Accord on our shared border; Advance Passenger Information (API) / Passenger Name Record (PNR); Advance Passenger Processing (APP); Treaty on Mutual Legal Assistance with the United States; Transfer of Prisoners Program; Investigations (peace officer status; use of force; police liaison); Searches and seizure; Arrests with warrant; Arrests without warrant; Special treatment of unaccompanied minors; Detentions pursuant to the Immigration and Refugee Protection Act; Detention reviews; Testifying; Admissibility hearings before an Immigration Division member; Determinations of eligibility under the Immigration and Refugee Protection Act to have a claim to be a Convention refugee referred for determination; Re-determinations of eligibility to have a refugee claim determined where individual has been convicted of a serious criminal offence; Re-determination of eligibility to have a refugee claim determined where the claim is based on fraud or misrepresentation of a material fact; Nullification of multiple refugee claims; Immigration Officer functions in the issuance administrative removal orders and with respect to detention and release; Appeals to the Immigration Appeal Division concerning removal orders issued against permanent residents, returning residents, Convention refugees, or visa holders; Appeals to the Immigration Appeal Division by the Minister concerning the refusal of an adjudicator to issue a removal order; Interventions and participation by the Minister in refugee claims being heard by the Refugee Protection Division; Applications by the Minister of Citizenship and Immigration Canada to

the Refugee Protection Division to vacate the Convention refugee status of specific individuals; Applications by the Minister of Citizenship and Immigration Canada to the Refugee Protection Division for a determination that an individual has ceased to be a Convention refugee; Removals from Canada of individuals subject to removal orders (voluntary removal; departure; Temporary Suspension of Removals; Seizing and returning documents; Canadian Police Information Centre access and warrant management (personnel security; office security; Immigration Warrant Response Centre role; disclosure of CPIC information); Cash deposits and guarantees of the performance of obligations under the Immigration and Refugee Protection Act; Information on the impact of International Tribunals on the Enforcement program, particularly the Convention on the Rights of the Child; Our Missing Children Program; General information on co-operation and liaison activities with law enforcement agencies, in particular the RCMP and CSIS; Memorandum of Understanding with the Correctional Service of Canada respecting the Exchange of Information; Memorandum of Understanding with CPIC Services; Memoranda of Understanding with various police agencies; Administrative Framework Agreement with the Immigration and Refugee Board of Canada; Removals Arrangements with Jamaica, Vietnam, Slovenia, the Czech Republic, Hong Kong, Lebanon, and Portugal; Permanent Resident Card Project; Canada/US Border Vision; Intergovernmental Consultations on Refugee Asylum Policies and Migrations in Europe, North America and Australia (Working Group on Return and Working Group on Trafficking of Aliens); G8 Lyon Sub-Group on Migration; The negotiation of international and domestic Information Sharing agreements.

**Program Record Number:** CBSA ENF 008

### **Enforcement**

**Description:** General correspondence relating to enforcement activities, including letters, briefing notes and ministerial correspondence; policies, statistics, directives, manuals, forms, operational memoranda on specific Immigration enforcement functions and obligations; the Immigration and Refugee Protection Act and Regulations, proposed amendments thereto, 380 Citizenship and Immigration Canada historical amendments and Regulatory Impact Analysis Statements (RIAS), and other related statutory instruments.

**Topics:** Ports and Border Management, Investigations, Removals, Hearings and Inadmissibility, Detention Preparation of section 44 reports, and Legislative Review: Policies,

guidelines, procedures, and correspondence concerning the following subjects, and issues resulting therefrom: Operation of Ports; Immigration Officer functions at ports of entry; Obligations and liabilities of transportation companies; APIS; Re-determination of eligibility to have a refugee claim determined where the claim is based on fraud or misrepresentation of a fact material to eligibility; Deportation orders; exclusion orders; logistics of removal; verification of departure; travel documents; escorts; removal arrangements with other countries)

**Access:** Files are organized by topic.

**Program Record Number:** CBSA ENF 013

### **Integrated Customs Enforcement System (ICES)**

**Description:** Information on the design, development and implementation of ICES, the major automated enforcement support system in the Customs Stream.

**Topics:** System descriptions; system database model; enforcement library, System Design and Architecture Documents; problem resolution and testing procedures. Implementation plans; User Manuals and Training material.

**Access:** Files are indexed numerically by subject matter.

**Program Record Number:** CBSA ENF 009

### **Integrated Primary Inspection Line (IPIL) System**

**Description:** Information on the design, development and implementation of the IPIL System. IPIL supports the primary Customs Inspectors function by performing name and associated date of birth queries against the Integrated Customs Enforcement System (ICES) and Field Operations Support System (FOSS) databases.

**Topics:** Systems Designs and Architecture Documents: Implementation plans and system descriptions.

**Access:** Files are indexed numerically by subject matter.

**Program Record Number:** CBSA ENF 010

### **Transportation**

**Description:** Information on the transportation of persons to, from or within Canada.

**Topics:** Transportation by air, land or sea; companies' obligations for the provision of examination facilities; payment of detention, removal and medical costs; administration fees, deposit of security for persons conveyed in companies' vehicles; responsibilities and regulations of travel agencies, and consultations

with Transport Canada.

**Program Record Number:** CBSA ENF 011

## Immigration Intelligence

### Strategic Intelligence

**Description:** Policies, guidelines, procedures, statistics, correspondence and reports.

**Topics:** Activities involving organized illegal migration and smuggling; Co-operation and liaison with international enforcement agencies concerned with illegal migration; Undocumented arrivals; Improperly documented arrivals at Canada's ports of entry; Illegal marine arrivals; International migration trends; special population movements as a result of civil war, social/political upheaval, and natural disasters; Intelligence assessment products; Seizure of documents from international mail and courier systems.

**Program Record Number:** CBSA ENF 012

## Innovation and Technology Branch

### Accelerated Commercial Release Operations Support System (ACROSS)

**Description:** Information on the design, development testing and implementation of ACROSS, the major automated release system in the Customs Commercial stream. Included is information on the following ACROSS sub-system: Goods Control (Cargo and Release including EDI Marine and Rail Cargo as well as EDI Release); Release Notification System (RNS); the Automated Import Permit System (EXCAPS); the Customs Self-Assessment Program (CSA), and the Commercial Driver Registration Program (CDRP).

**Topics:** System descriptions; Conceptual System Design (CSD); Business System Design (BSD); ACROSS Participant Requirement Documentation (PRD); EDI Marine Cargo PRD; EDI Rail Cargo PRD; Implementation Plans; ACROSS User Guide; Bulletins and training material including Quick Reference Guides.

**Access:** Files are indexed numerically and by subject matter.

**Program Record Number:** CBSA TEC 001

### Accelerated Customs Release Operation Support System

**Description:** Documentation on the development, implementation and maintenance of computer systems pertaining to Commercial release and reporting.

**Topics:** Importer registration, Release electronic documents, enforcement lookouts and passage database; as well as data dictionary and schemas; procedural documents for problem reporting and resolution for CCS/FIRM/G11.

**Program Record Number:** CBSA TEC 002

## Branch Automated Equipment Acquisition and Inventory Control and Management

**Description:** Information on automated systems equipment (hardware, software, communications devices) acquisition, inventory, determination of funding levels for technology support costs, deployment and replacement processes.

**Topics:** Acquisition forms, inventory database, costing formulas, funding reports.

**Access:** Files are indexed numerically and by subject.

**Program Record Number:** CBSA TEC 003

## Customs Commercial Systems

**Description:** Documentation on the development, implementation and maintenance of computer systems pertaining to Commercial accounting and reporting.

**Topics:** Importer and carrier identification, Commercial rates, B2 & B3 electronic documents, and accounting databases; as well as data dictionary and schemas; procedural documents for problem reporting and resolution for CCS/FIRM/G11.

**Program Record Number:** CBSA TEC 004

## Electronic Data Processing (EDP) Systems (shared with CBSA)

**Description:** EDP systems are used to gather or update the information needed for the operational support of citizenship and immigration programs. Citizenship and immigration-related programs and services are delivered using integrated clerical, manual and EDP systems. The EDP component consists of the sub-systems listed below. All sub-systems are linked to each other, either by a full computer connection (interface), or by common data elements that allow comparisons of information across systems. Therefore, actions in one sub-system may affect the smooth running of others. Approximately 500 separate immigration forms, with a total volume of 1,000,000 documents, are processed through these sub-systems each year. Enforcement Information Index (EII): Please see CBSA PPU 041 for details. A set of EII (CBSA PPU 041) cases produced on CD was distributed to posts (embassies and consulates) abroad. Enforcement Data System (EDS): Please see CBSA PPU 001 for details. A set of EDS (CBSA PPU 001) cases produced on CD was distributed to posts (embassies and consulates) abroad. Field Operational Support System (FOSS): The FOSS database is a central repository of information on all persons who have been, may be or are wanted to be seen by Immigration staff. FOSS is the main operational support system for Immigration operations in Canada. The system is comprised of

numerous components including query functions, status entry, document creation, refugee monitoring, case processing support, medical profiles, registry functions, client name and address, statistical functions, airport primary inspection line functions, access and security, appeals and litigation, quality assurance and records maintenance. All Immigration staff that work with the public and the staff that support these officers use FOSS. It is also used at all international airports by Customs inspectors and by a number of specialized groups, such as: Case Management, Query Response Centre, Social Insurance Registry, Immigration Health, Immigration Statistics, External Affairs Protocol Office and the U.S. Immigration Offices at Detroit and Buffalo. There are over 14 million client records and over 23 million document reference records. Computer-Assisted Immigration Processing System (CAIPS): CAIPS is the Department's automated system for immigration application processing outside Canada. Information is entered in the system from application forms and supporting documentation submitted by applicants for immigrant and visitor visas, returning residence permits and student and employment authorizations. This information is transferred electronically to FOSS to facilitate inland processing. In addition, CAIPS users have real-time access to FOSS via the CAIPS-FOSS Integration module. Case Processing Centre System (CPC): The CPC system supports the processing of all in-Canada applications for the following six lines of Business: in- Canada sponsorship of family class; extension of visitor visas; extension of employment authorizations; extension of student authorizations; applications for Citizenship and Immigration Canada 385 permanent residence; applications based on Humanitarian and Compassionate grounds; and for persons deemed refugees. The system is tied very closely to FOSS. Citizenship Registry System (CRS): CRS manages processes related to citizenship, namely grants of citizenship and proofs of citizenship. The main functions are: Collect Fees; Collect Data; Certificate Preparation; Clearance; Decision: Scheduling; Log In (results) and File Retention. All record scheduling and workflow data related to citizenship processes are kept in this database and there is an interface with FOSS. National Case Management System (NCMS): The NCM system replaces seven regional case tracking applications—Tracking Resource Allocation and Client Scheduling (TRACS), Système d'Affectation des Ressources et Calendrier des Enquêtes (SARCE), Investigations Tracking System (ITS),

Investigation Case Management System (ICMS), Système Informatique pour le Suivi des Appels (SISA), and Appeals Tracking System (ATS). NCMS provides functionality that supports critical case tracking requirements from the regions and NHQ. It provides a facility aimed at satisfying management information needs. Key enforcement data is stored centrally to provide an integrated client case history for all domestic users. Its functions include case tracking, bring forward, scheduling, workload management, file registry, and forms and letters modules for all of CBSA's major enforcement business lines (except port of entry examinations).

**Topics:** Information systems generally; standard statistical coding for completing forms; information gathering systems (employment clearance, occupation, transportation tables, native language); data systems (immigrants processed abroad and in Canada, permanent residents, monthly program reports, special information retrieval procedures, foreign nationals visiting Canada).

**Program Record Number:** CBSA APB 005

#### **Mechanized Systems Development**

**Description:** Information on ensuring effective Customs control over the movement and processing of international mail, by means of improved facility designs and both mechanical and non-mechanical systems.

**Topics:** Facility improvements; correspondence and drawings; machinery and equipment.

**Access:** Records are filed by subject and by Customs office.

**Program Record Number:** CBSA TEC 006

#### **Personal Computer/LAN Systems Maintenance and Testing**

**Description:** Information on the Commercial Offsite Monitoring System (COMS); Automated Carrier Tracking System (ACTS).

**Topics:** User Manuals, desk instructions, functional specifications, various test packages, bulletins to systems users, systems change procedures.

**Access:** Manuals are filed by system name. Files are indexed numerically and by subject.

**Program Record Number:** CBSA TEC 007

#### **Postal Import Control System (PICS) - Maintenance and Support**

**Description:** Information on PICS.

**Topics:** User Manuals, desk instructions, functional specifications, various test packages, bulletins to systems users.

**Access:** Manuals are filed by subsystem and/or system name. Files are indexed numerically and

by subject.

**Program Record Number:** CBSA TEC 008

### **Program Development – Systems Management and Enhancements**

**Description:** Information on problem resolution; design and implementation of systems enhancements for ACROSS.

**Topics:** Systems change procedures; system enhancements; various test packages to assess the different valid and invalid situations in the system functional specifications; security profiles.

**Access:** Files are indexed numerically and by subject matter.

**Program Record Number:** CBSA TEC 009

### **Project Management – Customs Commercial Systems (CCS) Systems Maintenance**

**Description:** Information on problems resolution; design and implementation of system enhancements; audits and post-implementation reviews.

**Topics:** CCS Priorities; systems problems; systems enhancements; pre- and post-implementation audit reports and responses; various test packages to assess the different valid and invalid situations in the system functional specifications.

**Access:** Files are indexed numerically and by subject matter.

**Program Record Number:** CBSA TEC 010

### **Operations Branch**

#### **Client Service - Service Delivery at Customs Offices**

**Description:** Information concerning levels of service at customs offices (where, when and how service is provided) and on opening/closing of offices, hours of service offered, appointment of Acting Customs Enforcement Officers (ACEO'S), designation of customs offices at airports and other points of entry and public complaints.

**Topics:** General; policy, List of Customs Offices (D1-1-1)Service Delivery Framework (operational procedures).

**Access:** Files are arranged by subject matter and by file name of Customs office.

**Program Record Number:** CBSA OPS 001

#### **Client Service - Special Service Charges**

**Description:** Information on the application of service fees pursuant to section 167 of the Customs Act for ad hoc customs service provided to a person in charge of imported goods or goods destined for export outside authorized hours, at a location other than a customs office or which is outside the normal realm of a customs officer's duties.

**Topics:** General, policy/regulations (D1-2-1),

public complaints, regulatory review process.

**Access:** Files are arranged by number and subject.

**Program Record Number:** CBSA OPS 002

### **Regional Customs Operations**

**Description:** Information on the application of the programs, developed by the headquarters directorates, that pertain to the control of the international movement of people, goods and conveyances; the collection of revenue; entry examination and control; detection of smuggling; operation of warehouses; control of the operation of all modes of transport; and the primary inspection of services at all ports and outposts.

**Topics:** Transportation documents on all modes, their manifests, special conditions such as diversions, temporary entry, freight forwarding; cargo, carrier and warehouse control; seizure reports; powers of attorney; uncollectables – records of individuals, firms; Carrier Penalty Assessments; temporary entries; ships' registries; investigation case files; detention orders; cultural properties – export permits; and commodity code rulings complaints.

**Access:** Carriers are filed by mode of transport and alphabetically by company; warehouses are filed alphabetically by name and location; Customs Brokers are filed alphabetically by name and cross-referenced by an assigned control number.

**Program Record Number:** CBSA OPS 003

### **Regional Drawbacks, Refunds and Remissions**

**Description:** Information on remitting or adjusting duties and taxes by means of the drawbacks, refunds, and remissions process, in accordance with the programs administered by the Trade Incentive Programs Division; conducting audits used to verify the manufacture of goods, and the volume of goods re-exported in order to establish eligibility for the Duties Relief Program.

Conducting audits on orders in council subject to post audit to verify the use of goods.

**Topics:** Surveys on specific industries pertaining to current manufacturing and marketing practices; background information required by the Interdepartmental Remission Committee; standing remissions orders; policies and directives on drawbacks, refunds, remissions, diversions, temporary entries, Canadian goods abroad.

**Access:** Claim forms requesting drawbacks, refunds or remissions, filed by claim number at each regional office.

**Program Record Number:** CBSA OPS 004



### **Regional Tariff, Value and Origin**

**Description:** Information on the actual application of the various programs under the Tariff, Valuations and Origin Programs and Assessment Programs directorates in areas such as tariff classification, Origin, tariff treatment, value for duty, Special Import Measures provisions, ruling enforcement and import surveillance.

**Topics:** Correspondence with importers, exporters, brokers and other clients who are requesting a ruling or final decision regarding the tariff classification of imported goods, and the value for duty of used goods; the enforcement of valuation rulings or anti-dumping provisions by monitoring all import entries for compliance with existing rulings and to verify the amount of duty and taxes that should have been collected.

**Access:** All entries are filed numerically. Correspondence filed by tariff item number, subject and commodity, or subject and name of importer or exporter at each regional office.

**Program Record Number:** CBSA OPS 005

### **Strategy and Coordination Branch**

#### **Agency Transition**

**Description:** Information on the approach adopted by Canada Border Services Agency to effect its transition. Information on working papers (agendas, minutes, progress reports, consultants' reports on specific aspects of transition) of ad hoc Agency transition committees.

**Topics:** Stemming from the December 12, 2003 announcement regarding the creation of the Canada Border Services Agency.

**Program Record Number:** CBSA STR 001

#### **Briefing and Parliamentary Affairs (BMP)**

**Description:** Information on written and oral questions in Parliament and other information required by Parliament, its committees, or other government institutions.

**Topics:** Order Paper questions and petitions; question period; government and private members; bills; motions for the production of papers; parliamentary committees; tabling of annual reports and returns.

**Program Record Number:** CBSA STR 002

#### **Corporate Planning, Reporting & Governance**

**Description:** Information on Corporate Planning, Environmental Scanning, Corporate Performance Reporting, Corporate Governance and Accountability, Service Standards, and Continuous Process Improvement.

**Topics:** Branch Business Plans, Corporate Business Plans, Strategic Overview, Summary of the Corporate Business Plan, Report on Plans

and Priorities, Annual Report, presentation materials on business plans and the planning process, Accountability Contracts for all senior managers. Subject matter pertains to the corporate governance, planning, reporting and accountability processes.

**Program Record Number:** CBSA STR 003

#### **Customs Action Plan**

**Description:** Information on Customs program development. Included are three main components: (1) The Customs Blueprint which outlines the proposed program development direction for consultation. The Blueprint documents are comprised of a discussion paper and two workbooks: one for traders and one for travellers. (2) The Blueprint Consultation Report compiles the results of the consultations and identifies the priorities for an action plan for the next five years. (3) The Customs Action Plan, 2000-2004. In response to increased security concerns following terrorist attacks on the United States.

**Program Record Number:** CBSA STR 004

#### **International Representation**

**Description:** Information on Agency activities with various international organizations.

**Topics:** Customs Cooperation Council (CCC); General Agreement on Tariffs and Trade (GATT); Customs Caribbean Law Enforcement Conference (CCLEC); and others.

**Access:** Filed by subject; organizations, by name; and trade negotiations, by country.

**Program Record Number:** CBSA STR 005

#### **Privacy Impact Assessment (PIA) Related Records**

**Description:** Records pertaining to Privacy Impact Assessment submissions.

**Topics:** Correspondence and documents relevant to PIA issues for the Agency.

**Program Record Number:** CBSA STR 006

#### **Program Development – Customs Balanced Scorecard**

**Description:** Information on the development of a performance measurement system modeled on the "balanced scorecard" approach.

**Topics:** Program planning and analysis; inter-branch and interdepartmental coordination; development strategies; data to support various measures and indicators for the CBSA balanced scorecard.

**Program Record Number:** CBSA STR 007

#### **Regulations and Remissions**

**Description:** Information on the development and amendment of regulations under the Customs

Act, the Excise Act and the Softwood Lumber Products Export Charge Act, and recommendations on requests for remission of customs duties and other taxes.

**Topics:** Research, correspondence and recommendations on proposed regulations and remissions.

**Access:** Filed by subject.

**Program Record Number:** CBSA STR 008

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts, Legislation and Regulations

Administration

Administration and Management Services

Audits

Automated Document, Records, Information Management Systems

Budgets

Buildings

Buildings and Properties

Business Continuity Planning

Classification of Positions

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology and Services

Lands

Occupational Health and Safety

Office Appliances

Official Languages

Pensions and Insurance

Proactive Disclosures

Procurement

Salaries and Wages

Staff Relations

Travel

Training and Development

Utilities

Vehicles

## Personal Information Banks

### Admissibility Branch

#### CANPASS

**Description:** Records in this bank contain such data as name, address, date of birth, place of birth, client identification number, reason for referral, correspondence to client concerning their application and status of application.

**Purpose:** CANPASS programs in the are run by the CBSA and are meant to facilitate the entry of prior-assessed low-risk frequent border crossers.

**Consistent Uses:** Information is used internally with respect to the administration and enforcement of immigration legislation, and may be used internally for research, planning, evaluation and statistical analysis.

**Retention and Disposal Standards:** The files are retained for two years after the last administrative action.

**RDA Number:** 98/001

**Related PR#:** CBSA ENT 007

**TBS Registration:** 005202

**Bank Number:** CBSA PPU 002

#### Complaints

**Description:** The bank consists of investigation reports and replies to complaints from individuals who have experienced difficulties at customs. Information may also be retained in Customs Officer's notebooks – Customs form # CE1.

**Class of Individuals:** Members of the general public.

**Purpose:** The purpose of this bank is to maintain a record of complaints related to personnel and procedures.

**Consistent Uses:** To provide ongoing statistical reports to senior management and regional management on the number and types of complaints by mode and location.

**Retention and Disposal Standards:** Files are retained for five years and destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA OPS 001

**TBS Registration:** 000005

**Bank Number:** CBSA PPU 003

### Customs Appeals Directorate (Adjudications Program) Records

**Description:** The bank contains records of appealed enforcement actions, which includes personal information, as well as details pertaining

to the enforcement action.

**Class of Individuals:** Travellers, importers, exporters and transportation companies, brokers, and warehouse operators.

**Purpose:** The principal purpose of the record is to assist Adjudicators and Appeals Officers of the Customs Appeals Directorate in determining whether there is a contravention under the law and if the monetary terms should be mitigated or cancelled, or goods forfeited or returned. The records are also used for reporting purposes.

**Retention and Disposal Standards:** Automated and paper records, including reports, are retained for six (6) years after the file is closed.

**RDA Number:** Presently under review.

**Related PR#:** CBSA ENT 018

**TBS Registration:** 000011

**Bank Number:** CBSA PPU 005

### Customs Brokers – Professional and Qualified Status

**Description:** A database is maintained on the computers in the Broker Licensing and Account Security Section.

**Class of Individuals:** The database lists individual candidates who have successfully completed the “Qualifying” or “Professional” customs brokers examination.

**Purpose:** The purpose of this bank is to maintain a record of all persons who have successfully completed one or both of the customs brokers examinations and to record the customs brokerage firm under whose license authority they transact business. As some individuals may lose their status by being absent from the brokerage industry for a period of time in excess of one year, the database allows the determination of candidates who have “lost” their status and would be required to re-qualify in order to assume certain positions with licensed customs Brokerage firms. Individuals who have been appointed to “qualified positions” with licensed Brokerage firms would also be recorded on the individuals brokerage firm’s files. It should be noted that the Qualified Person requirements is no longer in effect and that no further records will be maintained for the Qualified Person. The Qualified Officer requirement remains and records will continue to be maintained for these individuals. The information on the database is mostly available on brokers’ files (7637-2/Name of Broker)

**Consistent Uses:** None

**Retention and Disposal Standards:** Files are retained for seven years, then destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA ENT 006

**TBS Registration:** 000009

**Bank Number:** CBSA PPU 006

### Duty Free Shop Applicants (Land Border)

**Description:** This bank contains application packages submitted to the Agency from individuals interested in operating a duty free shop at the land border and the Agency’s evaluation as to their suitability.

**Class of Individuals:** Residents of Canada who are Canadian citizens or permanent residents and who are from the small or medium business sector.

**Purpose:** The purpose of this bank is to maintain application packages and related assessments.

**Retention and Disposal Standards:** Files of unsuccessful applicants are retained for a period of two years, then destroyed, and files of successful applicants (operators) are retained for a period of ten years, then destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA ENT 023

**TBS Registration:** 000012

**Bank Number:** CBSA PPU 007

### Passenger Travel Records

**Description:** This database contains information on all air passengers seeking to enter Canada, including the name, date of birth, citizenship, country of birth, address, ID and FOSS numbers, locator number, method of payment, and contact information. The information is received by CBSA in advance of the passengers’ arrival in Canada from commercial transporters, pursuant to section 148(1)(d) of the Immigration and Refugee Protection Act and section 269 of the Regulations. Records may include both Advance Passenger Information (API) data, which consists of ‘tombstone’ data found in travel documents such as passports, and Passenger Name Record data, which consists of more detailed reservation information provided in the course of travel.

**Class of Individuals:** Persons who have sought to enter Canada by way of commercial airline and who have been subject to the enforcement provisions of the Immigration and Refugee Protection Act.

**Purpose:** To assist CBSA officials in making a determination on the admissibility status of those seeking to enter Canada. API data is electronically matched against specific elements of CBSA’s Enforcement Data System to assist officials in identifying individuals who may require a secondary immigration examination. API data is also matched with the Canadian Customs – CBSA ENF 009 (Integrated Customs Enforcement System) to aid officers at the Primary Inspection Line (PIL) in referring persons to Immigration for

further examination. Information in this bank may be used in the administration and enforcement of citizenship and immigration legislation. It may also be used by CBSA for the purpose of planning, monitoring and evaluation of programs and services.

**Consistent Uses:** The Information may be shared with the Royal Canadian Mounted Police (RCMP) and the Canadian Security and Intelligence Service (CSIS) for the purpose of conducting investigations related to immigration legislation. Some information may be disclosed to transportation companies within the terms of their responsibilities under the citizenship and immigration legislation. Other Uses: Information in this bank may be used by CBSA for internal audits, research purposes and collection of statistics. It may be provided to private sector research firms for research and statistical purposes.

**Retention and Disposal Standards:** Records are retained in the CBSA datawarehouse for a maximum of six years after the last administrative action and then destroyed.

**RDA Number:** 90/002

**Related PR#:** CBSA ENT 003

**TBS Registration:** 005388

**Bank Number:** CBSA PPU 008

#### **Pre-examination of Travellers – Alternative Reporting Programs for Travellers**

**Description:** Travellers wishing to participate in a pre-approval application process to determine eligibility for expedited Customs and immigration clearance programs, i.e. dedicated lanes, will apply on an application form and provide some or all of the following types of information, as required by each program: 1) Name; 2) Date and Place of Birth; 3) Address Information; 4) Telephone and Facsimile Numbers; 5) Type, Make, Model and License Information for Conveyance; 6) Criminal Record; 7) Violation of Customs and/or Immigration Laws; 8) Family Members; 9) Parental or Legal Guardian Consent for Minors; 10) Proof of Citizenship; 11) Employment History; 12) Biometric Data; 13) Purpose of Travel; and 14) Credit Card Number.

**Class of Individuals:** Canadian and United States permanent residents and citizens who travel across the border frequently, and citizens of other countries as allowed by each program.

**Purpose:** To determine if an applicant can be approved to participate in an expedited Customs and Immigration Clearance Program. Approval and rejection are based on criteria developed by participating agencies for each program. The four primary agencies involved in expedited clearance

programs are the Canada Border Services Agency; Citizenship and Immigration Canada; United States Customs Service; United States Immigration and Naturalization Service.

**Consistent Uses:** Information provided may be shared among all four participating agencies and with other government law enforcement agencies to determine eligibility. Applicants are rejected or approved by each agency based on information provided by the applicant and also according to each agency's individual criteria.

**Retention and Disposal Standards:** Files are retained for a minimum of two years, for as long as memberships are active, and for longer periods, as required to satisfy each program's administration requirements.

**Related PR#:** CBSA ENT 003

**RDA Number:** 2000/033

**TBS Registration:** 002788

**Bank Number:** CBSA PPU 031

#### **Travellers Entry Processing System (TEPS) / Travellers National Database System (TRANDS)**

**Description:** This bank consists of information captured from a travellers B15 – Casual Goods Accounting Document and K21 General Receipt. TEPS captures the information at the time of importation and TRANDS retrieves the information for management reporting purposes. The information consists of the traveller's name, address, commodity information and duty/tax summary.

**Class of Individuals:** Members of the general public.

**Purpose:** TEPS – Assists the Customs Inspector in the assessment and collection of duties, taxes and other relevant data on travellers importations. TRANDS – Provides B15 data for Agency queries.

**Consistent Uses:** The information is used primarily to provide Agency, other government departments and outside agencies with financial and statistical data pertaining to travellers importations.

**Retention and Disposal Standards:** Records will be maintained for a minimum of three years plus current fiscal year and will then be destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA ENT 040

**TBS Registration:** 003778

**Bank Number:** CBSA PPU 010

#### **Vessel Licences**

**Description:** This bank contains the name, address and telephone number of the licence holder; and the length, breadth, depth, estimated tonnage of the vessel and details on the machinery when applicable.

**Class of Individuals:** Actual and previous owners of small vessels.

**Purpose:** The information is collected on behalf of Department of Fisheries and Oceans and is used to issue licences to, and provide identification of, owners of small vessels operating in Canadian waters, rivers and lakes, and to meet the requirements of the Small Vessels Regulations. The information is also used for enforcement of safety regulations, search and rescue purposes, to provide safe boating information, etc.

**Consistent Uses:** This bank is also used by officers of federal and/or provincial departments for enforcing various statutes and regulations and the issue of special licences or permits; police authorities for enforcing safety regulations and identifying stolen and missing property and to provincial authorities related to the enforcement of sales tax provisions.

**Retention and Disposal Standards:** Records are being retained indefinitely.

**RDA Number:** 2000/033

**Related PR#:** CBSA OPS 003

**TBS Registration:** 003129

**Bank Number:** CBSA PPU 011

## Comptrollership

### Security Investigations

**Description:** Contains investigative reports and correspondence with respect to security incidents and allegations and threats against employees.

**Class of Individuals:** Current or former employees and clients.

**Purpose:** The information is compiled to carry out necessary investigations and may be shared with other investigative agencies and/or police departments.

**Retention and Disposal Standards:** Records are retained for five years.

**RDA Number:** 98/001

**Related PR#:** CBSA COM 001, CBSA COM 002

**TBS Registration:** 002771

**Bank Number:** CBSA PPU 039

### Service Contracts

**Description:** This bank contains the contract information for professional services entered into by the Canada Border Services Agency offices nationally.

**Class of Individuals:** Individuals who apply or are awarded professional service contracts CBSA.

**Purpose:** The purpose of this bank is to maintain a record of the terms and conditions of professional services contracts along with the fees and payment schedule for procurement reporting and audit purposes. Access to these records will be provided to the parties concerned upon

adequate proof of identification and/or authority.

**Retention and Disposal Standards:** Records in this bank are maintained for three years after all actions are completed.

**RDA Number:** 99/003

**Related PR#:** CBSA PRN 912

**TBS Registration:** 003541

**Bank Number:** CBSA PPU 040

## Enforcement

### Customs Enforcement

#### Assault Cases

**Description:** The bank consists of investigation reports and related correspondence as it relates to persons suspected of having committed an assault against customs officers. Information may also be retained in Customs Officer's notebooks – Customs form # CE1.

**Class of Individuals:** Members of the public.

**Purpose:** The purpose is to determine whether prosecution of the suspected individual is warranted.

**Consistent Uses:** The information is used to provide ongoing statistical reports to senior management and regional management on the number and type of assault cases. Retention and Disposal standards: Records are maintained for five years and destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA COM 001, CBSA COM 002

**TBS Registration:** 000006

**Bank Number:** CBSA PPU 012

#### Confirmation and Tracking System (CATS)

**Description:** This bank contains information resulting from inquiries regarding an immigration warrant, an individual's status, a criminal record, a document confirmation, a photo request, a fingerprint request or other related matters. Immigration CATS entries may contain the following information: Information on the caller: surname, given name, phone number, badge number, agency name, city and caller type. It may also contain information on an individual: FOSS ID number, CRS ID number, citizenship certificate number, gender, surname, given name, country of birth, date of birth, call reason, warrant, non warrant and remarks field.

**Class of Individuals:** Individuals who have called for one of the reasons stated above, Permanent or Temporary Residents, and Convention Refugees.

**Purpose:** The CATS database is used to record all incoming calls in order to follow-up on cases that require evaluation, auditing, training purposes, and for further investigation. The database captures information on the call as well

as information on an individual.

**Consistent Uses:** The database is used for internal statistical purposes.

**Retention and Disposal Standards:** The information is retained for ten years after the last administrative use.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005315

**Bank Number:** CBSA PPU 004

### Customs Intelligence Records

**Description:** The bank contains seizure records, personal information about individuals who are suspected or known to be violators of the laws enforced in whole or in part by Agency officials. The bank also contains information on corporations companies and organizations that are known to have, or are suspected to have been involved in offences. Information may also be retained in Customs Officer's notebooks – Customs form #CE1.

**Class of Individuals:** Members of the general public.

**Purpose:** This information is used by the Agency, as well as by domestic and foreign law enforcement and investigative agencies, in the administration or enforcement of the laws especially as it concerns the laws relating the importation and exportation of goods.

**Consistent Uses:** In detection, prevention, or suppression of criminal activity and statistical purposes.

**Retention and Disposal Standards:** Records will be maintained for a minimum of ten years and will then be destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA OPS 003

**TBS Registration:** 000007

**Bank Number:** CBSA PPU 015

### Integrated Customs Enforcement System (ICES)

**Description:** The bank consists of information on past and potential customs violators. It allows customs officers at all ports to query against a database of selected cases. The database contains subject information (Name, DOB, Addressee, Identification) on individuals and businesses. commodity information, penalty information and conveyance information. This information is provided by the subject through questioning, identification, receipts and invoices. Information may also be retained in Customs Officer's notebooks – Customs form # CE1.

**Class of Individuals:** Members of the general public.

**Purpose:** The purpose is to assist customs

officers in establishing the risk factor, assessing rates of duties. The information is used by the Agency for the enforcement of the Customs Act.

**Consistent Uses:** The information is used to identify individuals who have committed/or are suspected of infractions against the Customs Act, Excise Act, the Export Permits Control Act and Agriculture Canada.

**Retention and Disposal Standards:** Records will be retained for a minimum of six (6) years from the date of the offence and will then be destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA ENF 007

**TBS Registration:** 004136

**Bank Number:** CBSA PPU 016

### Primary Automated Lookout System – Airport (PALS - Air)

**Description:** This bank consists of an index from the Policy Information Retrieval System (PIRS) which contains information on past and potential Customs violators. The Primary Automated Lookout System allows primary Customs Inspectors at all international airports to initiate name queries against a database of selected cases.

**Class of Individuals:** Members of the general public.

**Purpose:** The purpose of this bank is to assist Customs Inspectors in the screening process for travellers. The bank is maintained by Citizenship and Immigration Canada and is used by the Agency.

**Consistent Uses:** The information is used primarily to identify individuals who have committed infractions against the Customs Act, Excise Act, the Export/Permits Control Act and Agriculture Canada.

**Retention and Disposal Standards:** Records will be retained for a minimum of six years and will then be destroyed.

**RDA Number:** 2000/033

**Related PR#:** CBSA ENT 040

**TBS Registration:** 003321

**Bank Number:** CBSA PPU 117

### Traveller Declaration Cards

**Description:** Consists of records of all written declarations filed on arrival in Canada by Canadian citizens and permanent residents registered in alternative reporting programs for Travellers.

**Class of Individuals:** Canadian citizens and permanent residents.

**Purpose:** To facilitate the primary Customs and Immigration clearance process for travellers. The information may also be used by the Canada

Customs and Revenue Agency and by other government departments, as well as by investigative agencies for the administration of enforcement of Acts of Parliament.

**Consistent Uses:** The information is used primarily to report and pay federal and provincial duty and tax revenue collected through the various alternative reporting program for Travellers, and also for statistical purposes. Information may be shared with other government departments for the purpose of administration and enforcement of Acts of Parliament.

**Retention and Disposal Standards:** Files are retained for a minimum two years from date of last administrative action.

**RDA Number:** 2000/033

**Related PR#:** CBSA ENT 041

**TBS Registration:** 002271

**Bank Number:** CBSA PPU 018

## Immigration Enforcement

### Fugitive Information Bank

**Description:** The contents include photos, fingerprints and narrative descriptions of individuals of interest to the War Crimes Unit.

**Class of Individuals:** Persons of interest to the War Crimes Unit and/or subject to immigration warrants.

**Purpose:** To assist colleagues within the Department, police forces, and other enforcement partners with the identification.

**Consistent Uses:** Information is shared with the Royal Canadian Mounted Police (RCMP), Canadian Security Intelligence Service (CSIS), and the U.S.A. Department of Homeland Security.

**Retention and Disposal Standards:** Records are retained for execution of warrant or person(s) of interest, and subject to the Immigration and Refugee Protection Act.

**RDA Number:** 90/002

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005200

**Bank Number:** CBSA PPU 020

### Immigration Detainees Management System (SGADI)

**Description:** This MS Access file contains information on individuals held in detention centres in Québec by CBSA. The file makes it possible to manage their detentions by producing reports on detainees (including children) being held in the Prevention Centre and in other detention facilities in Québec. It also makes it possible to track the movements of detainees. The file contains the following information: family name, first name, date of birth, date of arrival and time of arrival reported at the Centre, sex, country of birth, office, number of dependants (spouse and

children), type of detainee (criminal, refugee protection claimant or other), height, weight, colour of eyes, colour of hair, remarks (e.g., tattoo), reason for detention, notification to Youth Protection Directorate (YPD) cases (for children), on complaints made by the detainee, and the list of places visited by the detainees during the detention (bank, hospital, etc.). Individuals who wish to consult this information must provide their family name, first name, date of birth and preferably their FOSS identification number.

**Class of Individuals:** Individuals who are detained for immigration related processes

**Purpose:** The main function of this file is to provide follow-up on the activities of individuals being held in the Immigration Prevention Centre in all centres in Québec Region. Employees performing duties associated with detention management enter information gathered on detainees into a database.

**Consistent Uses:** None.

**Retention and Disposal Standards:** The data in this file is retained for a period of five years.

**RDA Number:** 90/002

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005194

**Bank Number:** CBSA PPU 021

### Immigration Mail and Courier Tracking System (IMPACT)

**Description:** The database contains information related to documents and things seized under the authority of the Immigration and Refugee Protection Act. Information on known senders, shippers and receivers of the packages, of handling and seizure information and of the contents of packages and their disposal is all recorded and tracked.

**Class of Individuals:** Any person listed as a sender or receiver of a package that is detained by CBSA under the Customs Act and referred for a decision regarding seizure or release under the Immigration and Refugee Protection Act.

**Purpose:** To track information related to the process in terms of discerning patterns of activity and to respond to client requests for information on the results of processes.

**Consistent Uses:** Information is shared with the CBSA in terms of the results of their examination processes and with the Royal Canadian Mounted Police (RCMP) in terms of possible prosecution under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Materials seized are held for a period of five years from the last administrative update.

**RDA Number:** 98/001

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005197

**Bank Number:** CBSA PPU 022

### Mail Seizure Database

**Description:** This database contains electronic records of all mail seizures executed by Intelligence Unit personnel in the BC/Yukon Region. Data includes individual's name, address, status in Canada, client identification number of both the addressee and sender; date item detained by the CBSA; date examined or seized by Immigration; disposition of seizure; seizure type (partial or full seizure); seizure documents (document holder name, nationality of document, document type); comments, and mail carrier information (carrier name, shipping & control number).

**Class of Individuals:** The bank contains information on individuals whose mail has been seized by CBSA.

**Purpose:** The purpose of the database is to provide a detailed record of every mail seizure in the BC/Yukon Region in order to support the intelligence function.

**Consistent Uses:** Information may be considered in relation to immigration applications processed by Citizenship and Immigration personnel and for intelligence reports regarding the movement of documentation into Canada. Information may be shared with the Royal Canadian Mounted Police (RCMP) for the purpose of investigations related to immigration legislation.

**Retention and Disposal Standards:** Paper records are retained for two years after the last administrative action. In some cases that involve complex issues/proceedings, they are kept for 10 years. As for automated records, they are retained for policy analysis purposes to monitor effectiveness of the program and are kept for 10 years.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005204

**Bank Number:** CBSA PPU 023

### Passenger Travel Records

**Description:** This database contains information on all air passengers seeking to enter Canada, including the name, date of birth, citizenship, country of birth, address, ID and FOSS numbers, locator number, method of payment, and contact information. The information is received by CBSA in advance of the passengers' arrival in Canada from commercial transporters, pursuant to section 148(1)(d) of the Immigration and Refugee Protection Act and section 269 of the Regulations. Records may include both Advance Passenger

Information (API) data, which consists of 'tombstone' data found in travel documents such as passports, and Passenger Name Record (PNR) data, which consists of more detailed reservation information provided in the course of travel.

**Class of Individuals:** Persons who have sought to enter Canada by way of commercial airline and who have been subject to the enforcement provisions of the Immigration and Refugee Protection Act.

**Purpose:** To assist CBSA officials in making a determination on the admissibility status of those seeking to enter Canada. API data is electronically matched against specific elements of CBSA's Enforcement Data System (data bank CBSA PPU 001 - Enforcement Data System) to assist officials in identifying individuals who may require a secondary immigration examination. API data is also matched with the Integrated Customs Enforcement System to aid officers at the Primary Inspection Line (PIL) in referring persons to secondary for further examination. Information in this bank may be used in the administration and enforcement of citizenship and immigration legislation. It may also be used by CBSA for the purpose of planning, monitoring and evaluation of programs and services.

**Consistent Uses:** The Information may be shared with the Royal Canadian Mounted Police (RCMP) and the Canadian Security and Intelligence Service (CSIS) for the purpose of conducting investigations related to immigration legislation. Some information may be disclosed to transportation companies within the terms of their responsibilities under the citizenship and immigration legislation. Other Uses: Information in this bank may be used by CBSA for internal audits, research purposes and collection of statistics. It may be provided to private sector research firms for research and statistical purposes.

**Retention and Disposal Standards:** Records are retained in the for a maximum of six years after the last administrative action and then destroyed.

**RDA Number:** 90/002

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005388

**Bank Number:** CBSA PPU 024

### Immigration Intelligence

#### Enforcement Information Index System (EIIS)

**Description:** This bank contains summary information gathered by Canadian or foreign law enforcement agencies or investigative bodies on persons whose entry and re-entry to Canada



would be dangerous to Canadian security.

**Class of Individuals:** Persons seeking admission to Canada, and some permanent residents of Canada.

**Purpose:** This bank is used for identifying the above individuals and subjecting them to a more detailed immigration examination. Information is used to enforce the Immigration and Refugee Protection Act and may be used for internal audit purposes.

**Consistent Uses:** Information may be shared with Foreign Affairs and International Trade Canada, the Immigration and Refugee Board of Canada, the Royal Canadian Mounted Police (RCMP), the Canadian Security Intelligence Service (CSIS) and the Department of Finance to facilitate the examination and to conduct criminal and security investigations related to immigration/citizenship legislation. It may be shared with foreign governments pursuant to an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation.

**Retention and Disposal Standards:** Automated information is retained for 50 years. Band microfilmed information is retained for 15 years.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 002370

**Bank Number:** CBSA PPU 041

#### Immigration Warrant File

**Description:** Immigration warrant files may contain the following information regarding an individual: Family name, given name, aliases, nicknames, maiden name, date of birth, country and place of birth, country of last permanent residence, sex, marital status, photos, fingerprints, height, weight, eye colour, hair colour, race, appearance, marks, scars, tattoos, amputations, deformities, passport number, copy of passport, address, phone number, caution flags, employer, occupation, name and address of next of kin, date of arrest, port and date of entry, NCBSA/CPIC printout and FOSS printout.

**Class of Individuals:** The information pertains to permanent and temporary residents, and failed convention refugees wanted on outstanding immigration warrants.

**Purpose:** The purpose of this bank is to aid CBSA in the apprehension of individuals with outstanding immigration warrants.

**Consistent Uses:** Information may be shared with all agencies that have access to the Canadian Police Information Centre (CPIC). This

includes institutions, United States authorities and Interpol. Personal information relating to warrants and arrests for examination, admissibility hearings, removal from Canada or a proceeding that could lead to the making of a removal order by an immigration officer, and removal orders (departure orders, deportation orders and exclusion orders) issued by CBSA officers, and their execution, may be disclosed by media relations officers when they determine that the disclosure is necessary for the administration and enforcement of the Immigration and Refugee Protection Act and the detection, suppression and prevention of immigration offences.

**Retention and Disposal Standards:** Retained indefinitely, or until the warrant is executed, cancelled or removed from CPIC. Once executed, cancelled or removed from CPIC entire contents of warrant files are relayed to the Immigrant Case File—CBSA PPU 042 and disposed of according to the standards of that bank.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005314

**Bank Number:** CBSA PPU 026

#### Modern War Crimes System-Classified (MWCS-C)

**Description:** This bank contains information on persons, places, events and organizations suspected to be involved in war crimes and/or crimes against humanity. The bank may include information gathered by Canadian or foreign investigative bodies and law enforcement agencies.

**Class of Individuals:** Persons seeking admission to Canada, as well as those already in Canada as visitors, permanent residents of Canada, Citizens and Temporary Resident Permit's holders who are known to engage or are suspected of engaging in war crimes and / or crimes against humanity.

**Purpose:** Information contained in this bank may be used in the administration and enforcement of citizenship and immigration legislation.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting investigations related to immigration and citizenship legislation. It may also be disclosed to provincial authorities for assessment under the terms of an agreement or arrangement. Uses also include the sharing of information with Solicitor General Canada, CSIS, Financial Transactions and Reports Analysis Centre of Canada, the Department of Justice and the RCMP where these

uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration and citizenship legislation. Other uses may include the sharing of information with the Immigration and Refugee Board of Canada, Foreign Affairs and International Trade Canada (DFAIT) as well as with provincial or municipal government departments under the terms of an agreement and for research purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. Information obtained from DFAIT, Health Canada, the Immigration and Refugee Board of Canada (that contained in IRB PPU 105 - Immigration Appeal Board Records, IRB PPU 110 - Immigration Appeal Division Records, IRB PPU 115 - Convention Refugee Division Records, and IRB PPU 145 - Research Director, Claim Specific Information), CSIS, the RCMP and some provincial government departments may be matched for the purpose of administering or enforcing the immigration and citizenship legislation.

**Retention and Disposal Standards:** Information regarding persons known to have engaged or are suspected of engaging in activities contrary to the immigration and the citizenship legislation is retained for up to 50 years. Upon expiry of the retention period, the National Archives of Canada will preserve some of the records for archival purposes.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005208

**Bank Number:** CBSA PPU 028

#### **Modern War Crimes System-Open (MWCS-O)**

**Description:** This bank contains information on persons, places, events and organizations as they relate to modern war crimes and crimes against humanity. The bank may include information gathered by Canadian or foreign investigative bodies and law enforcement agencies.

**Class of Individuals:** Persons seeking admission to Canada, as well as those already in Canada as visitors, permanent residents of Canada, Citizens and Temporary Resident Permit's holders who are known to engage or are suspected of engaging in activities contrary to the Immigration and Refugee Protection Act.

**Purpose:** Information may be used to refuse admission to Canada.

**Consistent Uses:** The information may be

disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting investigations related to Immigration legislation. It may also be disclosed to provincial authorities for assessment under the terms of an agreement or arrangement. Uses also include the sharing of information with Solicitor General Canada, CSIS, the Department of Justice and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Other uses may include the sharing of information with the Immigration and Refugee Board of Canada, (IRB) Foreign Affairs International Trade Canada (DFAIT) as well as with provincial or municipal government departments under the terms of an agreement and for research purposes. It may also be shared with foreign governments authorities under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. Information obtained from DFAIT, Health Canada, the IRB (that contained in IRB PPU 105–Immigration Appeal Board Records, IRB PPU 110–Immigration Appeal Division Records, IRB PPU 115–Convention Refugee Determination Division Records, and IRB PPU 145–Research Directives, Claim Specific Information), CSIS, the RCMP and some provincial government departments may be shared for the purpose of administering or enforcing immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Information regarding persons known to have committed war crimes or crimes against humanity is retained for 50 years. Upon expiry of the retention period, some of the records will be preserved by the National Archives of Canada for archival purposes.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005207

**Bank Number:** CBSA PPU 029

#### **Organized Crime Data Bank (OCSS)**

**Description:** This bank may include information gathered by Canadian or foreign investigative bodies or law enforcement agencies on persons who are associated with criminal organizations or whose admission or presence in Canada may be dangerous to Canadian security.

**Class of Individuals:** Persons seeking

admission to Canada, as well as those already in Canada as visitors, permanent residents of Canada and Temporary Resident Permit's holders who are known to engage or are suspected of engaging in activities contrary to the Immigration and Refugee Protection Act.

**Purpose:** Information contained in this bank may be used in the administration and enforcement of citizenship and immigration legislation.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP) and the Department of Finance for the purpose of conducting investigations related to the Immigration and Refugee Protection Act. It may also be disclosed to provincial authorities for assessment under the terms of an agreement or arrangement. Uses also include the sharing of information with Solicitor General Canada, CSIS, the Department of Justice, the Department of Finance and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Other uses may include the sharing of information with the Immigration and Refugee Board of Canada, Foreign Affairs and International Trade Canada as well as with provincial or municipal government departments under the terms of an agreement and for research purposes. It may also be shared with foreign governments authorities under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. Information obtained from Foreign Affairs and International Trade Canada, Health Canada, the CBSA, the Immigration and Refugee Board of Canada (that contained in IRB PPU 105–Immigration Appeal Board Records, IRB PPU 110–Immigration Appeal Division Records, IRB PPU 115–Convention Refugee Determination Division Records and IRB PPU 145–Research Directives, Claim Specific Information), CSIS, the RCMP and some provincial government departments may be shared for the purpose of administering or enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Information on controversial cases, such as those involving organized crime, is retained 10 years after the last administrative action. Upon expiry of the retention period, some of these records will be preserved by the National Archives of Canada for archival purposes.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005209

**Bank Number:** CBSA PPU 030

### **Pre-examination of Travellers – Alternative Reporting Programs for Travellers**

**Description:** Travellers wishing to participate in a pre-approval application process to determine eligibility for expedited Customs and immigration clearance programs, i.e. dedicated lanes, will apply on an application form and provide some or all of the following types of information, as required by each program: 1) Name; 2) Date and Place of Birth; 3) Address Information; 4) Telephone and Facsimile Numbers; 5) Type, Make, Model and License Information for Conveyance; 6) Criminal Record; 7) Violation of Customs and/or Immigration Laws; 8) Family Members; 9) Parental or Legal Guardian Consent for Minors; 10) Proof of Citizenship; 11) Employment History; 12) Biometric Data; 13) Purpose of Travel; and 14) Credit Card Number.

**Class of Individuals:** Canadian and United States permanent residents and citizens who travel across the border frequently, and citizens of other countries as allowed by each program.

**Purpose:** To determine if an applicant can be approved to participate in an expedited Customs and Immigration Clearance Program. Approval and rejection are based on criteria developed by participating agencies for each program. The four primary agencies involved in expedited clearance programs are the CBSA; Citizenship and Immigration Canada; United States Customs Service; United States Immigration and Naturalization Service.

**Consistent Uses:** Information provided may be shared among all four participating agencies and with other government law enforcement agencies to determine eligibility. Applicants are rejected or approved by each agency based on information provided by the applicant and also according to each agency's individual criteria.

**Retention and Disposal Standards:** Files are retained for a minimum of two years, for as long as memberships are active, and for longer periods, as required to satisfy each program's administration requirements.

**RDA Number:** 2000/033

**Related PR#:** CBSA ENF 001

**TBS Registration:** 002788

**Bank Number:** CBSA PPU 031

### **Secure Tracking System**

**Description:** This bank contains information gathered by Canadian or foreign investigative bodies or law enforcement agencies on persons

who are involved in and/or associated with any organization involved in war crimes, crimes against humanity and/or terrorist activities, or persons associated with criminal organizations, and whose admission or presence in Canada may be contrary to immigration or citizenship legislation.

**Class of Individuals:** Persons seeking admission to Canada, as well as those already in Canada as visitors, permanent residents of Canada and Temporary Resident Permit holders and naturalized citizens who are known to engage or are suspected of engaging in activities contrary to the immigration/citizenship legislation.

**Purpose:** Information contained in this bank may be used in the administration and enforcement of citizenship and immigration legislation.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of investigations related to immigration and citizenship legislation. It may also be disclosed to provincial authorities for assessment under the terms of an agreement or arrangement. Uses also include the sharing of information with Solicitor General Canada, CSIS, the Department of Justice and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration/citizenship legislation. Other uses may include the sharing of information with the Immigration and Refugee Board of Canada, Financial Transactions and Reports Analysis Centre of Canada, Foreign Affairs and International Trade Canada as well as with provincial or municipal government departments under the terms of an agreement and for research purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. Information obtained from Foreign Affairs and International Trade Canada, Health Canada, the CBSA, the Immigration and Refugee Board of Canada [that contained in IRB PPU 105 (Immigration Appeal Board Records), IRB PPU 110 (Immigration Appeal Division Records) IRB PPU 115 (Convention Refugee Division Records), and IRB PPU 145 (Research Director, Claim Specific Information)], CSIS, the RCMP and some provincial government departments may be shared for the purpose of administering or enforcing legislation.

**Retention and Disposal Standards:** Case

involving organized crime, is retained ten years from the last administrative action. Upon expiry of the retention period, some of these records will be preserved by the National Archives of Canada. Information regarding known and suspected terrorists, and persons known to have committed war crimes or crimes against humanity is retained for 50 years.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005311

**Bank Number:** CBSA PPU 033

#### **Seized Documents (Web Passport)**

**Description:** This MS Access file contains data on documents that have been seized principally in the Québec Region for verification. The file contains, in particular, the serial numbers of such documents as passports, visas, Records of Landing, etc. It also contains information on the holders of these documents, such as the family name, first name, date of birth, country of citizenship and country of birth. Individuals who wish to consult this information must provide their family name, first name and date of birth.

**Class of Individuals:** Holders of documents seized for verification.

**Purpose:** This database is used by officers and clerks of the Intelligence Unit of the Québec Region, to ensure better follow-up of intercepted documents and thus avoid fraud.

**Consistent Uses:** None.

#### **Retention and Disposal Standards:**

Indeterminate. Certain documents may be claimed by their holders.

**RDA Number:** 90/002

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005191

**Bank Number:** CBSA PPU 034

#### **Support System for Intelligence (SSI)**

**Description:** This bank contains information on persons who either arrive in Canada or attempt to gain access to Canada in contravention of the IRPA, as well as persons known or suspected to have counselled or assisted, their movements. SSI assists CBSA to monitor the overall irregular movement of people to Canada by tracking irregular migrants at major Canadian airports, seaports, land borders, inland offices and overseas. Records in the bank may contain some or all of the following information: reports from CBSA offices overseas, ports of entry and CBSA offices in Canada concerning persons who arrived or attempted to arrive in Canada without proper travel or identity documents; reports from CBSA offices overseas, ports of entry, or CBSA offices in Canada concerning persons who counselled or

assisted any persons to enter Canada or seek to enter Canada improperly. Information may include personal biographical data, passport and identity document details, type of fraud, and details concerning persons who counselled or assisted the traveller to attempt to enter Canada improperly.

**Class of Individuals:** Persons who arrived in Canada or attempted to travel to Canada contrary to the IRPA and persons who are known or suspected to have assisted or counseled such individuals.

**Purpose:** Information contained in this bank may be used in the administration and enforcement of citizenship and immigration legislation.

**Consistent Uses:** The information may be disclosed to the Royal Canadian Mounted Police (RCMP) for the purpose of conducting investigations related to immigration legislation. Uses include the sharing of information with the Canadian Security Intelligence Service (CSIS), and the Immigration and Refugee Board of Canada (IRB) where these uses are pursuant to the law. Some information may be disclosed to various foreign governments, law enforcement bodies, and other authorities with respect to the administration and enforcement of immigration legislation. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation.

**Retention and Disposal Standards:** Under negotiation with the National Archives of Canada.

**RDA Number:** 88/012

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005187

**Bank Number:** CBSA PPU 035

### Travel and Identity Document System (TIDS)

**Description:** The databank contains the records of seizures of travel or identity documents made in the course of port of entry examinations or authorized investigations under the authority of the Immigration and Refugee Protection Act. Any travel or identity documents considered by Canada Post as lost are forwarded to CBSA for disposal and are recorded for tracking purposes. The databank may contain information on the person from whom the documents were seized, the reasons for detention, the types of documents, and the ultimate disposition of the documents.

**Class of Individuals:** Any person's documents seized by CBSA or referral to CBSA by Canada Post.

**Purpose:** The purpose of the databank is to record events and key information related to these seizures as well as track handling and disposition

of the documents.

**Consistent Uses:** Could be shared with the RCMP for prosecution.

**Retention and Disposal Standards:** Documents are held for five years or until the case that they relate to has been finally determined.

**RDA Number:** 90/002

**Related PR#:** CBSA ENF 008

**TBS Registration:** 005198

**Bank Number:** CBSA PPU 036

## Manuals

- Access to Information Manual
- Advance Passenger Information
- Appeals Procedures Guide
- Appraisal Handbook
- Casual Employment Manager's Guide
- Casual Refund System (CRS)
- Citizenship and Immigration Reference
- Citizenship Policy Manual (CP)
- Citizenship Registration Manual
- Community Relations Handbook
- Corporate Records Management
- Classification List
- Customs Branch
- Enforcement and Control (EC)
- File Retention Policy—Archiving
- Financial Accounting Manual
- Financial Coding Manual
- Financial Policy Manual
- Fleet Management Policy and Procedures
- Foreign Worker Manual
- Guide for Transporters
- Guide to Administration Services
- Guidelines for Briefing Notes for the Minister and the Deputy Minister
- Guidelines for Corporate Committees at Citizenship and Immigration Canada
- Guidelines for Memorandum to Cabinet
- Guidelines for Minister and Deputy Minister's Correspondence
- Guidelines for Processing Business Category Applications by Source Country

- Guide to Handling Public Money
- Housecard Guidelines
- Human Resources Management Manual
- Human Rights Manual
- Immigration & Refugee Protection Act and Regulations
- Inland Services Procedures Manual
- Integrated Customs Enforcement System User Reference Manual
- Instrument of Human Resources Signing Authorities (March 1998)
- Interventions Procedures Guidelines
- Investigations Manual
- Isolated Posts
- Performance Measures Reference Manual
- Point of Service User Guide (POS+2000)
- Port of Entry Processing (PE)
- Privacy Manual
- Project Manager's Handbook
- Protected Persons
- Recorded Information Management Policy and Procedures Manual
- Reporting and Liaison Handbook
- Security Policy and Procedures Manual
- Subject File Classification
- Telework Handbook
- Training and Education Allowance Guide
- Traveller Processing
- Use of Force Disengagement Guide
- War Crimes–Abusive Regimes Training
- Workforce Adjustment Guide

Canada Border Services Agency  
 25 Nicholas St.  
 Ottawa ON K1A 0L8  
 Tel.: 1-800-461-9999

## Reading Room

In accordance with the Access to Information Act, Canada Border Services Agency has established public reading rooms, they can be found at different locations across Canada.

They are open to the public (Monday through Friday – 08:15 to 17:00) and contain copies of the Access to Information and Privacy Acts, Info Source and request forms. Reading room attendants are available to help individuals seeking information and to complete the request forms.

Reading Room  
 National Capital Region  
 Sir Wilfred Laurier Building  
 340 Laurier Ave.  
 Ottawa ON K1A 0P8

### Enquiries

Automated Customs Information Service  
 1-800-461-9999  
 Outside Canada 1 -204-983-3500 or  
 1-506-636-5064

NAFTA Enquiry Line 1-800-661-6121  
 Access to Information / Privacy (613) 688-9032  
 Additional information is available on [www.CBSA-ASFC.gc.ca](http://www.CBSA-ASFC.gc.ca)

## Additional Information

Please see the introduction to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Agency and its various programs and services may be directed to:

# Canada Council for the Arts

## Chapter 10

### General Information

#### Background

The Canada Council for the Arts was created by the Parliament of Canada in 1957 (Canada Council Act, 1957, RSC 1970 c-2, s. 1 as amended). The mandate of the Canada Council (Section 8(1)) is "to foster and promote the study and enjoyment of, and the production of works in, the arts."

#### Responsibilities

The general policy objective of the Canada Council for the Arts is to recognize, foster and promote excellence in the arts. Most of its grants are awarded through an extensive system of competitions judged by assessment committees of practising artists and other independent specialists in the particular disciplines.

In addition to its mandate to foster and promote the arts, the Canada Council for the Arts has been assigned responsibility for the Canadian Commission for the United Nations Educational, Scientific and Cultural Organization (UNESCO) (Subsection 8(2), Order-in-Council PC 1957-831), in conformity with the constitution of UNESCO.

The Council also administers the Killam program of scholarly awards and prizes, financed from a private legacy. The Public Lending Right Commission, which provides payments to Canadian authors for the public use of their works in Canadian libraries, operates under the aegis of the Council.

#### Legislation

- Canada Council Act, 1957 Chapter C-2
- The Canada Council By-laws
- Canadian Commission for UNESCO Constitution and By-laws

#### Organization

##### Board of Directors

The Council is headed by a Board consisting of 11 members who are appointed by the Governor in Council. The Board meets at least four times a year and is responsible for all policy and financial decisions as well as other matters that are

implemented by a staff headed by a Director, who is also appointed by the Governor in Council.

##### Director's Office

The Director of the Council is the chief executive officer of the Council. The Director's Office is responsible for overseeing and directing the work of the Council staff in the development and delivery of programs, grants and services.

##### Administration Division

This Division includes the Secretary-Treasurer's Office, the Human Resources Section, the Finance Section, Administrative Services and Information Management Services. The Division provides various corporate services such as personnel, financial and office management as well as the development, implementation and maintenance of Council's automated systems.

##### Public Affairs, Research and Communications Division

This Division undertakes advocacy initiatives in partnership with artists, arts organizations and other public bodies and institutions, and manages the Council's Parliamentary and business advocacy programs. The Division organizes special events, awards presentations and implements proactive media relations. It houses the Council's research, policy analysis and functions and monitors cultural policy development. It is also responsible for the Council's website and corporate publications.

##### Arts Division

The Arts Division is headed by a Director and is composed of six arts sections; Dance, Music, Theatre, Visual Arts, Media Arts, Writing and Publishing and three units Inter-Arts Office; Arts Services Unit, and the Aboriginal Arts Secretariat. The Director of the Arts Division is responsible for managing the development and operation of grant programs which provide financial support to Canadian artists and arts organizations. The Arts Services Unit provides administrative services to the arts sections through four major areas of activity; grant and prize application registry; reference and document centre; program information resource centre, program outreach and dissemination; and analysis to program development; and strategic priorities.

##### Equity Office

This Office supports the Council's strategic focus of equality of opportunity for culturally diverse artists and organizations thus ensuring the

application of democratic processes and transparency that foster equal opportunity for all.

### **Canada Council Art Bank**

The Art Bank promotes original contemporary Canadian art through a unique rental program available to public and private sector clients across Canada. It offers clients access to the largest selection of works of art in the country which includes 18,000 paintings, sculptures, drawings, photographs, and prints by over 2,500 artists.

### **The Prizes and Endowments Section**

Administers over 100 individual prizes, fellowships and awards to Canadian artists and scholars each year, for a total of close to \$3 million. In addition to the arts prizes, the Council's Killam Program awards prizes and fellowships to Canadian scholars of exceptional ability engaged in significant research projects in the humanities, social sciences and natural sciences. Many of the prizes and awards are privately endowed and are given in perpetuity, in memory of the donors.

### **The Public Lending Right Commission (PLR)**

The Commission administers a program of payments to Canadian authors for the public use of eligible books catalogued in libraries across Canada. The PLR Board is responsible for setting general program policies.

### **Canadian Commission for UNESCO (United Nations Education, Scientific and Cultural Organization)**

The Canadian Commission for UNESCO has been housed within the Canada Council since it was established in 1957. The Commission advises the Government of Canada on its relations with the United Nations Education, Scientific and Cultural Organization (UNESCO) one of the foremost specialized agencies of the United Nations. The Commission also fosters cooperation between Canadian organizations in civil society and UNESCO.

## **Information Holdings**

### **Program Records**

#### **Access to Information and Personal Information**

**Description:** Access requests for Canada Council for the Arts' records and individuals' personal information.

**Topics:** Access to Information and personal

requests as well as pertinent documents related to the requests.

**Access:** Files arranged by requester name.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC ART 008

#### **Arts Division - General File**

**Description:** Correspondence and other information on the Arts Division, but not unique to a specific discipline or section.

**Topics:** Policies and procedures; reports; and studies

**Access:** Information arranged by program, by subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC ART 015

#### **Dance Program Files**

**Description:** The Dance Section is responsible for coordinating the grant application process and awarding of grants to individual artists and professional Canadian companies or organizations. The Section also holds information on program criteria, Council procedures, peer assessment and advisory committees.

**Topics:** Programs include: Grants to Dance Professionals, Production Project Grants for Dance Collectives and Companies, Travel Grants to Dance Professionals, Creation /Production in Dance, Program of Presenter Support, Support Services to the Dance Milieu, Dance Touring Grants, Annual Grants for Dance Managers and Agents, Support to Aboriginal Peoples Dance Organizations and Collectives, International Co-Production Program for Dance and The Dance Flying Squad.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC DAS 060

#### **Music Program Files**

**Description:** The Music Section is responsible for coordinating the grant application process and awarding of grants to individual artists, and professional Canadian companies or organizations. The Section also holds information on program criteria, Council procedures, peer assessment and advisory committees.

**Topics:** Programs include: Grants to Professional Musicians (individuals), Aboriginal Peoples Music Program, Career Development Program, Travel Grants to Professional Musicians, Residencies and Commissioning of Canadian Compositions, Choir Program, Concert Production and



Rehearsal Program for Aboriginal, Classical, Folk, Jazz and World Music, Grants for Specialized Music Sound Recording, Classical Contemporary/New Music Organizations Program, Professional Orchestra Program, Opera/Music Theatre Program, Music Touring Program, Music Festivals Programming Project Grants and Music Festival Travel Grants.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC MUS 100

#### **Theatre Program Files**

**Description:** The Theatre Section is responsible for coordinating the grant application process and awarding of grants to individual artists, and professional Canadian companies or organizations. The Section also holds information on program criteria, Council procedures, peer assessment and advisory committees.

**Topics:** Programs include: Grants to Theatre Artists, Travel Grants to Theatre Artists, Travel Assistance to Theatre Artistic Directors and Presenters, Grants for the Translation of Canadian Theatre Works, Theatre Production Project Grants (Creation/Development), Developmental Support to Aboriginal Theatre Organizations, Annual Operating Grants to Professional Theatre Organizations, Canadian Creation Program, Theatre Touring and Special Initiatives Program, Theatre Presenting Program (Pilot), Theatre International Pilot Program and The Flying Squad.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC THS 110

#### **Visual Arts Program Files**

**Description:** The Visual Arts Section is responsible for coordinating the grant application process and awarding of grants to individual artists, and professional Canadian companies or organizations. The Section also holds information on program criteria, Council procedures, peer assessment and advisory committees.

**Topics:** Programs include: Creation/Production Grants to Professional Artists, Travel Grants to Professional Artists, Assistance to Aboriginal Curators for Residencies in Visual Arts, Assistance to Culturally Diverse Curators for Residencies in Visual Arts (Pilot Program), Project Grants to Organizations, Annual Grants to Organizations, and Major International Exhibitions.

**Access:** Files arranged by applicant name,

program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC VAS 150

#### **Media Arts Program Files**

**Description:** The Media Arts Section is responsible for coordinating the grant application process and awarding of grants to individual artists, and professional Canadian companies or organizations. The Section also holds information on program criteria, Council procedures, peer assessment and advisory committees.

**Topics:** Programs include: Grants to Film and Video Artists, Grants to New Media and Audio Artists, Aboriginal Media Arts Program, Travel Grants to Media Artists, Grants for Media Arts Dissemination and Grants to Media Arts Production Organizations.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC MAS 175

#### **Writing and Publishing Program Files**

**Description:** The Writing and Publishing Section is responsible for coordinating the grant application process and awarding of grants to individual artists, and professional Canadian companies or organizations. The Section also holds information on program criteria, Council procedures, peer assessment and advisory committees.

**Topics:** Programs include: Grants for Professional Writers – Creative Writing and Author Residencies, Travel Grants to Professional Writers, Grants to Aboriginal Writers, Storytellers and Publishers, Spoken and Electronic Words Program, Book Publishing Support, International Translation Grants, Grants to Literary and Art Magazines, Co-operative Projects in Writing and Publishing, Literary Readings and Festivals, Governor General's Literary Awards (submissions by publishers only), and Canada-Japan Literary Awards.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC WPS 165

#### **Inter-Arts Program Files**

**Description:** The Inter-Arts Office is responsible for coordinating the grant application process and awarding of grants to individual artists, collectives and professional Canadian groups, companies or organizations. The Section also holds information

on program criteria and peer assessments.

**Topics:** Inter-Arts Program (performance art, interdisciplinary work and new artistic practices) and Multidisciplinary Festivals Project Grants.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC INT 006

#### **Outreach Program Files**

**Description:** The Outreach Program is responsible for coordinating the grant application process and awarding of grants to individual artists, collectives and professional Canadian groups, companies or organizations. The Section also holds information on program criteria and peer assessments.

**Topics:** New Audience and Market Development Travel Assistance.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC OUT 007

#### **Aboriginal Arts Secretariat and Program Files**

**Description:** In collaboration with the Aboriginal Advisory Committee on the Arts and with all Sections at the Canada Council for the Arts, the Aboriginal Arts Secretariat has primary responsibility for developing policies, programs, strategic initiatives and budgets to support Aboriginal Peoples' artistic practices in all disciplines currently recognized by the Council, as well as those defined by Aboriginal artists.

**Topics:** It also administers the Aboriginal Peoples' Collaborative Exchange Program which has a National and an International component.

**Access:** Files arranged by applicant name, program and subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC ART 018

#### **Equity Office – Programs**

**Description:** Correspondence and other information on Cultural Equity in the Arts.

**Topics:** Program criteria; artists' letters and responses, prospective peer members; racial equality - Council documents; successful application reports; Report and recommendations of the Advisory Committee for Racial Equality in the Arts at the Canada Council for the Arts, advisory committee for equity in the arts; joint committee for aboriginal and racial advisory committees

**Access:** Files arranged by subject

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC ART 016

#### **Art Bank – Artwork Rental and Client Activity Databank**

**Description:** The Artwork Rental/Client Activity (ARCA) has replaced the Art Bank Data Bank and the Art Bank Digital Image Bank. ARCA is a client/server application which manages all aspects of art work rental plus client activity, that also includes an image database and tracks artwork location and status.

**Topics:** ARCA has four integrated modules; Collection Management for acquisition, cataloguing, conservation and deaccession of assets; Contact Management for clients, artists, and dealers; Rental Activity for service documents, contracts and invoices for rentals, loans and exhibition; Marketing for selection of art works, creation of web galleries, viewing and browsing the image database.

**Access:** Information arranged by subject and program.

**Format:** Computerized database, paper case files.

**Program Record Number:** CAC ART 001

#### **Art Bank Programs**

**Description:** Correspondence and information on the Art Bank.

**Topics:** Program criteria; Art Advisory Committee; Art Acquisition Committee; insurance; loans to art galleries for exhibitions; long-term loans to galleries; special purchase assistance; special projects.

**Access:** Files arranged by subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC ARB 155

#### **Employment Opportunities**

**Description:** Information pertaining to positions within the Canada Council for the Arts.

**Topics:** Includes job postings, solicited and unsolicited job applications, résumés, correspondence and personal information.

**Access:** Unsolicited applications are filed monthly and solicited applications are filed by job competition.

**Format:** Paper case files.

**Program Record Number:** CAC AAS 009

#### **Endowments and Prizes - Programs**

**Description:** Correspondence and case files on the various awards and prize programs operated by the Canada Council for the Arts.

**Topics:** Canada Council Molson Prizes; Izaak

Walton Killam Memorial Prizes; Glenn Gould Prize; Saidye Bronfman Award. Awards by discipline: Dance: Jacqueline Lemieux Prize; Dance and Theatre: Peter Dwyer Scholarships. Literature: Governor General's Literary Awards, Canada-Switzerland Literary Prize, Canada-Australia Literary Prize, Canada-French Community of Belgium Literary Prize, Canada-Scotland Writer Exchange Prize, CBC/Canada Council for the Arts/EnRoute Literary Award and the Canada-Japan Literary Award. Media Arts: Bell Canada Award in Video Art and the Petro-Canada Award in New Technologies. The Governor General's Award in Visual and Media Arts. Music: Canada Council CBC Amateur Choirs Competition, Canada Council Musical Instrument Bank, Eckardt-Gramatté Music Competition, Virginia Parker Award, Sylva Gelber Foundation Award, Jules Léger Prize for New Chamber Music, Healey Willan Prize, Canada Council Grand Prize for the CBC Young Composers Competition, Sir Ernest MacMillan memorial Prize in Choral Conducting, Robert Fleming Prize for Young Composers and the Jean-Marie Beaudet Award in Orchestral Conducting. Theatre: John Hirsch Prize and Theatre for Young Audiences. Visual Arts: Governor General's Medals in Architecture, Jean A. Chalmers Fund for the Crafts, Prix de Rome in Architecture, Ronald J. Thom Award for Early Design Achievement; the Duke and Duchess of York Prize in Photography and the York Wilson Endowment Award. Various Arts Disciplines: J.B.C. Watkins Award, Joseph S. Stauffer Prizes, Vida Peene Awards and Victor Martyn Lynch-Staunton Awards. Fine Arts or Humanities: Coburn Fellowships, Humanities, Social Sciences, Health Sciences, Natural Sciences and Engineering: Killam Research Fellowships and the John G. Diefenbaker Research Award. International Prizes: Kennedy Centre Fellowships of the Americas.

**Access:** Files arranged by subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC ART 005

### **Enquiries and Correspondence**

**Description:** General enquiries on eligibility for grants under programs administered by the Canada Council for the Arts; also general correspondence.

**Topics:** Routine correspondence - ineligible project proposals, requests for information, requests for application forms.

**Access:** Files arranged by enquirer and are retained for two years.

**Format:** Computerized database and paper case files.

**Program Record Number:** CAC AAS 025

### **Peer Assessors and Disciplinary Advisors**

**Description:** Separate peer assessment committees are set up to evaluate applications to each program of the Canada Council. There are generally from three to seven members on each committee. Selection is made from the arts community most relevant to the applications to be evaluated, taking into consideration the members' specialization, experience and expertise, and analytical abilities. Selection is also based on providing balanced representation of gender, regional and cultural diversity, the two official languages and Aboriginal peoples. The Disciplinary Advisory Committees provides advice and or recommendations to the Council on the needs of their respective community and on issues relating to Aboriginal peoples and cultural diversity.

**Topics:** The information included on assessors and advisory members include: address, gender, language (French or English, bilingual if applicable), home and/or business telephone number(s), status, art discipline and specialization(s), affiliation and historical records of services rendered.

**Access:** Information arranged by individual's name, program and subject.

**Format:** Computerized database.

**Program Record Number:** CAC ART 003

### **Public Lending Right Commission Data Bank**

**Description:** In addition to hard copy files on all PLR registrants, a data bank of information is maintained on each registrant. Information is taken from these data files to produce the cheques sent annually to eligible PLR registrants and to produce statistics for the annual report.

**Topics:** The information includes the registrant's name, address, telephone number, citizenship, language (English or French) and Social Insurance Number. Individual payment history summaries and lists of declared book titles are also maintained. In addition, a record is kept on each registered title. Recorded here are the title's category (fiction, non-fiction, etc.), its language (English, French, bilingual, other), eligibility, library search results, the amount paid in the current year and the status of the registrants (author, translator, etc.).

**Access:** Information arranged by individual's name and title.

**Format:** Computerized database.

**Program Record Number:** CAC ART 004

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration and Management Services

Audits

Budgets

Employment and Staffing

Equipment and Supplies

Finance

Hospitality

Human Resources

Office Appliances

Pensions and Insurance

Personnel

Proactive Disclosure

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

## Personal Information Banks

### Arts Organizations/Companies' Grant Files

**Description:** Arts organizations and companies' grant files containing correspondence relating to the preliminary inquiry, the application with supporting data, financial information, the adjudication result and details of payment if a grant is awarded. Files may also contain artistic assessments. The files are organized alphabetically according to the program and discipline.

**Class of Individuals:** Arts organizations and companies in the following disciplines: Theatre, Music, Dance, Writing and Publishing, Visual and Media Arts.

**Purpose:** Contains files of arts organizations and companies who have applied for a grant to the various programs at the Canada Council for the Arts.

**Consistent Uses:** The files are used in the adjudication process of grant requests.

**Retention and Disposal Standards:** Grant application files are retained at the Council for a period of four years. They are then transferred to the National Archives of Canada and held for another four years. After an eight year period, all unsuccessful grant application files are destroyed and the successful files are kept indefinitely.

**RDA Number:** 83/038

**Related PR#:** CAC DAS 060, CAC MUS 100, CAC THS 110, CAC VAS 150, CAC MAS 175, CAC WPS 165, CAC INT 006, CAC OUT 007 and CAC ART 018

**TBS Registration:** 001648

**Bank Number:** CAC PPU 130

### Access to Information and Privacy Bank

**Description:** This bank contains requests from individuals seeking information under the Access to Information and Privacy Acts, replies to such requests and information related to their processing.

**Class of Individuals:** Canadian citizens, other individuals who have made requests under the Acts.

**Purpose:** The bank is used to process requests of access to information and privacy and report the total number of requests processed.

**Consistent Uses:** This bank is used to report on the administration of the Access to Information and Privacy Acts.

**Retention and Disposal Standards:** Records are maintained for two years following the last administrative action and then destroyed.

**RDA Number:** 98/001

**Related PR#:** CAC ART 008

**TBS Registration:** 003288

**Bank Number:** CAC PPU 145

### Applications for Employment

**Description:** The bank is used to maintain an inventory of applications received from individuals seeking employment with the Canada Council. Records include both applications solicited for specific competitions and unsolicited applications. It may include covering letters, career résumés and letters of recommendation. Résumés normally provide individual's name, social insurance number, address, personal characteristics, employment history, and other personal information.

**Class of Individuals:** Individuals - Canadian citizens or permanent residents.

**Purpose:** Applications are used to assist in filling available positions.

**Consistent Uses:** To provide a record of the information and documentation used in staffing a position.

**Retention and Disposal Standards:** Solicited applications are kept for two years, then destroyed and suitable unsolicited applications are kept for six months, then destroyed.

**RDA Number:** 98/005

**Related PR#:** CAC AAS 009

**TBS Registration:** 003274

**Bank Number:** CAC PPU 090

### Arts Tracking System

**Description:** The ATS is a corporate database system used for the Canada Council's operations and activities. It provides a single repository for all information on contacts and programs, tracks grant applications and grant processing and generates corporate mailings. There are electronic links to the Financial Management System for budget allocations and payments.

**Class of Individuals:** Individuals, artists, peer assessors, members of arts organizations and associations, Members of Parliament, government staff, media contacts, university personnel and the Canada Council's clients. Each computer record has a unique reference number which identifies the contact.

**Purpose:** The Arts Tracking System replaces any databases of systems previously used to register, store, modify or manage contact data, grant processing and corporate mailing lists.

**Consistent Uses:** The ATS tracks grant applications and facilitates the sending of Council's publications to interested parties. The Canada Council for the Arts' mailing list of organizations may be sold to other organizations and or institutions.

**Retention and Disposal Standards:** The information is kept permanently.

**RDA Number:** N/A

**Related PR#:** CAC DAS 060, CAC MUS 100, CAC THS 110, CAC VAS 150, CAC MAS 175, CAC WPS 165, CAC INT 006, CAC OUT 007, CAC ART 018, CAC ART 016 and CAC ART 003.

**TBS Registration:** 004244

**Bank Number:** CAC PPU 020

### Damaged/Lost Works

**Description:** The purpose of this bank is to document lost or damaged art bank works. It contains condition reports, correspondence with clients, conservators, insurance adjusters, etc., as well as invoices and copies of cheques.

**Class of Individuals:** Individual artists, conservators, insurance adjusters.

**Purpose:** It is used to keep track of damaged works, restoration procedures, costs and payment and where works were lost or stolen.

**Consistent Uses:** This bank is used to document all costs related to damaged, lost and stolen

works of art.

**Retention and Disposal Standards:** Records are kept permanently.

**RDA Number:** N/A

**Related PR#:** CAC ART 001

**TBS Registration:** 003281

**Bank Number:** CAC PPU 065

### Federal Investigative Body Requests

**Description:** This bank contains requests made by federal investigative bodies, as well as records of disclosure (if the request is granted), occasional legal opinions and related material. Individuals seeking access to this bank should provide their full name and address.

**Class of Individuals:** Individuals from whom information has been requested by federal investigative bodies.

**Purpose:** The purpose of this bank is to ensure that requests by federal investigative bodies for personal information held by the Canada Council are properly authorized.

**Consistent Uses:** The records are used to monitor and maintain a record of the information requested and/or provide it to federal investigative bodies, and to ensure compliance with the Privacy Act. The records may be viewed by the Privacy Commissioner or delegate when investigating complaints.

**Retention and Disposal Standards:** Records in this bank are retained for two years after their last administrative use, and are then destroyed.

**RDA Number:** 85/001

**Related PR#:** CAC AAS 025

**TBS Registration:** 001650

**Bank Number:** CAC PPU 140

### Individuals' Arts Grant Files

**Description:** Contains the correspondence relating to the preliminary inquiry, the application with supporting data which includes the name, address, phone, fax or e-mail numbers, budget of the proposed project of each candidate applying for a grant as well as the adjudication result and details of payment if a grant is awarded. The files are organized alphabetically according to the program and discipline.

**Class of Individuals:** Individual artists.

**Purpose:** Contains files of artists who have applied for a grant to the various programs at the Canada Council for the Arts.

**Consistent Uses:** Used in the adjudication process of grant requests and to provide data for statistical analysis of requests for individual grants.

**Retention and Disposal Standards:** Grant application files are retained at the Council for a period of four years. They are then transferred to

the National Archives of Canada and held for another four years. After an eight year period, all unsuccessful grant application files are destroyed and the successful files are kept indefinitely.

**RDA Number:** 83/038

**Related PR#:** CAC DAS 060, CAC MUS 100, CAC THS 110, CAC VAS 150, CAC MAS 175, CAC WPS 165, CAC INT 006, CAC OUT 007, CAC ART 018 and CAC ART 016

**TBS Registration:** 000313

**Bank Number:** CAC PPU 115

#### **Installation Works of Art Files**

**Description:** It contains diagrams and forms, supplied by artists or their dealers, giving details on installation of works of art.

**Class of Individuals:** Individual artists, dealers.

**Purpose:** The purpose of this bank is to collect descriptive data on works purchased, especially on how works should be installed.

**Consistent Uses:** The files are used to identify works and assist with their installation.

**Retention and Disposal Standards:** Records are kept for the duration of the art work's life span, then destroyed.

**RDA Number:** 98/007

**Related PR#:** CAC ART 001

**TBS Registration:** 003282

**Bank Number:** C AC PPU 045

#### **Public Lending Right Commission Case Files**

**Description:** This bank contains the name, address, phone number, Social Insurance Number and citizenship of the applicant, plus supporting documentation for the book titles being registered. In each author's file, there is a yearly record of the number of libraries the books were found in, the amount the individual books earned, and the author's total PLR earnings for the year.

**Class of Individuals:** Canadian authors, co-authors, editors, translators, illustrators, anthology contributors and photographers who have applied for the PLR Program.

**Purpose:** Contains all documentation, on all authors who have applied to the program, such as their application, social insurance number and amount of payment.

**Consistent Uses:** The files are used to verify that authors and titles are eligible under the criteria established by the Commission.

**Retention and Disposal Standards:** All files are retained for eight years after an author's death, then destroyed.

**RDA Number:** 2002/009

**Related PR#:** CAC ART 004

**TBS Registration:** 002207

**Bank Number:** CAC PPU 150

#### **Purchase of Art Works from Artists**

**Description:** The purpose of this bank is to maintain a record of applications to the art bank for the purchase of artworks from individual artists. It contains letters of application from individual artists, correspondence to and from artists, invoices, biographical data, information relating to artists' copyrights and artists' representatives and peer decisions.

**Class of Individuals:** Individual artists.

**Purpose:** Contains all documentation, on all artists who have applied to the program, such as their application, social insurance number and amount of payment.

**Consistent Uses:** It is used to keep records on applications by artists for purchases of their work, to ensure payment is made for each work purchased, and to accumulate information on all works purchased from one artist.

**Retention and Disposal Standards:** Files are kept permanently for successful applications. While unsuccessful files are retained at the Council for three years, then destroyed.

**RDA Number:** 98/007

**Related PR#:** CAC ART 001

**TBS Registration:** 003284

**Bank Number:** CAC PPU 035

#### **Repurchase Program**

**Description:** This program was cancelled in 1996 and reinstated in 2001 for a period of six months. The purpose of this bank is to maintain a record of artists' requests to repurchase works of art originally sold to the art bank. Financial transactions are also recorded in these files. It contains letters of application from artists or their dealers, details of repurchase costs, invoices, correspondence to artists informing them of the art bank decision and copies of cheques.

**Class of Individuals:** Individual artists.

**Purpose:** The bank contains records on the repurchase program and the number of works each artist has requested for repurchase.

**Consistent Uses:** Contains files of artists who have requested to repurchase their works of art originally sold to the art bank.

**Retention and Disposal Standards:** Records are kept permanently.

**RDA Number:** N/A

**Related PR#:** CAC ART 001

**TBS Registration:** 003285

**Bank Number:** CAC PPU 070

#### **UNESCO Mailing List**

**Description:** The purpose of this bank is to maintain a record of members of the Commission to whom publications, including reports, press releases, and the minutes of meetings, may be

sent. It contains addresses which normally include the individual's name, address, and telephone number as well as codes identifying disciplines of interest such as education, natural sciences, social sciences, culture, communications, etc.

**Class of Individuals:** Individuals.

**Purpose:** This record is used to identify individuals to whom are sent UNESCO-related material.

**Consistent Uses:** Facilitates the sending of UNESCO publications to interested parties.

**Retention and Disposal Standards:** The information is held permanently.

**RDA Number:** N/A

**Related PR#:** CAC AAS 025

**TBS Registration:** 003287

**Bank Number:** CAC PPU 095

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Classes of Personal Information

### Routine Correspondence and Other Subject Files

Personal information of a routine nature may be found in correspondence or other subject files. This information is generally not retrievable by personal name or other personal identifier and is normally not used for administrative purposes (e.g. requests for grant application forms or other correspondence not leading to an actual application).

## Manuals

- Arts Division Guide Book
- ATS Data Base Manual
- Employees Manual/Collective Agreement

Please note: Requests made to the Canada Council for the Arts under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canada Council for the Arts.

Requests for further information about the Council and its programs and functions may be directed to:

The Canada Council for the Arts  
Arts Services Unit  
Information Officers  
350 Albert Street  
P. O. Box 1047  
Ottawa ON K1P 5V8

## Reading Room

In accordance with the Access to Information Act, a reading room will be made available upon request. The address is:

350 Albert Street  
Ottawa, Ontario

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

# Canada Deposit Insurance Corporation

## Chapter 11

### General Information

#### Background

The Canada Deposit Insurance Corporation (CDIC) was established in 1967 by the Canada Deposit Insurance Corporation Act. The Corporation is an agent of Her Majesty in right of Canada and is a Crown Corporation named in Part I of Schedule III of the Financial Administration Act. The Corporation reports to Parliament through the Minister of Finance, who has delegated certain responsibilities for CDIC matters to the Minister of State (Financial Institutions). The Corporation's objects are to provide insurance against the loss of part or all of deposits, to be instrumental in the promotion of standards of sound business and financial practices for member institutions, and to promote and otherwise contribute to the stability of the financial system in Canada. These objects are to be pursued for the benefit of persons having deposits with member institutions and in such a manner as will minimize the exposure of the Corporation to loss.

#### Membership

Membership with CDIC is limited to banks, federally incorporated trust and loan companies, provincially incorporated trust and loan companies and associations to which the Cooperative Credit Associations Act applies. To obtain membership, an application must be submitted to CDIC and approved by its Board of Directors. Provincially incorporated institutions must be authorized by the province of incorporation to apply for deposit insurance.

Under the CDIC Act, the maximum basic protection for eligible deposits is \$60,000 per depositor at each member institution. CDIC provides separate protection for eligible deposits held jointly, in trust, in registered retirement savings plans, and in registered retirement income funds, also to a maximum of \$60,000, in each category. Deposits not payable in Canada or repayable in foreign currency are not eligible to be insured.

#### Responsibilities

The Corporation's primary role is set out above. Other responsibilities include examining the affairs

of member institutions in order to obtain information for deposit insurance purposes (under legislation, the examination of member institutions is the responsibility of the Office of the Superintendent of Financial Institutions (OSFI)); acting as lender of last resort to provide short-term liquidation loans under specified authority; managing the acquired assets of member institutions; and reducing the risk of loss to the Corporation by guaranteeing loans or deposits with a member institution. In addition, the Corporation can act as curator of a bank, or liquidator or receiver of a member institution. Further, CDIC manages and invests funds accumulated from the operations of the Corporation.

To carry out its work, CDIC relies on the work of OSFI and provincial regulators. They are responsible for regulatory supervision and for ensuring that member institutions follow the rules and regulations and remain financially viable. If a member institution poses a significant risk of loss to the Corporation, CDIC will work closely with the regulator and usually complete an intensive special examination of the company's operations and the value of its assets to clarify CDIC's risk and to establish an information base upon which the Corporation can act promptly toward intervention or failure resolution.

#### Legislation

- Canada Deposit Insurance Corporation Act
- CDIC Application for Deposit Insurance By-law
- CDIC Deposit Insurance Application Fee By-law
- CDIC Deposit Insurance Information By-law
- CDIC Deposit Insurance Policy By-law
- CDIC Differential Premiums By-law
- CDIC Discretionary Interest By-law
- CDIC Exemption from Deposit Insurance By-laws:
  - Exemption from Deposit Insurance By-law (Exemption Fee)
  - Exemption from Deposit Insurance By-law (Foreign Currency Deposits)
  - Exemption from Deposit Insurance By-law (Interest on Deposits)



- Exemption from Deposit Insurance By-law (Notice to Depositors)
- Exemption from Deposit Insurance By-law (Prescribed Deposits)
- CDIC Interest Payable on Certain Deposits By-law
- CDIC Joint and Trust Account Disclosure By-law
- CDIC Notice Regulations (Compensation in Respect of the Restructuring of Federal Member Institutions)
- CDIC Prescribed Practices Premium Surcharge By-law
- CDIC Standards of Sound Business and Financial Practices By-law

## Organization

### Board of Directors

CDIC's Board of Directors comprises the Chairperson, the Governor of the Bank of Canada, the Deputy Minister of Finance, the Superintendent of Financial Institutions, the Commissioner of the Financial Consumer Agency of Canada and the Deputy Superintendent of Financial Institutions or an officer of the Office of the Superintendent of Financial Institutions appointed by the Minister. As well, there are five private sector directors. The Governor in Council appoints the Chairperson, the five private sector directors and the President and CEO.

### Office of the President and CEO

The Office of the President and CEO is responsible for the overall management of the corporation, for strategic planning and for liaising with the Board of Directors. The Audit and Consulting Services function, the Corporate Risk function and the Corporate Strategy and Reporting function report directly to the President and CEO. The Executive Vice-President and Chief Operating Officer also reports to the President and CEO.

### Office of the Executive Vice-President and Chief Operating Officer

The Office of the Executive Vice-President and COO is responsible for overseeing the day-to-day operations of the Corporation. All divisions of the Corporation (as identified below) and Human Resource Management function report to the Executive Vice-President and COO.

### Corporate Affairs Division

This division is comprised of the Communications and Public Affairs Department, the Policy and

International Department and the Legal Department.

The Communications and Public Affairs Department is responsible for providing internal and external communications, public relations and linguistic services. It manages a multi-year public education and awareness program on deposit insurance and CDIC's Web site and toll-free information line.

The Policy and International Department is responsible for conducting research on and analyzing emerging financial sector policy issues, for assessing and developing public policies that relate to CDIC's mandate and operations and for co-ordinating CDIC's international activities.

The Legal Department is responsible for providing legal counsel and advice in all legal matters affecting the Corporation.

### Finance and Administration Division

This division is comprised of the Finance and Treasury Department and Information Systems Department.

The Finance and Treasury Department is responsible for the accounting, financial planning, and treasury activities of the Corporation. The Information Systems department is responsible for information management, application development and technical infrastructure support.

### Insurance and Risk Assessment Division

The responsibilities of this division include the effective operation of the insurance, member relations, and risk assessment functions of the Corporation, the development of systems and procedures for the conduct of interventions and the management of claims and recoveries associated with past failed member institutions. This division is also responsible for developing and establishing standards of sound business and financial practices, and for administering the system of differential premiums.

## Information Holdings

### Program Records

#### Applications for Employment

**Description:** This program record includes applications, cover letters and résumés that have been submitted to CDIC.

**Topics:** Applications for employment.

**Program Record Number:** CDI CORP 1500

**Conflicts of Interest**

**Description:** This program record contains files and notes to file, investigation reports and correspondence relating to potential and actual conflicts of interest.

**Topics:** Potential and actual conflicts of interest of employees of the Corporation.

**Program Record Number:** CDI LEGAL 530

**Enquiries**

**Description:** This program record includes correspondence relating to enquiries and queries from depositors or the general public.

**Topics:** Generally related to deposit insurance limits and insurability of deposits.

**Program Record Number:** CDI CORP 1654

**Failed Member Institutions – Intervention**

**Description:** This program record pertains to the intervention required when a member institution becomes insolvent, i.e., appointment of agents, wind-up process, payments to depositors, liquidation of assets and final dissolution.

**Topics:** Agreements; disposal of assets; financial statements; loans; litigation; meetings; payments to depositors; and reports.

**Program Record Number:** CDI TO 3110

**Member Institutions – Relations**

**Description:** This program record includes subjects relating to the ongoing relations with members, the monitoring of the financial status of members and the assessment of risk to the Corporation and, in the case of members in financial difficulty, the investigation of alternatives to liquidation, i.e., liquidity loans, mergers, changes in management, etc.

**Topics:** Applications for membership; financial statements; policies and certificates of membership; borrowing and lending guidelines; premium administration; regulatory reports; and the use of marks and signs in advertisements and on investment instruments.

**Program Record Number:** CDI CORP 2700

**Personal Services Contracts**

**Description:** This program record includes contracts that have been prepared and entered into with individuals for the provision of consulting services to the Corporation for a defined period of time.

**Topics:** Consulting services.

**Program Record Number:** CDI CORP 515

**Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Access to Information and Privacy Requests

Acts and Legislation

Administration

Administration and Management Services

Audits

Automated Document, Records, Information Management Systems

Budgets

Buildings and Properties

Business Continuity Plans (BCP)

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health, Safety, and Welfare

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Training and Development

Travel

Utilities

**Particular Personal Information Banks****Applications for Employment**

**Description:** This bank contains information pertaining to applications that are received from individuals seeking employment with the Canada Deposit Insurance Corporation. These requests usually consist of a letter and an attached

curriculum vitae.

**Class of Individuals:** Individuals seeking employment with the Canada Deposit Insurance Corporation.

**Purpose:** These applications are considered as positions become vacant. Information is compiled so that it can be referred to when considering a candidate for a position.

**Consistent Uses:** The bank is also used to store information on these individuals.

**Retention and Disposal Standards:** Solicited applications for employment are retained for 1 year after the expiry of the staffing action.

Unsolicited applications for employment are retained for 6 months from the date of receipt. Applications for employment are destroyed by the National Archives of Canada upon the expiry of the applicable retention period.

**RDA Number:** 98/005

**TBS Registration:** 002292

**Related PR#:** CDI CORP 1500

**Bank Number:** CDI PPU 015

### Payments to Depositors

**Description:** This bank contains records of payments to insured depositors.

**Class of Individuals:** The information relates to depositors of failed member institutions.

**Purpose:** The purpose of this bank is to keep a record of payments made to insured depositors.

**Consistent Uses:** This bank is also used to support payments made to depositors of failed member institutions.

**Retention and Disposal Standards:** Information in this bank is retained for 7 years after the date of discharge of the court-appointed liquidator and is then destroyed by the National Archives of Canada.

**RDA Number:** 2000/007

**Related PR#:** CDI TO 3110

**TBS Registration:** 003651

**Bank Number:** CDI PPU 005

### Personal Services Contracts

**Description:** This bank contains information relating to contracts entered into by the Corporation with individuals who provide the Corporation with consulting services. It includes information such as the type of services to be rendered, duration of engagement, and the fee for services. This bank contains the contracts and supporting documents.

**Class of Individuals:** Individuals retained to provide consulting services to the Corporation.

**Purpose:** The purpose of this bank is to keep a record of the terms and conditions of the engagement of persons who supply consulting services to the Corporation.

**Consistent Uses:** This bank is also used for accounting, reference and statistical purposes.

**Retention and Disposal Standards:** Information in this bank is retained for 7 years and is then destroyed by the National Archives of Canada.

**RDA Number:** 99/004

**Related PR#:** CDI CORP 515

**TBS Registration:** 002291

**Bank Number:** CDI PPU 010

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records and Information Management Systems

Business Continuity Planning (BCP)

Executive Correspondence Management Systems

Hospitality

Relocation

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel

## Manuals

- Management Policy Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Canada Deposit Insurance Corporation under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canada Deposit Insurance Corporation.

Requests for further information about the Corporation may be directed to:

Communications and Public Affairs  
Canada Deposit Insurance Corporation  
17th Floor, 50 O'Connor Street  
P.O. Box 2340, Station D  
Ottawa ON K1P 5W5  
Tel.: (613) 996-2081

## **Reading Room**

In accordance with the Access to Information Act, a reading room is available. The address is:

Canada Deposit Insurance Corporation  
17th Floor, 50 O'Connor Street  
Ottawa, Ontario

# Canada Economic Development for Quebec Regions

## Chapter 12

### General Information

#### Background

Under the order adopted on February 13, 1998, Economic Development Agency of Canada for the Regions of Quebec (CED) became the new name of the organization formerly known as the Federal Office of Regional Development (Quebec), or FORD(Q). FORD(Q) was created in June 1991, and has been part of the Industry Portfolio since January 1996.

#### Responsibilities

The Canada Economic Development Agency for Quebec Regions, as a member of the Industry Portfolio, reports to the Minister of Industry. The Minister is responsible for the promotion of the economic development of the regions of Quebec, which is the Agency's sole business line. The objectives and responsibilities of the Minister responsible for the Agency are defined in Part II of the Department of Industry Act, assented to in March 1995.

In this context, Canada Economic Development's mandate is to promote the economic development of the regions of Quebec, paying special attention to those experiencing slow economic growth and inadequate employment, with a view to the enhancement of prosperity and employment in the long term.

#### Legislation

- Atlantic Enterprise Loan Insurance Regulations with regard to projects in the Province of Quebec
- Canada Small Business Financing Act
- Department of Industry Act regarding regional economic development in the Province of Quebec
- Enterprise Development Regulations with regard to contributions and projects in the Province of Quebec
- Industrial and Regional Development Act regarding activities in the Province of Quebec
- Small Business Loans Act
- Special Areas Act regarding activities in the Province of Quebec

#### Organization

Canada Economic Development for the Regions of Quebec has its headquarter in Montreal and a liaison office in Gatineau. The Agency also has a network of 14 business offices in various regions of Quebec and provides clients with information on its programs and services through its Internet site, [www.dec-ced.gc.ca](http://www.dec-ced.gc.ca).

The Executive Assistant and Ministerial Advisor, Assistant Deputy Minister, Operations, Assistant Deputy Minister, Policy, Planning and Information, Director General, Communications, Director General, Resource Management and Director, Legal Services, report to the Deputy Minister.

#### Deputy Minister

The Deputy Minister is responsible, on behalf of the Minister, for the day-to-day management of the Agency. She also supports and contributes to collective management of the government. She acts as senior policy advisor for the Minister and the government, and is assisted in her activities by her Executive Assistant and Ministerial Advisor, who serves as a co-ordinator in support of senior management. The Executive Assistant and Ministerial Advisor heads the Corporate Secretariat, which is responsible for ministerial correspondence, parliamentary relations and enforcement of the Access to Information Act and the Privacy Act.

#### Operations

The Assistant Deputy Minister, Operations, is responsible for program development and the delivery of all Agency products and services, as well as for negotiating and managing partnership agreements with other federal departments and outside organizations, such as financial institutions. She is in charge of implementing agreements with the Quebec government, including the Infrastructure Agreement. The Assistant Deputy Minister, Operations, heads the Regional Operations Branch, the Inter-Regional Intervention and Partnership Branch and a network of 14 business offices throughout Quebec.

The business offices, located in various parts of Quebec, are nerve centres for the delivery of the programs and services of Canada Economic Development for the Regions of Quebec. They play an active role in establishing the Agency's priorities and approaches and in adjusting

programs and services to the local situation. Regional teams represent the Agency with local organizations and hold consultations with the community. They also enable the Government of Canada to publicize its policies and its activities with regard to the economic development of the regions.

### Policy, Planning and Information

The Assistant Deputy Minister, Policy, Planning and Information, is responsible for defining the Agency's strategic orientations, carrying out the necessary socio-economic studies, providing the Agency's input to the creation of national policy, promoting Quebec regional interests at the federal level, maintaining the quality system, the performance measurement and managing information. She administers these operational entities: Governmental Affairs Branch located in Gatineau, the Policy and Planning Branch and the Quality, Information and Technologies Branch.

### Communications

The Communications Branch is responsible for developing and implementing a communication program to inform the public of the Agency's contribution and, in the case of special mandates, the Government of Canada's contribution, to the economic development of the regions of Quebec.

### Resource Management

The Resource Management Branch provides advice, support and guidance to managers and employees in regards to different issues related to the management of human, financial and material resources. It ensures liaison with the Office of the Auditor General of Canada, the Treasury Board Secretariat and the Public Service Commission. It plays a leading role in creating and managing an administrative reform based on sound management practices resulting in effective decision making. The Branch is responsible for creating programs and policies and delivering strategic and corporate services in all areas related to the management of human resources. It also participates in implementing the Expenditure Management System, controlling revenues and expenditures and drawing up financial policies, procedures and systems. Lastly, it is responsible for the management of administrative and real property services, government contracts, purchasing and security.

### Legal Services

The Legal Services Branch provides legal assistance and opinion relevant to the Agency activities. More specifically, Legal Services

activities focus on commercial law and its impact on public law. The Branch also provides litigation support services.

## Information Holdings

### Program Records

#### Service Procurement Contracts

**Description:** Information system related to the administration of the Service Procurement contracts.

**Topics:** Information concerning the vendor and the contract value.

**Access:** By contract number or vendor.

**Format:** paper.

**Program Record Number:** CED ADM 001

#### Temporary Help Services

**Description:** List of contracts with each agency.

**Topics:** General information on vendors and the contract value.

**Access:** By purchase order number or vendor.

**Format:** Paper

**Program Record Number:** CED ADM 002

#### International Relations

**Description:** Files pertaining to Canada Economic Development relations with international bodies which, in the course of their activities, operate explicitly in the field of economic development, particularly in regional development (OECD, CEC, etc.).

**Topics:** Includes topics related to regional development originating in both the public and the private sectors in Canada, OECD, etc.

**Access:** By subject.

**Format:** Paper

**Program Record Number:** CED PPI 030

#### Policies Development

**Description:** Subjects related to options open to the Minister responsible for Canada Economic Development with regard to the Government of Canada's regional development strategy in Quebec, the preparation of resulting policies and programs, and the establishment of funding options for initiatives under the strategy in question.

**Topics:** Strategic framework and sustainable development strategy.

**Access:** By subject.

**Format:** Paper

**Program Record Number:** CED PPI 035

#### Economic Analysis

**Description:** Subjects related to the economic situation and trends in Quebec and its regions,

key economic development sectors and the main challenges the Quebec economy will have to face in the future.

**Topics:** Socio-economic profiles of Quebec communities; report on the Quebec economy; cyclical reports, ad hoc studies (innovation, research and development, productivity, technological intensity of the regions); research and development; innovation.

**Access:** By subject.

**Format:** Paper

**Program Record Number:** CED PPI 040

### Program Evaluation

**Description:** Subjects relating to evaluation of the effectiveness, efficiency and merit of federal regional development programs administered by the Agency in Quebec.

**Topics:** Evaluation report on Canada Economic Development regional development assistance programs.

**Access:** By subject.

**Format:** Paper

**Program Record Number:** CED PPI 045

### Policy Analysis

**Description:** Subjects proposed by various federal departments, and existing federal policies and programs, particularly from the standpoint of their impact on Quebec economic, on its regions and its SME's.

**Topics:** Impact of federal policies and programs on economic development in Quebec.

**Access:** By subject.

**Format:** Paper

**Program Record Number:** CED PPI 055

### Federal-Provincial Relations

**Description:** Subjects related to Canada Economic development's relations with provincial organisms/departments who deal with economic, regional and SME's development in a significant manner.

**Topics:** Also deals with inter-governmental topics related to the Quebec government activities and other provinces or partners who have an impact on regional development.

**Access:** Files arranged by subject.

**Format:** Paper

**Program Record Number:** CED PPI 060

### Internal Audit and Programs and Procedures Examination

**Description:** Subjects related to an independent examination to get an appreciation of risk management practices for decision-making, control and practices of management in relation to the contribution programs and the business procedures of Canada Economic Development.

**Topics:** Internal audit report or examination report on assistance programs to regional development and business procedures of Canada Economic Development.

**Access:** By subject.

**Format:** Paper

**Program Record Number:** CED PPI 065

### Communications

**Description:** Subjects pertaining to major issues for Canada Economic Development promotional and advertising plans, promotion and public relations program records.

**Topics:** Communications in general; publications; news clippings; press releases; speeches; audiovisual material; exhibitions.

**Access:** By subject.

**Format:** Paper

**Program Record Number:** CED COM 005

The financial assistance programs listed below are old programs that are not active. The records are still available.

Regional Development incentives Program (RDIP)

Canada/Quebec Subsidiary Agreement on Tourism Development

Innovation Assistance Program (IAP)

Assistance Program for Research Establishments (APRE)

Assistance Program for Disadvantaged Areas (APDA)

Federal Procurement Assistance Program (FPAP)

Support Program for Regional Development Activities (SPRDA)

Support Program for Fashion Design (SPFD)

Housing Program for Southwest Montreal (HPSM)

Enterprise Development Program (EDP)

Salmon Economic Development

Regional Development Program for Quebec (RDPQ)

Industrial Recovery Program for East End Montreal (IRPEEM)

Industrial Recovery Program for Southwest Montreal (IRPSM)

Manufacturing Productivity Improvement Program (MPIP)

Manufacturing Productivity Improvement Program (MPIP)

Support Program for Technology Development Assistance Centres (SPTDAC)

Assistance Program for Major regional Facilities (APMRF)

Assistance Program for Industrial Infrastructure (APII)

Assistance Program for Tourist Attractions and Infrastructure (APTAI)

Montreal Development Fund Program (MDFP)

Special Assistance Program for the Development of the Montreal Region (APDM)

Industrial and Regional Development Program (IRDP)

Regional Development Incentives Program (RDIP)

**Special Fund for the Economic Development and Adjustment of Quebec fishing communities (Coastal Quebec) (SFCQ)**

**Description:** This bank contains project applications for funding assistance under the above mentioned programs. Each file consists of the applicant's profile and supporting documentation; the project's description, costs, financing, Financial statements, Business plan, an analysis of these projects and Canada Economic Development project recommendation and the contract.

**Topics:** Records on commercial or non commercial businesses, non-profit organizations and other institutions or organizations.

**Access:** By file number under each program.

**Format:** Paper

**Program Record Number:** CED OPE 005

**Regional Strategic Initiatives Program (RSIP)**

**Description:** This program involves developing and implementing strategies and action plans fostering the creation of socio-economic environment of Quebec regions.

**Topics:** This file contains the applicant's request. Each request contains the applicant's profile and documentation; the project's description, costs, financing an analysis of these projects and the Agency's recommendation. The program is aimed at Commercial and non-commercial businesses, non-profit organizations, other institutions or organizations.

**Access:** Numerical order.

**Format:** Paper

**Program Record Number:** CED OPE 010

**Economic Recovery Assistance Program (ERAP) [Not active]**

**Description:** Special Program created to assist businesses that suffered damage due to power

failure.

**Topics:** This bank contains the terms and conditions of the program and the claims submitted by the businesses. Each claim consist of the applicant's profile and supporting documentation; the project's costs and analysis; and Canada Economic Development project recommendation and implementation documentation. The bank also contains reference and statistical data.

Files have been transferred to the National Archives of Canada in 1999 for their historical value.

**Access:** By file number.

**Format:** Paper

**Program Record Number:** CED OPE 015

**Temporary Economic Reconstruction Program (TERP) [Not active]**

**Description:** Special program created after the Saguenay flooding in 1996.

**Topics:** Terms and conditions regulating this program and requests for compensation for financial losses. Each file contains the applicant's profile and supporting documentation; the claims and Canada Economic Development project recommendation. The files are kept by the National Archives of Canada for their historical value.

**Access:** By file number.

**Format:** Paper

**Program Record Number:** CED OPE 020

**IDEA-SME Program**

**Description:** Program enabling the Agency to offer SMEs a wide array of resources and services in the following domains: Innovation - Testing and experimentation to enhance natural resources - Productivity - E-Business - Export market - development - Entrepreneurship - Business climate.

**Topics:** Terms and conditions regulating this program and applications for funding. Each file consist of the applicant's profile and supporting documentation; the project's description, costs, financing; the analysis and Canada Economic Development recommendation. Commercial and non-commercial businesses, non-profit organizations, businesses in the manufacturing and processing sectors, municipalities and other institutions, intermunicipal boards, regional county municipalities (MRCS), parapublic institutions and municipal organizations can submit applications for funding.

**Access:** By file number.

**Format:** Paper

**Program Record Number:** CED OPE 025



### **Community Futures Program (CFP)**

**Description:** This national program provides support for communities in all parts of the country to help them take charge of their own local economic development.

**Topics:** This bank contains the contract with the Community Futures Development Corporations (CFDC's), the Community Economic Development Corporations and Business Development Centres. It also contains the Annual reports of these organizations.

**Access:** By alphabetical order.

**Format:** Paper

**Program Record Number:** CED OPE 030

### **Canadian Support Program for the Economy of Gaspé and the Magdalen Islands (CSPEGMI)**

**Description:** This Program is a special measure to improve the economic situation in the Gaspé. It gives priority to enhancement of federal infrastructure, development of medium-sized enterprises, young people, local empowerment and emerging initiatives.

**Topics:** This bank contains the terms and conditions of the Program and the applications presented by SME's. Each file consist of the applicant's profile and supporting documentation; the project's costs and the analysis. The bank also contains reference and statistical data.

**Access:** By file number.

**Format:** Paper

**Program Record Number:** CED OPE 040

### **Grant to the Conseil québécois des entreprises adaptées**

**Description:** This grant was awarded to promote the integration of disabled persons into the labour force under Special Projects.

**Topics:** Non-profit organizations submitting an application for funding assistance.

**Access:** By the Fund name.

**Format:** Paper

**Program Record Number:** CED OPE 045

### **Grant to the Montreal Symphony Orchestra Endowment Fund (MSO)**

**Description:** This grant was awarded under Special Projects to build the MSO Endowment Fund and redress its financial situation in the long term.

**Topics:** Non profit organization in the cultural sector. This file consist of the applicant's profile and supporting documentation; the project's description, costs, financing and analysis; and Canada Economic Development recommendation.

**Access:** By the Fund name.

**Format:** Paper

**Program Record Number:** CED OPE 050

### **Grant to the Quebec Port Authority**

**Description:** Special Project to promote and develop marine shipping and the economic interests of the Quebec City region and Canada.

**Topics:** This file consist of the financial assistance request, the applicant's profile and supporting documentation; the project's description, costs, financing and analysis; and Canada Economic Development project recommendation and implementation documentation.

**Access:** Name of Project.

**Format:** Paper

**Program Record Number:** CED OPE 055

## **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Administration

Buildings and Properties

Finance

Furniture and Furnishings

Personnel

Personal Information Banks

### **Service Procurement Contracts**

**Description:** This file contains information on all administrative aspects of each contract.

**Class of Individuals:** Persons hired by service contract.

**Purpose:** This bank contains information essential for contract management.

**Consistent Uses:** None

**Retention and Disposal Standards:** The records are retained for a six-year period and then destroyed by the National Archives of Canada.

**RDA Number:** 99/004

**Related PR#:** CED ADM 001

**TBS Registration:** 003226

**Bank Number:** CED PPU 010

### **Temporary Help Services**

**Description:** This data bank contains information on the nature of the services provided, amounts spent and the contracts themselves.

**Class of Individuals:** Persons hired by the Canada Economic Development under temporary service contracts.

**Purpose:** The information was compiled to keep accounts, reference data and statistics.

**Consistent Uses:** None

**Retention and Disposal Standards:** The

records are retained for a six-year period and then destroyed by the National Archives of Canada.

**RDA Number:** 99/004

**Related PR#:** CED ADM 002

**TBS Registration:** 003227

**Bank Number:** CED PPU 015

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

## Classes of Personal Information

In the course of Canada Economic Development programs and activities, personal information may be accumulated which is not contained in the specific information banks described in this entry. This information exists in a fragmented form in Canada Economic Development files, and is stored in the general subject files, which are not normally retrieved by the name of the individual or other personal identifier. This type of information is retrievable only if specifics are provided concerning the subject matter, related departmental activity, and the date on which the information was received by Canada Economic Development and the name of the person to whom it was addressed. The personal information contained in these files is retained for the same period of time as the related subject information and disposed of according to the appropriate records schedules.

## Manuals

- Access to Information Act and Privacy Act
- Administrative Policy
- Approval and signing authority for Human Resources
- Comptrollership
- Corporate policy on Human Resources
- Document Classification
- Guide to Program Administration
- Health and Safety
- Memorandum to Cabinet
- National Archives of Canada Act
- Personnel Management
- Quality Manual (ISO)

- Submission to Treasury Board and Governor in Council

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

The Canada Business Service Centre (CBSC) Initiative was introduced to provide Canadian firms with easier access to a wide range of information on government services, programs and regulations. There are currently about 40 federal business departments and agencies participating in this initiative, as well as other levels of government and non-governmental organizations.

Three regional development agencies and Industry Canada (IC) are designated as federal managing partners and are responsible for the development and management of the CBSCs in their areas. Info entreprises Centre is located at the following address:

Info entreprises  
Documentation Centre  
380 St. Antoine Street West  
Suite 6000  
Montréal QC H2Y 3X7  
Tel.: (514) 496-4636  
Fax: (514) 496-5934

A documentation centre is also located at:

Ressources Entreprises  
2014 Jean-Talon North  
Sainte-Foy QC G1N 4N6  
Tel.: (418) 649-4636  
Fax: (418) 682-1144

For more information, please refer to Industry Canada's chapter.

Requests for further information about the Agency and its various programs and functions may be directed to:

### Abitibi-Témiscamingue

906 5th Avenue  
Val-d'Or QC J9P 1B9  
Tel.: (819) 825-5260  
1-800-567-6451  
Fax: (819) 825-3245

**Bas-Saint-Laurent**

Immeuble Trust Général du Canada  
2 Saint-Germain Street East  
Suite 310  
Rimouski QC G5L 8T7  
Tel.: (418) 722-3282  
1-800-463-9073  
Fax: (418) 722-3285

**Centre-du-Québec**

Place du Centre  
150 Marchand Street  
Suite 502  
Drummondville QC J2C 4N1  
Tel.: (819) 478-4664  
1-800-567-1418  
Fax: (819) 478-4666

**Côte-Nord**

701 Laure Boulevard  
2nd Floor, Suite 202B  
P.O. Box 698  
Sept Îles QC G4R 4K9  
Tel.: (418) 968-3426  
1-800-463-1707  
Fax: (418) 968-0806

**Estrie**

Place Andrew Paton  
65 Belvédère Street North  
Suite 240  
Sherbrooke QC J1H 4A7  
Tel.: (819) 564-5904  
1-800-567-6084  
Fax: (819) 564-5912

**Gaspésie—Îles-de-la-Madeleine**

Place Jacques-Cartier  
167, de la Reine Street  
2e étage  
Gaspé QC G4X 2W6  
Tel.: (418) 368-5870  
1-866-368-0044  
Fax: (418) 368-6256

**Île-de-Montréal**

3340 l'Assomption Blvd.  
Montréal QC H1N 3S4  
Tel.: (514) 283-2500  
Fax: (514) 496-8310

**Laval—Laurentides—Lanaudière**

Tour Triomphe II  
2540 Daniel-Johnson Boulevard  
Suite 204  
Laval QC H7T 2S3  
Tel.: (450) 973-6844

1-800-430-6844  
Fax: (450) 973-6851

**Mauricie**

Immeuble Bourg du Fleuve  
25 des Forges Street  
Suite 413  
Trois-Rivières QC G9A 2G4  
Tel.: (819) 371-5182  
1-800-567-8637  
Fax: (819) 371-5186

**Montérégie**

Complexe Saint-Charles  
1111 Saint-Charles Street West  
Suite 411  
Longueuil QC J4K 5G4  
Tel.: (450) 928-4088  
1-800-284-0335  
Fax: (450) 928-4097

**Nord-du-Québec**

Tour de la Bourse  
800 Victoria Square  
Suite 3800  
P.O. Box 247  
Montréal QC H4Z 1E8  
Tel.: (514) 496-7609  
1-800-561-0633  
Fax: (514) 283-3637

**Outaouais**

259 Saint-Joseph Boulevard  
Suite 202  
Gatineau QC J8Y 6T1  
Tel.: (819) 994-7442  
1-800-561-4353  
Fax: (819) 994-7846

**Québec—Chaudière—Appalaches**

Édifice John-Munn  
Dalhousie Street  
2nd Floor  
Québec QC G1K 4C1  
Tel.: (418) 648-4826  
1-800-463-5204  
Fax: (418) 648-7291

**Saguenay—Lac Saint-Jean**

170 Saint-Joseph Street South  
Suite 203  
Alma QC G8B 3E8  
Tel.: (418) 668-3084  
1-800-463-9808  
Fax: (418) 668-7584

**Head Office**

Tour de la Bourse  
800 Victoria Square  
Suite 3800  
P.O. Box 247  
Montréal QC H4Z 1E8  
Tel.: (514) 283-6412  
Fax: (514) 283-3302  
Web Site: [www@ced-dec.gc.ca](http://www@ced-dec.gc.ca)

Policy and Interdepartmental Advocacy and  
Advocacy and Industrial Policy

Place du Portage, Phase II  
165 Hôtel-de-Ville-Street  
P.O. Box 1110, Station B  
Gatineau QC J8X 3X5  
Tel.: (819) 997-3474  
Fax: (819) 997-3340

**Reading Room**

Canada Economic Development has designated a  
space in the Info entrepreneurs premises as a  
public reading room under the Access to  
Information Act. The address is:

Info Entreprises  
380 St. Antoine Street West  
Suite 6000

Montréal QC H2Y 3X7  
Tel.: (514) 496-4636  
Fax: (514) 496-5934

# Canada Firearms Centre

## Chapter 13

### General Information

#### Background

The Canada Firearms Centre is an independent Department within the portfolio of Public Safety and Emergency Preparedness Canada. The Deputy Head of the Canada Firearms Centre is the Commissioner of Firearms who is appointed pursuant to section 81.1 of the Firearms Act.

#### Responsibilities

The Canada Firearms Centre is responsible for the overall administration of the Firearms Program, which includes the licensing of firearm owners and the registration of firearms and other measures related to safe responsible firearms use and firearms controls. The Centre provides administrative direction and funding to the Program, and maintains the Canadian Firearms Information System (CFIS), a fully integrated automated information system that provides administrative and enforcement support to all partners involved in licensing, registration and the issuance of authorizations related to restricted and prohibited firearms. The Centre also holds the files contained in the Restricted Weapon Registration System (RWRS) collected under previous legislation.

The Centre develops and manages safety training courses and material and designs all application forms concerning firearms. In addition, the Centre conducts research, consultations and develops policy related to firearms. It develops firearms legislation and accompanying regulations and negotiates agreements with the provinces and territories as well as international agreements. The Centre maintains a Web site as well as a toll free line [telephone: 1-800-731-4000].

#### Legislation

- Firearms Act S.C. (1995), c. 39
- An Act to amend the Criminal Code (firearms) and the Firearms Act S.C. (2003), c. 8

#### Organization

The authority for executing the requirements of the Firearms Act rests with the Commissioner of Firearms who is appointed pursuant to section 81.1 of the Firearms Act. The Commissioner of

Firearms reports to the Minister of Public Safety and Emergency Preparedness Canada. The Registrar of Firearms, and Chief Firearms Officers, (named by appropriate provincial or federal ministers), also have specific responsibilities under the Firearms Act.

### Information Holdings

#### Program Records

##### Technology Management

**Description:** This group assembles the various service requirements, which have been identified by managers, and staff, which require resolution in order for the Firearms Act to be implemented effectively.

**Topics:** Number of service providers, commercial publicity and estimates, recommendations to senior management for approval and application and LAN (Local Area Network) administration support team role and responsibility.

**Program Record Number:** CFC 500-3

##### Parliament Process

**Description:** This grouping contains the files on presentation to the Standing Committee on Justice and Legal Affairs and the Standing Senate Committee on Legal and Constitutional Affairs.

**Topics:** briefing book on Bill C-15; correspondence between the Commissioner and Ministers.

**Program Record Number:** CFC 941-5

##### Legislative Training

**Description:** All training related to Firearms Act and Criminal Code.

**Topics:** Various letters and e-mails concerning sample documents proposed amendments and additions to the criminal code; distribution of legislative training materials; judges manuals; survey of range of sentences for offences involving a firearm; consultations training; courseware; printing requests; meeting with focus groups; videos and all the Acts and Legislation documentation that are in use at the Canada Firearms Centre.

**Program Record Number:** CFC 332253-1

##### Communications (Information Services Telecommunications)

**Description:** This grouping holds information on the strategies developed to inform the partners and clients on the evolution and changes in the Firearms Act and Regulations.

**Topics:** video cassettes; questions and answers format; correspondence with the public;

communication groups; surveys and opinion polls; speeches and presentations; call centre; advertising campaigns; trade show programs; exhibit, etc.

**Program Record Number:** CFC 600-4

### **Canadian Firearms Information System (CFIS)**

**Description:** The Canadian Firearms Information System is fully integrated, automated information system that provides administrative and enforcement support to all partners.

**Topics:** Licensing of firearms owners/users, registration of all firearms, and the issuance of authorizations related to restricted firearms; surrender & disposal of firearms, CFRO – The Canadian Firearm Registry On-line is a subset of the information on CFIS.

**Program Record Number:** CFC 505-3

### **RWRS-The Restricted Weapon Registration System.**

**Description:** Fully integrated, automated information system that provides administrative and enforcement support to all partners.

**Note:** As of December 1998 no new registrations have been entered in this system. It was replaced by CFIS.

**Topics:** applications to register restricted weapons, registration certificates, and other weapons that are recorded to police agencies, government departments, museums, firearm businesses and others, inter provincial permits to carry, transport or convey restricted weapons as required. RWRS was superseded by CFIS.

**Program Record Number:** CFC 100-14

### **Chief Operating Officer**

**Description:** Information Management on how the program is to be operating and the cooperation of all involved in setting up the program.

**Topics:** correspondence, e-mail, presentations and correspondence dealing with software products and licensing applications.

**Program Record Number:** CFC 332215-1

### **Facilities Management**

**Description:** Information on furnishings, parking facilities, contracts, buildings and properties and rental accommodation.

**Topics:** Internal meetings to establish policies and procedures dealing with ID cards and bldg. Passes; hospitality; meeting planning; transfer of assets; process equipment write-off; equipment inventory; draft asset policy; manager's desk book, etc.

**Program Record Number:** CFC 105-1

### **Operational – General**

**Description:** This series covers operational activities by the regional offices relating to their mandate of operations.

**Topics:** business permits, transportation and carrying permits, exhibits, displaying storing, gun shows, importing and exporting weapons.

**Program Record Number:** CFC 615-4

### **Safety Training**

**Description:** Firearms Safety Courses with supporting documentation organised by the various regional offices and given in a variety of locations.

**Topics:** Manuals, videocassettes, CD-Rom, pamphlets.

**Program Record Number:** CFC 332226-1

### **Publications**

**Description:** Pamphlets, Bulletins to Inform Users of the various Regulations.

**Topics:** Aboriginal – alternate Safety Certificate; Aboriginal – Treaty Ammunition; Gun Show; Shooting Range; Import and Export of Firearms by Individuals and Business; Storing Displaying and Transporting of Firearms and other Weapons; Displaying Firearms; Shipping Firearms; Storing Firearms; Transporting Firearms; Transferring Firearms; Requirements to Transfer Firearms; Sending transfer Application by Mail; and, Verification of Firearms.

**Program Record Number:** CFC 640-4

### **Administration - Communications**

**Description:** The grouping reflects the establishment initially on the internal communication.

**Topics:** LAN (Local Area Network) with all functions of the CAFC program and the manual for the establishment of the LAN for the CAFC and the implementation of the Act.

**Program Record Number:** CFC 100-2

### **Administration – Project Control Group**

**Description:** This group incorporates the early structuring of the organization and aims toward some milestones as these plans develop.

**Topics:** the CFIS readiness status report; calendar for implementation and record of decision of the Project Management Committee; master project plan deliverables; planned schedule of CFP activities / events for the Minister of Justice; readiness status reports by provinces and territories; record of decision by partners committee conferences; action items list; revenue Canada import / export implementation plan; bulletin, etc.

**Program Record Number:** CFC 100-3

### **Administration – Project Management**

**Description:** This grouping contains the project planning and control of the Department of Justice "OPI".

**Topics:** the project management handbook for the government of Canada for regional economic expansion; TB an overview of contract; project and risk management division; project organization for the implementation of the Canadian Firearms Legislation Bill C-68; presentation of the project management framework for the Canadian Firearms Registration System (CFRS); training plan; Canadian Firearms Program cost control & reporting framework; Canadian Firearms Centre – Project brief submitted to the Senior Project Advisory Committee (SPAC) Interdepartmental Management Forum (IMF); Project Management Committee, etc.

**Program Record Number:** CFC 100-4

### **Administration – Bill C-68 Firearms Act**

**Description:** Correspondence and reports on the presentation of the Act.

**Topics:** memorandum from the minister to liberal members and senators; discussion paper; manual for the implementation of the Act and the Firearms Control Program – changes in the legislation Bill C-68; circulation of various opinions; amendments drafts and memos.

**Program Record Number:** CFC 100-5

### **Administration – Minister's Statement**

**Description:** Correspondence and documents in support of the introduction and follow-up of Bill C-68.

**Topics:** answers during question period in the House of Commons; briefing binder for the Minister.

**Program Record Number:** CFC 100-5

### **Administration – Parliamentary Affairs**

**Description:** Listing of current cabinet business.

**Topics:** agenda for cabinet and cabinet committee meetings; presentation to the committee on the Firearms Act Bill C-68; various agenda on the activities of Parliament.

**Program Record Number:** CFC 100-8

### **Administration – Legal Services**

**Description:** Questions raised during question period.

**Topics:** legal opinion; e-mail; resources demanded for legal services; issues for custom processing.

**Program Record Number:** CFC 100-9

### **Administration – Canadian Firearms Information System (CFIS)**

**Description:** The Canadian Firearms Information System transferred from the RCMP to the CAFC.

**Topics:** documentation on resources required to operate the system with instruction on job description, jobs advertisement and business analysis.

**Program Record Number:** CFC 100-14

### **Administration – Correspondence**

**Description:** Ministerial correspondence to and from the public.

**Topics:** correspondence and memorandum on replies to opinions emitted by Canadian Citizens.

**Program Record Number:** CFC 100-18

### **Administration – Circulars, Directives and Orders**

**Description:** Departmental Administrative and operating Orders.

**Topics:** circular letters, directives, regulations and orders in council.

**Program Record Number:** CFC 100-21

### **Administration Acquisition Cards**

**Description:** Policy and procedures on acquisition cards (Credit Cards) and obligations of the cardholder.

**Topics:** TB policy on acquisition cards; CAFC acquisition cards procedures and insertion of the Manager's handbook Administration CAFC Network Users Guide dated October 26, 1997, CAFC network users guide for MS shared folders and network directories – CAFC administration – October 26, 1997 – and implementation of Bill C-68 the Firearms Act.

**Program Record Number:** CFC 100-25

### **Administration – International Firearms Issues**

**Description:** Correspondence on the activities of the International Firearms Issues.

**Topics:** participation in international / UN workshops; proposal for departmental support staff assignment center (DSSAC).

**Program Record Number:** CFC 100-27

### **Administration – Canadian Firearms Registry – CFRS transition**

**Description:** Transfer of the Canadian Firearms Registry from the RCMP to the Canadian Firearms Centre.

**Topics:** personnel, equipment & budget arrangement.

**Program Record Number:** CFC 100-29

### **Administration – Coding**

**Description:** Lists and charts to identify the responsibility centres:

**Topics:** assets, budget allocations and expenditures.

**Program Record Number:** CFC 100-30

#### **Administration – Project Control**

**Description:** Charts of alternate service delivery (ASD) implementation.

**Topics:** management milestones attained – vendor's information - advertising and seminars to present their products.

**Program Record Number:** CFC 100-31

#### **Administration Result Based Management and Accountability**

**Description:** Presentation of the document Bill C-68.

**Topics:** correspondence; reports; strategic plans for the years; evaluation document 1995 Firearms Legislation; presentation by PRA Inc. on Result Based Management and Accountability Framework (RMAF).

**Program Record Number:** CFC 100-32

#### **Administration – Project Transition**

**Description:** Project transition of the firearms current operations work group.

**Topics:** meetings; transition plan and presentation with objectives / milestones dates.

**Program Record Number:** CFC 100-33

#### **Briefing Notes and Talking Points**

**Description:** Request from the Minister, Cabinet, Commissioner, questions in the House of Commons for explicit information on a Subject or event that spurred the question.

**Topics:** situation or speech; draft reply, etc.

**Program Record Number:** CFC 110

#### **Committees, Conferences, and Meetings**

**Description:** Correspondence of general nature considered routine correspondence.

**Topics:** Agenda, notices, minutes of meetings, proceedings, status reports, presentations, etc.

**Program Record Number:** CFC 130

#### **Partnerships**

**Description:** Series of files containing information on the partnerships with federal and provincial agencies that were established.

**Topics:** Dept. of Justice, Solicitor General, Canada Customs and Revenue Agency, Health Canada, the Royal Canadian Mounted Police, the Canadian Association of Chiefs of Police, advisory councils, enforcement agencies, and national crime prevention council.

**Program Record Number:** CFC 135

#### **Plans and programs**

**Description:** The Department of Justice preliminary assessment of the situation as to the

promise to proceed with the Firearms Act, 1995.

**Topics:** agenda, notices, minutes of meetings, proceedings, status reports, presentations, etc.

**Program Record Number:** CFC 140

#### **Reports and Statistics**

**Description:** Various reports.

**Topics:** Annual Report, the Central Processing site (monthly reports on application received, processed, rejected, etc.), polls, surveys, status reports, reports from other organizations, firearms research and statistics, organized and major crimes, monthly reports, international community, weekly reports to the Minister, etc.

**Program Record Number:** CFC 180

#### **Subscriptions and Publications**

**Description:** Books and serials used as a Library Service and the acquisition of such information.

**Topics:** References used by Communications Group to examine the flow of information that the public is receiving and to focus the selection and where to give notification on the Firearms Act regulation and the effective date.

**Program Record Number:** CFC 640

#### **Correspondence Management**

**Description:** This series of files is dedicated for the "How To" information from various directives in the federal government (Privy Council, Treasury Board, Public Service Commission, National Archives, etc.).

**Topics:** Correspondence procedures, quality and production control, use of form and guide letters, signing authorities, channels of communication, subject files for drafting replies for Ministers / Cabinet (Federal and Provincial) and senior officials on questions relating to the mandate of CAFC. This grouping also includes information on the CCM Mercury tracking system.

**Program Record Number:** CFC 410

#### **Forms Management**

**Description:** Various forms required for applications, registrations and verifications.

**Topics:** Analysis, design and control, identification, authorization, review preparation and physical characteristics of various firearms applications.

**Program Record Number:** CFC 420

#### **Finance**

**Description:** Financial Management consists of both the administration (accounting) processing activities and higher-level management activities.

**Topics:** budgeting, financial planning, performance measure, control and the reporting, analysis and planning, classification of accounts,



budgetary control, development of financial information systems and controls accounting and control of expenditures and revenues accounting for assets and liabilities, accounting for special funds and accounts, revolving funds and Treasury Board submission request for adjustment and additional resources and documents related to contracts and requisitioning, procuring, issuing, maintenance and supplies.

**Program Record Number:** CFC 250

#### **Firearms Interest Police (FIP)**

**Description:** This series regroups a variety of police forces that have great interest in the Firearms Act.

**Topics:** Operating manuals; Firearms Act information line call back requests.

**Program Record Number:** CFC 332258

#### **Firearms Act**

**Description:** All files relating to the Firearms Act with amendments previous to 1995.

**Topics:** the licensing of firearm owners / users, registration of all firearms, and the issuance of authorizations related to restricted firearms.

**Program Record Number:** CFC 116

#### **Legal Matters**

**Description:** Orders in council issued to amend the effective date of amnesties and prevent people from being charged.

**Topics:** correspondence, decisions, rulings and opinions sought by the Department of Justice.

**Program Record Number:** CFC 332245

#### **Countries**

**Description:** Organization of American States-OAS, Interpol, United Nations – UN, World Health Organization – WHO, World Custom Organization – WCO.

**Topics:** Correspondence; enquiries; project planning for international resolution; negotiations for and agreement on bilateral convention leading to signing; meetings; visit planning for to and from; participation in the preparation of official visits.

**Program Record Number:** CFC 103

#### **Policy and Accountability**

**Description:** The Canada Firearms Centre (originally the Department of Justice) worked on regulations to support the Firearms Act, which received Royal Assent on December 6, 1995.

**Topics:** The Canada Firearms Centre has undertaken the implementation phase of the Canadian Firearms Registration System, the training of Police / Enforcement Officers, Custom Officers, and Crown Attorneys and the preparation of information packages for the Judiciary. The Policy and Accountability is an ongoing function

maintained by the CAFC.

**Program Record Number:** CFC 240

#### **Research**

**Description:** Miscellaneous research documents issued by Policy and Consultation.

**Topics:** Correspondence on firearms prohibition orders; various study reported; firearms research annotated bibliography on selected issues; working documents; restricting conventional proliferations; research enquiries; case monitoring exceptions; processing case studies; survey on firearms ownership project control group; domestic violence; control of military type firearms; firearms issues; firearms offences; firearms registration; firearms smuggling; international projects; research materials; etc.

**Program Record Number:** CFC 580

#### **Agreements and Memorandum**

**Description:** This series contain Memorandum to Cabinet with recommendation to proceed with the course of action.

**Topics:** Supporting documentation and arguments; and, Memorandum of Understanding with Federal / Provincial counterparts to provide services, monies for services rendered, contributions, etc

**Program Record Number:** CFC 125

#### **Audits and Evaluations**

**Description:** The Series contain the examination of the Policies and Procedures of the CAFC in the two key components. The Canadian Firearms Information System (CFIS) and the Policy and Programs Directorate.

**Topics:** Various evaluations of the process of the activities, audits and evaluations conducted by the internal audit group of DOJ and external audits by the Auditor General of Canada and external firms.

**Program Record Number:** CFC 181

#### **Mail Room Services**

**Description:** The group provides mail pick-up and delivery services within the organization and messenger service through service providers.

**Topics:** mailing lists, activities log, service delivery models, manuals etc.

**Program Record Number:** CFC 440-3

#### **Information Management**

##### **Records Management**

**Description:** CAFC information retrieval service with manual and electronic aids.

**Topics:** subject file classification system; referencing and classifying material, received correspondence reports and other instruments and central records.

**Program Record Number:** CFC 450-3

### Aboriginal Issues – General

**Description:** This series contains information relating to the Aboriginal people and inherent rights obtained through a variety of treaties.

**Topics:** research and surveys amongst the various reserves, correspondence; faxes; community administration and contracts on implementation and administration of firearms legislation in aboriginal files.

**Program Record Number:** CFC 145

### Aboriginal Issues – Consultations

**Description:** Issues with implementing the firearms legislation within the Aboriginal communities.

**Topics:** consultations on hunting and sustenance; Aboriginal justice; relations between them and their province of residence; national aboriginal organizations; members of parliament; and, regulations.

**Program Record Number:** CFC 146

### Security

**Description:** This series encompasses the business process and activities, which produce records relating to security.

**Topics:** classification and designation, security and risk management, control of access, personnel security, safeguards and security breaches and violations, the classification of sensitive information in the national interest; the administration of security clearances on government employees and contractors; all aspect of physical security related to sensitive or classified information; the secure handling of information assets; it excludes the activities and records of those security and investigative institutions performing the investigation of such activities.

**Program Record Number:** CFC 200

### Smuggling Review

**Description:** Miscellaneous correspondence on the review of information and consultation with other federal government departments on their knowledge of the activities that occurred in their jurisdictions.

**Topics:** variety of correspondence and e-mail with national firearms association; national firearms enforcement support; assistance to the Canada Firearms Centre programs and divisions; Core Group on the illegal movement of firearms; crime gun data bank; enforcement agencies; international core groups; Canada Post; research surveys; reports and statistics.

**Program Record Number:** CFC 332295

### Education Training

**Description:** This grouping of files deals with the training of Chief Firearms Officers in regard to course content.

**Topics:** audio visual aids, presentations, orientations, strategic plans and training sessions.

**Program Record Number:** CFC 332225

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Administration and Management Services

Automated Document, Records and Information Management Systems

Personnel

Business Continuity Plans (BCP)

Employment and Staffing

Information Technology Services

Hospitality

Human Resources

Occupational Health, Safety and Welfare

Official Languages

Personnel

Physical Security

Relocation

Salaries and Wages

Staffing

Staff Relations

Training and Development

Travel

Vehicles

### Personal Information Banks

#### Canadian Firearms Program

**Description:** Personal information in this bank is collected under the statutory authority of the Firearms Act and related Regulations and is used by federal and provincial officials in the administration of this legislation.

The bank describes applications for the licensing of individuals, firearms businesses, carriers, museums; applications for public agency identification numbers; applications for the registration of firearms; and the applications and results of Safety Training Courses taken by

individuals. Most of the personal information in the bank is contained in the application forms for the Possession Only Licence, Possession and Acquisition Licence, minors' licence, firearms business licence, and the application to register firearms.

In addition, this bank describes information about individual and business licences, registration certificates, firearms that are recorded to police agencies, government departments, and others, inter provincial and international carrier licences, the names of the individuals who are approved verifiers and authorizations to import and export firearms as required under the Firearms Act. The data bank also describes documentation on refusals and revocation of registration certificates, carrier licences and authorizations to import and export. It also contains applications from individuals or business' regarding licences or authorizations that are refused or revoked by the CFO and documentation on prohibition orders of which the CFO is informed under Section 89 of the Firearms Act. It should be noted that Import and Export requirements are not yet in force.

Personal information from these applications may include: name, address, telephone number, firearm(s) owned, as well as an indication (from boxes checked by the applicant) of the following: firearms licence refusals, revocations or prohibition orders, criminal convictions or discharges, emotional and behavioural problems, incidents involving violent behaviour, marital status, citizenship, and financial difficulties. The bank may also describe the name, address and telephone number of the spouse/common-law partner, guarantors, references, and those in a prescribed relationship to a business. It may describe additional personal information by way of an indication of a police occurrence report or a mention that interviews and investigative reports were prepared in the course of issuing a licence or registration certificate under the Firearms Act. Details of interviews and reports are held by the provinces/territories. Records are kept on transactions conducted through the 1-800 Call Centre. Finally, records are kept on enquiries to which the Communications Branch responds.

Information described in this bank may be maintained in hard copy, on microfilm or other long-term storage medium, and in automated form in the Canadian Firearms Information System (CFIS).

**Class of Individuals:** Individuals who have applied for licences, registrations and other privileges or authorizations under the firearms

legislation and have been issued them, or had licences, registration certificates and authorizations refused or revoked; or have been prohibited from possessing firearms, ammunition or other explosive substance.

**Purpose:** The administration and enforcement of firearms control legislation and regulations in Canada and at Canadian borders.

**Consistent Uses:** Certain information in this bank may be used by domestic and foreign accredited law enforcement agencies in the enforcement and administration of the law and in the detection, prevention or suppression of crime.

**Retention and Disposal Standards:** Information in this bank is retained for a minimum of ten years. Some information may be retained permanently pursuant to paragraph 83(1)(a) of the Firearms Act and subsection 4(2) and Section 6 of the Firearms Records Regulations. Where the record has been designated as having archival or historical value, the record shall be transferred to the control of the National Archives of Canada; and where the record has not been so designated, it shall be destroyed.

**RDA Number:** 98/001

**Related PR#:** CPS 001

**TBS Registration:** 005478

**Bank Number:** CFC PPU 100

### **Restricted Weapon Registration System (RWRS)**

**Description:** This data bank contains applications to register restricted weapons, registration certificates, and other weapons that are recorded to police agencies, government departments, museums, firearm businesses and others, inter provincial permits to carry, transport or convey restricted weapons as was required under former Part III of the Criminal Code of Canada (prior to 98-12-01). The data bank also contains documentation or prohibition orders, refusals and revocation of registration certificates and inter provincial permits to carry. Under the Firearms Act, the records kept in the registry RCMP under former Part III of the Criminal Code of Canada are transferred to the Registrar who has the authority to maintain a registry of every Firearms Registration Certificate. In addition to the requirements on the Personal Information Request Form, individuals must provide their full name, date of birth and address. Information in relation to registration certificates, refusals or revocations of registration certificates, and inter provincial permits to carry restricted weapons(s) is located at the Canada Firearms Centre, Ottawa, Ontario. Individuals wishing to access only specific information should identify the material

desired, to expedite the processing of their requests. Information in this bank may be maintained in hard copy, on microfilm, and in automated form.

**Class of Individuals:** Individuals who have applied to register restricted weapons in Canada and have been issued a registration certificate; applied to the local registrar (L.R.) of firearms for a permit to carry/convey/transport a restricted weapon in Canada; been refused or have had a permit or certificate revoked or have been prohibited from processing firearms.

**Purpose:** The administration and enforcement of firearms control legislation in Canada.

**Consistent Uses:** Information in this bank is used by domestic and foreign accredited law enforcement of federal, provincial / state and municipal governments, and chief provincial / territorial firearms officers, in the administration or enforcement of the law and in the detection, prevention or suppression of crime in general. This information may be matched with information from other personal information banks and / or program records. All linkages for the purpose of administration or enforcement of the law and in the detection, prevention or suppression of crime are in compliance with the provisions of the Privacy Act.

**Retention and Disposal Standards:** Certain information in this bank is retained permanently pursuant to the Firearms Records Regulations. Where the record has been designated as having archival or historical value, the record shall be having archival or historical value, the record shall be transferred to the control of the National Archives of Canada and where the record has not been so designated, it shall be destroyed.

**RDA Number:** 69/123, 95009, 96023

**Related PR#:** CFC-RS-002

**TBS Registration:** 005477

**Bank Number:** CFC PPU 101

#### **Information Disclosed Pursuant to Paragraph 8(2)(m) of the Privacy Act**

**Description:** This bank contains copies of personal information disclosed pursuant to paragraph 8(2)(m) of the Privacy Act, as well as internal memoranda and correspondence with the Privacy Commissioner.

**Class of Individuals:** Individuals whose personal information have been disclosed because the public interest in disclosure clearly outweighed any invasion of privacy that could have resulted from the disclosure, or because the disclosure clearly benefited the individual to whom the information relates.

**Purpose:** The bank is used to record disclosures

of personal information under paragraph 8(2)(m) of the Privacy Act and to report on the number of these requests.

**Consistent Uses:** Information in this bank is used by domestic and foreign accredited law enforcement of federal, provincial / state and municipal governments, and chief provincial / territorial firearms officers, in the administration or enforcement of the law and in the detection, prevention or suppression of crime in general. This information may be matched with information from other personal information banks and / or program records. All linkages for the purpose of administration or enforcement of the law and in the detection, prevention or suppression of crime are in compliance with the provisions of the Privacy Act.

**Retention and Disposal Standards:** The retention and disposal standards are currently being developed.

**RDA Number:** TBD

**Related PR#:** CFC 405-9

**TBS Registration:** 005476

**Bank Number:** CFC PPU 200

#### **Information Disclosed to Investigative Bodies Pursuant to Paragraph 8(2)(e) of the Privacy Act**

**Description:** This bank contains copies of requests for disclosure of personal information submitted under paragraph 8(2)(e) of the Privacy Act by investigative bodies listed in Schedule II of the Privacy Regulations. This bank also contains the replies to such requests and particulars related to their processing.

**Class of Individuals:** Individuals about whom requests for personal information have been received from federal investigative bodies pursuant to paragraph 8(2)(e) of the Privacy Act.

**Purpose:** The bank is used to record disclosures of personal information to federal law enforcement bodies under paragraph 8(2)(e) of the Privacy Act and to report on the number of these requests.

**Consistent Uses:** Information in this bank is used by domestic and foreign accredited law enforcement of federal, provincial / state and municipal governments, and chief provincial / territorial firearms officers, in the administration or enforcement of the law and in the detection, prevention or suppression of crime in general. This information may be matched with information from other personal information banks and / or program records. All linkages for the purpose of administration or enforcement of the law and in the detection, prevention or suppression of crime are in compliance with the provisions of the Privacy Act.

**Retention and Disposal Standards:** The retention and disposal standards are currently being developed.

**RDA Number:** TBD

**Related PR#:** CFC 405-10

**TBS Registration:** 005475

**Bank Number:** CFC PPU 201

#### **Mailing Lists:**

**Description:** This bank describes information used to maintain mailings lists for the Canada Firearms Centre. The personal information collected includes the individual's name, organizational title, mailing address, telephone number and fax, email address, and language preference.

**Class of Individuals:** Members of the general public or individuals representing private sector companies and non-government organizations that have provided their contact information to obtain copies of publications and/or documentation.

**Purpose:** To create and maintain standardized mailing lists used for the distribution of communications material, publications, reports, and other documentation related to the programs and activities of the Canada Firearms Centre.

**Consistent Uses:** Non-personal information may be used to provide reports on Canada Firearms Centre communications activities to management. The information may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** The retention and disposal standards are currently being developed.

**RDA Number:** 98/001

**Related PR#:** CFC 405-8

**TBS Registration:** 005936

**Bank Number:** CFC PPU 006

#### **Inquiries by Firearms Owners, Licence Applicants and the general public.**

**Description:** This bank describes the information used in the preparation of responses to Registration Applicants about the interpretation of a section, subsection, etc., of the Firearms Act. The personal information collected includes individual's name, mailing address, telephone number, and possibly firearms registration number and License number, if provided in the inquiry.

**Class of Individuals:** Registration or license Applicants and members of the public making inquiries

**Purpose:** To manage, in a consistent and time-efficient manner, the receipt of, and responses to, inquiries received about the interpretation of the Firearms Act, as well as to conduct a quality assurance review of correspondence to Firearms

Registration applicants. This information is also used as a research tool for officers that need to answer/interpret the Act to ensure that they respond in a consistent manner.

**Consistent Uses:** This information may be used for planning, audit and evaluation purposes.

**Retention and Disposal Standards:** The retention and disposal standards are currently being developed.

**RDA Number:** To be determined

**Related PR#:** CFC -440

**TBS Registration:** 005935

**Bank Number:** CFC PPU 007

## **Standard Personal Information Banks**

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records and Information Management Systems

Business Continuity Plans

Electronic Network Monitoring Logs

Executive Correspondence Management Systems

Internal Disclosure of Wrongdoing in the Workplace

Security Video Surveillance & Temporary Visitor

## **Manuals**

- Canadian Firearms Manual
- Firearms Officer Desk Manual
- Business Desk Manual
- Justice of the Peace Desk Manual
- Judges Desk Manual
- Police Officer Field Handbook
- Prosecutors Desk Manual
- Public Agents Field Handbook
- Security Manual

## **Additional Information**

To access information under the Privacy Act, individuals must provide, in addition to the requirements indicated on the Personal Information Request Form, their full name and date of birth. If required, they should also submit

their firearms licence number (or firearms acquisition certificate number under the previous legislation), firearms registration certificate number, or other identifiers sufficient to permit accurate retrieval of information. To expedite the processing of their request, individuals wishing to access only specific information should identify the material desired. Responsibility for responding to requests is shared between various jurisdictions.

The headquarters of the Department is located in Ottawa. Additional information about the Canada Firearms Centre may be obtained from

Canada Firearms Centre  
Communications Branch  
Ottawa ON K1A 1M6  
Tel.: 1-800-731-4000

### **Regional Offices**

There are two regional offices. The Newfoundland and Labrador Chief Firearms Officer's office is in St. John's. The Northwest Region Chief Firearms Officer's office, which serves British Columbia, Alberta, Saskatchewan, Manitoba, Yukon, Northwest Territories and Nunavut, is located in Edmonton.

### **Reading Room**

National Capital Region  
Public Safety and Emergency Preparedness  
Canada  
340 Laurier Avenue West  
Ottawa ON K1A 0P8

# Canada Industrial Relations Board

## Chapter 14

### General Information

#### Background

The Canada Industrial Relations Board (CIRB) is an independent, representational, quasi-judicial tribunal responsible for the interpretation and application of the Canada Labour Code, Part I (Industrial Relations) and certain provisions of Part II (Occupational Health and Safety).

Part I of the Canada Labour Code had remained virtually unchanged since 1972. However, with the coming into force on January 1, 1999 of Bill C-19, an Act to amend the Canada Labour Code (Part I), R.S. 1998 C. 26, significant changes were made to the Code in an effort to modernize it and improve the collective bargaining process for federally regulated industries. The Act also replaced the former Canada Labour Relations Board with the Canada Industrial Relations Board.

The Board has jurisdiction in regard to some 700,000 employees engaged in federal jurisdiction industries, which include interprovincial transportation (air, land and water), broadcasting, banking, longshoring and grain handling, and to private sector employees in Nunavut, the Yukon, and the Northwest Territories.

#### Responsibilities

The Board's mandate is to contribute to and promote effective industrial relations in any work, undertaking or business that falls within the authority of the Parliament of Canada. It interprets and applies the Code in a manner that supports and promotes free collective bargaining and the constructive settlement of disputes.

In general, Part I of the Canada Labour Code charges the Board with a two-fold responsibility: that of granting, modifying and terminating bargaining rights, and that of resolving, through mediation or adjudication, complaints of unfair labour practice concerning violations of the Code by trade unions or employers.

Under Part II of the Code, the Board must rule on complaints by employees alleging that they have been discriminated against or punished for exercising their rights in relation to safety.

On finding a violation of the Code, the Board is empowered to order reinstatement and

compensation where appropriate. It is also empowered, upon application, to order employees to return to work in cases of illegal work stoppages and to attempt to resolve or adjudicate, where necessary, various other types of disputes that may arise under Part I of the Code.

#### Legislation

- Canada Labour Code (Parts I and II)
- Canada Industrial Relations Board Regulations, 2001, SOR/2001-520

#### Organization

The Board is composed of a chairperson, at least two full-time vice-chairpersons (at present five) and not more than six full-time members (three representing employees and three representing employers) (at present six full-time and six part-time), all appointed by order-in-council. The chairperson and vice-chairpersons are appointed for five-year terms; members are appointed for three-year terms. This makes up the Adjudicative Branch of the Board.

The Board is managed by the executive director, who is responsible for regional operations, case management, information management and information technology, financial and administrative services and human resources. The director general of the Case Processes Branch is responsible for the provision of strategic advice and support in respect of case management and workflow as well as for the direction of Legal Services.

The majority of the Board's staff, as well as its full-time vice-chairpersons and members, work out of the headquarters (National Capital Region) office; the Board also has five regional offices and a satellite office, all staffed with labour relations professionals and case management teams.

### Information Holdings

#### Program Records

##### Acquisition and Termination of Bargaining Rights

**Description:** Case files concerning the acquisition by trade unions of the right to bargain collectively on behalf of employees in the federal jurisdiction, through certification as bargaining

agent or by way of successor rights, and the termination of bargaining rights.

**Topics:** Application for certification; application for declaration of single employer; application for revocation of certification; application for declaration of successor rights; application for declaration of sale of business; application for access to employer's premises for the purpose of soliciting union membership.

**Access:** Files are arranged by case number.

**Format:** Manual files

**Program Record Number:** CIR OPS 005

### **Change of Terms and Conditions of Employment**

**Description:** Application by employers under federal jurisdiction for permission to alter the rates of pay, or any other terms or conditions of employment, or any rights or privileges of employees who are the subject of an application by a trade union to represent the employees in collective bargaining.

**Topics:** Applications to change terms and conditions of employment

**Access:** Files are arranged by case number.

**Format:** Manual files

**Program Record Number:** CIR OPS 035

### **Collective Bargaining and Collective Agreements**

**Description:** Applications concerning the existence of disputed collective agreements or the identification of parties bound by a collective agreement; applications concerning the failure of an employer to comply with obligations under a collective agreement respecting any proposed technological change; applications for permission to give the employer notice to begin collective bargaining following a notice of technological change; references from the Minister of Labour directing the Board to inquire into disputes related to the settlement of first collective agreements, and to impose a first agreement on the parties if necessary; applications by individuals who, because of religious beliefs, object to joining a trade union or to paying regular union dues to a trade union (The Board may allow an exception for such individuals, directing the amount normally paid for regular union dues to a registered charity chosen by the employee and the union.); applications by parties to a collective agreement to serve notice to bargain following the establishment of a portion of the public service as a Crown corporation and following certain determinations by the Board as to whether the agreement will remain in force, the expiration date if it does remain in force, whether the employees concerned constitute one or more units

appropriate for collective bargaining, and which trade union shall be the bargaining agent for each unit.

**Topics:** Determination of the existence of a collective agreement; revision of terms of collective agreement; technological change; leave to serve notice to bargain concerning technological change; provision of first agreement; religious objections; portion of the public service established as Crown corporation.

**Access:** Files are arranged by case number.

**Format:** Manual files

**Program Record Number:** CIR OPS 030

### **Complaints of Unfair Labour Practice**

**Description:** Complaints by persons or organizations that an employer, a trade union or a person has violated or failed to comply with provisions of the Canada Labour Code, Part I (Industrial Relations).

**Topics:** Complaints related to failure to bargain in good faith, interference with the bargaining rights of a bargaining agent and changing of conditions of employment without the consent of the bargaining agent during the prescribed bargaining period; complaints alleging offences by employers such as interference with the formation or administration of a union or the representation of employees by a trade union, or discrimination against employees for union membership, union activity or the exercise of their rights under the Code; complaints alleging violations by trade unions such as trying to force an employer to bargain collectively in respect of employees for whom the union is not the bargaining agent, bargaining with an employer in respect of employees with the knowledge that another organization is the actual bargaining agent, interference in the formation or administration of an employer's organization, unauthorized soliciting of employees during their working hours at their place of employment, requiring the termination of an employee for loss of union membership unless that loss of membership is the result of failure to pay the required union fees, the application of membership rules or disciplinary procedures in a discriminatory manner, and discriminating against a person in matters related to employment or union membership because a person has exercised certain rights or fulfilled specified obligations under the Code; complaints alleging failure of a trade union to represent fairly all employees in the bargaining unit, or failure to establish rules for the referral of members to employment and apply the rules fairly, and alleging failure of a trade union to provide certified financial statements of its affairs to the end of its



last fiscal year to any of its members free of charge.

**Access:** Files are arranged by case number.

**Format:** Manual files

**Program Record Number:** CIR OPS 010

### Review and Enforcement of Orders

**Description:** Applications to amend or rescind previous Board decisions or to reconsider previous decisions; requests to file Board orders in the federal court to give them the weight of an Order of the Court; or applications for the written consent of the Board to prosecute an offence under the Canada Labour Code.

**Topics:** Application for review; filing of Board order in court; consent to prosecute.

**Access:** Files are arranged by case number.

**Format:** Manual files

**Program Record Number:** CIR OPS 025

### Safety of Employees

**Description:** Complaints by employees alleging that their employer has imposed a penalty on them because they refused to work in accordance with their rights under Part II of the Canada Labour Code (Refusal to Work because of a Dangerous Situation).

**Topics:** Complaint alleging an employer has taken action against an employee for having exercised its rights under Part II of the Canada Labour Code.

**Access:** Files are arranged by case number.

**Format:** Manual files

**Program Record Number:** CIR OPS 020

### Unlawful Work Stoppage

**Description:** Applications by an employer (in the case of a strike) or by a trade union (in the case of a lockout) for a declaration that the work stoppage is unlawful.

**Topics:** Applications concerning unlawful strikes; applications in cases of unlawful lockout.

**Access:** Files are arranged by case number.

**Format:** Manual files

**Program Record Number:** CIR OPS 015

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Automated Document, Records, Information Management Systems

Budgets

Buildings

Classification of Positions

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Office Appliances

Pensions and Insurance

Personnel

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Travel

Official Languages

Training and Development

## Personal Information Banks

### Religious Objections

**Description:** This bank contains applications by individuals who, because of religious beliefs, object to joining a trade union or to paying regular union dues to a trade union. The Board may order that a provision in a collective agreement requiring membership in a trade union or the payment of union dues as a condition of employment, not be applied to such employees.

**Class of Individuals:** Individuals who work for companies under federal jurisdiction, as set out in the Canada Labour Code.

**Purpose:** Personal information is obtained solely for the purpose of determining whether an employee's objections to membership in a trade union are based on true religious convictions.

**Consistent Uses:** Religious objections may occasionally require a public hearing to determine complex issues, which could affect the Board's decision regarding the objections. Such a hearing may result in the publication of a written

judgement containing the facts surrounding the application and the Board's reasons for granting, or rejecting, the application.

**Retention and Disposal Standards:** Case files are kept by the Board for three years from the date of the last proceeding, and then destroyed.

**RDA Number:** 96/025

**Related PR#:** CIR OPS 030

**TBS Registration:** 002331

**Bank Number:** CIR PPU 015

### Termination of Bargaining Rights

**Description:** This bank contains case files concerning applications for revocation of certifications, which grant bargaining agents (unions) the right to represent employees in collective bargaining with employers in the federal jurisdiction.

**Class of Individuals:** Individuals who work for companies under federal jurisdiction, as set out in the Canada Labour Code.

**Purpose:** Personal information is obtained solely for the purpose of determining whether an individual is a member of the bargaining unit and therefore entitled to express support for or against his or her bargaining agent.

**Consistent Uses:** Applications for revocation may occasionally require a public hearing in order to determine complex issues, which could affect the Board's decision and may result in the publication of a written judgement, which will contain the facts surrounding the application and the Board's reasons for granting or rejecting it.

**Retention and Disposal Standards:** Case files are kept by the Board for 10 years, then transferred to the National Archives of Canada for selective retention. Cases withdrawn are destroyed after three years.

**RDA Number:** 96/025

**Related PR#:** CIR OPS 005

**TBS Registration:** 000102

**Bank Number:** CIR PPU 010

### Applications for Employment

**Description:** This bank maintains an inventory of applications from individuals requesting employment with the Department. The files include completed application forms, letters, and curriculum vitae of persons seeking employment with the Department.

**Class of Individuals:** Individuals seeking employment with the Department.

**Purpose:** The bank is used to review applications of individuals requesting employment with the Department when positions become available.

**Consistent Uses:** The candidate's skills may be assessed and if deemed suitable, the candidate may be invited to serve in a capacity other than

the position or level of initial interest.

**Retention and Disposal Standards:** Records are retained for six months and then destroyed.

**RDA Number:** 98/001

**Related PR#:** CIR PRN 920

**TBS Registration:** 004458

**Bank Number:** CIR PPU 025

### Violations of the Canada Labour Code

**Description:** This bank contains case files concerning complaints by individuals that a section, or sections, of the Canada Labour Code, Parts I and II have been violated by their employer, their union, or another individual. Files may contain information on grievances, work records, or letters from unions or employers containing opinions or comments about individuals.

**Class of Individuals:** Individuals who work for companies under federal jurisdiction, as set out in the Canada Labour Code.

**Purpose:** Information about individuals is obtained solely for the purpose of bringing about a settlement to the dispute or, failing settlement, for the purpose of adjudication by the Board on the merits of the complaint.

**Consistent Uses:** Information contained in case files, along with testimony given at public hearings may be published in written judgements, which set out the Board's reasons for rejecting or upholding a complaint. Personal information is used solely for the purpose of settling or deciding on the merits of each case and is published solely for the purpose of explaining the Board's reasons for its decision and its policy in like cases.

**Retention and Disposal Standards:** Case files are kept by the Board for three years from the date of the last proceeding, and then destroyed.

**RDA Number:** 96/025

**Related to PR#:** CIR OPS 010

**TBS Registration:** 000101

**Bank Number:** CIR PPU 005

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems

Hospitality

Relocation

Travel

## Classes of Personal Information

Other case files and subject files held by operational services may contain personal information such as names of individuals, addresses, position titles, job descriptions, salaries, and membership in a trade union. The information is not retrievable by personal identifiers and is collected solely for the purpose of administering the Canada Labour Code. All files are organized by file number and are maintained by operational services at headquarters in Ottawa. Regional offices retain duplicate files for the purposes of investigation until the settlement of a case. Some personal information such as job descriptions and salaries may be published in written judgements where it is pertinent to the background of a case in which the CIRB decides its decision requires formal elaboration. Such information is usually the result of testimony given at public hearings.

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Board and its various programs and functions may be directed to:

### Headquarters

C.D. Howe Building  
240 Sparks Street  
4th Floor West  
Ottawa ON K1A 0X8  
Tel.: 1-800-575-9696  
TTY: 1-800-855-0511  
Fax: (613) 947-5407  
E-mail: [info@cirb-ccri.gc.ca](mailto:info@cirb-ccri.gc.ca)  
Web Site: [www.cirb-ccri.gc.ca](http://www.cirb-ccri.gc.ca)

### Atlantic Region

Queen Square  
45 Alderney Drive, Suite 600  
Dartmouth NS B2Y 2N6  
Tel.: (902) 426-7069  
Fax: (902) 426-7397

### National Capital Region

C.D. Howe Building  
240 Sparks Street  
4th Floor West  
Ottawa ON K1A 0X8

Tel.: (613)947-5369  
Fax: (613) 941-4461

### Quebec Region

Place de la Cathédrale  
600 de Maisonneuve Blvd. West  
Suite 700, 7th Floor  
Montréal QC H3A 3J2  
Tel.: (514) 283-9208  
Fax: (514) 283-3590

### Ontario Region

1 Front Street West  
Suite 5300, 5th Floor East  
Toronto ON M5J 2X7  
Tel.: (416) 973-0920  
Fax: (416) 973-6543

### Western Region

757 West Hastings Street  
Suite 410  
Vancouver BC V6C 1A1  
Tel.: (604) 666-6002  
Fax: (604) 666-6071

### Satellite Office

400 St-Mary Avenue, Suite 304  
Winnipeg MB R3C 4K5  
Tel.: (204) 983-6367  
Fax: (204) 983-3170

## Reading Room

The Board's library has been designated as a reading room. The address is:

C.D. Howe Building  
240 Sparks Street  
4th Floor West  
Ottawa, Ontario  
Tel.: (613) 947-5401

# Canada Lands Company Limited

## Chapter 15

### General Information

#### Background

Canada Lands Company Limited (“CLCL”) reports to the Parliament of Canada through the appropriate Minister and is a commercially-oriented agent Crown corporation. It was established in 1956 and reactivated in 1995.

CLCL is subject to the Access to Information and Privacy Acts, whereas its wholly-owned subsidiaries are subject to the Personal Information Protection and Electronics Documents Act.

#### Responsibilities

The Company optimizes the financial and community value of strategic properties no longer required for program purposes by the Government of Canada. It accomplishes this through its non-agent subsidiary, Canada Lands Company CLC Limited (“CLC”) by purchasing land at fair market value, then improving, managing or selling it in order to produce the best possible benefits for both local communities and the Company’s shareholder, the Government of Canada.

CLCL is a Canada Business Corporations Act corporation and is listed in Schedule III, Part 1 of the Financial Administration Act. It is the parent company of three wholly owned subsidiaries:

Canada Lands Company CLC Limited – a non-agent Crown corporation, which carries out the core real estate business, active in 24 municipalities across Canada;

Parc Downsview Park Inc., now an agent Crown corporation, – which was incorporated in 1998 to manage and develop the former Canadian Forces Base (CFB) Toronto lands as Downsview Park, and which reports to Parliament as a deemed parent Crown corporation; and

Old Port of Montréal Corporation Inc., an agent Crown corporation which is responsible for redeveloping and managing the Old Port of Montréal and which also reports to Parliament as a deemed parent Crown corporation.

Vision Statement: Partners in revitalizing communities

#### Organization

##### President and Chief Executive Officer

The President and Chief Executive Officer of CLCL, who is the Head of the Institution for the purposes of the Access to Information Act and the Privacy Act, exercises all the powers and responsibilities pertaining to this function under the Act in question.

Other Officers of CLCL

Vice President Finance, and Chief Financial Officer

Vice President Public & Government Affairs

Corporate Secretary

CLCL has no employees. Its President & CEO is a Governor-in-Council appointee.

All employees are employed by CLC, a wholly-owned subsidiary of CLCL.

### Information Holdings

#### Program Records

CLCL does not administer a program, but operates under a mandate set down by the Federal Government. Records related to this would be:

##### Communications

**Description:** Information relating to media relations, press releases, advertising, promotional events and community relations.

**Topics:** Videos, CDs, annual reports, special events, promotional events, press releases

**Access:** Subject, alphabetic

**Format:** Paper, electronic

**Program Record Number:** CLN COM 005

##### Legal and Corporate Secretary

**Description:** Information relating to agreements and contracts, acts and regulations, corporate by-laws, cases and opinions, litigation and research. Includes Board of Directors and Committee minutes, and Orders in Council appointing Board members.

**Topics:** Leases, licences, minutes, OIC, policies, meetings, legal

**Access:** Subject, alphabetic

**Format:** Paper, electronic

**Program Record Number:** CLN LCS 010

## **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Administration

Audits

## **Standard Personal Information Banks**

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

## **Additional Information**

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

For further information about the functions and activities of the CLCL, please contact:

Brian Way

Access to Information Co-ordinator and

Corporate Secretary

200 King Street West, Suite 1500

Toronto ON M5H 3T4

Tel.: (416) 952-6176

Fax: (416) 952-6200

E-mail: [bway@clc.ca](mailto:bway@clc.ca)

Website: [www.clcl.ca](http://www.clcl.ca)

## **Reading Room**

Suite 1500

200 King Street West

Toronto, Ontario

416-952-6100 (main)

# Canada Mortgage and Housing Corporation

## Chapter 16

### General Information

#### Background

Canada Mortgage and Housing Corporation (CMHC) was incorporated as a Crown corporation in January, 1946, by an Act of Parliament. CMHC has authority to act for the Government of Canada in all matters prescribed under the Housing Acts, principally the National Housing Act (NHA). CMHC reports to Parliament through a designated Minister. Its affairs are managed by a Board of Directors consisting of the Chairman of the Board, the President and eight other members, all appointed by the Governor-in-Council.

#### Responsibilities

CMHC is a Crown corporation of the Government of Canada. Under the authority of the National Housing Act (NHA) and the Canada Mortgage and Housing Corporation Act, CMHC's mission is to promote housing quality, affordability and choice for Canadians through four business pillars: Housing finance, Research and Information Transfer, Assisted Housing and International Activities. CMHC's mandate provides the basis for four corporate objectives that focus and guide all of CMHC's activities. CMHC's four corporate objectives are: A. Improve Housing Choice and Affordability for Canadians; B. Improve Housing and Living Conditions for Canadians; C. Support Market Competitiveness, Job-Creation, and Housing Sector Well-Being; and D. Be a Progressive and Responsive Organization.

#### Legislation

- Canada Mortgage and Housing Corporation Act
- Financial Administration Act
- National Housing Act

#### Organization

##### Assisted Housing Sector

Programs and activities managed from the sector include: the Residential Rehabilitation Assistance Programs, the Emergency Repair Program, Housing Adaptations for Seniors Independence, the Shelter Enhancement Program, F/P/T Agreements, Aboriginal Housing, Loans Administration and Direct Lending, Social Housing Programs, Housing Internship Initiative for First

Nations and Inuit Youth and the Canadian Centre for Public-Private Partnerships in Housing.

##### Audit and Evaluation Services

Performs operational, financial and special audits of functions, programs, systems and Federal/Provincial/Territorial Agreements. Periodically evaluates the continued relevance, success and cost-effectiveness of NHA programs and on that basis, the President, with the Board of Directors, recommends to the Minister or Cabinet the reconfirmation, improvement and discontinuance of NHA programs.

##### CMHC International

CMHC International is responsible for CMHC's involvement in foreign activities related to housing, on behalf of the Government of Canada. Its primary mandate consists of assisting Canadian housing manufacturers and suppliers in developing business opportunities in selected foreign markets, such as the U.S., Japan, UK, Chile and China. CMHC International also works on a contractual basis with international organizations and countries in transition to assess and improve their housing environment. Certain projects involve short-term or longer-term technical assistance based on the level of expertise required.

##### Corporate Services

This sector consists of the Information Technology, Marketing, Legal and Administrative Divisions, and the Web Development Group. It is responsible for the business systems required to support many of the operations needs of the Corporation, as well as Corporate brand development and business line marketing, the provision of legal services, the overall architecture and design of the Corporate web site, and a full range of administrative services (including procurement, document production and records-keeping, translation, security and facilities management). The sector also manages services for external clients including order fulfilment, the CMHC call centre and the Canadian Housing Information Centre.

##### Finance

This sector is responsible for the overall financial management of CMHC. This includes overseeing and coordinating the various budgeting processes at CMHC including the Operating Budget, Capital Budgets and Annual Reference Level Update

(ARLU) for CMHC's appropriation dependent activities. Finance Sector is also responsible for the processing of CMHC's financial transactions and the internal controls related to that activity. As well, the sector is responsible for the preparation of CMHC's financial statements and all related systems required to support the financial activities of the Corporation.

### Human Resources

This sector supports CMHC managers and employees in all aspects of human resources management, including operational and administrative assistance as well as strategy and policy development. It comprises the following groups: Client Service Strategy and Delivery, HR Planning, Policy and Organizational Development, Total Compensation, and Employee Relations.

### Insurance and Securitization

This sector consists of Product and Technology Development Division; Insurance Risk and Actuarial Analysis Division; Insurance Servicing Division; Underwriting Division; Securitization Operations; Securitization, Product and Policy Development Division; and, Business Development Division. This sector is responsible for developing, promoting, maintaining and supporting policies, products and services in the area of mortgage insurance and mortgage securitization.

### Policy and Planning Sector

This sector is comprised of the Policy and Research Division, the Market Analysis Centre, the Strategic Planning Division and the Canadian Housing Observatory Secretariat. The sector is responsible for strategic and corporate planning, performance measurement and reporting, government liaison and policy development, and the conduct and administration of housing research, including the analysis of housing markets and the transfer of the resulting information to consumers, industry, governments and others. The sector also promotes internal communications about corporate performance and fosters the assessment, development and implementation of innovative ideas.

### Risk Management and Communications Sector

This sector consists of Risk Management, Corporate Relations and Communications, the Enterprise Risk Management Office and the Pension Fund. It is responsible for enterprise-wide risk management. The sector develops and implements national communications strategies

and is responsible for liaison activities between the Corporation and the Minister's Office. The sector is also responsible for corporate financial risk management policy and for monitoring and reporting CMHC's financial risk exposures and performance.

### Treasury

Treasury is responsible for CMHC's capital market borrowings as well as the investment activities of the mortgage loan insurance fund and the mortgage-backed securities guarantee fund. Treasury also acts in the issuer role, by agreement, on behalf of the Canada Housing Trust (CHT).

## Information Holdings

### Program Records

#### Access to Information and Privacy

**Description:** Records relating to the administration of the access to information and privacy legislation.

**Topics:** Policy; procedures; legal advice; training; personal information banks and classes; disclosures to investigative bodies; InfoSource; delegation of authority; consultations; requests; complaints and correspondence.

**Access:** information is filed by subject. Individual requests are filed by name and sequential number by fiscal year.

**Format:** Paper files

**Program Record Number:** CMHC CSS 035

#### Appraisals

**Description:** Correspondence and information on appraisal support services for CMHC program operations.

**Topics:** Monitoring and evaluation of projects, maximum unit prices, land values and land services costs, monitoring basic rates; mobile homes; rehabilitation procedures and costs.

**Access:** Files arranged by project.

**Format:** Paper case files.

**Program Record Number:** CMH IAA 175

#### Auditing Services

**Description:** Information on the Annual Statutory Audit contracted to the External Auditors.

Information on the Special Examination carried out by the External Auditors at a frequency not greater than every five years. Information relating to internal audits conducted on corporate operations and joint federal/provincial audit conducted on shared federal/provincial programs.

**Topics:** External Audits; Special Examination Reports; and Internal Audits.

**Access:** Files are arranged by subject area.

**Format:** Paper case files.

**Program Record Number:** CMH OAD 352

#### **Board of Directors**

**Description:** Information on the Board of Directors who is responsible for managing the affairs of the Corporation and the conduct of its business.

**Topics:** The Board sets the strategic direction of CMHC, ensures the integrity of corporate policies and business processes, and identifies and manages the main corporate risks.

**Access:** Individual files.

**Format:** Paper files.

**Program Record Number:** CMH CSS 020

#### **Canada Home Renovation Plan (CHRP) (Program terminated)**

**Description:** Information on the administration and monitoring of the Canada Home Renovation Plan.

**Topics:** Regulations; eligible areas, properties, property standards; financing and security; CMHC agents; applications and loan process; program interfaces; inspection requirements.

**Access:** Individual loan case files. Program was terminated 12 July 1983.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH PSO 095

#### **Canadian Centre for Public-Private Partnerships in Housing (CCPPPH)**

**Description:** Support to non-profit and for-profit organizations for the development of housing, with an emphasis on housing that meets the Partnership Centre's definition of affordable.

**Topics:** Seed Funding, Capacity Development Training, Consultation Services, Interest-free Proposal Development Fund loan, flexible mortgage loan insurance criteria.

**Access:** Files arranged by project.

**Format:** Computerized data base and paper files

**Program Record Number:** CMH PSO 70

#### **CMHC Canada Mortgage Bonds Program**

**Description:** Correspondence, documents, and information on the delivery, administration and monitoring of the CMB Program.

**Topics:** Seller and Swap Counterparty approvals; avilment requests, guarantee notices and authorization agreements to issue Canada Mortgage Bonds; monthly Swap Counterparty reports; analytical reports; policies and procedures.

**Access:** Records maintained by CMB issue and

by Seller and Swap Counterparty.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH IAA 110

#### **CMHC Inspection Services (Programs terminated)**

**Description:** CMHC internal inspections and external contracts (on a fee-for-service basis) to provide services such as housing inspections.

**Topics:** Service to clients of CMHC programs; Canadian Home Insulation Program (CHIP); Home Warranty Program; Canadian General Standards Board; Canadian Standards Association; inspection training; technical bulletins; metric conversion; general engineering data on residential construction.

**Access:** Files arranged by project. All MURB certificates have been transferred to the Department of National Revenue (Taxation). All files and applications have been retained at CMHC. CHIP Program was terminated December 31, 1986.

**Format:** Paper case files.

**Program Record Number:** CMH IAA 350

#### **Default Management**

**Description:** Correspondence and information on the control of Approved Lenders' and CMHC direct-insured loans in arrears.

**Topics:** Interventions to salvage projects in financial difficulty; Approved Lenders' arrears reports; correspondence with Approved Lenders and CMHC regional business centres; monthly statistical arrears reports; transcript of accounts for centralized CMHC direct-insured loans.

**Access:** Arrears reports arranged chronologically by lender.

**Format:** Individual loan files are partly on EDP; transcript of accounts are on microfilm.

**Program Record Number:** CMH IAA 120

#### **Demonstration Projects**

**Description:** Information on specific projects undertaken to test the feasibility and cost of particular new and alternative housing designs and concepts.

**Topics:** Submissions and briefs; feasibility studies; planning and design; agreements; details of projects; selection of consultants; contracts.

**Access:** By project or activity.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 235

#### **Emergency Repair Program**

**Description:** Information on the program which provides funds to clients living in housing that has serious health and safety hazards.

**Topics:** Funding; repairs; native status; location.



**Access:** By province and by individual files.

**Format:** Paper case files.

**Program Record Number:** CMH PSO 051

#### **Energy Conservation (Programs terminated)**

**Description:** Information and correspondence on CMHC programs prior to October 28, 1980, to assist homeowners in upgrading the insulation of older homes.

**Topics:** Home Insulation Program (HIP), Canadian Home Insulation Program (CHIP), National Energy Program.

**Access:** Files arranged by province. HIP was terminated December 31, 1981 and CHIP was terminated December 31, 1986.

**Format:** paper case files.

**Program Record Number:** CMH IAA 340

#### **External Research**

**Description:** Information and correspondence on grants in support of research on priority areas in the social, economic, legislative, environmental, physical or administrative aspects of housing.

**Topics:** Program enquiries, administration, mailing lists and advertising; selection committee; program policies and planning.

**Access:** Files arranged by activity.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 185

#### **Federal-Provincial-Territorial (F/P/T) Housing**

**Description:** Information on federal-provincial-territorial interdepartmental agreements, and other intergovernmental contractual agreements; information on the costs of public and social housing projects shared by federal-provincial partnership and provincially leased; meeting of F/P/T officials and Ministers; the results of collaborative efforts (e.g. working groups); information on bilateral issues and meetings.

**Topics:** Federal-provincial housing agreements; rural and native housing agreements; miscellaneous agreements under various sections of the National Housing Act; interdepartmental agreements; management of projects; inspections; rental scale study; rent supplement program; CMHC subsidies; individual public housing projects; agreements and administrative information on social housing programs and projects and on other joint bilateral and multilateral programs and initiatives.

**Access:** Files arranged by province, municipality and project.

**Format:** Paper case files.

**Program Record Number:** CMH PSO 050

#### **Grant Assistance (Programs terminated)**

**Description:** Information on grant assistance under the Canadian Home-ownership Stimulation

Plan and the Canada Mortgage Renewal Plan.

**Topics:** Applications; grant assistance; termination of assistance; statement of accounts; program statistical and analytical reports; applicant files, including the certification by the lender and the application.

**Access:** Grant case files arranged by individual. Programs terminated December 31, 1983.

**Format:** Paper case files.

**Program Record Number:** CMH IAA 140

#### **Home Improvement Loan Insurance Fund (Program terminated)**

**Description:** Administration of the Home Improvement Loans Fund.

**Topics:** Lenders' reports of outstanding loans; bad debt collection reports; ledger cards (bad debts); contingent liability register.

**Access:** Files arranged by lender and borrower. Program terminated in 1986.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH IAA 130

#### **Housing Internship Initiative for First Nations and Inuit Youth**

**Description:** Provides wage subsidies for First Nations and Inuit to get on-the-job training.

**Topics:** Wage subsidies, First Nations and Inuit Sponsors, unemployed youth, Youth Employment Strategy.

**Access:** Files arranged by program year and participants.

**Format:** Paper case files.

**Program Record Number:** CMH PSO 075

#### **Housing Advisory Documents**

**Description:** Information on research and development of community and building standards and guidelines.

**Topics:** Site planning; noise; grading and landscaping; insulation; internal space in dwellings; condensation, ventilation, vapour barriers and air quality; air barriers; windows, doors, walls and floors; moveable insulating devices; mobile homes; nursing homes; septic tanks; radon gas; wood foundations; fire ratings; wood framing techniques; shell housing; log houses; density of housing; leisure facilities; parking; facilities for disabled and elderly; housing access; home security.

**Access:** Files arranged by subject.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 195

#### **Housing Awards Programs**

**Description:** National forum to share innovations and best practices dedicated to improving housing in Canada. The Awards competition is held every two years.

**Topics:** There are five categories designed to encompass a wide spectrum of housing activities: Finance and Tenure; Technology and Production; Planning and Regulation; Concept and Design; and, Process and Management.

**Access:** Files arranged by year of competition and/or participants.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 192

### **Housing Design**

**Description:** Information on standards, guidelines, graphics, and presentations.

**Topics:** Site planning; federal-provincial housing plans; audio-visuals on landscape; design for emergency accommodation; care facilities for the elderly.

**Access:** Files arranged by project.

**Format:** Paper case files.

**Program Record Number:** CMH IAA 165

### **Housing Survey Data**

**Description:** Data acquired through regular Corporation surveys or from Statistics Canada reports.

**Topics:** Conventional lending, housing starts and completions; market absorption; apartment vacancies and rents; census and ad hoc survey information.

**Access:** Files arranged by geographic location and survey.

**Format:** EDP systems.

**Program Record Number:** CMH PDR 230

### **Housing Technology (Program terminated)**

**Description:** Information on technical and engineering services necessary to meet the current program delivery needs and objectives.

**Topics:** Technical builders' bulletins; CMHC-prescribed standards of construction; Residential Rehabilitation Assistance Program monitoring.

**Access:** Files arranged by subject.

**Format:** Paper case files.

**Program Record Number:** CMH IAA 170

### **Housing Technology Incentives (Program terminated)**

**Description:** Information and correspondence on grants to inventors and others to help pay for developing and testing innovative housing ideas and products.

**Topics:** Program enquiries; policies, planning and administration; mailing lists and advertising; consultations; selection committee.

**Access:** Files arranged by activity. Program terminated October 1995.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 200

### **Interest Deferral (Program terminated)**

**Description:** Information on the application for and approval of assistance for mortgage renewal by interest deferral.

**Topics:** Applications; approvals; deferral arrangements; statements of account; termination of assistance; arrears reporting; retroactivity; applicant files, including certification by lender and application forms.

**Access:** Files arranged by individual, certification number and Canada Mortgage Renewal Plan (CMRP) number. Program terminated December 31, 1983.

**Format:** Paper case files.

**Program Record Number:** CMH IAA 135

### **International Housing Organizations**

**Description:** International agreements and correspondence on bilateral and multilateral housing issues.

**Topics:** International governmental and non-governmental organizations; special international projects.

**Access:** Files arranged by international organization and country.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 310

### **Land (Programs terminated)**

**Description:** Information on loans provided to municipalities and provincial agencies for the acquisition, planning and servicing of land. This Program terminated on December 31, 1978.

Information on CMHC planning, developing or redeveloping its lands that are under-utilized or surplus to its needs as well as lands owned in partnership with municipalities and provincial agencies on a cost-sharing basis to provide land for market and affordable housing. Information on CMHC offering its land development expertise on a fee and cost recovery basis to other Federal departments and agencies with the objective of developing/disposing of lands within the Federal guideline of maximizing returns. This program terminated on April 21, 1998.

**Topics:** CMHC-owned lands; federal-provincial land projects; redevelopment of veterans housing; managed land disposal and affordable housing.

**Access:** Files arranged by project, province and municipality.

**Format:** Paper case files.

**Program Record Number:** CMH IAA 085

### **Legal Services**

**Description:** Information relating to legal matters including legislation, litigation and the various business and program lines of the Corporation.

**Topics:** The Corporation's governing Acts, legal aspects of business and program lines, claims and actions by and against the Corporation, legal agreements, legal documents and forms and legal agents.

**Access:** By subject.

**Format:** Paper files.

**Program Record Number:** CMH CSS 030

### Market Analysis (MAC)

**Description:** Information reports and analysis on local, provincial and national housing markets.

**Topics:** Mortgage market; renovation market; national housing outlook, interest rate forecasts, housing markets by Census Metropolitan Area (CMA), economic forecasts.

**Access:** Files arranged by geographical area.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH PDR 101

### Marketing

**Description:** Information on the operations, development and implementation of national strategies for communications, marketing and international activities at CMHC.

**Topics:** CMHC publications, advertisements, marketing, market research, exhibits, fairs, photographs, portable displays, conferences, press releases, annual reports, pension plan report, CD, Video, etc.

**Access:** Retrievable by project or activity.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH PDR 315

### Mortgage Administration

**Description:** Policy and correspondence on administration, monitoring and evaluation of loan activity under the National Housing Act.

**Topics:** Mortgage documents; taxes; loan advances; statement of accounts; loan amortization and repayment; assistance reviews; rental reviews; mortgage renewals; mortgage sales; non-amortization of accounts; re-amortization of accounts; discharges; partial discharges; easements.

**Access:** Files arranged by loan case file.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH IAA 115

### Mortgage Rate Protection Program (Program terminated 1997)

**Description:** Documentation for administration of Mortgage Rate Protection Program (MRPP).

**Topics:** Lender certification, claims application; benefit payment record; statistical and analytical reports.

**Access:** The files are arranged by individual, lender certification number and MRPP number.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH IAA 160

### Neighbourhood Improvement Program (NIP) and Residential Rehabilitation Assistance Program (RRAP)

**Description:** Information on the administration and delivery of the Neighbourhood Improvement and Residential Rehabilitation programs.

**Topics:** Inter-program impact; program development; property inventory; training seminars; rehabilitation standards; conversion studies; and renovations for the disabled.

**Access:** Neighbourhood Improvement Program information is arranged by municipality and neighbourhood; Residential Rehabilitation Assistance Program, by individual case loan. NIP was terminated December 31, 1984 and the rental component of RRAP was terminated July 1989. Homeowner RRAP and RRAP for the Disabled were terminated December 31, 1993. However, both Programs were reinstated in February 1994 for a two-year period. Rental and Rooming House RRAP was reintroduced for 1994/95. In December 1995, a further extension to March 31, 1997 was granted for all RRAP lines. In January 1998, a further extension to March 31, 2003 was granted for all RRAP lines. In December 1999 RRAP conversion was introduced. On April 1, 2003 all RRAP lines were further extended to March 31, 2006.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH PSO 090

### NHA Mortgage Insurance Claims

**Description:** Information on insurance claims and documentation of individual claims against the Mortgage Insurance Activity.

**Topics:** Individual insurance claim files; claim form; title documents, and other supporting documents such as transcript of mortgage account, copies of invoices, etc.

**Access:** Files are arranged by insurance account number.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH IAA 125

### NHA Mortgage-Backed Securities

**Description:** Correspondence, documents, and information on the delivery, administration and monitoring of the MBS program.

**Topics:** Issuer approvals; applications and approvals to issue mortgage-backed securities;

monthly accounting reports; analytical reports; policies and procedures.

**Access:** Records maintained by MBS pool and by Issuer.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH IAA 107

### **Non-Profit and Co-operative Housing**

**Description:** Information on provincial, municipal and private non-profit corporations and Indian Bands operating rental housing projects for persons of low and moderate income, and co-operatives providing housing for their low-and moderate-income members. Family Violence Initiatives: a) Project Haven – forgiveable loans to community based non-profit groups and Indian Bands for projects providing emergency shelter to victims of family violence and their children. Program ended March 31, 1992. b) Next Step – forgiveable loans to community-based non profit groups and Indian Bands for projects offering second-stage housing for victims of family violence when they leave emergency shelters. (Program ended March 31, 1995) c) Shelter Enhancement – additional component to rehabilitate existing shelters to meet health and safety standards while permitting the construction of emergency and for second-stage housing.

**Topics:** Federal-provincial agreements; project operating agreements; subsidy assistance; monitoring and advertising; rental scales; charter approval; unit sales; sales tax rebates and exemptions; annual reporting; construction management and rehabilitation; housing acquisition techniques; insured loans as well as insured loans refinanced under NHA Section 15.1; land lease; rural and urban native housing; proposal development funding; CROP.

**Access:** Loan files arranged by province and locality as well as by loan files. The Federal Cooperative Housing Program was terminated 31 December 1991 and the Non-Profit Program was terminated Off-Reserve December 31, 1993.

**Format:** Insured loans on microfilm.

**Program Record Number:** CMH PSO 055

### **Program Evaluation**

**Description:** Information relating to program evaluations of CMHC housing programs.

**Topics:** Market housing programs including the Mortgage Loan Insurance Program; Social Housing programs including Non-Profit and Federal Co-operative Housing Programs, Public Housing Programs, Rent Supplement Program, On-Reserve Housing Program, Rural and Native Housing Program (RNH) and Residential Rehabilitation Assistance Program (RRAP).

**Access:** Arranged by subject area.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 225

### **Rehabilitation Skills Training Centre (RSTC) (Program terminated)**

**Description:** Program terminated December 31, 1984. Course material is used for the training of RRAP Delivery Agents with courses delivered through Community Colleges.

**Topics:** The RSTC provides technical skills training to inspectors, and covers topics such as inspection process, specification writing and cost estimating.

**Access:** By subject.

**Format:** Paper case files.

**Program Record Number:** CMH PSO 100

### **Research Projects and Activities**

**Description:** Information on research and development projects, activities and plans, and the distribution of resulting information.

**Topics:** Affordability; Aboriginal housing; distinct housing; healthy housing; helping Canadians protect their investment in housing; building performance; housing export; housing trends; and housing finance and market effectiveness.

**Access:** By subject area and/or contractor.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 180

### **RNH Training Funds Program**

**Description:** Studies and training in support of Rural and Native Housing (RNH) programs, funding continues since 1994, the use of these funds for Aboriginal Housing Liaison Committees and capacity development funding for on-reserve housing.

**Topics:** Rural and Native Housing Task Force; native housing policy proposals; non-status Indian construction companies; information about sustaining grants; Rural and Native Housing Secondment Program, and training plans.

**Access:** Files arranged by province.

**Format:** Paper case files.

**Program Record Number:** CMH PSO 060

### **Rural and Native Demonstration Program (Program terminated)**

**Description:** This program involved the delivery of approximately 500 demonstration housing units.

**Topics:** Correspondence; executed contracts; tender documentation and general information about the program's objectives and approval process.

**Access:** Retrievable by project or activity. Program terminated in 1990.

**Format:** Paper case files.

**Program Record Number:** CMH PSO 236

### Rural and Native Housing Program (Program terminated)

**Description:** The program subsidizes housing on a homeownership, lease-to-purchase or rental basis for households in rural and remote areas with population under 2500.

**Topics:** Consultation with provincial/territorial authorities and native associations to identify rural and remote communities with housing needs.

**Access:** Files arranged by province. Program terminated December 31, 1993.

**Format:** Paper case files.

**Program Record Number:** CMH PSO 065

### Scholarship and Awards Programs (Program terminated)

**Description:** Information and correspondence on the provision of graduate scholarships in support of advanced education in housing and community planning or awards in housing-related areas.

**Topics:** Applications; advertising; awards committee; program planning.

**Access:** Files arranged by activity. This program was terminated in March 1995.

**Format:** Paper case files.

**Program Record Number:** CMH PDR 190

### Underwriting

**Description:** Correspondence and documents on the analysis, monitoring and evaluation of loans, mortgages and guarantees.

**Topics:** Underwriting policies and procedures; loan regulations; mortgage loan underwriting training; new developments in the mortgage insurance market; loan acquisition review; various types of mortgages.

**Access:** Files arranged by loan case file.

**Format:** Computerized database and paper case files.

**Program Record Number:** CMH IAA 105

\*Those records that, in the opinion of the National Archivist, are of historic or archival importance shall be transferred to the care and control of the National Archives in accordance with such schedules or other agreements for the transfer of records as may be agreed on between the Archivist and CMHC.

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

Vehicles

### Personal Information Banks

#### Access to Information and Privacy Requests

**Description:** This bank contains the Access to Information and Privacy request files, the replies to such requests, and information related to their processing.

**Class of Individuals:** Individuals requesting access to records under the Access to Information Act and the Privacy Act.

**Purpose:** The purpose of this bank is to process access requests only.

**Consistent Uses:** To retain access and privacy requests and their replies for future reference and to report annually to Treasury Board Secretariat and Parliament on requests received and completed.

**Retention and Disposal Standards:** Records are retained for three years following closure of the files and then destroyed.

**RDA Number:** 96/027

**Related PR#:** CMH CSS 035

**TBS Registration:** 001931

**Bank Number:** CMH PPU 100

#### **Board of Directors**

**Description:** The bank contains correspondence relating to recommended nominees, the Order-in-Council appointing the member, a brief biography, statement of qualifications, statement of acceptances, oath of fidelity and secrecy and statement of conflict of interest.

**Class of Individuals:** Candidates for appointment and appointees to the CMHC Board of Directors.

**Purpose:** The purpose of the bank is to assist in the appointment of individuals as directors of CMHC and to record information regarding their services as directors, including declarations on conflict of interest.

**Consistent Uses:** The information in this bank is used for reporting required for Treasury Board Secretariat and the Privy Council Office.

**Retention and Disposal Standards:** Records are retained for two years after a director ceases to hold office.

**RDA Number:** 96/027

**Related PR#:** CMH CSS 020

**TBS Registration:** 001930

**Bank Number:** CMH PPU 095

#### **CMHC Research Service Provider Database**

**Description:** This bank maintains data on candidates suitable for consideration to conduct CMHC-directed research in housing. The bank contains the following types of information: contact information (name, address, etc), and areas of expertise and experience.

**Class of Individuals:** Professionals, consultants, research and technical firms and individuals.

**Purpose:** The purpose of this bank is to maintain an inventory of individuals capable of undertaking housing research.

**Consistent Uses:** The information contained in this bank is used to support the selection process in awarding research contracts and to maintain statistics relating to research and development activity.

**Retention and Disposal Standards:** Records are retained indefinitely and updated regularly by the candidates.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 180

**TBS Registration:** 001928

**Bank Number:** CMH PPU 080

#### **Claims and Action By or Against CMHC**

**Description:** This bank is established to record mandates to external legal counsel, legal opinions, decisions, information and judgements concerning claims by or against the Corporation.

**Class of Individuals:** Legal counsel and individuals involved in legal actions.

**Purpose:** The purpose of this bank is to effect satisfactory settlement of claims against or by CMHC or to present CMHC's case before the courts.

**Consistent Uses:** The information contained in this bank is used to report to CMHC's Board of Directors, to auditors and to the minister responsible for CMHC.

**Retention and Disposal Standards:** Records are retained for 10 years following the closure of the files, then transferred to a commercial off-site storage facility.

**RDA Number:** 95/018

**Related PR#:** CMH CSS 030

**TBS Registration:** 001927

**Bank Number:** CMH PPU 075

#### **External Research**

**Description:** This bank was created for administering the review of applications for funding under Part IX of the National Housing Act (NHA) and for the administration of funds to those approved for external research grants in areas related to housing policies and programs. It contains curricula vitae; research or work proposals; references; letters of evaluation and the review committee members' comments on each proposal, grant agreements and project reports.

**Class of Individuals:** Persons interested in undertaking independent research on housing and related topics.

**Purpose:** The purpose of this bank is to determine recipients of grants from applicants seeking financial support for independent research undertakings.

**Consistent Uses:** The information contained in this bank is used to announce grant recipients, administer grant agreements, and maintain statistics on program activities and applicants. The information may also be used in connection with appointments to the Selection Committee.

**Retention and Disposal Standards:** Files are retained for six years after cessation of the project.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 185

**TBS Registration:** 001934

**Bank Number:** CMH PPU 115

### **Federal Housing Action Program System (FHAP)**

**Description:** This bank maintains information on the current status of the Assisted Rental Program (ARP) accounts.

**Class of Individuals:** Borrowers eligible to receive assistance under the ARP.

**Purpose:** The purpose of this bank is to administer the ARP and to produce automated monthly cheques for eligible borrowers.

**Consistent Uses:** The information is used to provide analysis and statistical reports.

**Retention and Disposal Standards:** Direct loans files are retained for two years; multiples, rentals and condominium projects are retained for five years following full payment of mortgage.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 115

**TBS Registration:** 001914

**Bank Number:** CMH PPU 010

### **Goods, Services (Including Consultant Services) and Construction Contracts**

**Description:** The bank contains a complete record of all matters relating to the initiation and administration of each contract including payment details. Data contained in the bank includes RFP, Tender and RFQ documents used to request Goods, Services and Construction Contracts, along with the resulting contracts and correspondence.

**Class of Individuals:** Goods, Services (Including Consultant Services) and Construction contractees.

**Purpose:** The purpose of this bank is to retain information on contractors, entrepreneurs, consultants and suppliers, as well as on the services they provide or products they supply or produce.

**Consistent Uses:** The information contained in this bank is used to support the selection process in awarding contracts and the administration of each contract including payment details.

**Retention and Disposal Standards:** Records are destroyed seven years after the contract expires, the lease is terminated or the premises are vacated.

**RDA Number:** 96/027

**Related PR#:** CMH PRN 912

**TBS Registration:** 001926

**Bank Number:** CMH PPU 070

### **Home Improvement Loans Files**

**Description:** The bank contains personal and financial characteristics pertinent to the obtaining of loans and to collection action.

**Class of Individuals:** Applicants for home improvement loans.

**Purpose:** The purpose of this bank is to create and maintain individual files on home improvement loan borrowers who have obtained loans from any designated accredited lending agency under the NHA for purposes of improving their housing units.

**Consistent Uses:** The information in this bank is used for the issuance of the quarterly arrears report.

**Retention and Disposal Standards:** Records are retained for two years following maturity or other termination of the loan; if the loan is secured by a promissory note, the file is retained for eight years. The quarterly arrears report is destroyed two years after the date of the report. Program terminated in 1986.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 130

**TBS Registration:** 001921

**Bank Number:** CMH PPU 045

### **Housing Awards Program**

**Description:** This bank was created for the administration and review of applications to the CMHC Housing Awards Program and Awards competition held every two years.

**Class of Individuals:** Architects; designers; developers; builders; manufacturers; planners; municipal, provincial or territorial housing and social service agencies; volunteer associations; community groups; non-profit housing groups; and housing co-operatives; financial institutions, educational institutions; and, individuals.

**Purpose:** This bank was created for the administration and review of applications to the CMHC Housing Awards Program and Awards competition.

**Consistent Uses:** The information is used to identify, recognize and transfer housing solutions, developed by and for Canadians that have been proven successful. To promote the award winning housing innovations across the country through both media and presentations by finalists at selected housing related events. The information is also used to announce winners and maintain statistics on program activities and applicants. Retention and Disposal Standard: Records are retained for six years after cessation of the awards program.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 192

**TBS Registration:** 005383

**Bank Number:** CMH PPU 150

### **Housing Policy and Research Information Distribution**

**Description:** This bank is comprised of mailing lists containing the names, addresses and/or email addresses of individuals and firms interested in obtaining acquisition lists and information on CMHC research publications.

**Class of Individuals:** The information in the bank relates to persons, firms and agencies interested in long-term research and in CMHC research and development activities.

**Purpose:** The information was obtained to mail information on library acquisitions and research publications to interested parties.

**Consistent Uses:** The information is used to conduct surveys, mail and distribute documentation to individuals, firms, companies, organizations, etc., on the mailing lists.

**Retention and Disposal Standards:** Individual names are deleted upon request.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 180

**TBS Registration:** 003683

**Bank Number:** CMH PPU 085

### **Housing Rehabilitation and Renovation**

**Description:** The bank contains data on each applicant and property for NHA loans and grants for residential rehabilitation and renovation under the Residential Rehabilitation Assistance Program (RRAP), the Canada Home Renovation Plan (CHRP), the Rural and Native Housing Emergency Repair Program (ERP); the Home Adaptation for Seniors Independence (HASI) Program. HASI was a 2- year program which terminated on March 31, 1994 but then was re-introduced in April 1996 until March 31, 1997 with an additional renewal in 1998 until March 31, 2003 at which point it was further renewed until March 31, 2006; Remote Housing Program (1994, April 1996 and March 1997); and "les maisons lézardées" to end March 31, 1997.

**Class of Individuals:** Recipients of housing rehabilitation assistance.

**Purpose:** The purpose of this bank is to assess applicants' eligibility and financial capability, and to administer loans and grants.

**Consistent Uses:** The information in this bank is used for analytical and reporting purposes and to investigate cases of suspected fraud.

**Retention and Disposal Standards:** Homeownership—Documents received from local offices are retained on a microformat at the National Office for two years following the term of the loan. In the local office, all loan documentation is retained for a period of six months following the issuance of a Certificate of

Insurance, (not applicable for RRAP and ERP) and then transferred to a commercial off-site storage facility for a period of seven years. HASI files are retained for five years after completion of project.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 345

**TBS Registration:** 001919

**Bank Number:** CMH PPU 035

### **Housing Surveys – List of Contacts**

**Description:** This bank contains a list of contact persons, the contact's address, and telephone number.

**Class of Individuals:** Contact persons who can provide responses to the surveys.

**Purpose:** The list of contact persons is used to obtain structure data in order to monitor new constructions and housing market activity.

**Consistent Uses:** The information is used to conduct surveys.

**Retention and Disposal Standards:** The records are retained until superseded by the records of a new contact person.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 230

**TBS Registration:** 003136

**Bank Number:** CMH PPU 130

### **Housing Technology Incentives Program (Program terminated 1995)**

**Description:** This bank was used to review applications for funding under the Housing Technology Incentives Program and to administer the funds to those approved. It contains: names, addresses, details of the proposals, grant agreements, requests for payments and project reports.

**Class of Individuals:** Inventors and product developers, firms and individuals.

**Purpose:** The purpose of this bank was to determine recipients of Housing Technology Incentives grants and to administer the grants.

**Consistent Uses:** The information contained in the bank was used to announce grant recipients, administer agreements and maintain statistics on program activities.

**Retention and Disposal Standards:** Records are destroyed five years after their submission to CMHC.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 200

**TBS Registration:** 001929

**Bank Number:** CMH PPU 090



### Investigative Bodies

**Description:** This bank contains "Requests for Disclosure to Investigative Bodies" of CMHC case files (loans, grants, etc.) by federal/provincial investigative bodies covered by federal/provincial agreements under the Privacy Act.

**Class of Individuals:** Individuals named by investigative bodies.

**Purpose:** The purpose of this bank is to assist in investigations by investigative bodies named in federal/provincial agreements under the Privacy Act.

**Consistent Uses:** Information contained in this bank may be shared with federal investigative bodies pursuant to paragraph 8(2)(e) of the Privacy Act.

**Retention and Disposal Standards:** Records are retained for five years following the request.

**RDA Number:** 96/027

**Related PR#:** CMH CSS 035

**TBS Registration:** 001933

**Bank Number:** CMH PPU 110

### Investors Settlement System (ISS)

**Description:** The bank contains information, such as the administration fee code and investor name and code, to support remittances to investors for sold mortgages administered by CMHC.

**Class of Individuals:** Investors for sold mortgages administered by CMHC.

**Purpose:** The purpose of this bank is to provide a business system which supports remittances to investors for sold mortgages administered by CMHC.

**Consistent Uses:** Information in this bank is used for administrative, analytical and reporting purposes.

**Retention and Disposal Standards:** Records are retained for five years after settlement.

**RDA Number:** 96/027

**Related PR#:** CMH IAA 115

**TBS Registration:** 001916

**Bank Number:** CMH PPU 020

### Lawyers and Notaries Appointed Agents of CMHC

**Description:** This bank contains information on lawyers and notaries appointed by the government as agents of CMHC.

**Class of Individuals:** Lawyers and notaries appointed to act as legal agents for CMHC.

**Purpose:** The purpose of this bank is for internal accounting and monitoring of activity.

**Consistent Uses:** The information contained in this bank is used for reports to the minister responsible for CMHC.

**Retention and Disposal Standards:** Records

are retained for seven years after appointment is terminated.

**RDA Number:** 96/027

**Related PR#:** CMH CSS 030

**TBS Registration:** 001925

**Bank Number:** CMH PPU 065

### List of Landlords

**Description:** This bank contains the names and addresses of landlords from whom CMHC leases property, descriptions of the property and the amount of the rental.

**Class of Individuals:** Entrepreneurs who rent property to CMHC.

**Purpose:** The purpose of this bank is to establish a list of persons from whom the Corporation leases property/accommodation.

**Consistent Uses:** Information in this bank is used for administrative and reporting purposes.

**Retention and Disposal Standards:** Files are retained for seven years after termination of lease and then destroyed.

**RDA Number:** 96/027

**Related PR#:** CMH PRN 905

**TBS Registration:** 001924

**Bank Number:** CMH PPU 060

### List of Potential Purchasers of Housing Projects

**Description:** This bank contains a record of information on individuals and companies interested in purchasing projects owned by CMHC. The data includes general mailing information and the necessary information in determining if an individual or company would be interested in a property that CMHC is proposing to sell (i.e. location and size of project).

**Class of Individuals:** Individuals and companies submitting proposals for the purchase of real estate owned by CMHC and those showing an interest.

**Purpose:** The purpose of this bank is to provide a source of interested buyers for housing projects owned by CMHC.

**Consistent Uses:** The information in this bank is used to mail and distribute documentation to individuals.

**Retention and Disposal Standards:** The records of potential investors are retained until they wish no further correspondence from CMHC.

**RDA Number:** 96/027

**Related PR#:** CMH IAA 115

**TBS Registration:** 001922

**Bank Number:** CMH PPU 050

**Mailing Lists**

**Description:** This bank contains mailings lists with the names, addresses, e-mail address of individuals, firms, companies, organizations, associations, groups, etc.

**Class of Individuals:** Individuals from the general public or those representing firms, companies, organizations, associations, groups, etc.

**Purpose:** To maintain standard lists of individuals, firms, companies, organizations, associations, groups, etc., for the purpose of mailing publications, reports, brochures, surveys, information material and other documentation on CMHC's activities, programs and marketing.

**Consistent Uses:** The information is used to conduct surveys, mail and distribute documentation to individuals, firms, companies, organizations, etc., on the mailing lists.

**Retention and Disposal Standards:** Records are updated continuously and the information is kept until superseded.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 315; CMH PDR 101

**TBS Registration:** 005381

**Bank Number:** CMH PPU 140

**Marketing and Sales / Order Processing Management System**

**Description:** Information in this bank includes customer name and address, product and quantity ordered, amount and method of payment, payment identification number, address and method for shipping. This bank may be accessed by any of the following identifiers: customer name, customer number, order number, credit card number or postal code.

**Class of Individuals:** Individuals from the general public or those representing firms, companies, organizations, associations, groups, etc.

**Purpose:** The purpose of this bank is to administer the purchase, and distribution for products and services sold by Canada Mortgage and Housing Corporation (CMHC Web site, CMHC Call Centre, CMHC Regional Offices, The Canadian Housing Information Centre, etc.).

**Consistent Uses:** The information is used to administer the purchase, billing and distribution of CMHC published material or material available for purchase by the public. Customer information is also used to provide information to improve the marketing and support of the Corporation's products and services to its customers.

**Retention and Disposal Schedule:** Records are retained for three years after the most recent purchase.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 315; CMH PDR 101.

**TBS Registration:** 005382

**Bank Number:** CMH PPU 145

**Mortgage Rate Protection Plan (Program terminated 1997)**

**Description:** This bank contains information on individuals applying for assistance under the Mortgage Rate Protection Plan (MRPP).

**Class of Individuals:** Individuals holding a mortgage under the plan.

**Purpose:** The purpose of this file is to administer MRPP loans.

**Consistent Uses:** The information in this bank was used for statistical and accounting purposes.

**Retention and Disposal Standards:** Records are retained for two years after the expiration of the contract.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 115

**TBS Registration:** 001932

**Bank Number:** CMH PPU 105

**National Housing Act (NHA) Insured Loans Files**

**Description:** This bank is comprised of all loans made since 1961 under sections 8.1 (formerly 6), 57 (formerly 34.15), 15.1 (formerly 58) and 98 (formerly 59) of the NHA. Records include details on applicants, income, age, family composition, loan and property characteristics. Records also include information obtained through the process involved in the payment of a claim received due to a defaulting borrower such as financial information, legal documentation, income verification, credit reports, and verification of down payment and deficiency judgment.

**Class of Individuals:** Applicants for NHA insured loans and defaulting borrowers.

**Purpose:** The purpose of this bank is to document both the underwriting and claims payment processes.

**Consistent Uses:** The bank is used for statistical purposes, for program evaluation, audit trails, to effect recovery action under deficiency judgment, and to investigate cases of suspected fraud.

**Retention and Disposal Standards:**

**Homeownership:** In the local office, all loan documentation is retained for a period of six months following the issuance of a Certificate of Insurance and then transferred to a commercial off-site storage facility for a period of seven years. **Multiples, rentals and condominium projects:** In the regional Business Centres, all loan documentation is retained for a period of six months following the issuance of a Certificate of Insurance and then transferred to to a commercial

off-site storage facility for a period of 15 years. Any claims received/paid containing a judgment are held indefinitely. Documents received from local offices and regional Business Centres are retained on a microformat at the National Office for two years following the life of the mortgage. Information is also maintained on an EDP system.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 115

**TBS Registration:** 001920

**Bank Number:** CMH PPU 040

### **National Housing Act (NHA) Mortgage Assistance**

**Description:** The Canadian Homeownership Stimulation Plan (CHOSP) and the Canada Mortgage Renewal Plan (CMRP) files contain personal information provided by applicants on their financial and loan details, personal income, etc. These programs were terminated December 31, 1983.

**Class of Individuals:** Homeowner applicants for CHOSP and CMRP.

**Purpose:** The purpose of this bank is to determine eligibility for grant assistance and to administer CHOSP and CMRP programs.

**Consistent Uses:** Information contained in this bank is used for analytical, reporting and research purposes.

**Retention and Disposal Standards:** CMRP and CHOSP files are kept for 10 years after programs are terminated.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 140

**TBS Registration:** 001917

**Bank Number:** CMH PPU 025

### **National Housing Act (NHA) Mortgage Loan Administration Files**

**Description:** The NHA loan files include information such as employment, salary, dependents, financial statements, management capabilities, and copies of correspondence relating to the repayment and ongoing administration of the mortgage loan.

**Class of Individuals:** Individual borrowers under the NHA.

**Purpose:** The purpose of this bank is to determine eligibility and administer loans.

**Consistent Uses:** Information in this bank is used for administrative, analytical and reporting purposes.

**Retention and Disposal Standards:** Records are retained for two years after the loan is terminated.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 115

**TBS Registration:** 001915

**Bank Number:** CMH PPU 015

### **NHA Mortgage Backed Securities Program**

**Description:** Information on individual investors maintained by a central payer and transfer agent (CPTA) on behalf of the program and under contract to CMHC.

**Class of Individuals:** Investors (institutional and retail, i.e. individuals) who own an NHA Mortgage-Backed Security.

**Purpose:** The purpose is to record ownership of MBS certificates, permit payment to investors, allow dissemination of information to investors.

**Consistent Uses:** Information in this bank is used for administrative, analytical and reporting purposes.

**Retention and Disposal Standards:** Records will be retained for a period of seven years following payout of certificate or completion of all administrative action.

**RDA Number:** 95/018

**Related PR#:** CMH IAA 107

**TBS Registration:** 003696

**Bank Number:** CMH PPU 125

### **Rural and Native Housing Program/Client Information**

**Description:** The bank is used to maintain files on homeowner clients of CMHC's Rural and Native Housing Program. It contains personal and financial information, including client characteristics, and repayment patterns.

**Class of Individuals:** Native and rural residents requiring housing assistance.

**Purpose:** The purpose of this bank is to monitor and administer the program and its delivery.

**Consistent Uses:** The information in this bank is used for statistical and accounting purposes and to monitor demographic changes. It is also used to investigate cases of suspected fraud.

**Retention and Disposal Standards:** Direct loan files are retained for two years; multiples, rentals and condominium projects are retained for five years following full payment of mortgage.

**RDA Number:** 95/018

**Related PR#:** CMH PSO 060

**TBS Registration:** 001918

**Bank Number:** CMH PPU 030

### **Scholarship Program and Awards Programs**

**Description:** This bank was created for the administration and review of applications under Part IX of the National Housing Act (NHA) for university scholarships or awards in housing-related areas. It contains the following: curricula vitae, research or work proposals, references, letters of evaluation, and the review

committee members' comments on each proposal. Social insurance numbers are collected pursuant to the Income Tax Act.

**Class of Individuals:** Individuals interested in pursuing graduate or postgraduate education in housing.

**Purpose:** The purpose of this bank was to maintain an inventory of applicants seeking a scholarship award for graduate or postgraduate study or a CMHC housing award.

**Consistent Uses:** The information in this bank was used to announce award winners, administer scholarship payments and maintain statistics on program activities and applicants.

**Retention and Disposal Standards:** Records are retained for six years after cessation of the term of the projects. Program was terminated in March 1995.

**RDA Number:** 96/027

**Related PR#:** CMH PDR 190

**TBS Registration:** 001923

**Bank Number:** CMH PPU 055

### Tenant Information from Projects Subsidized by CMHC

**Description:** This bank was created for tenant information collected by CMHC in the limited situations where it is necessary to collect personal information on tenants residing in federally subsidized housing to audit, investigate or for statistical purposes by CMHC. This information consists of any record related to tenant income collected by the project.

**Class of Individuals:** Individuals who are tenants in projects receiving subsidies from CMHC.

**Purpose:** This information is used to determine and verify tenant income for the purpose of allocating subsidies either to the tenant or the project and investigate misuses of subsidies or fraud.

**Consistent Uses:** The information is used for statistical, audit and investigative purposes.

**Retention and Disposal Standards:** The records are kept for seven years.

**RDA Number:** 96/027

**Related PR#:** CMH PSO 055

**TBS Registration:** 003296

**Bank Number:** CMH PPU 135

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Classes of Personal Information

### Program Evaluation

This class of personal information contains data collected specifically for CMHC program evaluation studies. The data are used to support program evaluation, policy analysis and program development. Included in this bank are data related to client surveys, dwelling surveys, industry surveys and data collected to measure the impact of programs. This bank is located at CMHC National Office. Routine files are destroyed two years following completion of the evaluation. Files are retrievable by program evaluation study.

### Manuals

- Administrative Guide: Default Management and Claims
- All about Housing: Information Products Catalogue (NHA 6827)
- Becoming an Approved Lender
- Bringing Home Ownership Within Reach with Mortgage Loan Insurance
- CMHC Housing Awards: Guidelines and Application
- CMHC Homeowner Mortgage Insurance Tool Kit
- CMHC Mortgage Loan Insurance Handbook
- CMHC Pension Fund Investment Management Guidelines
- CMHC's Approach to Mortgage Loan Underwriting for Multiple Unit Projects
- Compendium of Research
- Computer Centre Users' Guide
- Corporate Management Structure
- Counselling Handbook -- Home-ownership
- Electronic Portfolio Insurance -- Approved Lender's Guide
- emili Quick Reference
- Experts in Residence Program -- Guidelines and Application
- External Research Program Guidelines
- Guidelines and Procedures Manual (30 volumes)

- Helping to Create Opportunities: Mortgage Loan Insurance made easy Automated Approval Lender's Handbook (June 1, 1999); Residential Underwriting.
- Home Ownership Loans – Borrower Eligibility
- Industry Guide to CMHC Mortgage Loan Insurance
- Instrument of Delegation of Financial Signing Authorities
- Management Information Services Practices
- NHA Mortgage-Backed Securities – Information Kit for Issuers (NHA 6707)
- NHA Mortgage-Backed Securities Program Guide (available on CMHC's Web site)
- Pension Plan Handbook
- Guidelines Quick Reference Guide for Approved Lenders – Fax on Demand
- Reference Guide – NHA Mortgage Loan Insurance for Rental, Licensed Care and Retirement Properties
- Residential Rehabilitation Assistance Program (RRAP)
- Rural and Native Housing Program Handbook
- Security of Information Classification Guide
- Social Housing Forecasting Model User Handbook
- Subject Classification Guide
- Urban Native Housing Operating Manual (NHA 6676)
- Urban Native Property Management Manual (NHA 2010)
- Urban Native Tenant Counsellor's Guide (NHA 6886)

For further information about the Corporation and its activities, programs and publications may be obtained from:

The Canadian Housing Information Centre (CHIC)  
 Canada Mortgage and Housing Corporation  
 700 Montreal Road  
 Ottawa ON K1A 0P7  
 Tel.: (613) 748-2367  
 Toll-free: 1 800 668-2642  
 Fax: (613) 748-4069  
 E-mail: [chic@cmhc-schl.gc.ca](mailto:chic@cmhc-schl.gc.ca)

## Reading Room

The Canadian Housing Information Centre (CHIC) has been designated as a public reading room according to the Access to Information Act. The Centre is located at

CMHC's National Office  
 700 Montreal Road  
 Ottawa ON K1A 0P7

Additional reading rooms are available at each of CMHC's Regional Business Centres.

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Canada Mortgage and Housing Corporation under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canada Mortgage and Housing Corporation.

# Canada Post Corporation

## Chapter 17

**Note:** This institution is not subject to the Access to Information Act.

Retail Business

Sourcing Management

### General Information

#### Background

Canada Post Corporation is a federal Crown corporation, established by the Canada Post Corporation Act on October 16, 1981. It collects, processes and delivers mail across Canada, and between Canada and more than 200 postal administrations around the globe. The Corporation is entrusted with 10 billion messages and parcels annually to over 13 million addresses in rural and urban Canada. Products and services are marketed through a network of over 22,000 retail points of purchase.

Canada Post Corporation, with 64,500 full and part-time employees, is the sixth largest employer in Canada outside of government and, with almost \$6 billion in annual revenue, is a large and important part of the transportation and communications sectors of the Canadian economy.

In the course of doing business, Canada Post Corporation maintains and uses records of employees, contractors, customers and others. The Corporation places a high value on the protection and propriety of such personal information; employee access to their records and customer confidentiality are longstanding traditions.

Organization

Communications

Corporate Secretary

Corporate Security

Customer Relationship Network

Finance

Human Resources

Information Marketing

Mail Operations

Northern Services

Office of the Ombudsman

Real Estate

### Information Holdings

#### Personal Information Banks

##### Communications

##### Corporate Correspondence Service

**Description:** This bank contains letters and e-mail enquiries addressed or referred to the Minister, Chairman, President, and other executives of Canada Post Corporation, letters addressed to regional Customer Relationship Network offices in the divisions, background material compiled in the preparation of responses and the responses. Certain information, such as the incoming letter, draft and final replies and an index, exists in automated form in the Corporate Correspondence System (CCS). In some cases but not all cases, the background material exists in automated form as well. Individuals seeking access to this bank should specify the family name and postal code used in the previous enquiry. (Note that stamp suggestions may also be stored in Stamp Subjects and Designer References, CPC PPU 025.)

**Class of Individuals:** Customers, Members of Parliament, other elected officials and the general public. The records may contain personal information on other individuals, where they are the subject of the enquiry (e.g. regarding Canada Post Corporation employees and contractors).

**Purpose:** The purpose of this bank is to support the preparation of responses to Divisional, Ministerial, Chairman, and Presidential enquiries, and general Corporate enquiries pertaining to the operations and administration of Canada Post Corporation.

**Consistent Uses:** The records are used to support the correspondence system; to monitor the preparation of responses; for reference purposes when subsequent or similar enquiries are received, for subsequent mailings, when new developments warrant a follow-up letter to correspondents who have expressed an interest in particular subjects, and to identify trends or patterns.

**Retention and Disposal Standards:** Draft replies stored in automated form are deleted when the correspondence is signed. Paper records and

the automated index are retained for seven years after the year of the response and then destroyed and deleted, respectively.

**RDA Number:** 91/020

**Related PR#:** CPC COM 1

**TBS Registration:** 002075

**Bank Number:** CPC PPU 030

### **Government Relations**

**Description:** This bank contains records of telephone or written enquiries from Ministerial staff, Members of Parliament, Senators or other elected officials pertaining to Canada Post and its operating programs or on behalf of constituents. It also contains letters addressed or referred to the Minister, Chairman, President, other executives of Canada Post or Customer Service offices referred to Government Relations for advice or response; background material compiled in the preparation of responses, and the responses themselves. Certain information exists in automated form. Other information includes correspondence and documentation pertaining to the organization of Canada Post and operational programs for the purposes of briefing the Minister and elected officials, case files, House of Commons petitions and Order Paper questions. (Related records may be found in Corporate Correspondence Service, CPC PPU 030.) Individuals seeking access to this bank should specify names, dates, locations and subject matter, as this information is not retrievable by personal identifier.

**Class of Individuals:** Customers, Members of Parliament and other members of the general public. Records may contain personal information about other individuals where they are the subject of the enquiry.

**Purpose:** The purpose of this bank is to support and respond to enquiries.

**Consistent Uses:** The records are also used to monitor the preparation of responses, for reference purposes when subsequent or similar enquiries are received, and to identify and monitor trends.

**Retention and Disposal Standards:** General correspondence is retained for two calendar years after last administrative use. Case files and House of Commons petitions and Order Paper questions are retained for 5 years after last administrative use and then destroyed.

**RDA Number:** 97/020

**Related PR#:** CPC COM 2

**TBS Registration:** 004001

**Bank Number:** CPC PPU 003

## **Corporate Secretary**

### **Board of Directors**

**Description:** This bank contains such records as Orders-in-Council appointing directors, statements of qualifications, brief biographies, fees and expense documents and related correspondence. (Note that payment records also are stored in Accounts Payable, CPC PPU 060.)

**Class of Individuals:** Existing and recent members of Canada Post's board of directors.

**Purpose:** The purpose of this bank is to support the nomination and remuneration of members of the board of directors.

**Consistent Uses:** The records in this bank assist in the preparation of appointments to the board and in the administration of the affairs, business and activities of the board; they are also used with respect to payments and for other purposes pertaining to the board and its individual members.

**Retention and Disposal Standards:** Records are retained for seven years after the fiscal year during which the director ceases to hold office and then destroyed.

**RDA Number:** 91/020

**Related PR#:** CPC SEC 1

**TBS Registration:** 002007

**Bank Number:** CPC PPU 105

### **Legal Affairs**

**Description:** This bank contains information relating to potential and actual claims by or against the Canada Post Corporation, contracts and agreements, arbitrations, memoranda, opinions and advice and other legal matters involving the Corporation. Note that copies of opinions and other legal documents may also be stored in other personal information banks.

**Class of Individuals:** Individuals involved in legal matters.

**Purpose:** The purpose of this bank is to provide a record of legal opinions and advice to, as well as representation on behalf of, the Corporation.

**Consistent Uses:** The records are used to provide legal opinions and advice to the Corporation and to represent the Corporation and protect its interests.

**Retention and Disposal Standards:** Records are retained for ten years after the year of termination of the contract or disposal of the property and then destroyed. Claims by or against the Corporation, labour arbitrations and related legal matters are retained for twenty-one years after the year of settlement. Memoranda (citing authority), opinions and advice are retained 100 years after case closed and then destroyed.

**RDA Number:** 97/020

**Related PR#:** CPC SEC 2  
**TBS Registration:** 002076  
**Bank Number:** CPC PPU 110

### Corporate Security

#### Access Control Systems

**Description:** This bank contains identification card applications, temporary pass applications, photographs, visitor registers and occasional incident reports, as well as related correspondence. Limited information exists in automated form. The Card Access/Alarm System may also produce reports for incident investigation purposes and statistical analysis. Individuals seeking access to this bank should specify location and dates.

**Class of Individuals:** Canada Post contractors who have authorized access to Corporation facilities.

**Purpose:** The purpose of this bank is to control access to certain facilities, to provide for the security of Canada Post employees and property and anything in the course of post.

**Consistent Uses:** The records are used to issue and cancel identification cards or building passes, and to maintain building security.

**Retention and Disposal Standards:** Records are retained for two years after expiry of the cards and then destroyed. Visitors logs are retained for one year.

**RDA Number:** 91/020

**Related PR#:** CPC CS 1

**TBS Registration:** 001340

**Bank Number:** CPC PPU 080

#### Investigative Body Requests – Public

**Description:** This bank contains requests made by investigative bodies, as well as records of disclosure (if the request is granted), occasional legal opinions and related material. Individuals seeking access to this bank should provide their full name and address.

**Class of Individuals:** Individuals who are the subject of, or party to, lawful investigations.

**Purpose:** The purpose of this bank is to ensure that requests by law enforcement agencies for personal information held by Canada Post are properly authorized.

**Consistent Uses:** The records are used to monitor information requested and/or provided to law enforcement agencies, and to ensure compliance with the Privacy Act, the Canada Post Corporation Act and corporate policy. Privacy Commissioner or delegate, may view the records when investigating complaints or conducting audits.

**Retention and Disposal Standards:** Records in this bank are retained for two years after the year

of their last administrative use (which is normally the decision to grant or refuse the request, or the processing of subsequent requests or complaints relating to the original request), and are then destroyed.

**RDA Number:** 91/020

**Related PR#:** CPC CS 2

**TBS Registration:** 001342

**Bank Number:** CPC PPU 090

#### Postal-Related Crimes/Offenses

**Description:** This bank contains information gathered during investigations and contains details of the crime(s) committed. For example, information on employees involves such offenses as theft of mail or embezzlement. Information on members of the general public involves national or international crimes, burglary of post offices and street box equipment, forgery of money orders, theft of mail, the illegal transportation of explosives and other dangerous substances and mail vehicle robberies. In addition, intelligence is collected regarding individuals or firms suspected of using the mails for an illegal purpose.

**Class of Individuals:** Canada Post employees, contractors and members of the general public who are suspected or known to be involved in the above-noted postal related crimes/offenses as defined by the Canada Post Corporation Act and Regulations, as well as Criminal Code offenses involving the mail.

**Purpose:** The purpose of this bank is to help solve and reduce postal related crimes and offences and to provide for the security of the officers and employees of the Corporation, the property of the Corporation, and anything in the course of post.

**Consistent Uses:** The records are used to support investigative and intelligence activities designed to solve or reduce crimes against Canada Post Corporation. Certain information may be shared with the security branches of other postal administrations, other federal investigative bodies, police agencies and, where warranted, with the Department of Justice for possible prosecution.

**Retention and Disposal Standards:** Records are retained for ten years after completion of the investigation or judicial or quasi-judicial proceedings and then destroyed. Records of proceedings dealt with under subsection 41 of the Canada Post Corporation Act, when a prohibitory order has been issued, are retained for three years after the year the order ceases to have effect and are then transferred to National Archives of Canada. If the records are judged by the National Archivist to be of historical/archival value, they are retained permanently.



**RDA Number:** 91/020

**Related PR#:** CPC CS 3

**TBS Registration:** 001341

**Bank Number:** CPC PPU 085

### Reliability Checks

**Description:** This bank contains criminal record name checks and, if applicable, fingerprints, criminal records, recommendations, decisions, appeals and related correspondence. Limited information may exist in automated form as a data element of the Maintain Applicant Activities, Conduct Security Checks module of Systems Applications and Products (SAP). Individuals seeking access to this bank should specify location and dates.

**Class of Individuals:** Prospective Canada Post employees and contractors who do not have security clearances, but who require reliability checks because of their ready access to mail, cash and other valuable assets.

**Purpose:** The purpose of this bank is to help ensure the security of Canada Post employees and property and anything in the course of post.

**Consistent Uses:** The records are used to help determine an individual's reliability. Identifying information is disclosed to the RCMP in order to determine whether individuals have criminal records.

**Retention and Disposal Standards:** Records are retained for two years after the year the check is completed, and then destroyed. If notified that a pardon has been granted, the criminal records in question are destroyed immediately.

**RDA Number:** 91/020

**Related PR#:** CPC CS 4

**TBS Registration:** 001339

**Bank Number:** CPC PPU 075

### Security Clearances

**Description:** This bank contains such records as personal history forms, criminal record name checks and, if applicable, fingerprints, criminal records, summaries of RCMP and Canadian Security Intelligence Service (CSIS) investigations, adverse findings, appeals, updates, cancellations, pardons and related correspondence. Limited information may exist in automated form, as data elements of the Maintain Applicant Activities, Conduct Security Checks module of Systems Applications and Products (SAP), CPC PPE 804. Data elements include name and clearance level granted versus level required for the position and whether it is due for renewal. Individuals seeking access to this bank should specify location and dates.

**Class of Individuals:** Canada Post contractors who occupy or are about to occupy positions

involving access to financial and other assets and sensitive information and systems.

**Purpose:** The purpose of this bank is to help determine the suitability of contractors being considered for or in security-risk positions.

**Consistent Uses:** The records are used to determine the level of security clearance, and to support decisions on transfers, promotions and termination of employment. Monthly computer printouts are used to ensure the security clearance level of individuals is adequate for the positions they occupy. Details of RCMP and CSIS investigations that may have taken place are stored in those agencies' security clearance banks.

**Retention and Disposal Standards:** Paper records are retained for two years after termination of contract and then destroyed. If notified that a pardon has been granted, the criminal records in question are destroyed immediately.

**RDA Number:** 91/020

**Related PR#:** CPC CS 5

**TBS Registration:** 001338

**Bank Number:** CPC PPU 070

### Customer Relationship Network

**Description:** This bank contains such records as enquiries, complaints or claims, declarations (in the case of claims) and information relating to their processing. Certain information exists in automated form in the Customer Relationship Management (CRM) module of the Systems Applications and Processes systems (SAP). CRM provides a single point from the Customer Interaction Centre (CIC) screen where customer history can be viewed and transactions such as claims, orders, enquiries, customer contract or account enquiries can be launched from one screen. Data elements include the names and addresses of the sender and addressee, the nature of the shortcoming (e.g., delay, loss, damage, redirection, call-for), the type and value of the item, any special services purchased (registration), dates of mailing and claim, insured amount, result of investigation and amount paid. Individuals seeking access to this bank should specify the date and subject matter of their previous enquiry, as well as the names and addresses of the sender and addressee on the article or other identifying information.

**Class of Individuals:** Customers who have submitted enquiries or complaints to Customer Relationship Network; or who have applied for indemnification. (Note that payment records also are stored in Accounts Payable, CPC PPU 060; that written enquiries and complaints also are

processed through the Corporate Correspondence system, CPC PPU 030; and that Risk Management Claims, CPC PPU 050, also includes claims records.)

**Purpose:** The purpose of this bank is to support the management of responses to customer enquiries, as well as the resolution of complaints and claims.

**Consistent Uses:** The records are used to analyze and resolve complaints, claims and other concerns; to respond to enquiries about mail services, regulations and rates; for audit and market research purposes; and to identify trends or patterns. Certain information may be disclosed to Transport Canada, the Canada Customs and Revenue Agency, foreign postal authorities, law enforcement agencies and others, where necessary, to resolve the claim or enquiry.

**Retention and Disposal Standards:** Records are retained for two years after last administrative use (which is normally the issue of a response to an enquirer or indemnification), and then destroyed. Disposal of payment records stored in Accounts Payable is governed by the retention schedule for that bank.

**RDA Number:** 91/020

**Related PR#:** CPC CR 1

**TBS Registration:** 001331

**Bank Number:** CPC PPU 100

## Finance

### Financial Accountability Cases

**Description:** This bank includes such information as job titles, work locations, investigation reports on losses, occasional credit reports and statements by persons involved, legal advice concerning disposition of cases, the decisions of the committees and follow-up information (for example, concerning collection, payment, prosecution, garnishment, other legal proceedings). (Note that documents may also be stored in Legal Affairs, CPC PPU 110).

Individuals seeking access to this bank should specify their name and other information sufficient to identify the case, such as the date, location, type and amount of the loss.

**Class of Individuals:** Canada Post agents, contractors and others involved in actual or suspected losses of financial assets.

**Purpose:** The purpose of this bank is to support committees on financial accountability, which review financial losses incurred by the Corporation, and to facilitate the collection of accounts due to the Corporation.

**Consistent Uses:** The records are used to help correct situations that have led to financial losses within Canada Post, both in terms of recovering

funds and preventing future losses.

**Retention and Disposal Standards:** Records are retained for six fiscal years after the year of recovery or write-off of the debt or loss and then destroyed. Disposal of related records in the above-noted information banks is governed by the retention schedule for those banks.

**RDA Number:** 91/020

**Related PR#:** CPC FIN 1

**TBS Registration:** 001762

**Bank Number:** CPC PPU 065

### Post Office Savings Bank

**Description:** Contains Post Office Savings Bank (1868-1969) unclaimed account information.

Account holders wishing to confirm if funds remain on deposit in their name must forward a written request together with appropriate documentation, preferably the account passbook, which identifies the assigned account number. Legal authority is required by those acting on behalf of an account holder or an estate.

**Class of Individuals:** Individuals having funds on deposit with Canada Post, either currently or within the past 15 years.

**Purpose:** To support administration of the remaining 56,600 accounts currently outstanding in the Post Office Savings Bank, the value of which is 2.6 million dollars.

**Consistent Uses:** Records of the Post Office Savings Bank are accessed monthly to facilitate the confirmation and withdrawal of funds by valid account holders or their legal representatives. Accounts having a balance of less than \$25.00 and no activity in relation thereto for a period of 30 years are transferred to the credit of the Receiver General for Canada. (Note that payment records are also stored in Accounts Payable, CPC PPU 060 and by Money Order Services.)

**Retention and Disposal Standards:** Records are retained for a period of 15 years after the year an account is closed, whether by withdrawal or through transfer to the Receiver General for Canada, and then destroyed.

**RDA Number:** 91/020

**Related PR#:** CPC FIN 2

**TBS Registration:** 001336

**Bank Number:** CPC PPU 055

### Risk Management Claims

**Description:** This bank contains records regarding claims for damages involving general liability and motor vehicle liability, legal opinions, settlement transactions and other correspondence relating to incident involving third parties. The records contain information on the parties involved, their insurers (if applicable) and the nature of the injury or loss (e.g., lost employment,

income or medical expense). The records also concern losses to Canada Post property due to fire, storm impact and such crimes as robbery, break and enter, and vandalism. Limited information exists in automated form in the Risk Management Information System. Data elements include the names of the employee and claimant, the cause and type of loss and settlement cost. Note that payment records are also stored in Accounts Payable, CPC PPU 060, and that claims involving delayed, lost or damaged mail are stored in Customer Relationship Network, CPC PPU 030. Individuals seeking access to this bank should specify details such as incident location and date.

**Class of Individuals:** Third parties making claims or from whom Canada Post is seeking damages.

**Purpose:** The purpose of this bank is to support the resolution of Corporation and third-party claims.

**Consistent Uses:** Records are used to determine liability for motor vehicle, and other accidents involving third parties; as well as damage to CPC property; to approve damage settlements, such as payments by and to the Corporation (claims requiring investigation, particularly those involving injury are handled by outside adjusters); to support claims by Canada Post against insurance policies in force; and to facilitate loss control and other measures to prevent and mitigate recurrences. Note that certain information may be provided to insurance companies, lawyers acting on behalf of either party and the police, to facilitate resolution of the claim.

**Retention and Disposal Standards:** Records are retained for six years after the fiscal year during which the claim by or against the Corporation is settled and then destroyed. unless a minor was involved, in which case the records are retained for six fiscal years after the minor's age of majority (varies from province to province).

**RDA Number:** 91/020

**Related PR#:** CPC FIN 3

**TBS Registration:** 001335

**Bank Number:** CPC PPU 050

## Human Resources

### Crown Debt Requests

**Description:** This bank contains requests from and responses to such federal institutions as the Canada Customs and Revenue Agency and Human Resources Development Canada, seeking to locate individuals owing federal Crown debts (e.g., overdue income tax, unemployment insurance overpayments, customs duties, defaulted student loans) or to whom Crown

payments are due. This bank also contains the Social Insurance Number, which is provided, unsolicited, by the federal institutions.

**Class of Individuals:** Individuals owing Crown debts, or to whom Crown payments are due, who are the subject of an inquiry.

**Purpose:** The purpose of this bank is to ensure Canada Post can properly decide and account for disclosures of this sort.

**Retention and Disposal Standards:** Records are retained for two years after the year of response and then destroyed.

**RDA Number:** 91/020

**Related PR#:** CPC HR 1

**TBS Registration:** 002157

**Bank Number:** CPC PPU 120

## Human Rights

**Description:** This bank contains confidential documents with respect to the submission of human rights complaints, as well as investigation and analysis reports and records of decisions taken during the investigation and resolution of said complaints. Background information varies with the complaint, but could include grievances, medical reports, and other correspondence related to the subject of the complaint. Individuals seeking access to this bank should specify the name of the complainant and the location and date of the incident. Certain information exists in automated form as a confidential module of the Systems Applications and Products (SAP).

**Class of Individuals:** Individuals submitting discrimination complaints and individuals alleged to have harassed or discriminated against complainants.

**Purpose:** The purpose of this bank is to support the investigation and resolution of allegations of discrimination based on prescribed grounds set out in the Canadian Human Rights Act, and allegations of personal harassment in the workplace.

**Consistent Uses:** The records are used to help determine whether or not harassment or discrimination has occurred (note that records of complaints are not stored on the complainant's Employee Personal File). Individuals found to have harassed or discriminated may have a disciplinary notice to that effect placed on their Employee Personal File. Information may be disclosed in confidence to relevant Corporation officials and to the Canadian Human Rights Commission to facilitate resolution of the complaint.

**Retention and Disposal Standards:** Records are retained for five calendar years after year of case closed.

**RDA Number:** 91/020

**Related PR#:** CPC HR 2

**TBS Registration:** 001761

**Bank Number:** CPC PPU 096

### Official Languages Complaints

**Description:** This bank contains records documenting the nature, extent, scope, type and location of official languages complaints, as well as the results of complaint investigations and resolution. Note that the identity of complainants is protected under section 60 of the Official Languages Act throughout the investigation process. Therefore, unless complainants agree to reveal their identity, records are anonymous in nature.

**Class of Individuals:** Individuals or groups who file complaints either directly with CPC or with the Commissioner of Official Languages (excluding official languages issues handled through Customer Service).

**Purpose:** The purpose of this bank is to support the investigation and resolution of official languages complaints submitted by individuals or groups to the Commissioner of Official Languages or CPC and to retain an audit trail of actions taken. Certain information exists in automated form as a confidential module of the Systems Applications and Products (SAP).

**Consistent Uses:** The records are used to report internally to the executives and to external agencies responsible for monitoring compliance of the Official Languages Act and related regulations. They may also be disclosed to the Federal Court or other authorized third parties to facilitate the resolution of complaints, grievances or court action.

**Retention and Disposal Standards:** Complaint files are retained for five calendar years after complaint resolved or withdrawn.

**RDA Number:** 98/005

**Related PR#:** CPC HR 3

**TBS Registration:** 003737

**Bank Number:** CPC PPU 125

### Privacy Act Requests/Complaints

**Description:** This bank contains the request forms submitted by individuals seeking access to their files, the replies to such requests and information related to their processing, including exempt material. It also includes records of complaints to Canada Post Privacy Coordinators and the Privacy Commissioner of Canada and their resolution, and exceptional third-party requests referred to privacy coordination staff for

advice or decision. Individuals seeking access to this bank should specify the approximate date(s) of the request(s) or complaint(s) concerned. Certain information exists in automated form as a confidential module of the Systems Applications and Products (SAP).

**Class of Individuals:** Canada Post contractors and customers who have submitted formal access, correction or notation requests under the Privacy Act to a Canada Post privacy coordinator or internal or formal complaints, or who are the subject of exceptional third-party requests.

**Purpose:** The purpose of this bank is to support the processing of requests and complaints submitted by individuals under the Privacy Act, and to retain an audit trail of actions taken.

**Consistent Uses:** The records are used to process access, correction and notation requests, to respond to complaints, and to report annually to Parliament on their disposition. Annotations regarding requests, exemptions, corrections and disclosures to third parties may be attached to the records requested. Records may be disclosed to the Privacy Commissioner and to the Federal Court, to facilitate the resolution of complaints or court actions.

**Retention and Disposal Standards:** Records are retained for two years after the year of last administrative use (which is normally the provision of records requested under the Privacy Act, the processing of correction or notation requests or the resolution of complaints), and then destroyed.

**RDA Number:** 91/020

**Related PR#:** CPC HR 4

**TBS Registration:** 001344

**Bank Number:** CPC PPU 115

### Staffing and Employment

**Description:** This bank contains such records as solicited and unsolicited job applications, acknowledgement of receipt letters, job descriptions, selection profiles, competition posters, transfer requests, resumes of work experience and education, reference letters and checks, official languages knowledge examination papers, tests and results, lists of candidates, interview notes and rating board assessments, eligibility lists, offers of employment, notes of post-board interviews and related correspondence. Individuals seeking access to this bank should specify the competition number and date, if applicable, as well as position title and location.

**Class of Individuals:** Individuals who apply for or are hired to fill temporary and permanent positions with Canada Post Corporation.

**Purpose:** The purpose of this bank is to support internal staffing and external recruitment activities.

**Consistent Uses:** Job applications are screened when vacancies arise. Staffing records are used to provide impartial information to match new and vacant positions to the most qualified candidates (notations of staffing decisions may be stored in the Employee Personal file; certain information exists in automated form, in the Recruitment module of Systems Applications and Products (SAP). To assist in succession planning and career development; to conduct reference checks, provide feedback to candidates regarding their applications and job interviews; and to process complaints, appeals and grievances concerning appointments and promotions (see Grievances and Arbitrations, CPC PPE 813). Limited personal information regarding seniority, surplus and layoffs may be posted, as well as provided to collective bargaining agents. Personal information about successful candidates may be disclosed to unsuccessful candidates under strict conditions of confidentiality, to better explain decisions taken.

**Retention and Disposal Standards:** Records are retained for two years after last administrative use (which is usually the expiration of the appeal period for competitions), and then destroyed. Layoff/transfer lists are updated continuously and destroyed when superseded.

**RDA Number:** 91/020

**Related PR#:** CPC HR 5

**TBS Registration:** 001343

**Bank Number:** CPC PPU 095

## Information Marketing

### National Change of Address

**Description:** This bank contains data drawn from change of address forms, including: a mover's previous and new address; the mover's privacy choices ( opt-out or opt-in ); the length and dates for which redirection services have been purchased; payment data and records concerning participation in related services available to movers and mailers.

**Class of Individuals:** All subscribers to CPC's redirection of mail services whether purchased to a retail outlet or on-line.

**Purpose:** To facilitate the temporary or permanent redirection of mail.

**Consistent Uses:** To confirm service particulars and inform movers of address notification and other options; to produce letter carrier case cards and new address labels; with mover consent, to update the mailing lists of businesses and other organizations, including direct mailers , provided they have the movers' name and old address, and that the mover has provided positive consent ( opt-in ); to delete movers' names and old addresses from mailing lists; to resolve complaints and

enquiries; to contact movers on a mailer's behalf (without disclosing the new address); and for research, statistical and audit purposes. Change of address data may also be disclosed to law enforcement agencies conducting lawful investigations, and to certain federal government departments seeking to locate individuals owing a Crown debt or being owed a Crown payment (see CPC PPU 090 and CPC PPU 120, respectively).

**Retention and Disposal Standards:** Change of Address forms retained by postal outlets are destroyed six fiscal years after the year of transaction. The input copies are destroyed after six years after the year of transaction. Records regarding payments received are retained for six fiscal years after year of payment. Agreements with mailers (including records pertaining to names and addresses of individuals who have moved), are retained for six fiscal years after the year of the termination of the contract. Every month three-year-old addresses are archived, where they are retained for a further seven years.

**RDA Number:** 91/020

**Related PR#:** CPC IM 1

**TBS Registration:** 003294

**Bank Number:** CPC PPU 002

## Office of the Ombudsman

### Office of the Ombudsman – Requests for Assistance – Complaints

**Description:** This bank contains such records as inquiries, complaints and information relating to their processing. Data elements may, where applicable, include all or some of the following: the names and addresses of the sender and addressee, the nature of the complaint (delay, loss, damage), the type and value of the item, any special services purchased, dates of mailing and claim, insured amount, result of investigation and amount paid. Individuals seeking access to this bank for the purpose of reviewing their personal files should specify the date and subject matter of their original inquiry with the Office of the Ombudsman, as well as their assigned file number. Individuals seeking access to this bank are encouraged to submit their request directly by phoning 1-800-204-4198.

**Class of Individuals:** Customers who have submitted to the Ombudsman a request for the review of their complaint with regard to the postal service.

**Purpose:** The purpose of this bank is to support the preparation of responses to customer inquiries, as well as the resolution of complaints concerning postal services.

**Consistent Uses:** The records are used to analyze and resolve complaints; to respond to

inquiries about postal services; and to identify trends or patterns. Disclosure of Information: The Office of the Ombudsman at Canada Post abides by the Standards of Practice and the Code of Ethics of Ombudsman Associations. The Ombudsman, as a neutral official, has the responsibility of maintaining strict confidentiality concerning matters that are brought to his/her attention, unless given permission to do otherwise. The only exceptions, at the sole discretion of the Ombudsman, are where there appears to be imminent threat of serious harm.

**Retention and Disposal Standards:** Records are retained for seven years after last administrative use (which is normally the issue of a response to a request for the review of a complaint to the Ombudsman), and then destroyed. (subject to approval)

**RDA Number:** 91/020

**Related PR#:** CPC OOB 1

**TBS Registration:** 004271

**Bank Number:** CPC PPU 099

## Mail Operations

### Delivery Control Systems

**Description:** This bank contains delivery records for signature services (Registered and Security Registered, Cash on Delivery, Insured Mail with Proof of Delivery, Priority Courier); directories or lists of customers used to ensure the accurate delivery of mail and the provision of related services (e.g., Community Mailbox, Group Mailbox and Rural Mailbox Delivery Mail Production and Delivery<sup>TM</sup>) and related correspondence (e.g., eSignature- a service free for online requests that allows signature retrieval as proof of delivery for items within Canada Post distribution services. These records contain such information on customers as name, fees paid, present address, previous address, effective dates, signature and proof of identity (when needed in picking up mail). Limited account information exists in automated form in the Priority Courier Track and Trace and Mail Production and Delivery<sup>TM</sup> systems.

**Class of Individuals:** Customers who subscribe to, or receive, postal signature services, submit a redirection/hold mail application or reside in areas requiring name/address lists to effect postal delivery.

**Purpose:** The records are used to support the provision of postal services, including signature mail services; to ensure accurate mail delivery where delivery service has changed or is difficult; to facilitate the reconciliation and audit of accounts; and to respond to inquiries or claims (see also Customer Relationship Network, CPC PPU 030). Electronic name and address lists and

related information received from volume mailers are used in creating and addressing Lettermail Plus and Admail Plus items for subsequent delivery.

**Consistent Uses:** None

**Retention and Disposal Standards:** Signature service records are retained for a maximum of two years (eSignature online is retained for a maximum of one year) after the year of delivery and are then destroyed, with the exception of certain financial records, which are retained for seven years. As a convenience to customers, Mail Production and Delivery<sup>TM</sup> data are retained under strict security for six months and are then deleted. Directories and lists are updated continuously and destroyed when superseded or obsolete.

**RDA Number:** 91/020

**Related PR#:** CPC OPS 1

**TBS Registration:** 002558

**Bank Number:** CPC PPU 001

## Retail Business

### Postage Meter Services

**Description:** This bank describes information related to postage meter services provided by Canada Post. Limited personal information is contained in the Postage Meter Inventory Control System, a database that includes the name and mailing address of the client or individual representing the client institution, the postage meter model numbers, the names of the suppliers or the individual representing the postage meter supplier and, in some cases, the products and services purchased.

**Class of Individuals:** Individuals or individuals representing organizations who have purchased postage to be used in a Canada Post approved postage meter.

**Purpose:** The information is used to record and verify postal transactions and report sales; to locate customers and postage meters; to resolve issues related to defective, destroyed, lost, stolen and returned postage meters. Data contained in the Postage Meter Inventory Control System is shared with the postage meter suppliers i.e. private companies to monitor equipment leases, sales and supplies.

**Consistent Uses:** The information is used to conduct market and related research, including new metering technology. Names of individuals and individuals representing client institutions may be shared with postage meter supply companies.

**Retention and Disposal Standards:** Hard copy records exist only for defective meters and are retained for a period of six years as of the date the meter is determined to be defective, then

destroyed. Electronic records about customers are retained until two years after the customer has become inactive, then destroyed. for active customers.

**RDA Number:** To be determined.

**Related PR#:** CPC RB 1

**TBS Registration:** 006260

**Bank Number:** CPC PPU 135.

### Money Orders Service

**Description:** This bank describes information related to money order transactions. Personal information is collected only when an individual purchases or redeems a combination of money orders that equals or exceeds \$3,000. It includes the name, address, date of birth or driver license number of the individual, and the serial numbers and amounts of the money orders.

**Class of Individuals:** Individuals who purchase or redeem postal money orders.

**Purpose:** The information is used for record keeping, client identification and to investigate cases of lost and stolen money orders, frauds, forgeries and other irregularities. It is also used to comply with the requirements of the Proceeds of Crime (Money Laundering) and Terrorist Financing Act. Suspicious transactions and those over \$3000 must be recorded and made available upon request to the Financial Transactions and Reports Analysis Centre of Canada. In addition, transactions over \$10,000.00 must be reported to the Centre.

**Consistent Uses:** In the event of lost, stolen or other irregularities, information described in this bank may be shared with areas within Canada Post responsible for addressing these concerns.

Please see CPC PPU 100 ( Customer Relationship Network ) and CPC PPU 085 (Postal Related Crimes/Offences)

**Retention and Disposal Standards:** All money order records will be retained for seven years after the purchase or redemption of individual money orders and then destroyed once the Records Disposition Authority (RDA) has been established.

**RDA Number:** To be determined.

**Related PR#:** CPC RB 2

**TBS Registration:** 006261.

**Bank Number:** CPC PPU 130

### Philatelic Customers

**Description:** This bank contains information in both paper and automated form such as customer enquiries and mailing lists, coded to include special areas of interest, as well as invoices, funds on deposit, credit card numbers, order history, survey responses, and other sales records. A list of former customers who have issued bad cheques is also retained. Individuals

seeking access to this bank should provide as many details as possible, such as name, address, subject matter, dates and account numbers.

**Class of Individuals:** Canada Post's national and international customers of philatelic products, sponsors of stamp clubs and those who have expressed an interest.

**Purpose:** The purpose of this bank is to support the sale and distribution of philatelic products and related promotional material.

**Consistent Uses:** The records are used to support philatelic sales and subscription services; to assist in the presentation of philatelic exhibits; to generate particular lists of customers/subscribers (for example, by area of interest); to control inventory; and for market research purposes, such as the identification of promotional needs and opportunities.

**Retention and Disposal Standards:** Financial records are retained for six years after last administrative use, which is usually payment for and mailing of philatelic products. Mailing lists are updated continuously, verified annually and retained until superseded or obsolete (for example, when customers submit change-of-address cards or requests to be deleted from the list; or move, leaving no forwarding address). General correspondence is retained for two years.

**RDA Number:** 91/020

**Related PR#:** CPC RB 3

**TBS Registration:** 001327

**Bank Number:** CPC PPU 010

### Postal Boxes

**Description:** This bank contains Postal Box applications, including service particulars (e.g. primary delivery mode, rental periods and the redirection of mail), the names of agents or others authorized to receive mail and whether the Postal Box service is for private or commercial use.

Other records include general enquiries, receipts and other payment records, audits and accounts of terminating services. Certain information exists in automated form (Retail Outlet Support System {ROSS}). Individuals seeking access to this bank should provide Postal Box location, number, and rental dates.

**Class of Individuals:** Canada Post customers who have applied for or expressed interest in Postal Box services.

**Purpose:** The purpose of this bank is to support the provision of Postal Box services.

**Consistent Uses:** The records are used to provide the services requested and, if applicable, to facilitate the collection and refund of rent for Postal Boxes (receipts are forwarded to corporate head office to reconcile accounts), for periodic

audits, for the Address Improvement Program and for market surveys and marketing purposes. Certain information may be disclosed to law enforcement and other federal or provincial agencies, pursuant to lawful investigations.

**Retention and Disposal Standards:** Postal Box applications and related records are retained for two years after the termination of service and then destroyed. Waiting lists are updated continuously, as boxes become available.

**RDA Number:** 91/020

**Related PR#:** CPC RB 4

**TBS Registration:** 001326

**Bank Number:** CPC PPU 005

### Retail Postal Outlet Contracts

**Description:** This bank contains hardcopy and computerized records, including the terms and conditions of contracts with retail postal outlet operators and, from time to time, credit history reports. Individuals seeking access to this bank should provide full name, the retail postal outlet concerned and dates.

**Class of Individuals:** Individuals and businesses contracted to provide a range of basic postal services to the public. (Note that payment records also are stored in Accounts Payable, CPC PPU 060).

**Purpose:** The purpose of this bank is to administer a network of retail postal outlets.

**Consistent Uses:** The records in it are used to administer the network of retail postal outlets, including the authorization of payment of commissions on sales; and for periodic audits and market research.

**Retention and Disposal Standards:** Contracts awarded and supporting documentation are retained for six years after fiscal year of completion and non-renewal and then destroyed. Financial records are also retained for six years. Tenders not awarded are retained for two fiscal years.

**RDA Number:** 91/020

**Related PR#:** CPC RB 5

**TBS Registration:** 001329

**Bank Number:** CPC PPU 020

### Stamp Subjects and Designer References

**Description:** This bank contains such information as subject suggestions, their supporters, and enquiries, general correspondence, résumés, samples of art work (usually reproduced on 35mm slides) and, if applicable, letters of commission. Individuals seeking access to this bank should provide name and date of previous submission. (Note that stamp subject suggestions may also be stored in Corporate Correspondence Service, CPC PPU 100, and payment records concerning

commissioned designs are also stored in Accounts Payable, CPC PPU 060.)

**Class of Individuals:** Canadian designers, artists, illustrators, photographers and others who have indicated their interest in being considered for a postage stamp design commission.

**Purpose:** The purpose of this bank is to provide a visual reference file of the work of Canadian designers and artists who could be considered for a postage stamp design commission.

**Consistent Uses:** The records are used to consider possible designers to be commissioned to submit design proposals for new stamp issues.

**Retention and Disposal Standards:** Samples of work are returned to designers upon request. Records regarding rejected solicitations are retained for two years after the year of rejection and then destroyed. Records relating to commissioned stamp designers are retained for ten years and then transferred to National Archives of Canada. If the records are judged by the National Archivist to be of historical/archival value, they are retained permanently.

**RDA Number:** 91/020

**Related PR#:** CPC RB 6

**TBS Registration:** 001330

**Bank Number:** CPC PPU 025

### Stamp Vendors

**Description:** This bank contains the sales histories of stamp vendors, such as records of stamp purchases, amount of the discount and amount paid. Individuals seeking access to this bank should specify registered name and address as well as stamp sales details.

**Class of Individuals:** Individuals and small businesses who have applied for or been granted a permit to purchase stamps at a discount for resale to the public.

**Purpose:** The purpose of this bank is to support the sale of stamps via a network of stamp vendors.

**Consistent Uses:** Vendors use permits to purchase stamps at a discount.

**Retention and Disposal Standards:** Records are retained for two years after last administrative use and then transferred to National Archives of Canada. Information judged by the National Archivist to be of archival/historical value is retained permanently. The remainder is destroyed.

**RDA Number:** 91/020

**Related PR#:** CPC RB 7

**TBS Registration:** 001328

**Bank Number:** CPC PPU 015



## Sourcing Management

### Accounts Payable

**Description:** This bank contains such records as claims, authorizations, expense reports, receipts, cheque requisitions, advances, correspondence and other supporting documents relating to expenses being reimbursed, fees being paid, claims being settled and other payments.

Records of transactions also exist in automated form in the Accounts Payable System and in the Systems Applications and Products (SAP). This includes travel and other expenses claims, approvals and records of payments, including direct deposit information. Individuals seeking access to this bank should specify whether they are a contractor or claimant and provide details of the payment such as location, type and dates.

**Class of Individuals:** Canada Post suppliers of goods and services, including stamp designers and members of the Board of Directors claiming travel and hospitality expenses; and to members of the general public, indemnified for claims made against the Corporation. (see Canada Post's contract and claims personal information banks for details).

**Purpose:** The purpose of this bank is to support the Accounts Payable function, which is to make non-payroll payments in accordance with authorizations.

**Consistent Uses:** The records are used to substantiate and issue cheques for the above-noted expenses, fees, claims and other payments; and for planning, budgeting and audit purposes.

**Retention and Disposal Standards:** Records are retained for six fiscal years following the fiscal year during which the expenses were incurred.

**RDA Number:** 91/020

**Related PR#:** CPC SM 1

**TBS Registration:** 001337

**Bank Number:** CPC PPU 060

### Parking

**Description:** This bank contains permit applications for parking, including special parking privileges, and related correspondence about parking of motor vehicles on property owned or leased by Canada Post. Records of transactions may also exist in automated form. Individual seeking access to this bank should specify employment location and dates.

**Class of Individuals:** Canada Post contractors and others who have applied for or received Corporate parking permits.

**Purpose:** The purpose of this bank is to support the control of parking at certain Canada Post facilities.

**Consistent Uses:** The records are used to

control the issue and revocation of parking permits and the prosecution of parking violators. The records may also be used to help coordinate car pools. Note that certain records are beyond CPC control as many employees have personal contracts with private parking lot operators.

**Retention and Disposal Standards:** Records are retained for two years after the fiscal year in which the permit expired and then destroyed.

**RDA Number:** 97/020

**Related PR#:** CPC ADM 1

**TBS Registration:** 001334

**Bank Number:** CPC PPU 045

### Purchasing Contracts

**Description:** This bank contains records relating to contracts, renewals and terminations and supporting documentation, which may include the request for proposal, price quotes, curriculum vitae, company résumé, records of experience, terms of reference, financial/insurance/bonding information, reliability checks and/or security clearance levels, and performance records. This bank also contains data relating to Vendor Master data for Canada Post which consists of Vendor/Contractor address and contact information, GST/HST, Business number or Social Insurance Number (as required under section 237 of the Income Tax Act ) and banking information. Individuals seeking access to this bank should provide their full name, the name of their company (if applicable), the Canada Post contract/proposal number, and the location of the procurement office. Certain information may exist in the Systems Applications and Products (SAP).

**Class of Individuals:** A limited number of individuals offering or providing professional services in management and information technology consulting, market research, health services, security, translation, labour arbitration, counselling and temporary help, as well as in architecture, engineering, construction, property appraisal, property development and property management, including cleaning and maintenance; and equipment, supplies and other goods. (Note that payment records are stored in Accounts Payable, CPC PPU 060; that records on contractors providing mail or letter carrier transportation services are stored in Transportation Contracts, CPC PPU 035; and that records on retail postal outlet operators are stored in Retail Postal Outlet Contracts, CPC PPU 020.) This bank also contains a limited list of vendors and contractors that offer or provide goods and services to Canada Post. The records for vendors and contractors are used to enable Canada Post to pay vendors, generate contracts and purchase

orders and prepare income tax information.

**Purpose:** The purpose of this bank is to support the award and administration of Canada Post's procurement and certain other service contracts. And, to process contracting activity, payment of invoices, preparation of T1204's under section 237 of the Tax Regulations for vendors and contractors.

**Consistent Uses:** The records are used to monitor performance or equipment supplied against requirements, so as to verify entitlements; and for evaluation and audit purposes. For example, the information may be collated and analysed to determine average costs by geographic areas and specialities.

**Retention and Disposal Standards:** Tenders not awarded are retained for two fiscal years. Contracts awarded and supporting documentation are retained for six years after fiscal year of completion and non-renewal. All contracts relating to accepted designs for stamps, first day covers and postal stationery are retained for six years after the completion of the contract. All correspondence and contracts with stamp suppliers relating to the production of quantities of stamps, first day covers and postal stationery, are retained for six years after completion of the contract. Vendors and contractors calendar is under review. However, contract files dealing with Intellectual Property are kept indefinitely since these contracts are the only proof of Canada Post ownership of the property in situations of copyright infringements. Intellectual Property files are retained by Canada Post.

**RDA Number:** 97/020

**Related PR#:** CPC SM 2

**TBS Registration:** 003293

**Bank Number:** CPC PPU 031

### Transportation Contracts

**Description:** This bank contains records relating to contracts, transfers, renewals and terminations and supporting documentation, including distance, stops, equipment used, costs and duration, financial/insurance/bonding information. Individuals seeking access to this bank should specify the name, dates and location of the service provided.

**Class of Individuals:** Individuals owning businesses which have bid on or been awarded contracts for the carriage of mail or for the transportation of letter carriers.

**Purpose:** The purpose of this bank is to support the award and administration of transportation contracts.

**Consistent Uses:** The records are used to create source lists and otherwise perform the tender

process; to administer contracts, including the monitoring of performance and the granting of adjustments; to facilitate budgeting and cost control; and to produce internal reports and responses to external enquiries. Note that the name of the successful tenderer may be disclosed to unsuccessful tenderers and others, upon award of the contract.

**Retention and Disposal Standards:** Tenders not awarded are destroyed two years after the contract is awarded. Other records are retained for six years after termination and non-renewal of contract and then destroyed, except for registers of contracts, which are transferred to National Archives of Canada for selective retention.

**RDA Number:** 91/020

**Related PR#:** CPC SM 3

**TBS Registration:** 001332

**Bank Number:** CPC PPU 035

### Real Estate

#### Real Estate Contracts

**Description:** This bank contains records relating to contracts, transfers, renewals and terminations and supporting documentation, including requests for proposal, price quotes, curriculum vitae, company résumé, records of experience, terms of reference, financial/insurance/bonding information, reliability checks and/or security clearance levels, performance and payments records. Individuals seeking access to this bank should provide their full name, the name of their company (if applicable) and the Canada Post project and location. If the contract in question has been let via Government Services Canada, provide those details.

**Class of Individuals:** Companies and a limited number of individuals offering or providing professional services in architecture, engineering, construction, property appraisal, brokerage services, property development and property management, including cleaning and maintenance. (Note that payment records are also stored in Accounts Payable, CPC PPU 060).

**Purpose:** The purpose of this bank is to support the award and administration of Canada Post's real estate lease and property management contracts.

**Consistent Uses:** The records are used to prepare source lists and select from among potential contractors and to monitor performance against requirements, so as to verify entitlements; and for evaluation and audit purposes. For example, the information may be collated and analysed to determine average costs by geographic areas and specialities. The information is shared with and often held by

Canada Post's major procurement and real property management agents (e.g., Government Services Canada).

**Retention and Disposal Standards:** Tenders not awarded are retained for two fiscal years and then destroyed. Contracts awarded and supporting documentation are retained for six years after fiscal year of completion and non-renewal and then destroyed.

**RDA Number:** 97/020

**Related PR#:** CPC SM 4

**TBS Registration:** 003291

**Bank Number:** CPC PPU 038

## Classes of Personal Information

### Administrative Records

Certain information provided by or about individuals may also be found in administrative records, such as general correspondence and organizational planning files, minutes of committee meetings, daily information books, library loan and distribution lists, fixed asset inventory control reports, general ledger reports, audit reports and evaluations, internal electronic mail communications, video recordings and records relating to visits and conferences involving officials of other postal authorities. Several functions also provide advice on employee, customer or contractor matters concerning areas such as employee relations, labour relations, customer service, corporate security, occupational health and safety, etc. This information may exist in the form of personal notes, drafts, letters, case files and electronic mail messages, duplicates of which are often located in other personal information banks. Retention/disposal standards vary, but comply with a two-year minimum.

### Marketing and Sales

This class includes marketing information such as marketing program offers e.g. VentureOne, market research studies, various coded mailing lists, market surveys and test reports concerning householders and other Canada Post customers (for example, large volume mailers). The records include correspondence, reports, accounts of sales calls and other meetings with customers, which may contain the names, titles and business addresses of company representatives, as well as profiles of key executives. These records are used for business purposes only, namely to identify customer needs and perceptions and to help make marketing decisions related to product and service mix, price and promotion. Canada Post also temporarily retains certain records which may contain personal information under

arrangements with customers and business partners. These records assist in the preparation of account development strategies for national and divisionally managed accounts. Such records are not under the Corporation's sole control and may not be accessed without the prior consent of the customer or business partner involved. Note also that claims and enquiries related to collection and delivery services have been indexed and described as a Canada Post information bank (see CustomerRelationship Network, CPC PPU 030). Certain records are held in electronic form in the following systems: Cash Receipts, Canadian Wildlife Service, National Accounts and Marketing Mailing List.

### Undeliverable Mail

This class of records includes lettermail and parcels that, for any cause, cannot be delivered to the addressee or returned to the sender. This includes mail that cannot be delivered for legal reasons, and mail that is refused by the addressee or on which postage due is not paid by the sender on demand. The treatment of this mail is governed by the Undeliverable Mail Regulations. Undeliverable mail is opened to facilitate delivery to addressee or return to sender. Undeliverable airmail is not returned to the sender or forwarded to an addressee unless it bears a specific request for return or redirection to another address, or has obvious value. Undeliverable international mail is returned to the country of origin unless marked abandoned, in which case it is treated in the same manner as domestic mail. When undeliverable mail of no obvious value does not contain sufficient information to permit the mail to be returned to the sender or forwarded to the addressee, it is destroyed. Where the mail contains cash or merchandise the cash is deposited to the credit of Canada Post Corporation and the merchandise is sold or otherwise disposed of in a manner approved by the Corporation.

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Privacy Act.

Records contained within information banks are limited to relevant data subjects. For example, if an individual has never bid on nor been awarded a contract with Canada Post, no record of that individual would exist in the applicable contract bank.

To facilitate access and records retrieval, specific details should be provided, such as those outlined in individual bank descriptions.

If Canada Post exempts any information, the individual refused access is provided with the precise reasons for the exemption and the applicable appeal procedures.

Records are routinely destroyed when their useful life expires; thus, access requests for older records may prove unsuccessful. Individuals are encouraged to seek informal access to their records - employees via their supervisors, and customers, contractors and others via the Canada Post officials with whom they have been dealing.

Requests for further information about Canada Post Corporation and its various functions may be directed to:

Corporate Privacy Coordinator  
Canada Post Corporation  
2701 Riverside Drive  
Suite N0643  
Ottawa ON K1A 0B1  
Tel.: (613) 734-6871 / 734-7664  
Web site: [www.canadapost.ca](http://www.canadapost.ca)

Note that requests for access to the Office of the Ombudsman should be submitted directly to that office's privacy coordinator, at:

Privacy Coordinator  
Office of the Ombudsman  
855 Brookfield Road  
PO Box 90026  
Ottawa ON K1V 1J8  
Tel.: 1-800-204-4198  
Web Site: [www.ombudsman.poste-canada-post.com](http://www.ombudsman.poste-canada-post.com)

# Canada Revenue Agency

## Chapter 18

### General Information

#### Background

In 1927, the Department of National Revenue Act established the Department of National Revenue by renaming the Department of Customs and Excise. The Department was responsible for assessing and collecting duty and tax, monitoring the movement of people and goods across the Canadian border and protecting Canadian industries from foreign competition.

The same act created a second department to collect income tax, a responsibility that a commissioner from the Department of Finance had been meeting. Each department had the same minister, but had its own departmental organization and deputy minister.

In May 1994, Bill C-2, an act to amend the Department of National Revenue Act received royal assent and formed the legal basis to create a consolidated department to perform the activities previously done by Revenue Canada, Customs and Excise and Revenue Canada, Taxation. A new regional structure was implemented in July 1994, combining the 23 parallel regions of Customs, Excise, and Taxation into six consolidated regions. The Headquarters organization was also consolidated into six restructured program branches and six corporate branches.

On November 1999, Revenue Canada began operations as the Canada Customs and Revenue Agency (CCRA).

On December 12, 2003, the Prime Minister announced the creation of the Canada Border Services Agency (CBSA). This announcement resulted in the transfer of the former CRA Customs Branch to the CBSA. In time, the CRA will see its name formally changed to the Canada Revenue Agency (CRA). The ATIP activities reported on include those related to the CRA's Customs Branch which began before December 12, 2003, and that have remained with the CRA subsequent to that date.

Since December 12, 2003, the CRA's responsibilities have included revenue collection, administering tax laws for the Government of Canada and for most provinces and territories,

and delivering various social and economic benefit programs. In fulfilling these responsibilities, we serve hundreds of thousands of Canadians, every day.

The CRA's approach to compliance is based on self-assessment and voluntary compliance. To help our clients meet their obligations and to inform them of their rights and entitlements, we provide information and technical guidance in applying the provisions of tax legislation and related roles. To ensure the fairness of the system, we maintain an enforcement capacity to take appropriate corrective action when people do not abide by the laws and regulations we administer on behalf of all Canadians.

In fulfilling these responsibilities, the Agency administers 66 acts of Parliament, works for the federal, provincial, and territorial governments, and deals with virtually every business and individual in Canada.

#### Responsibilities

The Agency responsibilities include revenue collection, trade administration, and various social and economic benefit and incentive programs delivered through the tax system.

It works for the federal, provincial, and territorial governments, as well as individuals and businesses, to support Canada's social and economic progress.

The Agency administers the Canada Child Tax Benefit, the goods and services tax/harmonized sales tax (GST/HST) credit, and many provincial and territorial benefit and credit programs. It also collects federal and some provincial income tax, GST/HST, Canada Pension Plan contributions, Employment Insurance premiums and excise duties. As well, it collects excise tax and, for provinces with agreements with the federal government, provincial sales tax, tobacco taxes, liquor mark-ups, and levies on non-commercial imports.

The Agency continually strives to deliver our programs and services effectively, fairly, and at the lowest possible cost. Its goals are to: provide accessible, responsive, and reliable services and clear, informative communications; deliver fair, responsible, and effective enforcement programs in a way that directly responds to environmental changes; minimize the administrative cost and

compliance burden on clients through the streamlining and simplifying of legislation, programs, and operations; apply the principles of fairness diligently and consistently in all CRA programs to keep public confidence and encourage voluntary compliance; ensure that employees have the knowledge, skills, and support to work effectively in an environment that promotes and recognizes exemplary performance; and support Agency programs and initiatives through responsive, integrated and affordable corporate policies, systems and processes.

## Legislation

- Canada Pension Plan, Part 1
- Canada-Chile Free Trade Agreement Implementation Act
- Canada Customs and Revenue Agency Act
- Canada Israel Free Trade Agreement Implementation Act
- Canada-United States Free Trade Agreement Implementation Act
- Children's Special Allowances Act
- Employment Insurance Act, parts IV and VII
- Excise Act
- Excise Tax Act
- Export Act
- Export and Import Permits Act
- Federal-Provincial Fiscal Arrangements Act
- Foreign Missions and International Organizations Act
- Fruit and Vegetable Customs Orders Validation Act
- Importation of Intoxicating Liquors Act
- Income Tax Act
- Income Tax Application Rules
- Income Tax Conventions Interpretations Act
- North America Free Trade Agreement Implementation Act
- Petroleum and Gas Revenue Tax Act
- Privileges and Immunities - North Atlantic Treaty Organization Act
- Special Import Measures Act
- Tax Rebate Discounting Act
- Trade Marks Act

- World Trade Organization Agreement Implementation Act

## Organization

### Appeals Branch

The Appeals Branch is responsible for resolving disputes between the Canada Revenue Agency (CRA) and its clients by conducting fair and impartial administrative reviews of CRA decisions. This Branch reviews contested decisions relating to tax, GST/HST, employment insurance, and Canada Pension issues. The Appeals Branch is also responsible for promoting voluntary compliance through the coordination and administration of a fair dispute resolution and redress process. The Privacy Act requires that Personal Information Banks include all personal information that is organized and retrievable by a person's name or by an identifying number, symbol or other particular assigned only to that person. Because the CRA does not retain individual records related to the Income Tax and Commodity Taxes Objections and Appeals programs, request for information under those programs need to be addressed under the Program Record (Program Record Number CRA APP 090, CRA APP 310, CRA APP 131, or CRA APP 305).

### Assessment and Collections Branch

The Assessment and Collections Branch is responsible for providing assistance and information to clients, for processing client returns for tax and benefit programs, and for collecting tax, levies, duties and other amounts such as Canada Pension Plan and Employment Insurance payments. This Branch also administers specialized tax credit and benefit programs such as the Canada Child Tax Benefit, Children's Special Allowance, Goods and Services Tax Credit and other provincial/territorial benefit and credit programs.

### Board of Management

The Board of Management has the responsibility of overseeing the organization and management of the Agency, including the development of the Corporate Business Plan and the management of policies related to resources, services, property, personnel and contracts.

### Compliance Programs Branch

The Compliance Programs Branch is responsible for the verification and enforcement activities aimed at ensuring compliance with customs and revenue laws. This Branch performs examinations, audits and investigations to ensure

compliance with income tax and GST laws; performs verifications and implements enforcement activities at the international level; provides information to taxpayers to encourage compliance and; performs compliance research.

### **Corporate Audit and Evaluation Branch**

The Corporate Audit and Evaluation Branch (CAEB) supports the achievement of the Agency's goals by providing the Commissioner, Deputy Commissioner and Agency senior management with independent and objective information, advice and assurance on the adequacy of the Agency's management framework and on the efficiency and effectiveness of its strategies, activities, programs and initiatives. The work of the Branch also facilitates the oversight by the Board of Management, through its Finance Committee, of those activities of the Agency falling within the Board's sphere of interest.

### **Finance and Administration Branch**

The Finance and Administration Branch is responsible for managing the CRA's financial resources and capital. This Branch also supports the delivery of the Agency's programs and services through the provision of functional advice and services such as sustainable development and security.

### **Human Resources Branch**

The Human Resources Branch is responsible for supporting major change initiatives and developing and/or implementing human resources policies. This Branch also provides services related to staffing, training and development, staff relations, classification, human resources planning, official languages, employee assistance, pay and benefits, and employment equity.

### **Information Technology Branch**

The Information Technology Branch (ITB) oversees the development and implementation of IT planning and reporting. This Branch also supports the delivery of the Agency's programs and services through the development, implementation, maintenance and support of the IT infrastructure including systems architecture and security. ITB is also responsible for advising on the purchasing of hardware and software and for promoting corporate standards within the Agency.

### **Legal Services**

Legal Services is responsible for providing counsel that helps the CRA make legally correct decisions as well as the coordination of the larger Justice Canada services for the CRA.

### **Policy and Planning Branch**

The Policy and Planning Branch is accountable for interpretation and remission administration of the Excise Act, the Excise Act, 2001, the Excise Tax Act, the Income Tax Act, the Air Travellers Security Charge Act, Part III and IV of the Employment Insurance Act and Part I of the Canada Pension Plan. Further, this Branch is responsible for CRA policy and intergovernmental affairs and for registering and monitoring charities and deferred income plans. This Branch provides functional direction to the regions on all excise matters, federal-provincial relations and the coordination of international relations. The Branch has responsibility for all statistics related to income tax, excise, GST/HST, incentives, benefits, trusts, pensions, etc.; the release of the data; and for socio-economic analysis, research, forecasting modeling.

### **Public Affairs Branch**

The Public Affairs Branch is responsible for providing corporate services such as the processing of ministerial correspondence, parliamentary affairs services and for managing the Access to Information and Privacy program. Public Affairs leads the Agency's communications planning and the delivery of communications products and services. Lastly, this Branch provides strategic publishing support to the Agency and branches through the development of an annual publishing plan, the provision of publishing advice, and the delivery of timely and cost efficient publishing services and products, including the management of the corporate Internet site.

Regional Operations

The six Assistant Commissioner from the Regional Operations are responsible for the delivery of and tax services in the Atlantic, Quebec, Northern Ontario, Southern Ontario, Prairie and Pacific regions.

## **Information Holdings**

### **Program Records**

#### **Appeals Branch**

##### **Corporate Services**

**Description:** Information on objectives and goals; access to information and privacy requests; Balanced Scorecard; annual report; Appeals Advisory Committee; Minister's mail; business plans; The Appellant.

**Topics:** Mandates; correspondence; plans; newsletter.

**Program Record Number:** CRA APP 300

### CPP/EI Appeals

**Description:** Information on the appeals process and on the provisions of the Employment Insurance Act and the Canada Pension Plan that are under the jurisdiction of the Minister of National Revenue; reference material relative to consultations with, instructions for, and assistance to, the Department of Justice concerning appeals to the Minister and to the courts; judicial proceedings, analysis of court decisions; correspondence with other Branches, with Tax Services Offices, with Human Resources and Skills Development Canada, with the Department of Justice and with the Tax Court of Canada, Federal Court or Supreme Court; reviews involving administrative and legislative positions; Department of Justice recommendations.

**Topics:** Research material; position papers; correspondence related to an appeal; analysis of court decisions; any other documents related to this category. The file information also includes lists of workers' names, addresses and Social Insurance Numbers; amount of pensionable and/or insurable earnings and hours; documents; working papers; decisions and rationale.

**Access:** Files are created, controlled and maintained alphabetically and/or numerically. (Records in this program contain information relating to Personal Information Bank CRA PPU 130 Appeals Regarding the Canada Pension Plan and Employment Insurance Act.)

**Program Record Number:** CRA APP 315

### Commodity Taxes Appeals

**Description:** Information on the appeals process; reference material relative to consultations with, instructions for and assistance to, the Department of Justice concerning appeals to the courts; judicial proceedings; analysis of court decisions; correspondence with other Branches; reviews involving administrative and legislative positions; Fairness Package Requests; Department of Justice recommendations. Appeal cases relate to taxes including GST/HST, FST and Excise taxes, Excise duties and Air Travellers Security Charge.

**Topics:** Research material, position papers; correspondence related to an appeal; analysis of court decisions and any other documents related to this category.

**Access:** Filed by case name, subject and appeal number.

**Program Record Number:** CRA APP 090

### Commodity Taxes Objections

**Description:** Information on the objection process; objections to assessments, reassessments and determinations; the analysis of facts and reasons as well as their ramifications;

supporting evidence and rationale for decisions; legislative interpretations and applications; consultation with other Branches; referrals and inquiries from field offices. Programs covered include GST/HST, FST and Excise taxes, Excise duties and Air travellers Security Charge.

**Topics:** Notices of Objection, Notices of Assessment, Notice of Reassessment and Notices of Determination with related documentation; referrals; position papers; decisions and rationale.

**Access:** Filed by program, case name, and subject.

**Program Record Number:** CRA APP 131

### Income Tax Appeals

**Description:** Information on the appeals process; reference material relative to consultations with, instructions for and assistance to, the Department of Justice concerning appeals to the courts; judicial proceedings; analysis of court decisions; correspondence with other Branches; reviews involving administrative and legislative positions; Fairness Package Requests; Minister's Mail; Department of Justice recommendations.

**Topics:** Research material; position papers; correspondence related to an appeal; analysis of court decisions; any other documents related to this category.

**Access:** Files are created, controlled and maintained alphabetically and/or numerically.

**Program Record Number:** CRA APP 310

### Income Tax Objections

**Description:** Information on the objection process; objections to assessments, reassessments and determinations; the analysis of facts and reasons as well as their ramifications; supporting evidence and rationale for decisions; legislative interpretations and applications; consultations with other Branches; referrals and inquiries from field offices.

**Topics:** Notices of Assessment, Notices of Reassessment, Notices of Determination and Notices of Objection with related documentation; working papers; referrals; position papers; decisions and rationale.

**Access:** Files are created, controlled and maintained alphabetically and/or numerically.

**Program Record Number:** CRA APP 305

### Management Services

**Description:** Provision of management and administrative internal services; resource projections and resource allocations and budgets.

**Topics:** Mandates; guidelines; Agency communications; authority delegations; projects; training and seminars; resource budgets; forms



and letters; evaluations; and any other applicable reports; maintain supplier and operational files. Provides informatics services, by offering informatics support to users while planning and purchasing actual and future informatics needs.

**Program Record Number:** CRA APP 325

### Corporate Programs

**Description:** Information on the Fairness Initiative; the Voluntary Disclosure Program; the Fairness Provisions; the Mediation Project; the Client Survey; the Appeals Human Resources Strategy; the Appeals Case Management System (GLOBUS) and its implementation; the mandate of the Appeals Branch; the development of service standards; development of “operational” type manuals; referrals and inquiries from field operations; project initiatives; work plans; workload and resource projections and resource allocations; budgets; training programs and information sessions; program performance evaluations; quality assurance; monitoring; Risk Management Framework; computerized information and reporting systems; statistics concerning personnel, workload, intake, case inventories and production.

**Topics:** Mandates; guidelines; Agency communications; projects; training and seminars; resource budgets; forms and letters; evaluations; surveys; quantitative and qualitative analysis; and any other applicable reports.

**Program Record Number:** CRA APP 175

### Assessment and Collections Branch

#### Accounts Receivable

**Description:** Information on the planning and development of work programs; policies and procedures dealing with delinquent client accounts; development of internal and public forms and transcripts; and statistical information to be reported to the Public Accounts committee; review of computer-based operational processing systems; information on the technical application of the interpretations regarding collection of income tax, GST/HST Excise/Customs, Canada Pension Plan contributions and Employment insurance premiums.

**Topics:** Collections activities completed, internal instructions, fiscal year reports and resource rationalization and allocation; collections cases (individual Excise, Customs and corporate); statistics (computer data on computer-based systems, e.g. PAYDAC, T1 Accounting, GST, CORPAC); Auditor-General queries; case law; demands for payments; accounts receivable programs; collections (general matters pertaining to collection of accounts); federal acts affecting collection techniques; collection and control of

petroleum and gas revenues and/or royalties subject to taxation; monitoring of accounts receivable activities; uncollectable debt reviews.

**Program Record Number:** CRA ACB 190

#### Accounts Receivable Informatics

**Description:** Information on the development of policies, procedures and guidelines pertaining to automated data capture systems, direct deposit system and electronic data interchange; review and development of computer-based technology; information on security for computer-based technology.

**Topics:** Automation of payments due to tax filers (e.g. income tax overpayments, Canada Child Tax Benefit payments, Goods and Services Tax/Harmonized Sales Tax Credit payments); Direct Deposit system; implementation of computer-based technology (e.g. electronic funds transfer, automation of payment allocation).

**Program Record Number:** CRA ACB 275

#### Audit (Regional)

**Description:** Information on the audit of tax filers' books and records, compiling audit reports, implementing Agency operating procedures and policies, and providing audit information in response to tax filers' requests and needs.

**Topics:** Assessments and determinations; purchases; goods jobbed; goods manufactured; sales and marketing practices; audit reports; third-party demands; general correspondence.

**Access:** Cases filed by licensee and/or refund applicant's name.

**Program Record Number:** CRA ACB 125

#### Benefit Programs – Canada Child Tax Benefit (CCTB) and other Provincial and Territorial and Federal Programs and Supplements

**Description:** Information on policies, procedures, budgets, work programs, communications activities as well as statistics related to the development, implementation and operation of the CCTB program and other provincial and territorial programs and supplements: Alberta Family Employment Tax Credit (AFETC), Alberta Energy Tax Refund (AETR), BC Family Bonus (BCFB) and BC Earned Income Benefit (BCEIB), BC Energy Rebate (BCER), New Brunswick Child Tax Benefit (NBCTB) including the New Brunswick Working Income Supplement (NBWIS), Newfoundland and Labrador Child Benefit (NLCB) including the Mother Baby Nutrition Supplement (MBNS), Nova Scotia Child Benefit (NSCB), Nova Scotia Taxpayers Refund (NSTR) Northwest Territories Child Benefit (NWTCTB) including the Territorial Workers' Supplement (TWS), Nunavut Child Benefit (NUCB) including the Territorial

Workers' Supplement (TWS), Ontario Taxpayers Dividend (OTD), Saskatchewan Child Benefit (SCB), Yukon Child Benefit (YCB), National Child Benefit Supplement (NCBS) and Children's Disability Benefit Supplement (CDB).

**Topics:** Policy and programs implementation, forms, budgets and training material development, systems requirements, statistics on intake and production, communication activities, correspondence with tax services offices, tax centres and individual tax filers on a variety of operational and procedural matters.

**Program Record Number:** CRA ACB 305

#### **Benefit Programs – Children's Special Allowances (CSA) Program**

**Description:** Information on policies, procedures, budgets, work programs, communications activities as well as statistics related to the development, implementation and operation of this program.

**Topics:** Policy and programs implementation, forms, budgets and training material development, systems requirements, statistics on intake and production, communication activities, correspondence with tax services offices, tax centres and individual tax filers on a variety of operational and procedural matters.

**Program Record Number:** CRA ACB 315

#### **Benefit Programs – Disability Tax Credit (DTC) Program**

**Description:** Information on policies, procedures, budgets, work programs, communications activities as well as statistics related to the development, implementation and operation of this program.

**Topics:** Policy and programs implementation, forms, budgets and training material development, systems requirements, statistics on intake and production, communication activities, correspondence with tax services offices, tax centres and individual tax filers on a variety of operational and procedural matters.

**Program Record Number:** CRA ACB 325

#### **Benefit Programs – Data Support Programs**

**Description:** Information on policies, procedures, budgets, work programs, communications activities as well as statistics related to the development, implementation and operation of the various data support programs which involve the transfer of data from CRA to other federal departments and provincial governments to allow them to determine eligibility and entitlement to social programs they administer. These data support programs include: Ontario Child Care Supplement for Working Families (OCCWF),

Quebec Family Allowances, Newfoundland and Labrador Home Heating Fuel Rebate (NLHHFR), Employment Insurance Family Supplement (EIFS), Guaranteed Income Supplement (GIS), Old Age Security (OAS), Elections Canada (formerly, the Federal Register of Electors), Defaulter Tracing System (formerly, the Child Support Reform).

**Topics:** Policy and programs implementation, forms, budgets and training material development, systems requirements, statistics on intake and production, communication activities, correspondence with tax services offices, tax centres and individual tax filers on a variety of operational and procedural matters.

**Program Record Number:** CRA ACB 335

#### **Benefit Programs – Data Marts**

**Description:** There are four data marts which represent the principle business lines administered by Benefits Programs. The Data marts contain information on individuals that is taken from the Agency Data Warehouse.

**Topics:** The purpose of these data marts is to enable: improved targeting of compliance resources, faster turnaround time for reports and ad-hoc queries, customized statistical output and tables, better ability to model impact of program changes, improved trend and profile analysis and availability of accurate and comprehensive statistical data to help both the federal and provincial and territorial governments to monitor outcomes and improve strategies in relation to their social benefit programs. Any data provided to external clients is strictly of a statistical nature (e.g., number of clients in a particular income range in receipt of a provincial child benefit) and does not include personal information.

**Program Record Number:** CRA ACB 355

#### **Benefits Programs - Goods and Services Tax / Harmonized Sales Tax (GST/HST) Credit and other related Provincial and Territorial Credit Programs**

**Description:** Information on policies, procedures, budgets, work programs, communications activities as well as statistics related to the development, implementation and operation of this GST/HST credit program and other provincial and territorial programs: Newfoundland Harmonized Sales Tax Credit (NHSTC) including the Newfoundland and Labrador Seniors Benefit (NLSB), Saskatchewan Sales Tax Credit (SSTC).

**Topics:** Policy and programs implementation, forms, budgets and training material development, systems requirements, statistics on intake and production, communication activities, correspondence with tax services offices, tax

centres and individual tax filers on a variety of operational and procedural matters.

**Program Record Number:** CRA ACB 222

### **Benefit Programs – Identification Support Programs**

**Description:** Information on policies, procedures, budgets, work programs, communications activities as well as statistics related to the development, implementation and operation of the various identification support programs that ensure the integrity of identification information of individual clients. These programs include: Client Identification (IDENT), Letter Forwarding, Taxfiler Representative Identification System (TRIS).

**Topics:** Policy and programs implementation, forms budgets and training material development, systems requirements, statistics on intake and production, communication activities, correspondence with tax services offices, tax centres and individual tax filers on a variety of operational and procedural matters.

**Program Record Number:** CRA ACB 345

### **Business Number (BN) Registration**

**Description:** Information pertaining to the Business Number including the client's name, operating or trade names, physical business address, mailing address, and books and records address, telephone and fax numbers, key person (owner, director, partner, officer etc.) social insurance number verification, contact person, authorized third-party representatives, account status, corporate registry information and effective dates for registration or deregistration for participating programs.

**Topics:** A mainframe computer tax roll to provide a single business interface with the federal government for the following programs: Goods and Services Tax/Harmonized Sales Tax (GST/HST), Corporate Income Tax (CORTAX), Trust Accounts source deductions accounts (PAYDAC), Registered Charities (CARE) Import/export accounts levies and duties (CCS), Children's Special Allowance, Public Works and Government Services Canada, for certain provincial programs in British Columbia, Manitoba, Ontario, New Brunswick and Nova Scotia, and for others as new partnerships are developed.

**Access:** Sole proprietors, corporations, partnerships, government/municipalities, associations, trusts and every other "person" who engages in commercial activity in Canada, withholds source deductions, incurs corporate tax liability or imports/exports taxable or dutiable goods into/out of Canada.

**Program Record Number:** CRA ACB 285

### **Client Services – Consultations**

**Description:** Information on consultation results.

**Topics:** Results of focus group studies of guides, returns, schedules, related forms and tax pamphlets and various enquiries initiatives; consultation with seniors and small business advisory committees.

**Program Record Number:** CRA ACB 173

### **Client Services – Enquiries Program**

**Description:** Information on the enquiries service to the general public with respect to telephone, counter, outreach and correspondence workloads.

**Topics:** Development of national policy and guidelines for the enquiries service with respect to telephone, counter, outreach and correspondence workloads; resource allocation for these workloads for tax services offices, tax centres, tax clinics and call sites; directives to field offices; research of new technologies, development and maintenance of various informatics systems in support of the enquiries programs, including the automated telephone services (T.I.P.S.), Public Inquiries Information Bank (P.E.I.B.) and Electronic Letter Creation System (ELCS); statistics on performance of telephone services, Client Services Accessibility and Accuracy Reports (CSAAR databank). Statistics on volumes of clients attending outreach seminars.

**Program Record Number:** CRA ACB 141

### **Client Services – Quality Service**

**Description:** Information on Accuracy Survey and Client Service Rating Cards (CSRC).

**Topics:** The survey results can be used nationally, or by each office, to identify training needs and take steps to develop or revise related tools and programs that may be required to assist agents in the performance of their duties. The CSRC provides client feedback on counter services in the tax services offices and tax centres.

**Program Record Number:** CRA ACB 177

### **Client Services – Returns and Guides**

**Description:** Information on the publication of all T1 (individual), T2 (corporate) and T3 (trust), Information, Non-Profit Organization and Special Elective income tax guides, returns, schedules, related forms, GST/HST guides and forms, source deduction public forms and guides; and information circulars and tax pamphlets for use by the general public.

**Topics:** Administrative application of interpretations of the Income Tax Act and Part IX of the Excise Tax Act concerning reporting requirements and regulations for individuals, corporations, employers, trusts and non-profit

entities; consultations with provinces and territories on the content of information materials concerning provincial taxes, rebates, royalties and credits, for both public and Agency use; estimates and budgets; evaluation reports; person-year utilization; suggestions for improvements to publications; and administrative and operations communications to and from field operations.

**Program Record Number:** CRA ACB 176

#### **Coverage Policy and Legislation**

**Description:** Information on Agency policy and procedures in all areas pertaining to coverage under the Canada Pension Plan and Employment Insurance Act and under the Administrative Arrangement related to the Social Security Reciprocal Agreements; operational and administrative guidance to field offices.

**Topics:** Pensionability and insurability of payments and status of individuals and employers; records of earnings; statistics.

**Program Record Number:** CRA ACB 187

#### **Diplomatic Exemptions**

**Description:** Information on exemptions accorded to foreign diplomats and other representatives in Canada.

**Topics:** Diplomats and consular and other representatives, visiting forces, International Civil Aviation Organization.

**Access:** Filed by country.

**Program Record Number:** CRA ACB 101

#### **Excise Commercial System (ECS)**

**Description:** Information on assessing and accounting for Excise and other levies filers/remitters, ECS has been replaced by the Standardized Accounting System (SA) and the other levies system, but remains accessible in view mode for historic research.

**Topics:** Tax remittances from Excise and other levies taxpayer/filers; assessment and reassessment and accounting data for specific tax years; statistical information.

**Program Record Number:** CRA ACB 360

#### **Fair Price and Values Surveys**

**Description:** Information on investigations of individual companies for tax values for fair price purposes, and survey reports on marketing or pricing of various industries.

**Topics:** Values for tax; computation of tax; specific company files; specific commodities such as lumber, truck bodies, wines, background information on fair prices.

**Access:** Filed by subject number and company name.

**Program Record Number:** CRA ACB 015

#### **GST – Rulings**

**Description:** There are two types of GST rulings; GST application rulings and advance GST rulings.

**Topics:** A GST application ruling is a written statement given by the Agency stating how it is interpreting specific provisions of PART IX of the Excise Tax Act in specific existing circumstances where that Act might apply. Generally, GST application rulings will involve the application of the GST to certain supplies of goods, services, status of persons as registrants, the determination of commercial activities and will relate to an identified person and a specific factual situation. An advance GST ruling is a written statement given by the Agency to a registrant or other person stating how it will interpret specific provisions of the Excise Tax Act in its application to a supply, action(s), transaction or series of transactions or any combination thereof (hereinafter referred to as activities) which the person is contemplating. Such proposed activities could concern, for example, a change in the structure of an entity or other activities of a tax-planning nature.

**Program Record Number:** CRA ACB 140

#### **Individual Returns and Payments Processing – Accounting**

**Description:** Information on the development and implementation of individual and trust accounting and notice production for both resident and non resident corporate, individual and trust accounts; information contained in the subsidiary ledgers; systems and procedures for calculating and reporting penalties and interest; refunds and assessments; installment payments; evaluation of programs and monitoring of operational units.

**Topics:** The Income Tax Act pertaining to refunds, interest and monitoring visit reports; computer operations – general, reports and matters pertaining to various aspects of operations.

**Program Record Number:** CRA ACB 192

#### **Individual Returns and Payments Processing- Budget Coordination**

**Description:** Information on program forecasts and budgets of assessing and accounting operations in tax services offices and tax centres; development and implementation of work and quality standards and of production and resource-utilization systems.

**Topics:** Liaison with other departments and headquarters divisions; manpower resource allocation and utilization directives to field offices; budgets and programs – forecasts, allocations, results, evaluation and systems.

**Program Record Number:** CRA ACB 121

## Licensing

**Description:** Information on filers under the Air Travelers Security Charge Act, the Excise Tax Act, the Excise Act, 2001 and the Excise Act from data received from the Canada Revenue Agency.

**Topics:** Endorsee accounts from the tax services offices; new accounts, changes, transfers, cancellations and reversals.

**Access:** Recoverable directly from the on-line system.

**Program Record Number:** CRA ACB 025

## Licensing (Regional)

**Description:** Information on the endorsing of filers under the Air Travelers Security Charge Act, the Excise Tax Act, the Excise Act, 2001 and the Excise Act.

**Topics:** Tombstone data; endorsement application forms; credits owing; arrears; cancelled accounts; transfers; reversals; uncollectibles; account numbers assigned; and information about endorsee operations.

**Access:** Filed by company on computer tape.

**Program Record Number:** CRA ACB 130

## National Uniformity

**Description:** Information on the monitoring and quality control of tax interpretation rulings, import entries and other tax information issued by the field.

**Topics:** Ruling Card Index – developed from worksheets and diskette copies of rulings from field offices. Rulings issued from field offices and monitored by the quality assurance program.

**Access:** Cards and copies of rulings filed by commodity code.

**Program Record Number:** CRA ACB 010

## Non-Filers/Non-Registrants

**Description:** Information on computerized programs for action against delinquent taxpayers; and on entities not registered for the GST and potential registrants for the GST; the objectives, work, duties and responsibilities of the Non-Filers/Non-Registrant sections and Compliance units; interdepartmental referral selection and investigation of non-filers and non-registrants; special projects; matching third-party information to income tax returns for the purpose of verifying income and registration requirements.

**Topics:** Delinquent action – individuals, corporations, estate and trusts; application of penalties for repeated failures and false statements or omissions (sub-sections 163(1) and 163(2) of the Income Tax Act), assessments raised under 152(7) of the Income Tax Act; bankrupt filers, computerized delinquent action

system (SUDS) and other non-filer reporting system (ICIS, T2 DELPAC); prosecution for failure to file income tax returns, special delinquent action projects, identification of non-filers and non-registrants, methods of obtaining compliance, and non-filers reporting system, other third-party information sources.

**Program Record Number:** CRA ACB 181

## Other Levies Programs (Maintained in the Other Levies System OLS)

**Description:** Information on the planning, control and monitoring of Excise Tax (excluding GST), Excise Duty and Air Travelers Security Charge (ATSC) filers assessment and reassessment programs; systems, procedures, and related policies designed to check the accuracy of OL returns, to determine adjustments required and to issue notices of assessment or reassessment. Information on the endorsements that are captured in relation to licensing Excise Tax and Excise Duty clients and registering Excise Duty and ATSC clients with OLS. Information on the planning, control and monitoring of programs related to the storage and retrieval of OL returns.

**Topics:** Other Levies assessment and reassessment - computerized and manual; OL compliance - verification system - computerized and manual; directives to field offices on the interpretation of policies and procedures; operational and administrative communications with field offices, headquarters divisions and other government departments; reports evaluating field offices; assessment and reassessment of OL returns.

**Program Record Number:** CRA ACB 365

## Rebate Claims – Goods and Services Tax (Excluding Visitor Rebates)

**Description:** Information on the processing and tracing of applications and cheques for rebate of the Goods and Services Tax as well as data and statistical collection.

**Topics:** Reviews of rebate applications; automated data on claimant history; status of claims and cheque issuance.

**Access:** Original documents retained – filed in central location – retrieved by locator number.

**Program Record Number:** CRA ACB 133

## Regulations and Remissions

**Description:** Information on the development and amendment of regulations under the Air Travelers Security Charge Act, the Excise Tax Act, the Excise Act, 2001 and the Excise Act, and recommendations on requests for remission of excise taxes and excise duty.

**Topics:** Research, correspondence and recommendations on such regulations and remissions as the Air Transportation Tax Regulations, Farmers' Gasoline and Diesel Fuel Remission Order, Spirit Destruction Remission Order, etc.

**Access:** Filed by subject.

**Program Record Number:** CRA ACB 085

### Research Operations

**Description:** Information on technical, financial and statistical compliance research projects.

**Topics:** Liaison with federal, provincial and foreign governments; data accumulation, interpretation and application to project requirements; recommendations for statutory revisions.

**Program Record Number:** CRA ACB 267

### Returns and Payments of GST/HST

**Description:** Information on the development and implementation of accounting and revenue control and capture systems related to the Goods and Services Tax/Harmonized Sales Tax.

**Topics:** Information contained in the general ledger and suspense accounts; information on the processing of GST/HST returns and payments; systems and procedures for capturing GST/HST returns and payments; systems and procedures for calculating and reporting interest; accounts receivable, including payments of tax, penalties, interest and refunds; installment payments; related computer and manual operations; reports pertaining to the processing of financial transactions; monitoring reports; matters pertaining to various aspects of operations; general computer operations.

**Access:** Records are filed by subject matter.

**Program Record Number:** CRA ACB 134

### Payment Processing

**Description:** Information on payment processing programs; monitoring procedures and techniques; review of Agency remittance voucher forms; and information on cash security.

**Topics:** Processing of payments and remittance vouchers; maintenance of post-dated cheques; POF program (payments on filing), liaison with EFILE program (electronic filing); updating the information systems (FIP system financial information processing), PDC system (post-dated cheques,) cashiering functions; monitoring of cashiering activities; and statistics regarding the processing of payments.

**Program Record Number:** CRA ACB 280

### Source Deductions

**Description:** Information on the planning and development of Federal and Provincial Income

Tax, Canada Pension Plan and Employment Insurance payroll deductions tables, research on Federal and Provincial Income Tax, Canada Pension Plan and Employment Insurance legislation, provisions of the Income Tax Act concerning payroll deductions on Federal and Provincial Income Tax, Canada Pension Plan and Employment Insurance rates and related Regulations; Trust examination policy and procedures; operational and administrative guidance to field offices; development of internal and public forms and transcripts; monitoring procedures, techniques and statistical data; review of computer-based operational processing systems including INFODEC (Information Declaration Enquiry System); development of administrative and enforcement policy and procedures for all deductions at source (manual or computerized).

**Topics:** Federal and Provincial Income Tax, Canada Pension Plan and Employment Insurance tables, data relating to prosecutions (failure to remit deductions at source); processing and verification of information returns; source deductions programs; payroll audits; employer compliance audit; withholding, remitting and reporting; monitoring of source deductions activities; operational and administrative communications to field operations.

**Program Record Number:** CRA ACB 188

### Standardized Accounting (SA), Corporation Tax (CORTAX), Other Levies (OL) Database

**Description:** Information on assessing and accounting for corporations and Other Levies tax filers/remitters such as Workman's Compensation and Industry Canada payments. The ongoing database is updated continuously. The database record is maintained for historical purposes.

**Topics:** Computerized tax remittances from corporations; assessment and reassessment and accounting data for specific tax years; statistical information.

**Program Record Number:** CRA ACB 295

### T1 Individual Income Tax Returns – Initial Assessment Program

**Description:** Information on the planning, control and monitoring of the T1 initial assessment programs; systems, procedures and policies designed to verify the accuracy of individual returns and to issue notices of assessment.

**Topics:** Estimates and budgets; evaluation reports; person-year utilization; functional audits; operational and administrative communications to and from field operations, headquarters divisions and other departments; consultations, negotiations and proposals on provincial taxes,

rebates, royalties and credits; Confidence Validity Program; T1 initial assessment – computerized and manual; job descriptions; organizational structures.

**Program Record Number:** CRA ACB 126

### **T1 Individual Income Tax Returns – Reassessment Program**

**Description:** Information on the planning, control and monitoring of T1 individual income tax returns reassessment programs; systems, procedures and policies established for determining necessary adjustments to previously assessed individual tax returns and for issuing notices of reassessment. Adjustment may result from additional information submitted by tax filers or from further verification of returns initiated by the Agency.

**Topics:** Estimates and budgets; evaluation reports, person-year utilization; functional audits; operational and administrative communications to and from field operations, headquarters divisions and other departments; T1 compliance verification systems – computerized and manual; consultations and negotiations with provinces on the verification of provincial taxes assessed, rebates, royalties and credits for individuals; job descriptions; organization structures.

**Program Record Number:** CRA ACB 131

### **T1 Records Programs and Procedures**

**Description:** Information on the planning, control and monitoring of programs related to the storage and retrieval of returns through the on-line computerized charge-out system; on the internal file service to tax services offices and tax centres; and on the security of returns and on-line data.

**Topics:** T1 Records plans and programs; refund inquiries and tracing; internal forms review; security; confidentiality of income tax returns.

**Program Record Number:** CRA ACB 171

### **T2 (Corporate) Initial Assessment Program, T2 (Corporate) Reassessment Program, T2 Registry Program and Special Elections and Returns (SER Program)**

**Description:** Information on the planning, control and monitoring of T2 (corporate tax returns) and Special Elections and Returns (SER), assessment and reassessment programs; systems, procedures, T2 Registry program and procedures and related policies designed to check the accuracy of T2 returns and SERs, to determine adjustments required and to issue notices of assessment or reassessment. Information on the planning, control and monitoring of programs

related to the storage and retrieval of T2 returns through the on-line charge-out system.

**Topics:** T2 assessment and reassessment, SER processing – computerized and manual; T2 and SER compliance – verification system – computerized and manual; directives to field offices on the interpretation of policies and procedures; operational and administrative communications with field offices, headquarters divisions and other government departments; reports evaluating field offices; assessment and reassessment of T2 returns and SERs; consultations and negotiations with provinces on the administration of proposed legislation and on the assessment and post-assessment verification of provincial taxes, rebates, royalties, and credits for corporations. Tax roll plans and programs and the T2 retention policy.

**Program Record Number:** CRA ACB 136

### **T3 Initial Assessment and Reassessment Program – T3 Trust Income Tax Returns**

**Description:** Information on the planning and implementation of national mandatory programs involving the examination, assessment, reassessment and processing of T3 Returns (T3s), development of computerized and manual systems or procedures, policies, instructions and internal or tax filer contact forms to process these returns, and reports on their progress and results.

**Topics:** T3 assessment and reassessment, manual verification and processing systems; directives to field offices on policies and procedures; operational and administrative communications with field offices, other headquarters divisions and other government departments.

**Program Record Number:** CRA ACB 139

### **Tax Interpretations (Regional)**

**Description:** Statistical and general information on tax rulings issued in response to licensee requests.

**Topics:** Taxable status of commodities; tax rulings letters; general correspondence.

**Access:** Filed by licensee company name.

**Program Record Number:** CRA ACB 120

### **Taxation Corporation Assessing, Accounting and Collections Master File (CORPAC)**

**Description:** Information on assessing and accounting for corporate tax filers. CORPAC has been replaced by the Standardized Accounting System (SA) and the CORTAX System, but remains accessible in view mode for historic research.

**Topics:** Computerized tax remittances from corporations; assessment and reassessment and

accounting data for specific tax years; statistical information.

**Program Record Number:** CRA ACB 191

### **Trust Accounts and Accounts Receivable Planning**

**Description:** Information on Trust Accounts and Accounts Receivable organization; strategic and long term planning relating to trust accounts and accounts receivable programs; budgeting for trust accounts and accounts receivable programs.

**Topics:** Planning and development of policies, procedures and guidelines for trust accounts and the collection of tax requiring long term implementation; budget process for trust accounts and collection of tax; allocation of resources; statistical gathering; reporting on trust accounts and accounts receivable programs.

**Program Record Number:** CRA ACB 270

### **Visitors Rebate Claims – Goods and Services Tax/Harmonized Sales Tax**

**Description:** Information on the processing and tracing of applications and cheques for rebate of the Goods and Services Tax/Harmonized Sales Tax to non-resident individuals visiting Canada, businesses, foreign and/or domestic tour operators and/or convention organizers or travel agents exhibitors on certain goods purchased and exported (within 60 days) and on short-term accommodation (less than one month); information on granted cash rebates (up to 500\$), through participating Duty Free Shops to non-resident individuals; data and statistical collection.

**Topics:** Review of rebate applications, automated data on claimant history, status of claims and cheque issuance. Information on Duty Free Shops participating in the program, including their training and monitoring.

**Access:** Applications are filed by batch document locator number (DLN) at the Processing Centre and by refund date at participating Duty Free Shops.

**Program Record Number:** CRA ACB 129

### **Compliance Programs Branch**

#### **Anti-Evasion**

**Description:** Information on anti-evasion, smuggling and fraud initiatives, on liaison with other organizations involved in anti-evasion, smuggling and fraud initiatives; on coordinated law enforcement activities; on serious financial crime; on the operation of the Assistant Commissioner Steering Committee on Anti-Evasion, and the Director General Working Group on Anti-Evasion.

**Topics:** Research, analysis including data

matching and assessment of tax evasion, smuggling and fraud; co-ordination of the CRA activities on anti-evasion, smuggling and fraud; money laundering; organized crime; serious financial crime.

**Program Record Number:** CRA CPB 270

### **Audit File Selection and Computer Application**

**Description:** Information on the planning and control of national audit file selection programs; computer-based audit selection systems (BFICS); computer assisted audit selection systems (CAAS); audit report generator on-line system (ARGO); compliance measurement profiling and assessment system (COMPASS); Contract Payment Reporting Initiative (CPRI) database for payments made to contractors by the government (departments, agencies, crown corporations) or payments to sub-contractors in the construction industry; computerized audit reporting systems;; program tests in tax services offices and assistance provided to audit on computer applications; computer-assisted audit programs.

**Topics:** Selection of files for audit by manual screening; selection of files for audit by computer screening; development of computerized file selection methods; comparative analyses of computer and non-computer selection processes; planning development and control of computer systems for conducting audits (WIN/ALS) and recording audit results (AIMS); statistical sampling techniques for use on tax audits; computer-assisted audit techniques.

**Program Record Number:** CRA CPB 196

### **Audit Operations Evaluation**

**Description:** Information on audit production reports; analysis of audit results; and evaluation of tax services office audit operations. Research analysis of audit program results in order to detect and understand compliance trends, problems and opportunities, by group and industry sector of taxpayers/registrants.

**Topics:** Evaluation criteria; statistical analyses of audit production reports; follow-up of management audit reports relating to audit operations; Balanced scorecard and monitoring reports.

**Program Record Number:** CRA CPB 211

### **Audit Programs – Planning, Development and Control of Programs; Resource Allocation**

**Description:** Information on audit organization, objectives, coverage, work programs, allocation of resources and budget preparation, as well as administrative policy.

**Topics:** Planning and development of national audit programs; allocation of resources and budget preparation; instructions for processing



completed audits and recording results; tax services office organization for audit positions; liaison with other headquarters directorate and divisions and tax services offices; tax statistics and corporate histories of public corporations; audit statistics of large corporations. Auditor-General's Reports and Observations (HAM 2849); Training and Development (HAM 3850); Tax Avoidance Orientation Course; Management Information Agreements (MIAs) and Performance Reporting; Accountability Framework - Tax Avoidance Program; Syllabus documents; Program Assessment Review and Evaluations, communiqués, policy memorandums; Electronic Commerce Advisory Committee.

**Program Record Number:** CRA CPB 193

#### **Audit Projects Development and Coordination**

**Description:** Information on the reporting and coordination of audit projects on a national scale; research and identification of areas suitable for project activity; development of sources of information; collection, analysis, evaluation and dissemination of economic data on specific groups or classes of taxpayers; authorized exchanges of information. Research of audit program results in order to detect and understand compliance trends, problems and opportunities, by group and industry sector of taxpayers/registrants.

**Topics:** Audit techniques on specific projects; information on the results of each project on a national, regional and tax services office basis; sources and types of information; exchanges of information with other government institutions.

**Program Record Number:** CRA CPB 201

#### **Audit Publications**

**Description:** Information on the preparation, coordination, publication and maintenance of manuals, handbooks, guidelines and other directives for the Audit Directorate as well as other Directorates; planning, development and presentation of technical training courses and seminars.

**Topics:** Specific research files on each Audit Operational Manual, handbooks, information circulars, branch letters, communiqués, and public and internal forms relating to audit; specific files on training courses and seminars; indexed reference manuals, handbooks and publications to sections of the Income Tax Act and Regulations; The Excise Tax Act and Regulations; Agency policy.

**Program Record Number:** CRA CPB 226

#### **Audit Research**

**Description:** Information on the development of guidelines and techniques used to audit

individuals, trusts, plans, business operations and specialized industries.

**Topics:** Audit techniques for small, medium and large businesses; studies of specific industries and industry-wide tax audits; inter-company pricing referrals; industry specialist program.

**Program Record Number:** CRA CPB 216

#### **Business Equity Valuations and Real Estate Appraisals**

**Description:** Information on valuation and appraisal policy, procedures, budgets, work programs, technical, operational and administrative guidance to field offices.

**Topics:** Administrative and operational practices pertaining to file selections, reviews and appeals, operational and financial data with certain applications including databanks of sales; individual business equity and real estate appraisal cases relating to the technical application and interpretations of valuations principles and procedures or valuation/appraisal issues and provincial assessment information.

**Program Record Number:** CRA CPB 231

#### **Competent Authority Program Administration**

**Description:** General information relating to the administration of competent authority programs as well as various issues and considerations in accordance with the terms of a treaty or convention between Canada and a foreign country.

**Topics:** Advanced Pricing Arrangements Program; Mutual Agreement Procedure Program; Exchange of Information Program.

**Program Record Number:** CRA CPB 261

#### **Compliance Research**

**Description:** Information on policy and objectives for a research program on compliance with the requirements of the Excise Tax Act, the Excise Act and the Income Tax Act.

**Topics:** Compliance research and analysis, specialized studies, statistical analysis and evaluations of special initiatives. such as High Risk Analysis Teams (HRAT) and GST/HST Enhanced Registration Review (GERR) and program strategies. Liaison with other departments and organizations, public and private.

**Program Record Number:** CRA CPB 268

#### **Detection and Investigations**

**Description:** Information specific to non-compliance, avoidance, evasion with respect to the Excise Tax Act, the Excise Act, the Income Tax Act and other related laws. The information relates to the detection, identification and investigation of potential, alleged, and actual

violations with respect to the provisions of the Acts mentioned above and can potentially be used for data matching.

**Topics:** Information pertaining to registrants, non-registrants, non-filers, taxpayers and other persons specific to non-compliance, evasion and fraud.

**Access:** Cases are filed alphabetically by vendor's name and case file, and numerically by enforcement file.

**Program Record Number:** CRA CPB 136

### **Exchange of Information under Tax Treaties**

**Description:** Information relating to the exchange of information between Canada Revenue Agency and foreign taxation authorities for carrying out the provisions of bilateral tax conventions or the domestic laws of the contracting states concerning taxes covered by the convention.

**Topics:** General information and correspondence on the Exchange of information procedure; records relating to working arrangements and exchanges of information between foreign governments and Canada, concerning the simultaneous examination and audit of taxpayers carrying out activities in more than one country.

**Program Record Number:** CRA CPB 285

### **Excise Audit**

**Description:** Information on the auditing of taxpayers' records, including audit reports, audit statistics, audit EDP programs, practices and methods, taxpayer inquiries and Agency operating procedures and policies.

**Topics:** Policy directives to the regions; commodity coding; refunds; investigations; audit reports; licensee accounts and disputed assessments; duty audit programs on distilleries, breweries, wineries, bonded warehouses.

**Access:** Filed by subject number.

**Program Record Number:** CRA CPB 045

### **Film Tax Credit Programs**

**Description:** Information on federal film tax credit programs including entitlements, objectives, plans, budgets, resource allocations, and development of guides, forms; and training and presentation materials.

**Topics:** Processing claims for federal film tax credits including policy and procedures for conducting audits and reviews, recording results and performing statistical analysis; planning and development for the administration of the programs; and specific files on guides, forms, and training and presentation materials.

**Program Record Number:** CRA CPB 150

### **Flow Through Shares (FTS)**

**Description:** This is an incentive program for the oil and gas, mining, and renewable energy industries whereby exploration corporations can issue FTS to investors and renounce certain exploration or development expenses to them. Investors can then deduct these amounts from their income.

**Topics:** corporations issuing FTS, investors acquiring FTS, exploration and development expenditures.

**Program Record Number:** CRA CPB 310

### **International Tax Operations**

**Description:** Information on technical assistance to tax services offices on international audit tax cases, case development and file review, foreign information requirements, compliance projects, transfer pricing studies, development of information circulars, planning, development and presentations of technical training courses, seminars, and conferences.

**Topics:** Liaison with regional and tax services offices, Headquarters directorates and divisions and specific taxpayers. Miscellaneous programs and special projects; studies and audit techniques regarding specific industries and their inter-company transfer pricing policy.

**Program Record Number:** CRA CPB 295

### **Judicial Processes**

**Description:** Information on legal guidance related to the preparation of cases for court; case library, and jurisprudence arising from trials.

**Topics:** Liaison with regional and tax services offices and Department of Justice; court rulings and judgments; review of cases; court hearings; commissions. (Portions of this program record pertain to Personal Information Bank CRA PPU 030 Tax Evasion Cases). When accessing information in this program record, please quote the "case name".

**Program Record Number:** CRA CPB 263

### **Management Services**

**Description:** Information on Investigations Directorate organization and work plans; allocation of resources and budget preparation; production reports; statistical analysis of the investigation activities and evaluation of tax services office operations.

**Topics:** Planning and development of national Investigations programs; allocation of resources and budget preparation; instructions for processing completed investigations and recording results; liaison with other Headquarters directorates and divisions as well as regional and tax services offices; information and measurement

systems; investigation evaluation, results and statistics; production control.

**Program Record Number:** CRA CPB 265

### **Non-Resident Operations**

**Description:** Information on technical assistance to Tax Services Offices and the International Tax Services Offices (ITSO) on non-resident audit tax cases, disposition of taxable Canadian property by non-residents, case development and file review, compliance projects, development of information circulars, planning development and presentations of technical training courses, seminars, and conferences, the technical application of the Income Tax Act (the Act) as it pertains to non-residents and factual or deemed resident of Canada who earn income from abroad; recommendations for legislative changes; technical, administrative and systems related guidance to field offices; development of CRA, internal and public forms, internal communiqués.

**Topics:** Liaison with Regional and Tax Services Offices, ITSO, Tax Centres, Headquarters directorates and divisions. Taxability of income benefits and allowances; projects and enquiries (internal and public); technical application of the Act as it pertains to non-residents earning investment or other passive types of income from Canadian sources pursuant to Part XIII of the Act, Income Tax Regulation 105 and 102 as they apply to non-residents rendering services in Canada pursuant to Part I of the Act; (includes non-resident audit, waiver information and summary of remuneration paid (T4 and T4A-NR return); or amounts paid or credited to non-residents of Canada (NR return) and dispositions taxable Canadian property, resource property or life insurance policies under Section 116 of the Income Tax Act.

**Program Record Number:** CRA CPB 305

### **Investigation Policy Formulation and Staff Development**

**Description:** Information on Investigations Directorate's policies, objectives and technical training for criminal investigations.

**Topics:** Liaison with other departments, Headquarters directorates and divisions, tax services and regional offices; policy formulation and revision; technical training in criminal investigations. (Personal Information Bank CRA PPU 030 Tax Evasion Cases, is applicable to the subject of technical training only).

**Program Record Number:** CRA CPB 262

### **Investigation Programs Operations**

**Description:** Information on technical assistance to tax services offices on investigations, case

development and file review; search warrant requests; compliance projects; organized crime operations and publicity; legal requirements of unnamed taxpayers.

**Topics:** Liaison with provincial and foreign governments, federal departments and government agencies, Headquarters directorates and divisions, regional and tax services offices; case files and reports; coordination of investigations projects; search authorities and retention orders; leads from informants; financial information (in tax services offices) relating to criminal illegal activities; publicity on completed investigations and possible data marching.

**Program Record Number:** CRA CPB 264

### **Scientific Research & Experimental Development (SR & ED)**

**Description:** Information on screening and file selection process; analysis of SR&ED review results, internal review, quality assurance, program monitoring, evaluation of the performance of SR&ED incentives and their administration; organization, objectives work plans, allocation of resources and budget preparation; development of information circulars, application policy, directives, interim instructional sheets, quality assurance, guidelines, guides, sector papers, brochures, and forms for the SR&ED program; planning, development and presentation of technical training courses, seminars, and conferences; studies and statistics and SR&ED Partnership Committee.

**Topics:** Complete and incomplete claims; review process; risk assessment and management; quarterly and annual national statistical analyses of SR&ED review reports; internal review report and management's action plan; quality assurance reports; program monitoring reports; Department of Finance and the Canada Revenue Agency (CRA) joint evaluation of the performance of SR&ED incentives and their administration - 1995/96; organization; planning and development of national program; allocation of resources and budget preparation; instructions for processing completed reviews and recording results; tax statistics; specific files, including workshop materials where applicable, on information circulars, application policy, directives, interim instructional sheets, quality assurance policy, guidelines, guides, brochures, and forms relating to SR&ED review; specific files on training courses, seminars, and conferences, sector studies and statistics and SR&ED Partnership Committee.

**Program Record Number:** CRA CPB 155

## **Tax Avoidance**

**Description:** Information on the objectives, duties and responsibilities of the tax avoidance section; on tax avoidance arrangements; on the referral, selection, examination and appeal of cases; on case material; and on jurisprudence arising from case trials.

**Topics:** Some of the tax avoidance topics covered under this bank include: Artificial Reduction of Capital Gains, Associated Corporations [Section 247(2) Cases], Commodity Futures-Straddles, Developer/Agency, Dividend Stripping, Foreign Affiliates and FAPI, General Income Splitting, Interest and Dividend Income, Intervivos Trusts, Investment Tax Credit, Loss Companies, Management and Personal Service Corporations, Motion Picture Films and Video Tapes-General, Multiple Residential Buildings, Offshore Companies, Program management and Operations, RRSPs, Rejected Referrals, Resource Industries Financing, Selective Dividends on Special Shares and Tax Shelters.

**Program Record Number:** CRA CPB 256

## **Technical Applications, Reassessing Policies and Procedures**

**Description:** Information on audit policy and procedures; the technical application of interpretations of the Income Tax Act, the Excise Tax Act, and Regulations made under these Acts and bilateral income tax treaties in effect and Agency policy affecting the audit of income tax returns of corporations, trusts and self-employed individuals; cross-border related party transactions and tax-haven related activities; technical enquiries received from tax services offices and taxpayers.

**Topics:** Information on specific applications governing the reporting of revenue, costs, expenses and allowances by corporate and unincorporated businesses; operational and administrative communications to field operations; analysis of enquiries on the application of legislation.

**Program Record Number:** CRA CPB 221

## **Technical Research and Non-Resident Tax**

**Description:** Information on the technical application of the Income Tax Act (the Act) and bilateral income tax treaties as it pertains to non-residents; recommendations for legislative changes; technical, administrative and systems related guidance to field offices; development of CRA, internal and public forms, internal communiqués.

**Topics:** Taxability of income benefits and allowances; projects and enquiries (internal and public); technical application of the Act as it

pertains to non-residents earning investment and other passive income from Canadian sources pursuant to Part XIII of the Act and of Section 105 or 102 of the Income Tax Regulations as it applies to non-residents rendering services in Canada pursuant to Part I of the Act; (includes non-resident audit, waiver information and summary of remuneration paid (T4 or T4A-NR return); amounts paid or credited to non-residents of Canada (NR4 return), Old Age Security Return of Income (Part 1.2 return) and dispositions of taxable Canadian property, resource property or life insurance policies under Section 116 of the Income Tax Act.

**Program Record Number:** CRA CPB 189

## **Corporate Audit and Evaluation Branch**

### **Internal Audit and Program Evaluation**

**Description:** Information on internal audits and program evaluations conducted on Agency programs and activities by the Internal Audit and Program Evaluation Divisions.

**Topics:** Agency documents pertaining to reviews conducted by Internal Audit and Program Evaluation including the Internal Audit and Program Evaluation Policy, Corporate Audit and Evaluation Annual Plan and Report, Internal Audit Policies, Procedures and Standards Manual, and individual review reports.

**Program Record Number:** CRA CAEB 031

### **Office of the Auditor General Liaison**

**Description:** Records related to complying with requests for information from the Office of the Auditor General of Canada (OAG) and the Commissioner of the Environment and Sustainable Development (CESD).

**Topics:** Agency documents pertaining to audits and studies conducted by the OAG and CESD including follow-up activities as applicable.

**Program Record Number:** CRA CAEB 010

## **Finance and Administration Branch**

### **Administrative Reform and Renewal**

**Description:** Information on the approach, research, consultation, strategies, business cases, action plan, implementation and monitoring adopted by the Canada Revenue Agency to strengthen and modernize its administration. Information on working papers (agendas, minutes, progress reports, slide presentations and consultants' reports on specific aspects of initiatives) of the Steering Committee and Taskforce.

**Topics:** Stemming from Bill C-43, the Canada Revenue Agency Act and the CRA Corporate Business Plan, the main topics are: Modern, Comptrollership/ Rationalization, Service

Improvement, Cost Reduction, Human Resources, Policy Change, Action Plan, Progress Reports, Specific Initiatives, Communication Strategy, etc.

**Access:** The files are arranged by initiative, subject and chronologically, starting in 2000.

**Program Record Number:** CRA FAB 440

### **Agency Committees**

**Description:** This program record contains records of the Agency Management Committee Functional Planning Committee, and the Internal Audit and Program Evaluation Committee.

**Topics:** Agenda, minutes and documents relevant to topics discussed therein. Subject matter pertains to Agency operations, policy and procedural or administrative matters.

**Program Record Number:** CRA FAB 001

### **Corporate Briefing Book**

**Description:** Briefing book for the Minister, the Commissioner, and members of the Agency Management Committee. It is updated annually and following a Cabinet shuffle.

**Topics:** Overview of the CRA, key issues and initiatives.

**Program Record Number:** CRA FAB 490

### **Information Management Services**

**Description:** Provision of Library and Records services.

**Topics:** Provide CRA employees with access to required information resources and deliver quality information that is relevant to the performance of their duties in support of the Agency's programs. These resources include Tax Cases Collection, Looseleaf Collection (provides timely information on changes and amendments to core areas of tax law), and Revenue Canada Collection (historical research, i.e. Information Circulars, IT Bulletins, T1 forms and guides, internal reports and press releases). Provision of access to required information in any media to support both the CRA's Mandate and internal functions.

**Access:** Filed by subject matter.

**Program Record Number:** CRA FAB 430

### **Modern Comptrollership**

**Description:** Information on the CRA's approach to enhancing comptrollership across the organization, including the articulation of a vision for modern comptrollership and the development of strategies for the Transparent Management for Results initiative aimed at achieving this vision. Information on the CRA's modern comptrollership capacity and initiatives to address priorities.

Information on the branch Comptrollership Committee established to enhance comptrollership at the CRA.

**Topics:** Various working documents covering the

development of a comptrollership vision and business model, strategy documents, modern comptrollership capacity, committee agendas and minutes, as well as presentations and speaking points.

**Program Record Number:** CRA FAB 460

### **Resource Management Information (RMI)**

**Description:** This system provides database-resident information on agency programs from the standpoints of resource utilization, productivity and achievement of objectives, in terms of the program business line structure as well as the agency organization structure. It is comprised of a suite of corporate systems and information bases of agency activity and operating budget data from an individual employee and contractor staff level to the corporate level. The purpose of this information bank is to be the central repository and/or linkage to all agency resource management information from employee leave tracking to multi-year resource and workload tracking and planning. Access will not be permitted without adequate proof of identification and / or authority.

**Topics:** Agency program plans, results and analyses of results, workload forecasts and market surveys, as well as emerging issues and trends. Individuals identified in this bank are all employees of the Canada Revenue Agency, as well as staff members who are engaged under personal service contracts. Components of the RMI suite include Activity Management, which is used to track activity costs and manage operating budgets, leave and extra duty, as well as substantiating time charged on contract staff invoices. The Human Resource component of the information base, provides data used for leave and extra duty management. The Budget component is used from the initial annual allotment through to the allocation and adjustment of resources by responsibility centre, work section and reporting object. The Organization/Activity and/or Resources Management framework component is used to correlate the agency activity and organization management structures. The Activity Costing component is used to provide agency activity management information. The Multi-Year Resource Planning System is used for corporate planning, Estimates, Supplementary Estimates and TB Submissions.

**Program Record Number:** CRA FAB 006

### **Revenue Accounting, Reporting and Analysis**

**Description:** Information on the accounting, analysis, and reporting of Customs, Excise and Taxation revenue, such as customs duties, the Goods and Services Tax, Excise taxes and duties,

federal and provincial income taxes, Canada Pension Plan contributions and Employment Insurance premiums.

**Topics:** Cash-collections and disbursements from revenue, i.e. refunds, rebates by type, i.e. Customs, Excise and Taxation, assessed revenue (taxes for which an assessment notice is issued), tax credits, program payments, such as Goods and Services Tax Credit, Child Tax benefits, Canada Pension Plan and Employment Insurance Act transfer schedules; royalty tax rebates, Employment Insurance benefit repayments; settlement of tax deductions with the province of Quebec; reconciliation of revenue deposits with chartered banks; foreign fund charge backs; tax deductions settlements with the Bank of Canada; Canada Pension Plan, Employment Insurance Act; unclaimed cheque suspense account; cancelled cheques other than unclaimed cheque suspense; annual reconciliation of cash on hand ; duplicate refund cheque data; accounts receivable as per public accounts and interdepartmental settlement notification data, revenues collected on behalf of other government departments and provinces, such as provincial sales tax and provincial alcohol and tobacco taxes and levies collected at the border, the Air Transportation Tax, Offshore Sales Tax, internal revenue transfer data, Bank Authorization Numbers (BAN), First Nations Taxes (FNT).

**Program Record Number:** CRA FAB 320

### Services Contracting

**Description:** Administrative records pertaining to the contracting process and related approval documents for professional services contracts awarded by the CRA in support of the various program activities undertaken at CRA.

**Topics:** Procurement planning and advance approval documents, solicitation or tender documents, contracts, standing offers, supply arrangements, Information Technology Professional Support Supply Chain, Task Authorizations.

**Access:** Services contracting information is accessible by a variety of means including by reference to a specific file number, to a contractor's name and address, to the type of services contracted, or by reference to the specific organization or region of origin for the contract.

**Program Record Number:** CRA FAB 445

### Tax and Non-Tax Revenue

**Description:** Information on the analysis, distribution and reporting of tax and non-tax revenue. Information and data on the research, analysis, draft proposals and approval of Agency financial policy, systems and procedures.

**Topics:** Customs, Excise, Taxation and non-tax revenues, reconciliation of revenue collected with Bank of Canada deposit acknowledgements; annual reconciliation of cash in transit; technical information; legislative/regulatory requirements; research problem definitions, proposals, alternative solutions, reports, drafts and approvals.

**Access:** Files are arranged by subject and number, or by project.

**Program Record Number:** CRA FAB 420

### Information Technology Branch

#### Assessment Processing

**Description:** Information on the development, implementation, and maintenance of EDP (electronic data processing) systems and procedures designed to determine the accuracy of T1 individual income tax returns , and related schedules, initially submitted by taxpayers, tax preparers, and agents in electronic, paper, or telephonic format, and of adjustments resulting from additional information supplied by taxpayers, tax preparers, agents, or from verification initiated by the Agency; information on the development, implementation, and maintenance of EDP (electronic data processing) systems and procedures designed to capture information from NISA (Net Income Specialization Account) application forms.

**Topics:** Operational and administrative communications with various head office divisions that have functional authority for the systems development for them; computerized and manual T1 initial assessment and reassessment systems; direct data entry (DDE); 2D Bar Coding scanning; Electronic Filing (T1 EFILE, T1 Netfile, Efile Online, Efile Online Plus); T1 TELEFILE; Clients making changes to their T1 using the Internet (NetRAP); Services for Seniors; NISA (Net Income Specialization Account); Tax Information Internet Service for Individuals (My Account).

**Program Record Number:** CRA ITB 274

#### Benefits Outputs, Charities, and Trusts Division

**Description:** A composite organization structure comprised of four distinct reporting units. One unit supports the systems and programs falling under The Children's Agenda - an umbrella of federal and provincial initiatives which include the Goods and Services Tax Credit (GSTC), the National Child Benefit Supplement (NCBS), the Canada Child Tax Benefit (CCTB), The Children's Special Allowance (CSA), and over 18 different provincial and territorial benefit programs and products. Two units support the Charities systems and programs, which registers an organization as a

charity, processes the annual information return and maintain the Internet site. One unit supports the systems and programs that process the Trusts Tax returns. This includes the identification and assessing of Trust returns according to Federal and Provincial legislation and providing data to outside Departments.

**Topics:** The Division's product suite includes mainframe, distributed, and web enabled applications supporting batch processing, data delivery mechanisms and enquiries/update channels, as well as a number of internal productivity tools, frameworks and technologies.

**Program Record Number:** CRA ITB 310

#### **Business Number**

**Description:** Business Number is a numbering system that is used by government to identify clients that operate a business in Canada.

**Topics:** Documentation on the design, development, testing, implementation and maintenance of this system.

**Program Record Number:** CRA ITB 320

#### **Case Management and Enforcement**

**Description:** Document of several Revenue data and information processing systems, as well as technical programming standards and guidelines. Documentation is principally in the form of program listings, run books and related materials intended to support system development, maintenance and operation.

**Topics:** System Universal DELPAC (Delinquent action Processing and Control) System (SUDS) – Filing Enforcement for Individual and Corporate Tax Returns, Filing Enforcement for Returns from Charitable Organizations on behalf of the CARE (Charity Assessing and Registration System) and Registration Enforcement for the Goods and Services Tax; Automated Collections and Source Deductions Enforcement System (ACSES) and Revenue Enforcement Management and Information Tracking System (REMITs) – support for the collection of overdue accounts; Employer Sponsored Plans System (ESP) – processing of employer sponsored pension plan data; miscellaneous systems and programs such as the On-line Chargeout System (OLC) to control issuance and location of income tax returns.

**Program Record Number:** CRA ITB 268

#### **Client Identification**

**Description:** Documentation in the form of database models and descriptions applicable to database for identification systems including; individuals (T1 Ident), businesses (Business Number), Goods and Services Tax Registration, and discounters. Also documentation in the form

of database models and descriptions for applicable database for Canadian cities and their postal and locality codes (City index), Canadian bank codes (direct deposit), and refund payment information (payment enquiry system).

**Topics:** Operational and administrative communication to and from the various head office divisions that have functional authority for the systems development for them.

**Program Record Number:** CRA ITB 266

#### **Computer Operations**

**Description:** Information on computer hardware (the various computer components); operation of computer equipment and the administrative procedures used within the Operations Directorate.

**Topics:** Procedure manuals for data control; tape/media library; tape library; computer room security; scheduling; administrative computer operations; DataCentre Heron and DataCentre St-Laurent computer operations; production control and various vendor equipment operations.

**Program Record Number:** CRA ITB 271

#### **Corporate Administrative Systems (CAS)**

**Description:** The Corporate Administrative System (CAS) is a large SAP implementation which supports the internal management of the CRA, i.e., human resources management, asset management, finance, material management, resource management, facility management and procurement. A highly integrated system, CAS is used by human resources, finance and administration professionals across the Agency in the conduct of their day-to-day work. It is used by corporate and program branches for corporate management and analysis purposes. Documentation includes information on the design, development, testing, implementation and maintenance of CAS.

**Topics:** Operational and administrative policies, project plans, business requirements, program specifications, change action requests, architecture landscape, and training material are available.

**Program Record Number:** CRA ITB 260

#### **Credit Determination**

**Description:** Information on the development, implementation, and maintenance of all electronic data processing of benefit programs. The Credit Determination Division presently manages twenty-five credits. These credits are designed to contribute to the economic and social well-being of Canadians by, for example, reducing child poverty and helping parents of low-income families to participate in the workforce. Fifteen out

of twenty-five credits are for children: - Canada Child Tax Benefit (CCTB) including the National Child Benefit Supplement (NCBS) and the Child Disability Benefit (CDB) - British Columbia Family Bonus (BCFB) including the British Columbia Employment Income Bonus (BCEIB) - Alberta Family Employment Tax Credit (AFETC) - Saskatchewan Child Benefit (SCB) - Northwest Territories Child Benefit (NWTCB) - Nunavut Child Benefit (NUCB) – Yukon Child Benefit (YCB) - New Brunswick Child Tax Benefit (NBCTB)) - Newfoundland and Labrador Child Benefit (NLCB) - Mother Baby Nutritional Supplement for the resident of Newfoundland and Labrador (MBNS) - Nova Scotia Child Benefit (NSCB) - Children's Special Allowance (CSA). - Three credits are related to the GST: - Goods and Services Tax Credit (GSTC) – Saskatchewan Sales Tax Credit (SSTC) - Newfoundland Harmonized Sales Tax Credit (NHSTC). In Saskatchewan, Newfoundland, Nova Scotia and New Brunswick, provincial sales taxes have been harmonized - with the GST, resulting in the HST. And the last credit is designed to help senior citizens - Newfoundland Seniors Benefit (NSB). On behalf of our partnership with federal and provincial Governments, five credits are designed to help Canadian citizens of low income by providing Federal-Provincial Tax Rebate; - Relief for Heating Expense (RHE) – British Columbia Tax Rebate (BCTR) – Alberta Energy Tax Rebate (AETR) – Ontario Tax Dividend (OTD) – Nova Scotia Tax Rebate (NSTR)

**Topics:** Operational and administrative communications with various head office divisions that have functional authority for the systems developed for them; computerized and manual applications for the Child Tax Benefit and Child Special Allowance, electronic initial assessments and reassessments for all social benefit programs; electronic records of all payments and financial adjustments to benefit client accounts and electronic records of all correspondence sent to benefit clients.

**Program Record Number:** CRA ITB 272

#### **Disbursementary / Individual Ident Systems**

**Description:** Documentation of several taxation data and information processing systems. Documentation is principally in the form of program listings and run books intended to support maintenance and operation.

**Topics:** RAPID – rapid information for districts; enquiry programs for field offices into on-line tax data; Individuals (T1 Ident, Disbursements,). Taxation T1 Assessing Master File; Home Buyers Plan (HBP); Lifelong Learning Plan (LLP);

Pension Reform system; T1PR; Tax Information Phone Service (TIPS). Also program document for Canadian cities and their postal and locality codes (City Index), Canadian bank codes (Direct Deposit), and refund payment information (Payment Enquiry System). information (Payment Enquiry System).

**Program Record Number:** CRA ITB 291

#### **Equitas**

**Description:** Equitas provides information storage and retrieval which is used in processing clients objections to assessments of individual income tax. Equitas, which is a component of a case management system, maintains information specific to the notice of objection.

**Topics:** Documentation includes information on the design, development, testing, and implementation of the components, applications, and infrastructure. Systems descriptions, conceptual designs, database models, project development and deployment schedules, procurement records, integrated testing strategy and problem reporting instructions, and problem management strategy are available.

**Program Record Number:** CRA ITB 390

#### **Goods & Services Tax (GST) / Harmonized Sales Tax (HST)**

**Description:** The GST/HST major business functions are registration, data capture, accounting, refunds/rebates, collections and audit. Documentation includes information on design, development, testing, implementation and maintenance of the GST/HST system.

**Topics:** Operational and administrative policies, project plans, business requirements, program specifications and change action requests are available.

**Program Record Number:** CRA ITB 270

#### **Infodec System**

**Description:** Documentation of several taxation data and information processing systems. Documentation is principally in the form of program listings and run books intended to support maintenance and operation.

**Topics:** Information declaration system (Infodec) - data capture; amendment and storage of T4/T5 families of information returns; RAPID - rapid information for districts; enquiry programs for field offices into on-line tax data

**Program Record Number:** CRA ITB 425

#### **Other Levies Systems (OLS)**

**Description:** OLS supports the administration of the Excise Act and the non-GST provisions of the Excise Tax Act. The system consists of three major components: Endorsing (licensing),



Securing (bonding) and Assessing.

**Topics:** Documentation includes information on design, development, testing, implementation and maintenance of OL system. Operational and administrative policies, project plans, business requirements, program specifications and change action requests are available.

**Program Record Number:** CRA ITB 400

### **Payroll Deductions, Accounting, and Collections (PAYDAC) System**

**Description:** The major business functions of the PAYDAC system are accounting and enforcement activities associated with the remittances of source deductions by employers in Canada. Also included are activities associated with processing the employer return, including follow-up on missing returns as well as a reconciliation between the return and amounts posted to the account during the year. As well, PAYDAC generates numerous outputs to employers. Documentation includes information on design, development, testing, release implementation, and the maintenance of PAYDAC.

**Topics:** Operational and administrative policies, project plans, business requirements, change requests, impact documents, and program specifications.

**Program Record Number:** CRA ITB 410

### **Public Outputs & Communications**

**Description:** Public Outputs and Communications Section is responsible for the development and maintenance of 6 national software applications whose main function is the delivery of printed correspondence, principally to businesses and limited printed correspondence to individual taxpayers. These 6 applications are ELCS (Electronic Letter Creation System), which is used to generate standard and customised letters to CRA clients. OTCS (Online Taxpayer Correspondence System), used at the T1 Initial Assessing stage to generate letters requesting additional information. GST/HST Notices & Outputs, a subsystem of the GST/HST mainframe system, produces most GST/HST public outputs (such as tax returns, remittance forms, rebate applications, non-compliance /collection notices, and notices of assessment). PAYDAC Notices, a subsystem of the PAYDAC mainframe system, produces the public outputs for the Source Deductions Program, including statements of account, non-Compliance/collection notices, and notices of assessment. NS-WCB (Nova Scotia Workers Compensation Board) produces a monthly statement of account for N.S. WCB clients, using data received from the WCB program of N.S. BCCS (BUSINESS CLIENT

COMMUNICATION SYSTEM) is CRA's common corporate outputs system currently used for accounting and assessing components of the T2 and Other Levies applications. Documentation includes information on design, development, testing, implementation and maintenance of these applications.

**Topics:** Operational and administrative policies, project plans, business requirements, program specifications and change action requests are available.

**Program Record Number:** CRA ITB 415

### **Residency Determination Advisory electronic data processing system**

**Description:** Individuals leaving or entering Canada for an extended period of time are encouraged to request a determination of their residency to ensure they understand their tax obligation to Canada. The Residency Determination Advisory system assists officers in the CRA in determining an individual's residency status for Canadian income tax purposes.

**Topics:** Information on the development, implementation, operation and maintenance of this system, in the form of computer programs, program run books database models and description, and related materials. Includes operational and administrative communications with various head office divisions that have functional authority for the system. The system includes electronic records of residency determinations and business rule logic.

**Program Record Number:** CRA ITB 278

### **Standardized Accounting**

**Description:** Standardized Accounting posts credits, debits or accounting non financial transactions to the client account, updates the Revenue Ledger and issues Accounting Communication.

**Topics:** Applying payments, validating and applying net assessment/return amounts to the client account; validating and applying instalment or re-assessment prepayment amounts to the client account; validating and applying account adjustments to the client account; calculating and applying accounting penalties to the client account; applying accounting penalties to the client account; calculating and applying interest to the client account; offsetting credit balances within one program; issuing refunds; initiating standardized accounting communications; report financial activity to Revenue Ledger and facilitating account enquiries.

**Program Record Number:** CRA ITB 264

## **The Non-Resident Source Deductions (NRSD) system**

**Description:** The NRSD system is responsible for the administration of Part XIII source deductions. The major business functions of the system are: Accounting, Assessments, Enforcement, Workloads, and Elections. The Accounting function accepts and posts remittances received from Canadian agents who withhold Part XIII tax from Non-resident clients as well as various other financial transactions to administer the account. Accounting functions also include GL/ RL updates, and financial controls. Assessments are raised automatically or manually and will issue notices for – Failure To Remit (FTR), Failure To Deduct (FTD), Penalty Interest and Law cost. Enforcement activities include the posting of returns and a reconciliation process between the NR4 return amounts and amounts posted to the account during the year as well as follow-up on remittances, NR4 filing, filing discrepancies, collections, and balance review. These activities may result in output or workloads. Workloads include allocation of work, office structures, and approval limits for financial transactions. Non-Resident clients file elections to receive reductions in tax withholding rates and the NRSD system administers these requests and issues letters to the Non-resident as well as to Canadian agents who withhold Part XIII tax for the Non-resident's income. The NRSD system records all activity made to NR accounts through a change log audit trail and user diaries. The NRSD system also issues other types of output to the Canadian agents such as monthly account statements and includes many other minor functions related to the major business functions such as error corrections. Documentation includes information on the design of the system, development, testing, release procedures and annual maintenance for the NRSD system.

**Topics:** Operational and administrative policies, project plans, business requirements, change requests, impact documents and program specifications.

**Program Record Number:** CRA ITB 420

## **T1 (Individual Income Tax Return)**

**Description:** Information on the development, enhancement, maintenance and support of EDP (electronic data processing) systems and procedures for T1 individual income tax return accounting and various related applications.

**Topics:** T1 Accounting, Automated Interest Calculation (AutoIntcal), Automated Sub Ledger (ASL), Employer Sponsored Pension Plans (ESP), Individual Enquiries Computer Telephony

Integration (IECTI), Individual Enquiries Print (IEP), Individual Enquiries Workbench (IEW), Instalment Notices (INNS), Interactive Information Service (IIS), and T1 Matching.

**Program Record Number:** CRA ITB 286

## **T2 (Corporate Tax Return)**

**Description:** T2 manages information and documentation relating to Corporation Assessing, Electronic Filing, Inquiries and Changes.

**Topics:** EDI, Internet and paper filing of T2 returns; ongoing legislative changes; development of an interfaces with Standardized Accounting, Business Client Communication System (BCCS), Case Management System (CMS), Business Number (BN) and Revenue Ledger; transmittal of Industry Canada information.

**Program Record Number:** CRA ITB 305

## **T106 – T1134 Management System**

**Description:** Documentation in the form of database models and descriptions applicable to database for T106 - T1134 Management System, with application code business process documentation. Electronic repository for all data captured from T106 Information Return of Non-Arm's Length Transactions With Non-Resident Persons/Partnerships and the T1134 Information Return Relating To controlled/Non-Controlled Foreign Affiliates.

**Topics:** Operational and administrative communication to and from the various head office departments that have functional authority for the system and development of it. Operational and administrative communication to and from the various district office departments that have operational authority for the system and use of the data for audit purposes. Administrative communication with other government departments that have authority for access to the data for macro analysis.

**Program Record Number:** CRA ITB 380

## **Waivers on Withholding electronic data processing system**

**Description:** The Waiver on Withholding system assists officers in the CRA in determining whether a waiver of withholding taxes should be granted. The Canadian Income Tax Act requires a withholding of tax from certain amounts paid to non-residents of Canada in respect of services rendered in Canada or to certain residents of Canada working abroad. If, however, a client can adequately demonstrate that the withholding taxes normally required are in excess of their ultimate Canadian tax liability, the CRA may reduce the withholding tax accordingly.

**Topics:** Information on the development,

implementation, operation and maintenance of this system, in the form of computer programs, program run books, database models and description, and related materials Includes operational and administrative communications with various head office divisions that have functional authority for the system. The system includes electronic records of Waiver on Withholding consultations and associated comments, business rule logic and statistical, information and ad hoc reports.

**Program Record Number:** CRA ITB 276

## Policy and Planning Branch

### Agency Transition

**Description:** Information on the approach adopted by Revenue Canada to effect its transition from department to agency. Information on working papers (agendas, minutes, progress reports, slide presentations and consultants' reports on specific aspects of transition) of ad hoc Agency transition committees.

**Topics:** Stemming from Bill C-43, the Canada Revenue Agency Act, the main topics are: Human Resources regime, governance of the Agency, management of assets and various administrative policies; more specifically to transition and "Day 1", communication strategy.

**Access:** The files are arranged chronologically, starting in 1997 through months preceding "Day 1" (November 1, 1999).

**Program Record Number:** CRA PPB 460

### Central Agencies – Reports

**Description:** Information on reports from Central Agencies on Agency activities and replies.

**Topics:** Central agency reports outlining activities reviewed and related correspondence.

**Program Record Number:** CRA PPB 470

### Changes to International Provisions of the Income Tax Act

**Description:** Information on recommendations for changes to various provisions of the Income Tax Act, e.g., provisions covering income of non-resident persons and shareholders of certain corporations not resident in Canada.

**Topics:** Files on proposed changes to the Act such as Part XIII (Sections 212-217), dealing with the taxation of income earned in Canada by non-resident persons (interest, dividends and royalties). The provision for foreign tax credits in Section 126 and the provisions dealing with residents in Section 250 are further examples.

**Program Record Number:** CRA PPB 086

### Corporate Planning, Reporting & Governance

**Description:** Information on Corporate Planning, Environmental Scanning, Corporate Performance

Reporting, Corporate Governance and Accountability, Service Standards.

**Topics:** Governance Regime and Corporate Accountability, Corporate Business Plans, Strategic Overview, Summary of the Corporate Business Plan, Report on Plans and Priorities, Departmental Performance Report, Annual Report, Ministerial Action Plan, Guide to Service Standards in the CRA, presentation materials on business plans and the planning process, Planning Guide, Accountability Contracts for all senior managers. Subject matter pertains to the corporate governance, planning, reporting and accountability processes, and the development of Service Standards.

**Program Record Number:** CRA PPB 475

### Duty (Regional)

**Description:** Information on monitoring and auditing of licensees liable for excise duties under the Excise Act, 2001 and the Excise Act including licensee information, implementation of Agency operating procedures and directives for spirits, wine, beer and tobacco.

**Topics:** Tax rulings; licensing; licensing and registration status; statement of production; monthly return of excise duty and monthly return of licensed users; general correspondence.

**Access:** Filed by licensee company name.

**Program Record Number:** CRA PPB 126

### Excise Duty

**Description:** Information on the excise duties under the Excise Act, 2001 and the Excise Act; on spirits, wine, beer, and tobacco products; possession production and warehousing of these products; licensee information.

**Topics:** Excise duty – general; licenses and registrations; spirits, wine and by-products; blending; denatured alcohol; alcohol for fuel; alcohol registrants; beer and breweries; bonds; bonded carriers; distilleries; drawbacks and refunds of excise duty; pharmacists; imports and exports; of spirits, wine, beer and tobacco; licences and permits; manufacturers in-bond; monitoring; samples for analysis; special Excise services charges; chemical stills; tobacco manufacturing; warehousing; weighing and measuring devices; fortified wine; approved instruments; ferment-on-premises; bottle-your-own; registered users; and labels for approval.

**Access:** Subject Matter filed by commodity, i.e., alcohol, beer and tobacco.

**Program Record Number:** CRA PPB 075

### Infozone

**Description:** CRA Intranet site which provides CRA employees with immediate access to all CRA

technical information, publications, forms, announcements, newsletters etc. in both official languages.

**Topics:** Contains CRA policies, standards, and procedures, forms and templates, media and other news services, training and development, workplace practices and opportunities, technology and related issues, and reference material such as phone books, organization charts, contact lists, and numerous publications. Agency statistics from all business lines are on the Intranet Site including personal and corporate income tax, excise taxes and duties, GST/HST, Child Tax Benefits, GST Credit, Scientific Research and Experimental Development (SR&ED) tax incentive, etc.

**Access:** Users can browse through a general homepage which links to all other branches and sources of information.

**Program Record Number:** CRA PPB 455

### **Excise Taxes and Special Levies**

**Description:** Information on the application of excise tax under the Excise Tax Act on wine, jewellery, tobacco products, petroleum and motor fuels, automobile air conditioners, and automobiles over specified weights; information on the application and collection of tax on insurance premiums under Part I of the Excise Tax Act; information on the application of the charge under the Air Travellers Security Charge Act; preparation of policy statements, memoranda, and notices concerning the application on non-GST portions of the Excise Tax Act and Air Travellers Security Charge Act.

**Note:** Excise taxes on wine and tobacco products were repealed, effective July 1, 2003.

**Topics:** General wine, automobile air conditioners, jewellery, fuel taxes, projects, customs tariff.

**Access:** Subject matter filed by commodity, i.e., wine, jewellery, tobacco, motive fuel, air transportation, insurance premiums, air conditioners and heavy vehicles.

**Program Record Number:** CRA PPB 030

### **Field Development**

**Description:** Information on branch training initiatives and programs relative to tax interpretations, for both rulings and interpretations officers and auditors in the field and at headquarters.

**Topics:** Work and service standards; casework procedures; registration investigation procedures; classification factors.

**Access:** Filed by subject.

**Program Record Number:** CRA PPB 130

### **FST – Rulings**

**Description:** Information on the eligibility of companies or commodities for exemption from sales or excise taxes and duties; eligibility for refund in the form of rulings – precedent and policy setting; and Tariff Board, Canadian International Trade Tribunal and Court decisions under such fields as manufacturers and producers, values for tax, refunds, conditional exemptions, containers and coverings, clothing and footwear, and other general commodity headings.

**Topics:** Liability for tax, manufacturing or producing, refunds and exemptions from tax for goods such as production equipment, processing materials, foodstuffs, clothing and footwear, farm and forest goods, educational, cultural, religious and literary goods, and other types of commodities listed in Schedule III to the Excise Tax Act.

**Access:** Rulings (Automated Information System (RISE) and card file) and CRA Electronic Library.

**Program Record Number:** CRA PPB 134

### **Income Tax Rulings – Subject Matter Files (Primary Files)**

**Description:** Correspondence with taxpayers on matters relating to interpretations of the Income Tax Act and Regulations, including copies of advance income tax rulings and requests for technical interpretations.

**Topics:** Subject files are broken down into specific subject topics as listed in the index to the Income Tax Act and Regulations and related legislation, e.g., income from office or employment, capital cost allowances, gifts, dividends, property, deceased taxpayers, expenses. Files contain both the incoming taxpayer enquiry and the outgoing response.

**Access:** Correspondence is filed chronologically under the relevant topic. A card index is maintained to assist in locating specific correspondence either under the taxpayer's name and/or that of his or her representative. The confidentiality provisions of the Income Tax Act prevent information contained in this program record concerning specific taxpayers from being disclosed without the written permission of the taxpayers involved.

**Program Record Number:** CRA PPB 041

### **Technical Publications and Programs (Headquarters)**

**Description:** Excise and GST/HST technical information necessary for registrants and licensees to voluntarily comply with the Excise and GST/HST legislation is published electronically.

**Topics:** This includes the GST/HST, Excise Duty, and Excise Taxes and Special Levies Memoranda Series, Policy Statements, the GST/HST News, and Technical Information Bulletins.

**Access:** Records Management Files, Infozone, CRA Internet site, CRA Electronic Library, EBBS (electronic versions for subscribing publishing houses).

**Program Record Number:** CRA PPB 136

### International Representation

**Description:** Information on Agency activities with various international organizations.

**Topics:** International Tax Dialogue (ITD) (see website); Inter American Centre of Tax Administrators (CIAT); European Community (EC); Organization of American States (OAS); General Agreement on Tariffs and Trade (GATT); United Nations Conference on Trade and Development (UNCTAD); and others.

**Access:** Filed by subject; organizations, by name; and trade negotiations, by country.

**Program Record Number:** CRA PPB 445

### Interpretations

**Description:** Information and research on complex tax issues, cases referred by the regional offices and the taxpaying public, and questions resulting from legislative policy changes, such as budget resolutions and Ways and Means motions.

**Topics:** General correspondence from taxpayers, consultants and representative industries on specific tax rulings by commodity subject, e.g., transportation equipment, aircraft, foodstuffs, fuel, and electricity.

**Access:** Filed by subject number.

**Program Record Number:** CRA PPB 140

### Legislation

**Description:** Information on aspects of existing or proposed legislation.

**Topics:** Research, correspondence and recommendations relating to amendments to the Excise Tax Act, the Excise Act, and the Softwood Lumber Products Export Charge Act.

**Access:** Filed by subject.

**Program Record Number:** CRA PPB 080

### Mathematical Tax Models – Operation and Control

**Description:** Information on the objectives, work, duties and responsibilities of the various excise, GST/HST, benefit, tax and fiscal model work groups; tax model sample selection schemes; computer database files (which may involve data mining and matching for statistical purposes only) and record layout; computer program documentation; computer simulation system documentation; and data capture instructions.

**Topics:** Administrative workload and processing model; personal taxation simulation model; corporation taxation simulation model; GST/HST model, First Nations' Sales Tax Model, etc., data capture instructions; techniques to prevent the releases of identifiable taxpayer information; corporate individual and family database files; operational computer programs; sampling techniques.

**Program Record Number:** CRA PPB 485

### Legislative and Intergovernmental Affairs Branch Memoranda – Research Material

**Description:** Information on interpretations of significant or problematic income tax matters. Research files contain copies of technically significant interpretations, rulings, legal opinions and position papers in connection with each memorandum issued to Agency staff.

**Topics:** Technical interpretations, background information and intended effect on certain aspects of the Income Tax Act, Canada Pension Plan, Employment Insurance Act, reciprocal tax treaties, the Income Tax Acts of agreeing provinces and related Regulations; specific topics such as universities outside Canada, forgiveness of loans; and educational institutions.

**Program Record Number:** CRA PPB 036

### Management Policies

**Description:** A database containing tombstone data on CRA administrative, human resource and corporate policies.

**Topics:** Information includes the name of the policy, authoring Branch, effective date and review cycle.

**Program Record Number:** CRA PPB 480

### Operations Research Studies

**Description:** Information on the statement of a problem, method of approach, and the mathematical and operations research and econometric techniques involved in each study; summary of data requirements, design and procedures required to perform each study; system analysis; design and programming documentation to process data of each study; and data analysis, reports, data files (which may involve data matching for statistical purposes only) and correspondence produced during each study.

**Topics:** Planning process studies; effectiveness studies; work optimization studies; workload and file selection studies; profile analysis; trend analysis studies.

**Program Record Number:** CRA PPB 490

### Other International Matters

**Description:** Information on relations with the Department of External Affairs, other

governments, taxpayers (both domestic and foreign) and international organizations, on matters not covered under other program records.

**Topics:** Sovereign immunity and non-resident problems; international joint programs; Commonwealth Association of Tax Administrators (CATA); Organization for Economic Cooperation and Development (OECD); Roundtable Meeting, International Microsimulation Conference, Centro Interamericano de Administradores Tributarios (CIAT); Centre de Rencontre et Études des Dirigeants des Administrations Fiscales (CRÉDAF).

**Program Record Number:** CRA PPB 076

#### **Proposed and Enacted Amendments**

**Description:** Information on memoranda, discussion papers and other background material in connection with proposed amendments. This material is maintained in confidential files until each amendment is passed by Parliament. Some of the material may remain classified as confidential even after a proposed amendment is enacted such as written material from other departments (Department of Finance), background information and legal opinions.

**Topics:** Correspondence and liaison memoranda with other divisions, the Department of Finance and other government departments; subject matter files, by section of the Income Tax Act, containing all material related to a given amendment.

**Program Record Number:** CRA PPB 037

#### **Provincial Information**

**Description:** Information on dealings with the Department of Finance, provincial governments, and other divisions within the Agency on the administration and interpretation of the law, collection agreements and changes to provincial law. Statistics are data captured and analysis is carried out on behalf of the provinces and territories. This statistical information is transmitted in the form of reports, files, charts, etc.

**Topics:** Exchange of information and statistics with provinces and territories regarding individual taxpayers; exchange of information and statistics with the provinces and territories regarding individual and corporation taxpayers, non-filers, GST/HST, benefits, incentives, excise, trusts, pensions; etc.; interpretation of federal and provincial income tax acts; provincial budget changes, proposed and enacted; interpretation of collection agreements; administration of collection agreements.

**Program Record Number:** CRA PPB 081

#### **Charities Directorate - Client Files and Subject Matter Files**

**Description:** There is a client file for each applicant for registration as a charity, Canadian amateur athletic association (CAAA) or national arts service organization (NASO) under the Income Tax Act. The Directorate also maintains subject matter files relating to the administration of the Income Tax Act and the application of common law as it relates to the registration of charities, CAAAs and NASOs.

**Topics:** Client files are filed numerically and may include applications, governing documents, determinations of eligibility of registration, interpretations, annual information returns (forms T3010/T3010A and T2052), and audit reports. Subject matter files are broken down into specific topics and may contain correspondence with clients, taxpayers, and other government departments, copies of court cases, administrative and operational guidelines relating to registration, and statistical information. Information is filed chronologically under the relevant topic.

**Access:** The confidentiality provisions of the Income Tax Act prevent information contained in these program records concerning specific taxpayers from being disclosed without the written authorization of the taxpayers involved. However, certain information about registered and previously registered charities is available to the public. Beginning with the 2000 taxation year, the annual information returns filed by registered charities can be found on the Charities Web site. Copies of the return and other publicly available documents such as charities' governing documents, notifications of registrations, and letters outlining reasons why registration was revoked, are available upon request to the Charities Directorate, by calling, toll-free, 1-877-202-5111, or by writing to the Directorate at Canada Revenue Agency, Ottawa, Ontario, K1A 0L5. The Web site also includes policy statements and commentaries, publications and guidelines, including drafts for consultation.

**Program Record Number:** CRA PPB 290

#### **Performance Measurement**

**Description:** Information on the balanced scorecard, which is a performance measurement methodology that helps an organization align and focus management efforts on achieving its strategies and objectives. The records include information on the development of the BSC/Performance Measurement for the CRA, the system being developed to collect and manage data and inform corporate reporting, and the material developed to introduce the BSC to

managers at all levels throughout the CRA.

**Topics:** BSC measures and indicators, definitions of measures and indicators for the CRA, logic models, communication strategy, policies.

**Program Record Number:** CRA PPB 465

### **Registered Pension and Deferred Income Plans**

**Description:** Information on the registration, audit and approval of amendments to employees' pension plans (EPPs), deferred profit sharing plans (DPSPs), education savings plans (RESPs), supplementary employment benefit plans (SUBPs), retirement savings plans (RRSPs), retirement income funds (RRIFs); registered investments (RIs); actuarial advice on the approval of employer contributions to employee pension plans; and the development of forms and information circulars. Information concerning these seven deferred income programs is also available via CRA's website. Included in this information are: forms, newsletters, guides, information circulars, interpretation bulletins, compliance bulletins, minutes of consultation sessions, frequently asked questions, registered investment listings, information concerning pension adjustments, past service pension adjustments and pension adjustment reversals, the mandate and organization of Registered Plans Directorate as well as contact information.

**Topics:** Research and subject files on specific provisions concerning EPPs, DPSPs, RESPs, SUBPs, RRSPs, RRIFs and RIs (contain letters to and from taxpayers); administrative and organizational practices for processing applications for registration and amendments to plans; instructions for the audit of registered pension and deferred income plans; instructions for completing style letters; instructions for completing computer transcripts for ESP system; development and amendment of forms; development and amendment of information circulars.

**Program Record Number:** CRA PPB 117

### **Regulations**

**Description:** Information on memoranda, discussion papers, correspondence and other background material relating to new, or amending existing regulations; copies of Orders-in-Council and schedules thereto, submission letters and communications between the Deputy Minister and the Minister. Some of the material is confidential and may not be released. This includes written material from other departments (Department of Finance), background information and legal opinions.

**Topics:** Liaison with other divisions, departments or agencies; subject matter files by part (of regulations) number containing materials related to amendment; chronological file containing master copies of all amendments and communications from the Deputy Minister to the Minister.

**Program Record Number:** CRA PPB 038

### **Relations with Provinces and Territories**

**Description:** Information on federal-provincial relations, including the development of national policies strategic plans, accountability documents and memoranda of understanding And statistics in support of federal administration of provincial and territorial tax programs.

**Topics:** Policy documents; accountability reports; memoranda of understanding; statistical reports and analysis.

**Program Record Number:** CRA PPB 045

### **Risk Management**

**Description:** Records related to functional leadership in the implementation of strategic risk management within the CRA.

**Topics:** Risk Management, Integrated Risk Management, Risk Arena, Risk Identification, Risk Assessment, Mitigation Strategies.

**Program Record Number:** CRA PPB 500

### **Social Security Agreements**

**Description:** Information on the negotiation of social security agreements with Quebec and foreign governments in conjunction with Health and Welfare Canada, and the implementation of these agreements. Canada has social security agreements with, for example, France, Greece, Italy, Jamaica and Portugal.

**Topics:** Negotiations of the agreements; implementation of the agreements.

**Program Record Number:** CRA PPB 091

### **Statistical Services to the Agency**

**Description:** Information on forecasts of expected filing patterns for business, GST/HST and individual income tax returns, and on statistical schemes and consulting services provided to divisions in the Agency. Data on taxfiler behaviours and trends.

**Topics:** Consulting services provided to the Agency; statistical methodology support provided to the Agency managers.

**Program Record Number:** CRA PPB 505

### **Statistics – Operations, Control and Release of Data**

**Description:** Information on the objectives, work, duties and responsibilities of the various work groups calculating statistics; computer program

documentation and design; sample designs, data capture techniques and instructions; database files (which may involve data mining and matching for statistical purposes only) and record layouts; requests for and releases of data; and data calculations compiled.

**Topics:** Statistics on individuals with various breakdowns by age, sex, occupation, and geographic region; corporation income statistics, GST/HST statistics, Excise data, benefit programs statistics, corporate statistics and administrative statistical data; requests for and releases of statistical information by source, personal, corporation and family GST/HST, Excise, etc., sample files; statistical sample designs for collecting statistics listed above; listings of agencies legally entitled to data; releases of taxation data to federal and provincial/territorial agencies; monthly and quarterly tax collection, tax filing, GST/HST filing, etc., reports; internal administrative statistics on assessments, audits, and post-assessing projects.

**Program Record Number:** CRA PPB 510

#### Tax Treaty Files

**Description:** Information on the negotiation of all tax treaties including all of the notes and minutes of negotiation meetings.

**Topics:** Separate series of files for each set of negotiations with treaty countries, and general files on the interpretation of treaties. Some examples include treaties with Australia, Barbados, Belgium, Israel, Switzerland, the United Kingdom, and the United States.

**Program Record Number:** CRA PPB 071

#### Taxation Research Master Files (Chronological File)

**Description:** Information authored within Income Tax Rulings on technically significant tax law interpretations, income tax rulings, requests for legal opinions in respect of specific sections of the Income Tax Act and Regulations and other related legislation included in the Income Tax Rulings' files.

**Topics:** Subject topics are the same as indicated in CRA PPB 041 except they are filed chronologically in two week periods.

**Access:** Correspondence is filed chronologically. There is no specific index to these files other than a reference to the date. The confidentiality provisions of the Income Tax Act prevent information concerning individual taxpayers from being disclosed without the written permission of the taxpayers involved. As of January 1993, these documents are available for sale to the general public. As of January 1996, these documents have been placed in the Legislation

Access Databank (LAD). The contents of LAD are available for viewing in the libraries of Tax Services Offices. LAD has been replaced by the CRA electronic library effective May 1, 2002.

**Program Record Number:** CRA PPB 049

#### Taxation Research Master Files (Secondary Files)

**Description:** Information on technically significant tax interpretations, income tax rulings, and legal opinions in respect of specific sections of the Income Tax Act, Regulations and other related legislation included in the Income Tax Rulings' subject matter files. In many cases the taxpayers involved are identified.

**Topics:** Subject topics are the same as indicated in CRA PPB 041 except that they are filed by section and/or subsection of the Act, e.g., Section 5(1) income from office or employment, Section 115 non-residence taxable income earned in Canada, Section 130 investment corporations.

**Access:** Correspondence is filed chronologically under the relevant section or subsection. A card is maintained to assist in locating specific correspondence either under the taxpayer's name and/or that of his or her representative. The confidentiality provisions of the Income Tax Act prevent information concerning specific taxpayers contained in this program record from being disclosed without the written permission of the taxpayers involved. Since June 1992, these files are no longer updated due to a new electronic filing system.

**Program Record Number:** CRA PPB 046

#### Policy and Planning Branch Regional Operations

##### Rebate Claims – Fuel Tax Rebate

**Description:** Information on the processing and tracing of applications and cheques for rebate of the fuel tax on aviation fuel or diesel fuel: data and statistical collection.

**Topics:** Reviewing of rebate applications: automated data on claimant history, status of claims and cheque issuance; Fuel Tax System (claimant identification on-line system); Fuel Tax Rejects Automated Control Environment.

**Access:** The applications are on microfilm while the originals are filed in the National Archives of Canada by locator number; correspondence requesting status or resulting in tracing action is held on claimant's file, filed alphabetically by name.

**Program Record Number:** CRA RGO 055

##### Refund Claims – Excise Gasoline Tax

**Description:** Information on the processing and tracing of applications and cheques for refund of



the Excise Tax on gasoline: data and statistical collection.

**Topics:** Reviewing of refund applications: automated data on claimant history, status of claims and cheque issuance; Gasoline Excise Tax System, (claimant identification on-line system); Gasoline Rejects Automated Control Environment.

**Access:** The applications are on microfilm while the originals are filed in National Archives of Canada by locator number; correspondence requesting status or resulting in tracing action is held on claimant's file, filed alphabetically by name.

**Program Record Number:** CRA RGO 050

### **Registered Vendors' Certificates – Fuel Tax Rebate**

**Description:** Information on the processing and tracing of applications for registered vendors' certificates for the fuel tax rebate program: data and statistical collection.

**Topics:** Reviewing of rebate applications for registered vendors' certificates: automated data on status of application and certificate number when issued. (Registered Vendor's Certificate claimant identification on-line system).

**Access:** The applications are on-line while the originals are filed in the National Archives of Canada by locator number; correspondence requesting status or resulting in tracing action is held on claimant's file, filed alphabetically by name.

**Program Record Number:** CRA RGO 065

### **Sales Tax Bulk Permits – Fuel Tax Rebate**

**Description:** Information on the processing and tracing of applications for sales tax bulk permits for the fuel tax rebate program: data and statistical collection.

**Topics:** Reviewing of permit applications: automated data on status of application and permit number when issued. (Sales tax bulk permit claimant identification on-line system).

**Access:** The applications are on microfilm while the originals are filed in the National Archives of Canada by locator number; correspondence requesting status or resulting in tracing action is held on claimant's file, filed alphabetically by name.

**Program Record Number:** CRA RGO 060

## **Public Affairs Branch**

### **Director General PIA Review Committee**

**Description:** Records pertaining to Privacy Impact Assessment submissions for review by the Director-General level representatives from each of the CRA Headquarters Branches and is chaired by the Director, ATIP Directorate.

**Topics:** Correspondence, agendas, minutes of meetings and documents relevant to PIA issues for the Agency.

**Program Record Number:** CRA PAB 520

### **Parliamentary Affairs**

**Description:** Agency Briefing Books for the Minister's reference.

**Topics:** All current issues that the Minister should be aware of, and suggested appropriate responses or Agency stances.

**Program Record Number:** CRA PAB 003

### **Publishing Services**

**Description:** Information on the publishing (i.e. electronic and print), printing, inserting, mailing and distribution of CRA internal and public documents for all business lines.

**Topics:** Development of policies, procedures, systems and guidelines; provision of analytical and consultative services; design/templates, composition, layout, and production of forms, publications, and other artwork in both paper-based and electronic format; multiple format services (e.g. Braille, large print, audio, diskettes); the annual publishing review process; integrated publishing, inserting, postage and distribution systems; and the publishing database; corporate internet site.

**Program Record Number:** CRA PAB 110

## **Standard Program Records**

Please see the instruction to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Employment and Staffing

Hospitality

Human Resources

Personnel

Proactive Disclosure

Relocation

Staff Relations

Training and Development

Travel

## **Personal Information Banks**

### **Appeals Branch**

#### **Appeals Regarding the Canada Pension Plan and the Employment Insurance Act**

**Description:** This bank contains documents related to appeals of rulings or assessments

relating to pensionable or insurable employment under the Canada Pension Plan and/or Employment Insurance Act. Included in each case file are such documents as appeals, reports, working papers, evidence, correspondence, employee lists, questionnaires, pensionable and insurable earnings and hours, decisions and judgments, any other records related to the case.

**Class of Individuals:** Persons disagreeing with the Agency's ruling or assessment.

**Purpose:** The information compiled, on a case-by-case basis, is used to determine coverage under the Canada Pension Plan and Employment Insurance Act.

**Consistent Uses:** The data assembled also assist Human Resources and Skills Development Canada in the administration and payment of benefits under the Canada Pension Plan the Employment Insurance Act.

**Retention and Disposal Standards:** After a file has been completed and the Ministerial Notification letters mailed, the complete file is to be retained by the Tax Services Office for a period of two years plus one quarter, pending notification of an appeal to the Tax Court of Canada. Afterwards, it is to be destroyed.

**RDA Number:** 93/020

**Related PR#:** CRA APP 315

**TBS Registration:** 002770

**Bank Number:** CRA PPU 130

#### **Assessment and Collections Branch**

##### **Advance Child Tax Credit (ACTC) Data Bank**

**Description:** This credit was discontinued after the 1992 taxation year. This data bank contains information on the tax filers who meet the eligibility criteria for a prepayment cheque. It contained the information used to determine an individual's eligibility and the reasons why a cheque may have been withheld (e.g., debt owing to the Agency, bankruptcy). In addition, it recorded any subsequent activity on an individual's ACTC account (e.g., cheque returned to the Agency, additional cheque issued).

**Class of Individuals:** Individual tax filers.

**Purpose:** The purpose of this bank was to provide an up-to-date record of all the activities on an individual's ACTC account.

**Consistent Uses:** This data bank enabled field staff, who were the principal user of the system, to reply to enquiries from tax filers and their authorized representatives accurately and in a reasonable period of time.

**Retention and Disposal Standards:** After a file has been completed and the Ministerial Notification letters mailed, the complete file is to be retained by the Tax Services Office for a period

of two years plus one quarter, pending notification of an appeal to the Tax Court of Canada. Afterwards, it is to be destroyed. The information on the database will be retained for archival purposes.

**RDA Number:** 98/011

**Related PR#:** CRA APP 315

**TBS Registration:** 002205

**Bank Number:** CRA PPU 064

##### **Applicants for Refund of Federal Excise Tax on Gasoline**

**Description:** Data include information respecting each claimant such as their account number, employee status and group. Individuals identified in this bank have filed a gasoline refund claim. The account number is used as reference number.

**Class of Individuals:** Members of the public who have filed a claim for a gasoline tax refund.

**Purpose:** This bank exists for the purpose of refunding members of the general public making application under the Excise Tax Act, of a portion of the excise tax paid on gasoline used for qualifying purposes. The bank is used for the purpose of examining individual claims for gasoline excise tax refunds, and may be used to inspect claimant's receipts and supporting documents related to such claims.

**Retention and Disposal Standards:** Each claim is retained for a period of seven years and then destroyed.

**RDA Number:** 80-022, 82-012

**Related PR#:** CRA RGO 050

**TBS Registration:** 000014

**Bank Number:** CRA PPU 052

##### **Canada Pension Plan and Employment Insurance Rulings Documents**

**Description:** This bank contains Agency forms such as CPT-1, CPT-2, working papers, and related documents such as contracts, statements from workers and payers, etc., that were used in making each individual ruling. Access will not be permitted without the necessary authorization and/or proof of identification, including a Social Insurance Number and signature.

**Class of Individuals:** Individual workers and employers.

**Purpose:** The purpose of this bank is to record rulings issued by Canada Revenue Agency officials as to whether individuals are in pensionable or insurable employment under the Canada Pension Plan or the Employment Insurance Act respectively. The rulings process is not only necessary for the identification and collection of the related premium and contribution payments, but also for Human Resources

Development Canada (HRDC) to determine if a worker is eligible for Employment Insurance Benefits and eventual Canada Pension Plan benefits.

**Retention and Disposal Standards:** Records are maintained for a period of four years (the current year and three subsequent years) and then destroyed.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 187

**TBS Registration:** 002020

**Bank Number:** CRA PPU 070

### **Canada Child Tax Benefit (CCTB) Data Bank**

**Description:** This bank contains information used to determine an individual's eligibility and entitlement for the CCTB and records any subsequent activity on that individual's CCTB account. This bank also contains information used to determine an individual's eligibility for the Child Disability Benefit (CDB), which is a supplement of the CCTB program. Eligibility for the CDB is determined by information accessed from the Disability Tax Credit program (program record CRA ACB 325). Information is also used to administer other provincial and territorial programs on behalf of those provinces and territories along with the Children's Special Allowance (CSA) program.

**Class of Individuals:** Individual tax filers.

**Purpose:** The purpose of this bank is to provide an accurate and current record of all activities on an individual's CCTB account. This data bank enables authorized employees to reply to clients' enquiries accurately and quickly and supports programs that validate information to support eligibility and to facilitate correct calculation of benefits.

**Consistent Uses:** In addition, information related to the National Child Benefit Supplement, a component of the CCTB, is provided to the individual's resident province or territory to allow the province or territory to adjust the individual's social assistance payments or payments made under a provincial or territorial law. As well, we transfer information to other provincial and territorial departments where legislation authorizes them to obtain CCTB information.

**Retention and Disposal Standards:** Information will be retained for a period of two years following the last administrative action and then destroyed.

**RDA Number:** 98/011

**Related PR#:** CRA ACB 126, CRA ACB 131, CRA ACB 305, CRA ACB 315, CRA ACB 325

**TBS Registration:** 003210

**Bank Number:** CRA PPU 063

### **Claims for Refund of Taxes Paid Under the Excise Tax Act**

**Description:** Data include claimant's name, address, telephone number and reason a refund is being requested.

**Class of Individuals:** Members of the general public.

**Purpose:** The purpose of this bank is to maintain a record of the names and addresses of the claimants making application for refund of excise taxes paid under the provisions of the Excise Tax Act. The bank is used to identify and support each amount of tax refunded.

**Retention and Disposal Standards:** Records are maintained for a period of five years then destroyed.

**RDA Number:** No longer under this authority. Presently under review

**TBS Registration:** 000013

**Bank Number:** CRA PPU 046

### **Claims for Refund or Rebate of Taxes Paid Under the Excise Tax Act (G.S.T. and H.S.T.) (Excluding Visitor Rebates)**

**Description:** Data include claimant's name, address, telephone number, GST/HST registration/business number and reason a refund or rebate is being requested.

**Class of Individuals:** Members of the general public. This bank includes both corporate and personal information.

**Purpose:** The purpose of this bank is to maintain a record of the names and addresses of the claimants making application for rebate of Goods and Services Tax/Harmonized Sales Tax and/or refund of excise taxes paid under the provisions of the Excise Tax Act. The bank is used to identify and support each amount of tax rebated or refunded.

**Consistent Uses:** Information in this bank, subject to a formal federal-provincial harmonization agreement, may also be shared with provincial authorities involved in the administration of the Goods and Services Tax/Harmonized Sales Tax Programs.

**Retention and Disposal Standards:** Records are maintained for a period of five years then destroyed.

**RDA Number:** 98/008

**Related PR#:** CRA ACB 133

**TBS Registration:** 002753

**Bank Number:** CRA PPU 091

### **Debts Written Off as Uncollectible**

**Description:** Data include names, nature and amount of debt, the results of collection action taken, description of assets and disposition of proceeds.

**Class of Individuals:** Members of the general public.

**Purpose:** The purpose of this bank is to maintain a record of firms and individuals owing a debt to the Crown, on which all appropriate collection action has not resulted in successful collection of the debt. The bank is used by the Tax Services Office Uncollectible Debts Review Committee to approve recommendations for authority to delete accounts under existing legislation. The forms are presented to the Minister, or a person authorized by the Minister, as appropriate, depending on amount, for written authorization to write off the accounts.

**Retention and Disposal Standards:** Case files are retained for seven six years after action is completed, and then destroyed. Form (E157T1520) Recommendation for Write-Off of Uncollectible Accounts retained for a period of two years following the last administrative action.

**RDA Number:** No longer under this authority. Presently under review.

**Related PR#:** CRA ACB 190

**TBS Registration:** 000016

**Bank Number:** CRA PPU 060

#### **Fairness Registry**

**Description:** The Fairness Registry is an Agency-wide system which provides a point of entry data capture facility to record the details of all Fairness requests for relief of interest and penalties under the Fairness legislation and which retains this data in an online environment for retrieval and reference.

**Class of Individuals:** Individuals, Corporations, Employers, Importers and Exporters, Estates and Trusts, GST/HST filers and Non-residents.

**Purpose:** The system was developed to provide a national method of gathering the relevant information in order to ensure appropriate application of the related legislation through its monitoring facilities and to support the production of both financial and non-financial reports.

**Consistent Uses:** The principle use of the registry is to record requests under the Fairness provisions for relief of interest and penalties. The Fairness Registry data and input from the various accounting systems are used by the "Statistical Tracking Analysis and Reporting System" (STARS) to produce financial reports accounting for relief actually granted under Fairness provisions, as is required by section 24.2 of the Financial Administration Act (FAA). A wide variety of other reports for monitoring purposes are also available through both STARS and directly through the Fairness Registry via the "Platinum Report Facility" (PRF).

**Retention and Disposal Standards:** The information on the active database will be retained for a five-year period, then deleted.

**RDA Number:** Under review will fall under 93/020

**Related PR#:** CRA ACB 192

**TBS Registration:** 003943

**Bank Number:** CRA PPU 155

#### **Federal Sales Tax Inventory Rebate Program**

**Description:** Data includes claimant's name, address, telephone number, GST registration number as well as information provided for GST registration such as annual sales volume and nature of business.

**Class of Individuals:** Members of the public who will be filing a claim for a rebate of the federal sales tax content of inventories as of January 1, 1991.

**Purpose:** The bank exists for the purpose of payment to Goods and Services Tax registrants who made applications under the Excise Tax Act for rebate of the federal sales tax content of qualifying inventories of goods on hand as of January 1, 1991.

**Consistent Uses:** Information in this bank, subject to a formal federal-provincial harmonization agreement, may also be shared with provincial authorities involved in the administration of the Goods and Services Tax program.

**Retention and Disposal Standards:**

Applications will be retained for a period of six years then destroyed.

**RDA Number:** No longer under this authority. Presently under review

**Related PR#:** CRA ACB 133

**TBS Registration:** 002754

**Bank Number:** CRA PPU 086

#### **Goods and Services Tax / Harmonized Sales Tax Credit (GST/HST credit) Data Bank**

**Description:** This data bank contains the information used to determine an individual's eligibility (including eligibility for the Newfoundland Harmonized Sales Tax Credit, the Saskatchewan Sales Tax Credit and the Newfoundland and Labrador Senior Benefit), all applicable financial transactions and the reasons why a payment may have been withheld (e.g. debt owing to the Agency). In addition, it records any subsequent activity on an individual's GST/HST credit account (e.g. changed eligibility or entitlement, and additional cheque issued).

**Class of Individuals:** Individual Tax Filers.

**Purpose:** The purpose of this bank is to provide an accurate record of all the activities on an individual's GST/HST credit account for each tax

year.

**Consistent Uses:** This data bank enables Agency field staff, who are the principle users of the system, to reply to individual tax filers' enquiries accurately and quickly thereby increasing the level of service to tax filers. It also supports programs that validate information to support eligibility and to facilitate correct calculation of credits.

**Retention and Disposal Standards:** Information will be retained for a period of two years following the last administrative action and then destroyed in accordance with established Records Retention and Disposition Standards.

**RDA Number:** 98/008

**Related PR#:** CRA ACB 222

**TBS Registration:** 003016

**Bank Number:** CRA PPU 140

### Individual (T1) Tax Arrears – Collection Action

**Description:** Information on the implementation of Agency policies and procedures for collection of duties and taxes, specific client accounts, statistical information for inclusion in annual reports and refunds of taxes paid. The bank consists of collections made; internal instructions; debits and credits by client name; statistical files – outstanding arrears; fiscal year reports; summary of trial balances; computer generated printouts, records of delinquent collection cases and information relating for assessments raised by collections. The information contained in the centralized individual accounting and collection system (T1) computer file is electronically passed to the Revenue Enforcement Management Information Tracking System (REMITS) for use by Collection Call Centre agents in resolving individual (T1) tax arrears. Agents record details of actions taken in the REMITS: "List of Activities". Accounts whose tax arrears are not resolved at the Collections Call Centre are either immediately or eventually transferred to the Automated Collections and Source Deductions Enforcement System (ACSES) for actioning by tax services office Collection officers who note details of actions taken and/or planned based on information gathered from audits, third parties, legal opinions, court actions, personal contact, etc. In cases where such information is voluminous, or necessarily includes the retention of documents, the printout information may be supplemented with a collection file or docket. Access to this information in ACSES will be permitted when there is adequate proof of identification, including Social Insurance Number, signature and/or authority.

**Class of Individuals:** Licensee companies and

Individual tax filers.

**Purpose:** The purpose of the bank is to maintain records which support and document collection activity. The information is used by collection officers in their enforcement duties regarding payment of taxes in cases where the accounts have been referred to the Tax Services Office for collection action. Information pertaining to a tax filer's indebtedness may be included in documentation issued to third parties indebted to the client and the courts to facilitate attachment.

**Consistent Uses:** This data bank enables authorized employees to access the history of a collections account to facilitate collection action.

**Retention and Disposal Standards:** Information in this bank is retained for two years after the account is paid in full and archived for a further 2 years on tape at which time it is destroyed.

**RDA Number:** 92/005 and 92/006

**Related PR#:** CRA ACB 190

**TBS Registration:** 002017

**Bank Number:** CRA PPU 050

### Individual Income Tax Return

**Description:** This bank contains all information supplied by the taxfiler on the taxfiler's annual income tax return, as well as correspondence, third-party information and Agency working papers relating thereto. Access will not be permitted without authority and/or adequate proof of identification, including a Social Insurance Number and signature.

**Class of Individuals:** Tax filers.

**Purpose:** The purpose of this bank is to provide financial information required in the administration and enforcement of the Income Tax Act and Regulations of Canada and nine provinces, and the territories, parts of the Canada Pension Plan, and the Employment Insurance Act and Regulations, for which this Agency is responsible.

**Consistent Uses:** The principal use of this bank is to support the audit programs, enforcement procedures, and collection actions required, and to respond to tax filers' enquiries regarding their income tax affairs. Selected information from this bank is shared under approved sharing agreements with various provincial and federal authorities. Information received from employers and other sources is used to verify, for subsequent adjustment where necessary, income and deduction data reported by a taxfiler.

**Retention and Disposal Standards:** Tax returns of the majority of tax filers are retained in accordance with the provisions of the Access to Information and Privacy Acts. The remainder, which are required mainly for statistical purposes, are retained for an additional two years.

**RDA Number:** 92/005 and 92/006

**Related PR#:** CRA ACB 040

**TBS Registration:** 002014

**Bank Number:** CRA PPU 005

#### **Information Returns (Infodec) Data Bank**

**Description:** This data bank contains information on individuals and businesses who are the recipient of funds or benefits. This information is reported to the Agency by the payer through an information return. The types of information range from: salaries, wages, taxable benefits, self-employed commissions, annuities, retiring allowances, dispositions of publicly traded debt obligations (Stocks and options), various types of investment income such as interest, dividends, royalties and capital gains; to benefits paid by Worker's Compensation Boards and Social Assistance Agencies. This is the database that contains amounts withheld at source such as CPP, QPP, EI and tax. There is also information on fees, commission or other amounts paid to non-residents of Canada. There is basic identification information, such as name and address, on the payer.

**Class of Individuals:** Individual tax filers and businesses.

**Purpose:** Provide the Agency with information to ensure that individuals and businesses are accurately reporting income that is reflected on these slips (including T4 (various), T5, T5007, T5008, T5018, T3, T1204, NR4).

**Consistent Uses:** It is utilized for matching to individual and business returns to ensure they have reported amounts received as required. The programs utilizing this information are: Audit, Accounts Receivable, T1 Individual Income Tax Returns, T2 Corporation Initial Assessment and Reassessment Programs. Comparisons are made with Human Resources Development data to determine if the correct Employment Insurance and Canada/Quebec Pension Plan rates are recorded for calculating future benefits under these programs.

**Retention and Disposal Standards:** The information is maintained active for the current plus two immediate years and inactive in the National Archives Federal Record Centres for a further one to four years, depending on the type of information return. All information on T4 and T4A are kept on Microfiche or CDRom. All other type of information is destroyed once the retention period expires.

**RDA Number:** 92/005 and 92/006

**Related PR#:** CRA ACB 190, CRA ACB 125, CRA ACB 126 & CRA ACB 131.

**TBS Registration:** 003942

**Bank Number:** CRA PPU 150

#### **Petroleum and Gas Production Revenue Tax Accounts**

**Description:** This data bank, which is maintained in the Ottawa Tax Centre, contains records of all payments of Part 1 Tax, and all interest and penalties assessed in accordance with the requirements of the Petroleum and Gas Revenue Tax Act. This information is recorded on ledger cards.

**Class of Individuals:** Individual tax filers.

**Purpose:** The purpose of this bank is to establish and maintain an up-to-date accounting record of transactions relating to the administration of the Petroleum and Gas Revenue Tax.

**Consistent Uses:** Information is passed to tax services office Collection officers electronically via a link from the Automated Subledger System (ASL) to the Automated Collections and Source Deductions Enforcement System (ACSES) to reference when enforcing payment of taxes by delinquent tax filers. Access to information pertaining to these accounts will be permitted when adequate proof of identification is provided, e.g., an account number, signature and/or authorization from the tax filer.

**Retention and Disposal Standards:** Ledger cards are maintained for five years subsequent to the account becoming nil.

**RDA Number:** Under review. No longer under 80/022

**Related PR#:** CRA ACB 192

**TBS Registration:** 002203

**Bank Number:** CRA PPU 068

#### **Petroleum and Gas Revenue Tax Return**

**Description:** This bank contains all information supplied by the tax filer on his or her annual Petroleum and Gas Revenue Tax Return, as well as correspondence, third-party information and Agency working papers relating thereto. The tax filer may be an individual, a trust, a corporation or some other business entity.

**Class of Individuals:** Individuals filing Petroleum and Gas Revenue Tax Returns.

**Purpose:** The purpose of this bank is to provide financial information required in the administration and enforcement of the Petroleum and Gas Revenue Tax Act. These returns are retained for the current tax year and the four taxation years immediately prior. The principal use of this bank is to support the audit programs, enforcement procedures, and collections actions required, and to respond to the relevant tax filers' enquiries regarding their petroleum and gas revenue tax affairs. Access will not be permitted without adequate proof of identification, including account number, signature and/or authority.

**Retention and Disposal Standards:** Records in this bank are retained for five years.

**RDA Number:** Under review. No longer under 80/022

**Related PR#:** CRA ACB 139

**TBS Registration:** 003535

**Bank Number:** CRA PPU 011

#### **Pre-Authorized Debit (PAD) system/Database**

**Description:** Client information concerning their Pre-Authorized Payment Plan is stored by individual social insurance number. Database will store all Pre-Authorized Debit information; payment plan option, frequency and amount for up to 3 years. Database is used to view clients banking information, which is stored in the T1 Individual Ident Database.

**Class of Individuals:** All Taxpayers.

**Purpose:** To offer T1 individuals who pay by Installments or are in Arrears, a new simpler payment option. Pre-Authorized Debit is one of the CRA's new Electronic Commerce initiatives.

**Retention and Disposal Standards:** Each expired or cancelled agreement is stored on the PAD's Database for 3 years. Afterwards, the agreement is sent to archives where it is stored on tape for an additional 7 years and then destroyed.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 280

**TBS Registration:** 005098

**Bank Number:** CRA PPU 185

#### **Problem Resolution Program**

**Description:** This bank contains the names, telephone numbers and Identification Numbers (e.g. Social Insurance Numbers and Business Numbers) of tax filers and businesses whose problems have been referred to the Problem Resolution Program in one of the Agency's Tax Services Offices and Tax Centres. It also includes description of the problems, and the action(s) taken to resolve them. Access will be provided upon proof of identification carrying the individual's or business' name, address and Identification Number and/or, in the case of a representative, proof of authorization.

**Class of Individuals:** Canadian tax filers.

**Purpose:** The purpose of this information bank is to store information and analyze problem trends.

**Consistent Uses:** only as reference in situations where subsequent requests are made.

**Retention and Disposal Standards:** Records are retained for two years.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 141

**TBS Registration:** 002024

**Bank Number:** CRA PPU 115

#### **Registrants for the Goods and Services Tax/Harmonized Sales Tax (GST/HST)**

**Description:** This bank contains information on persons registered as well as for potential registrants for the GST/HST. The information includes names of sole proprietors, names of partners in a partnership, names of authorized corporate officers, contact persons' names and title, social insurance number where applicable for individuals, telephone and fax numbers and official language preference for corresponding with the Agency.

**Class of Individuals:** Owners of sole proprietorships, partners in a partnership, authorized corporate officers, contact persons.

**Purpose:** This bank is required to store personal information on registrants and potential for GST/HST.

**Consistent Uses:** Information in this bank, subject to a formal federal-provincial harmonization agreement, may also be shared with provincial authorities.

**Retention and Disposal Standards:** Active registrant information will be kept on an ongoing basis. Records on individuals who have ceased to be registered are maintained for a period of 5 years and then destroyed.

**RDA Number:** 98/008

**Related PR#:** CRA ACB 133, CRA ACB 134

**TBS Registration:** 002664

**Bank Number:** CRA PPU 066

#### **Retirement Compensation Arrangements Refundable Tax Accounts**

**Description:** This data bank, which is maintained in the Winnipeg Tax Centre, contains records of all payments and assessments of Part XI.3 Tax, including all interest and penalties assessed in accordance with the requirements of the Income Tax Act. This information is recorded on an automated subledger system.

**Class of Individuals:** Individual tax filers.

**Purpose:** The purpose of this bank is to establish and maintain an up-to-date accounting record of transactions related to the administration of the Income Tax Act, specifically Part XI.3.

**Consistent Uses:** Information is passed to tax services office Collection officers electronically via a link from the Automated Subledger System (ASL) to the Automated Collections and Source Deductions Enforcement System (ACSES) to reference when enforcing payment of taxes by delinquent tax filers. Access to information pertaining to these accounts will be permitted when adequate proof of identification is provided, e.g., account number, signature and/or authorization from the tax filer.

**Retention and Disposal Standards:** Subledger information is maintained for seven years subsequent to the accounts becoming nil.

**RDA Number:** 98/006

**Related PR#:** CRA ACB 192

**TBS Registration:** 002204

**Bank Number:** CRA PPU 061

### Revenue Accounting – Goods and Services Tax/Harmonized Sales Tax

**Description:** Information system pertaining to registrant's name, address, telephone number, Business number, value of taxable sales, tax collectible and remitted, input tax credits claimed, rebate claims, notices of assessment, tax filer accounts, penalties and interest, and debits and credits by registrant's name from GST/HST returns and remittances.

**Class of Individuals:** Owners of sole proprietorships, partners in a partnership, authorized corporate officers, contact persons. This bank includes both personal and corporate information.

**Purpose:** Reporting of net tax collectible by registrants under the provisions of the Excise Tax Act (GST/HST), capturing data pertaining to rebates under the legislation. Over time, to be able to analyze financial data of GST/HST.

**Consistent Uses:** Information in this bank, subject to a formal federal-provincial harmonization agreement, may also be shared with provincial authorities involved in the administration of the Goods and Services Tax/Harmonized Sales Tax programs.

**Retention and Disposal Standards:** Records are kept for seven years then destroyed.

**RDA Number:** 96/052

**Related PR#:** CRA ACB 134

**TBS Registration:** 002755

**Bank Number:** CRA PPU 080

### Review and Control

**Description:** This bank consists of employer accounts and records of financial and non-financial transactions related to the withholding, remitting and reporting of employees' deductions of Income Tax, Canada Pension Plan and Employment Insurance. This includes assessments levied for unmerited amounts including interest and penalties. The information is stored in the Payroll Deductions Accounting and Collections (PAYDAC) system and may be passed electronically via a link to the Automated Collections and Source Deductions Enforcement System (ACSES) if enforcement action is required. Access will not be permitted without adequate proof of identification, including Social Insurance Number, signature and/or authority.

**Class of Individuals:** Individuals, proprietorships, partnerships and corporations in their role as employers.

**Purpose:** This bank serves as a record of all accounting transactions with respect to the employees' deductions and the employers' remittances and reconciliation. The bank is maintained to complete post-routine balancing and enforcement activities between the employer and the Agency.

**Consistent Uses:** The account record is required in order to process CPP/EI adjustments and refunds and to assist in updating records of earnings and confirm the insurability of certain workers with other federal departments such as Social Development Canada and Human Resources and Skills Development Canada.

**Retention and Disposal Standards:** Information stored in ACSES is retained for two years after the last transaction. Information in PAYDAC is kept active for two years and then moved to dormant storage for eight years. The information is then transferred to the National Archives Federal Record Centres.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 188

**TBS Registration:** 001949

**Bank Number:** CRA PPU 125

### Special Returns by Plan Trusts (T3ATH-IND, T3D, T3P, T3M, T3RI, T3RIF-IND, T3S)

**Description:** This bank contains the T3ATH-IND, Amateur Athlete Trust Income Tax Return; T3D, Deferred Profit Sharing Plan or Revoked Plan Information Return and Income Tax Return; T3M, Environmental Trust Income Tax Return; T3P, Employees' Pension Plan Income Tax Return; T3R-IND, Registered Retirement Savings Plan Income Tax Return; T3RI, Registered Investment Income Tax Return; T3RIF-IND, Registered Retirement Income Tax Return; and T3S, Supplementary Employment Benefit Plan Income Tax Return; and related schedules and correspondence.

**Class of Individuals:** Trusts.

**Purpose:** The purpose is to facilitate the assessment and collection of taxes owed by the trusts, and to support audit programs and enforcement procedures with regard to the investments of the trusts. Access will be permitted with adequate proof of identification, including Account Number, signature and/or authority.

**Consistent Uses:** The principal use of this bank is to support the audit programs, enforcement procedures, and collection actions required, and to respond to tax filers' enquiries regarding their



income tax affairs. Selected information from this bank is shared under approved sharing agreements with various provincial and federal authorities. Information received from employers and other sources is used to verify, for subsequent adjustment where necessary, income and deduction data reported by a taxfiler.

**Retention and Disposal Standards:** The returns are retained for the current taxation year and the four taxation years immediately prior and then destroyed.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 139

**TBS Registration:** 003534

**Bank Number:** CRA PPU 020

### T3 Trust Information and Income Tax Return

**Description:** This bank contains all information supplied by every person acting in a fiduciary capacity, such as executor, trustee or administrator for a trust, as well as correspondence and Agency working papers relating thereto.

**Class of Individuals:** Trusts.

**Purpose:** The purpose of this bank is to provide financial information and enforcement of the Income Tax Act and Regulations, as they relate to a trust. The principal use of this bank is to support the audit programs, enforcement procedures, and/or collection actions required, and to respond to enquiries originating from executors, trustees or administrators of an estate or trust. Access will be permitted with adequate proof of identification, including Social Insurance Number, signature and/or authority.

**Consistent Uses:** The principal use of this bank is to support the audit programs, enforcement procedures, and/or collection actions required, and to respond to enquiries originating from executors, trustees or administrators of an estate or trust. Access will be permitted with adequate proof of identification, including Social Insurance Number, signature and/or authority.

**Retention and Disposal Standards:** The returns are retained for the current taxation year and the four taxation years immediately prior and then destroyed.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 139

**TBS Registration:** 003536

**Bank Number:** CRA PPU 015

### Taxation Individual Accounting and Master File

**Description:** Records maintained in this bank are categorized by status (e.g. credit available) and include all financial transactions between individual tax filers and the Agency. Access will not be permitted without adequate proof of

identification including Social Insurance Number and/or authority. The ongoing master file is updated continuously. At year-end, the Records on the Master file are converted for processing in the New Year Format. Currently, no data is purged nor deleted from the file. Financial activities, including Assessments, are maintained on-line for all clients since the start of the 1987 program year. Some data for processing years prior to 1987 is maintained on-line for those accounts active at that time.

**Class of Individuals:** Individual tax filers.

**Purpose:** The purpose of this bank is to account for T1 accounts receivable and installment credits of individual tax filers, penalty, interest and law costs related thereto.

**Consistent Uses:** The principal use of this bank is to record amounts owed by individuals and any installment payments being held for future use. Where applicable, information pertaining to a tax filer's indebtedness is supplied to the tax filer's debtors and the courts to facilitate attachment.

**Retention and Disposal Standards:** Data related to an Individual Accounting Master is neither deleted nor purged, it is converted annually to the New Year format.

**RDA Number:** 92/006

**Related to PR#:** CRA ACB 190.

**TBS Registration:** 002018

**Bank Number:** CRA PPU 055

### Taxation Rapid Information

**Description:** This bank contains selected data from the Taxpayer Master File and the centralized accounting and collections master file, e.g. identification, filing, assessment, refund data and amount, and tax accounting transactions and collection data. Coverage is restricted to individual tax filers.

**Class of Individuals:** Individual tax filers.

**Purpose:** The purpose of this bank is to provide on-line access from tax offices to individual tax filers' computer records of their tax assessment, accounting and/or collection data. The principal use of this bank is to provide immediate responses to enquiries received at any tax services office from individual tax filers and their authorized representatives. Access will not be permitted without adequate proof of identification, including Social Insurance Number and/or authority. New rapid files are created every calendar year and updated as activity occurs in the "parent" files.

**Consistent Uses:** The principal use of this bank is to support the audit programs, enforcement procedures, and collection actions required, and to respond to tax filers' enquiries regarding their

income tax affairs. Selected information from this bank is shared under approved sharing agreements with various provincial and federal authorities. Information received from employers and other sources is used to verify, for subsequent adjustment where necessary, income and deduction data reported by a taxfiler.

**Retention and Disposal Standards:** Where the new file is created the old file is destroyed.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 191.

**TBS Registration:** 003540

**Bank Number:** CRA PPU 045

### Taxation Taxpayer Master File

**Description:** This bank serves as a depository for information on individuals which consists of name, address, account number and tax data. The tax data is available as current information which commences with the 1987 year, and historic information, which commences with the 1978 year. Access will not be permitted without the necessary authority and/or adequate proof of identification, including a Social Insurance Number and signature.

**Class of Individuals:** Individual tax filers.

**Purpose:** This bank provides statistical data for several analysis and support systems; provides and maintains a uniform account number system for tax filer identification by using the Temporary Taxation Number, or Social Insurance Number which is used in Canada by the Central Index; and enables the Canada Revenue Agency to administer, under the approved authority, the Employment Insurance Act and Canada Pension Plan Act. The Social Insurance Number may be used to match information slips filed by employers and payers such as banks, trustees, executors and administrators with returns in this bank, for the purpose of income verification and identification of people who have not filed an income tax return. The information in this bank concerns persons who have filed a tax return for a given year. The principal use of this bank is to access T1 individual tax return information. Identification and income data is provided to Federal, Provincial and Territorial programs. Use of selected information from this bank is made by Statistics Canada in light of entitlement prescribed in the Statistics Act.

**Retention and Disposal Standards:** The retention period for these records varies according to the record retention and disposal schedules of the subject files in which they are maintained. For the specific amount of time that these records are retained by the Canada Revenue Agency, please contact our ATIP Coordinator.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 171, CRA ACB 276

**TBS Registration:** 003537

**Bank Number:** CRA PPU 040

### Taxfiler Representative Identification System (TRIS) Data Bank

**Description:** This system has 2 separate data banks that serve as depositories for information pertaining to taxfiler representatives. The first data bank contains information on legal and authorized representatives (individuals, third parties and corporations) to whom the CRA has been authorized, by the respective client(s), or by the courts, to release confidential taxfiler information upon request. In order for an authorized representative to be entered into the data bank, clients must provide either a properly completed and signed consent form or a letter of authorization. In order for a legal representative to be entered into the data bank, the client or the representative must provide legal documentation identifying them as the legal representative (Attorney of a POA, Executor of a will, administrator of an estate, etc.). The second data bank contains specific information related to trustee's in bankruptcy and tax discounters. These individuals and corporations are not authorized to have access to confidential taxfiler information unless it has been so otherwise granted by their respective clients and has been entered into the first data bank.

**Class of Individuals:** Individuals and Corporations.

**Purpose:** The purpose of the data banks are to maintain an up to date electronic record of authorized taxfiler representatives, trustee's in bankruptcy, and discounters for use by authorized agency staff.

**Retention and Disposal Standards:** The information on this database will be retained indefinitely or until such time as a client authorizes it be modified or deleted.

**RDA Number:** 92/006

**Related PR#:** CRA ACB 305, CRA ACB 222, CRA ACB 126, CRA ACB 131, CRA ACB 139

**TBS Registration:** 004467

**Bank Number:** CRA PPU 175

### Trust Accounts Examinations-GST/HST

**Description:** This bank consists of completed examinations of GST/HST registrants. It is a compilation of examiner's working papers, listing assets, liabilities and ownership information, examination requests and the supporting data for the request. Access will not be permitted without the necessary authorization and adequate proof of identification, including a Social Insurance

Number and signature.

**Class of Individuals:** Individuals, proprietorships and partnerships.

**Purpose:** The purpose of obtaining this information is to ensure the registrant's filing status and account balance is up to date as specified in the Excise Tax Act and to assess where applicable any deficiency.

**Consistent Uses:** The information can also be used as evidence for prosecution purposes in cases where registrants knowingly or under circumstances of gross negligence failed to file GST/HST returns.

**Retention and Disposal Standards:** Information held in this bank is retained for two years after the last transaction. The information is then transferred to the National Archives Federal Record Centres.

**RDA Number:** 96/052

**Related PR#:** CRA ACB 188

**TBS Registration:** 001948

**Bank Number:** CRA PPU 120

#### **Visitors Application for Rebate of Goods and Services Tax (GST)/Harmonized Sales Tax (HST) on Short-term Accommodation and Goods Purchased in Canada**

**Description:** This bank contains information on individuals or corporations who filed an application for a rebate of the Goods and Services Tax/Harmonized Sales Tax on short-term accommodation and goods purchased while in Canada: world wide visitors to Canada as well as foreign and/or domestic tour operators, convention organizers or travel agents. The information may include family or business names and addresses, tourist travel expenditures, visit dates and the amount of GST /HST rebated on short-term accommodation and goods purchased while in Canada: world-wide visitors to Canada as well as foreign and/or domestic tour operators, convention organizers or travel agents.

**Class of Individuals:** Visitors to Canada, tour operators, convention organizers, travel agents or authorized representatives. This bank includes both corporate and personal information.

**Purpose:** This bank is used to store personal information that will be used in the administration of the Visitors Rebate Program and to identify spending, filing patterns, trends and other statistical information.

**Consistent Uses:** Information in this bank, subject to a formal federal-provincial harmonization agreement, may also be shared with provincial authorities involved in the administration of the Goods and Services Tax Harmonized Sales Tax Programs.

**Retention and Disposal Standards:** Records are maintained for a period of two years then destroyed.

**RDA Number:** 97/033

**Related PR#:** CRA ACB 129

**TBS Registration:** 003118

**Bank Number:** CRA PPU 106

#### **Compliance Programs Branch**

##### **Competent Authority Cases**

**Description:** Competent Authority Cases are records of taxpayer requests for assistance with respect to international taxation issues under the Advance Pricing Arrangement and Mutual Agreement Procedures Programs. These records contain information provided by a foreign country, the Canada Revenue Agency, the taxpayer(s) and/or his representative. Access will be provided upon proof of identification including name, address and Social Insurance Number and/or, in the case of a representative, proof of authorization.

**Class of Individuals:** Taxpayers subjected to actual or potential double taxation or taxation not in accordance with the convention.

**Purpose:** The information is compiled to discuss and resolve competent authority cases as well as negotiate Advance Pricing Arrangements.

**Consistent Uses:** Information may be used to deal with cases having the same general fact pattern in order to ensure consistency and fairness. Information may be disclosed to foreign governments, provincial governments or other federal government departments/agencies to the extent that it is relevant in dealing with a particular taxpayer's international tax issues.

**Retention and Disposal Standards:** Records in this bank are retained indefinitely.

**RDA Number:** 93/004

**Related PR#:** CRA CPB 261

**TBS Registration:** 002021

**Bank Number:** CRA PPU 085

##### **Detection and Investigations**

**Description:** The information held in this bank consists of narrative investigation reports describing the information that has led to enforcement action and to subsequent steps taken. Coverage is restricted to persons and/or companies suspected of having committed infractions. This bank is automated and managed by a computer software program named AIMS.

**Class of Individuals:** Persons who have been involved in non-compliance, tax avoidance, tax evasion and fraud with respect to the Excise Tax Act, Excise Act, the Income Tax Act, and other related legislation.

**Purpose:** The purpose of this bank is to maintain

records pertinent to the enforcement and the administration of the Excise Tax Act, Excise Act, Income Tax Act, and other related laws.

**Consistent Uses:** The information is used primarily to investigate potential alleged or known violations of the Excise Tax Act, Excise Act, Income Tax Act, and other related laws. Information in this bank, subject to a formal federal-provincial harmonization agreement, may also be shared with provincial authorities involved in the enforcement and administration of the Goods and Services Tax. It may also be used for data matching purposes.

**Retention and Disposal Standards:**

Investigation reports relating to the Excise Tax Act, the Excise Act and Income Tax Act are retained for five years after the latest of the date the case is closed or all appeal periods have expired. All other information collected for the purpose of the Excise Tax Act, the Excise Act and Income Tax Act, is retained for up to eight years and then destroyed.

**RDA Number:** 93/004 Under review

**Related PR#:** CRA CPB 136

**TBS Registration:** 002752

**Bank Number:** CRA PPU 095

**Electronic Waiver on Withholding (EWOW) System**

**Description:** A mainframe 'expert' system database, which is used daily by field officers to process requests for waivers of withholding tax. These requests are received from either non-resident persons under section 102, 105 or 805 of the Income Tax Regulations, or Canadian residents seeking a tax waiver under the Overseas Employment Tax Credit (OETC) program. Under the "Undue Hardship" provision found at subsection 153(1.1) of the Income Tax Act, the Minister may reduce the withholding required if the waiver applicant can demonstrate that the withholding required is in excess of the tax liability to Canada. Names and addresses of applicants and their respective payers or employers, amounts paid for self-employed or employment services days spent in Canada and outside Canada during the term of a contract, expenses claimed and treaty exemptions claimed (non-residents) is some of the information kept in the database.

**Class of Individuals:** Non-resident persons providing employment services in Canada, non-resident persons carrying on business in Canada through a permanent establishment and Canadian residents working overseas for Canadian employers (OETC).

**Purpose:** The information is compiled and

reviewed in accordance with each new waiver application under the "Undue Hardship" provision. Current service information may be linked with historical data to help officers determine whether a waiver should be accorded the applicant. Prior to the issuance of a waiver, officers ensure that applicants have complied with their Canadian income tax requirements and responsibilities.

**Consistent Uses:** Information is used daily as part of processing procedures as well as for trend analysis, program enhancement and for potential enforcement projects including matching with T1 and T2 processing systems.

**Retention and Disposal Standards:** Database was created in 1996 and records have not been deleted since then. Additionally, since historic records are used to review current waiver requests, disposal dates have not been considered.

**RDA Number:** 92/006

**Related PR#:** CRA CPB 189

**TBS Registration:** 004465

**Bank Number:** CRA PPU 098

**Non-Compliance Identification Research Data**

**Description:** This bank contains information relating to financial transactions of individuals, including names and addresses. It is used to assist in audit, investigative and other compliance actions taken under the Income Tax and Excise Tax Acts.

**Class of Individuals:** Taxpayers.

**Purpose:** The purpose is to (1) detect non-filers of income tax and information returns, (2) confirm the correctness of reported taxable income and (3) analyze and identify compliance trends, emerging issues and the factors underlying non-compliance behaviour. The information includes publicly available data obtained from federal, provincial and municipal governments for data-matching purposes, such as lists of shipping, Canadian civil aircraft registrations, provincial sales tax, property assessments, vehicle registries, municipal building permits, business licenses, and business and city directories. It includes, as well, information on some federal government subsidy and incentive programs, as well as information obtained in confidence from a variety of other sources in the public sector, such as marketing and distribution boards, colleges, and school boards. Some information is also obtained from the business and commercial sector regarding the purchase of goods and services, such as delivery of raw materials, removal of waste products, provision of security services and free-lance professional and administrative services. Once organized for a compliance

action, this personal information becomes part of this bank and is normally retrievable by name and some other personal identifier. Some of the information in this bank may subsequently be transferred to other established personal information banks. Access will not be permitted without the necessary authority

**Consistent Uses:** Some of the information in this bank, subject to formal agreements, may be shared with federal and provincial authorities involved in individual enforcement and administrative compliance activities. Current data matching activities with Agriculture Canada, the Province of Ontario and the Province of B.C.

**Retention and Disposal Standards:** The retention period varies according to the record schedules of the general subject files in which they are stored.

**RDA Number:** Presently under review.

**Related PR#:** CRA CPB 181

**TBS Registration:** 003542

**Bank Number:** CRA PPU 025

#### **NR4 Summary and Supplementary – Non-Resident Information Returns**

**Description:** This information bank contains records of NR4 information returns. Access will not be permitted without the necessary authorization and/or adequate proof of identification including a Social Insurance Number or Foreign Social Security Number and signature.

**Class of Individuals:** Canadian payers and agents who make payments to non-residents of Canada for incomes such as interest, dividends, rents, royalties and pensions.

**Purpose:** The purpose of this bank is to maintain information returns filed by Canadian payers and agents that are responsible for reporting income paid to non-residents of Canada, and the amount of tax withheld thereon under Part XIII of the Income Tax Act.

**Consistent Uses:** These records are used for the purpose of verification of and compliance with the administrative requirements of Part XIII of the Income Tax Act, the reconciliation of withholding tax account remittances; and in the exchange of information program with certain tax treaty countries.

**Retention and Disposal Standards:** Paper records are maintained for a period of four years (current year and three preceding years). The first year is maintained and stored by the International Tax Services within their Taxroll and Specialty Services Section. The three preceding years are kept by National Archives and destroyed by a private contractor at the end of the retention period. Starting in 2009, electronic information will

be kept for a period of ten years. Until such time, an additional retention year will be added to current retention periods, starting in 2004, and as example, 2004 records will be kept for five years and so forth. Electronic records will be removed from the database after the ten year period. Note that the information on paper records is currently entered electronically and that this information will have the same retention period of ten years as of 2009.

**RDA Number:** 92/006

**Related PR#:** CRA CPB 189

**TBS Registration:** 002019

**Bank Number:** CRA PPU 065

#### **T4A-NR Summary and Slip – Information Returns**

**Description:** This bank contains information returns, i.e. T4A-NR, and documents to support an assessment notice to the Canadian payer or the non-resident recipient. Access will not be permitted without the necessary authorization and/or adequate proof of identification including a Social Insurance Number (or Foreign Social Security Number) and signature.

**Class of Individuals:** Canadian payers (or non-resident payers) making payments to non-residents in receipt of income for services provided in Canada, other than employment services.

**Purpose:** The purpose of this bank is to maintain information returns filed by Canadian or non-resident payers who report income paid to non-residents of Canada, which is subject to the withholding tax under section 105 of the Income Tax Regulations.

**Consistent Uses:** These records and a databank of information from the supplements are also used for the purpose of verification and compliance with the administrative requirements of Part I of the Income Tax Act.

**Retention and Disposal Standards:** Records are maintained for a period of three years (current year and two preceding years) to allow for trend analysis and then destroyed. The databank of supplement information is retained for up to 10 years to allow for trend analysis.

**RDA Number:** 92/006

**Related PR#:** CRA CPB 189

**TBS Registration:** 003998

**Bank Number:** CRA PPU 097

#### **Non-Resident and Emigrant Dispositions Database (NEDD)**

**Description:** Presently a stand alone database NEDD is currently being developed for mainframe application as a national database for the use of Tax Services Offices (TSOs) across the country

for the purpose of collecting data on non-resident and emigrant dispositions of taxable Canadian property (section 116 of the Income Tax Act). Section 116 requires non-residents to notify the Minister of dispositions of certain property. Where appropriate withholding tax is remitted, the Minister will issue a certificate of compliance to the non-resident vendor and purchaser. NEDD electronically captures data relating to the disposition of property, search and retrieve records that were previously created and print the section 116 certificates of compliance. NEDD also contains features such as automatic tax calculations and letter templates. NEDD produces a variety of lists, statistical reports and a current inventory report. Records include; vendor of property, purchaser of property, proceeds of disposition, adjusted cost base of property, tax collected, security arranged, adjustments to tax reported, treaty exemptions, identification numbers (SIN, TTN, BN or trust account number) and description of property, including address. Identification numbers are matched with CRA internal systems to obtain name and address.

**Class of Individuals:** Non-resident individuals, corporations, trusts and partnerships who dispose of taxable Canadian property.

**Purpose:** The information is compiled to review non-residents' requests for certificates of compliance and to issue the certificates.

**Consistent Uses:** Information is used for analysis, program enhancement and potential enforcement projects through matching with the T1, Cortax and TRIS systems to identify non-filers. In addition, matching with other internal and external sources to promote compliance with the section 116 requirements.

**Retention and Disposal Standards:** Information is retained for indefinite life.

**RDA Number:** 92/006

**Related PR#:** CRA CPB 189

**TBS Registration:** 005094

**Bank Number:** CRA PPU 111

### Tax Avoidance Cases

**Description:** This bank contains information relating to taxpayers involved in arrangements, which were examined or are under examination to determine if tax was avoided. Records of the status of active examinations and the results of completed cases are included. Access will not be permitted without the necessary authority and/or adequate proof of identification, including a Personal Records Identifier (PRI) and signature.

**Class of Individuals:** Taxpayers who are or have been under examination for tax avoidance.

**Purpose:** The information is obtained to identify

and examine tax avoidance arrangements and to take remedial action as required, by reassessment under the existing law, by recommending amendments to the law, or by recommending changes in administrative procedures and practices.

**Consistent Uses:** The records will or may also be used by Appeals Branch in addressing objections or in litigating cases in court; for accumulating information for use by Department of Finance in justifying or addressing legislative amendments; for accumulating information for use by the Tax Avoidance function or by Training and Learning Directorate in designing training material or courses for auditors; for use by the Tax Avoidance function or other Audit areas in setting or revising policies or procedures.

**Retention and Disposal Standards:** Records are maintained for three years after the case is closed or expiration of all appeal periods, whichever is later.

**Retention and Disposal Standards:** Records are maintained for three years after the case is closed or expiration of all appeal periods, whichever is later.

**RDA Number:** 93/004

**Related PR#:** CRA CPB 256

**TBS Registration:** 002016

**Bank Number:** CRA PPU 035

### Tax Evasion Cases

**Description:** This information bank contains information relating to the personal and financial characteristics of taxpayers that are, or have been, under investigation for tax evasion. Records of the status of active investigations, completed cases and their results, current investigative projects may be subjected to data matching.

**Class of Individuals:** Taxpayers that are or have been under investigation for tax evasion.

**Purpose:** The bank is maintained in order to investigate cases of tax evasion.

**Consistent Uses:** Personal information may be used to obtain the legal documents necessary at each stage of the investigation and prosecution, such as search warrants, general warrants and affidavits.

**Retention and Disposal Standards:** Headquarters records in this bank are maintained for five years after the latest of the date the case was closed or after the expiration of all appeal periods, whichever is later and then destroyed; Tax Services Office records are maintained for five years and then destroyed.

**RDA Number:** 93/004

**Related PR#:** CRA CPB 136

**TBS Registration:** 002015

**Bank Number:** CRA PPU 030

### **Non-Resident Source Deductions (NRSD) System**

**Description:** This information bank contains financial and non-financial transactions related to non-resident tax withheld and remitted by Canadian payers and agents on the incomes paid to non-residents of Canada under Part XIII of the Income Tax Act, and the reporting of the amounts withheld on NR4 information returns. This also contains information on withholding tax assessment against non-resident persons. Records include information on tax remittances on tax assessments plus penalties and interest levied for the failure to deduct or remit withholding tax; on late remitting penalties; on NR4 late filing penalties; on withholding tax refunds; on NR5 files for a reduction in Part XIII tax on pensions or similar income under section 809 of the Income Tax Regulations and NR6 files on undertakings to file income tax returns by non-residents receiving rents from real property or timber royalties under Subsection 216(4) of the Income Tax Act.

**Class of Individuals:** Canadian payers and agents who make payments to non-residents of Canada for incomes such as interest dividends, rents, royalties and pensions.

**Purpose:** The purpose of this bank is to maintain account information on non-resident withholding tax remittances made by Canadian payers and the reconciliation of these remittances with NR4 return filed.

**Consistent Uses:** This information is used for the purpose of enforcement and compliance with the administrative requirements of Part XIII of the Income Tax Act including matching NR6 Undertakings with the T1 and T2 Processing systems.

**Retention and Disposal Standards:** Information on transactions is maintained from the 1994 taxation year. There is no disposal of information stored on the NRSD system. Rather, the most current information is kept readily available while information, which dates over three years, is stored in a different database within the NRSD system as archived data. This archived data can be retrieved at any time.

**RDA Number:** 92/006

**Related PR#:** CRA CPB 189

**TBS Registration:** 004464

**Bank Number:** CRA PPU 094

### **Finance and Administration Branch**

#### **Losses of Money and Damage Claims By and Against the Crown**

**Description:** This bank contains names and addresses of persons involved in damage claims, losses of money including defalcations, and describes the circumstances in each case.

**Class of Individuals:** Agency employees and members of the general public.

**Purpose:** The purpose of this bank is to maintain information involving claims by and against the Crown, losses of money suffered by her Majesty and offences and other illegal acts against the Crown. The data is used to determine an equitable settlement in each case, and information may be provided to the Treasury Board, the RCMP and the Department of Justice and may be used in the Public Accounts.

**Consistent Uses:** The data is used to produce the Public Accounts reporting, to answer enquiries and to take corrective measures when deemed necessary.

**Retention and Disposal Standards:** Individual files are maintained until the case comes to a conclusion. The information is then transferred to an amalgamated file which is retained for five years. At the end of the retention period, files are archived on DVD.

**RDA Number:** 99/004

**Related PR#:** CRA FAB 420

**TBS Registration:** 000017

**Bank Number:** CRA PPU 067

### **Human Resources Branch**

#### **Customs Inspector Test**

**Description:** This bank contains the results of ability tests taken by individuals who are considered in the selection of candidates to fill positions as Customs Inspectors with the CRA.

**Class of Individuals:** All individuals seeking Customs Inspectors positions with the CRA. Access will not be permitted without adequate proof of identification and/or authority.

**Purpose:** This bank is used to compile test results for use in the selection of candidates to fill positions as Customs Inspectors with the Agency.

**Consistent Uses:** Test results may have to be disclosed for recourse purposes. Data in this bank is used for statistical analysis and for research purposes. When used for these purposes, information in this bank is combined with that contained in standard bank CRA PSE 902.

**Retention and Disposal Standards:** Records are retained indefinitely since test results may be valid indefinitely.

**RDA Number:** 98/005

**Related PR#:** CRA PSE 902  
**TBS Registration:** 002195  
**Bank Number:** CRA PPU 075

#### **Independent Third Party Review (ITPR) Case File**

**Description:** This bank contains information on a complaint related to a staffing decision by an employee of the Agency or of the Public Service using the Canada Revenue Agency's ITPR recourse mechanism, e.g. request for ITPR and supporting documentation; relevant information from the parties to the complaint; external reviewer's case documents and report of decision; and information on the application of corrective measures when applicable. This bank also contains information on a complaint related to termination or demotion of an employee; report of decision by third party.

**Class of Individuals:** Employees or members of the Public Service, in the cases of complaints on staffing, who were a party to a human resources management decision for which ITPR is an acceptable recourse mechanism.

**Purpose:** The purpose of this bank is to address issues on termination or demotion for non-disciplinary reasons, of an indeterminate employee for incapacity, incompetence, or abandonment of position; staffing in the following circumstances (excluding EX staffing), entry into an apprenticeship program, a permanent promotion without a selection process, and during the placement phase of an internal selection process leading to a promotion; and involuntary layoff of an indeterminate employee (for those employees who do not have access to the Public Service Staff Relations Board).

**Consistent Uses:** Personal information is used by the independent third party reviewers, the Office of Dispute Management and applicable Human Resources officials to review a complaint lodged by individuals and to monitor the ITPR process.

**Retention and Disposal Standards:** An ITPR case file is to be retained for two years after the year it was closed, and then destroyed.

**RDA Number:** 98/005  
**Related PR#:** CRA PRN 926  
**TBS Registration:** 004466  
**Bank Number:** CRA PPU 110

#### **Standardized Assessment Results**

**Description:** Bank contains results of assessments of job applicants and employees obtained through the administration of corporate standardized assessment tools, including the Customs Inspector Test, the Supervisory In-Basket exercise, Wonderlic and standardized

assessment tools for the evaluation of organizational, behavioural and technical competencies. (This bank contains information currently described in Bank Number CRA PPE 807 Supervisory In-Basket Exercise Results System. Bank numbers CRA PPE 801 and CRA PPE 807 will be replaced by CRA PPE 835)

**Class of Individuals:** Employees of the CRA and members of the public.

**Purpose:** To compile assessment results for use in the selection of candidates for appointments, career management, performance management, human resources planning, development of individual learning plans in CRA.

**Consistent Uses:** Internal and external third party reviewers, Human Resources advisors, managers, Resourcing and Career Management Division, Ottawa for analysis and research.

**Retention and Disposal:** Records are retained indefinitely since test results may be valid indefinitely.

**RDA Number:** 98/005  
**Related PR#:** CRA PRN 921  
**TBS Registration:** 005108  
**Bank Number:** CRA PPU 120

#### **Information Technology Branch**

##### **Public Key Infrastructure (PKI) External Client Identification**

**Description:** As per the CRA Certificate Authority Internal Certificate Policy (CRA CA CP - Internal), the identify of individuals employed by the CRA must be verified prior to issuance of PKI certificates enabling secure online transactions.

The information may be collected in paper or electronic format and may include protected information such as employee name, PRI or date of birth. Information collected for identification and authentication purposes includes the employee's name and SMTP mail address which are published to the X.500 directory.

**Class of Individuals:** Employees, contractors, organisational roles, and applications within CRA.

**Purpose:** PKI certificates will be used to enable telecommuting capabilities and secure email for all CRA employees.

**Consistent Uses:** The information gathered prior to the issuance of PKI certificates is for identification and authentication purposes only.

**Retention and Disposal Standards:** All records containing sensitive plaintext information are stored in accordance with the Government Security Policy (GSP). CRA correspondence (Subscribers' Agreements and any identification and authentication information) and reports are archived for a minimum of six (6) years All records are considered Protected B and destroyed as per



guidelines.

**RDA Number:** 98/001

**Related PR#:** CRA ACB 345

**TBS Registration:** 004486

**Bank Number:** CRA PPU 165

### Policy and Legislation Branch

#### Application for licences under the provisions of the Excise Tax Act and the Excise Act

**Description:** Information on the licensing of taxpayers under the Excise Tax Act (application for Excise Tax Licence, Wholesaler's Tax Licence the Excise Act (application for Brewer's Licence, Distiller's Licence, Bonding Warehouse Licence, Pharmacist's Licence, Bonded Manufacturer's Licence, Tobacco and Cigar Manufacturer's Licences and Tobacco Packer's Licence, and Chemical Still Licence) and the Excise Act, 2001 (applications for spirits licence, wine licence tobacco licence, excise warehouse licence, tobacco dealer's licence, special excise warehouse licence, duty-free shop licence and user's licence, as well as ferment-on-premises, user's alcohol and specially denatured alcohol registrations). Data includes names of sole proprietors, names of partners in a partnership, names of authorized corporate officers, contact persons names and titles, personal address and telephone number and official language preference for corresponding with the Agency. The bank includes both corporate and personal information.

**Class of Individuals:** Sole proprietorships, partners in a partnership, authorized corporate officers, contact persons.

**Purpose:** This bank is required to store personal information on taxpayers licensed under the Excise Tax Act and the Excise Act for the administrative purpose of creating and maintaining the tax roll.

**Consistent Uses:** This information is used to assess eligibility for, and type of license required/requested. It is also used to establish internal accounting records from which personalized Tax Returns are prepared and mailed to taxpayers, and on which details of the amount of tax paid or payable are maintained. Other uses include the generation of mailing lists for technical materials, information bulletins, and such similar materials. This information is never disclosed, other than to specific persons for uses specifically authorized under the Excise Act and the Excise Tax Act.

**Retention and Disposal Standards:** Active licensee information will be kept on an ongoing basis. Records on individuals who have ceased to be licensed are maintained for a period of 5

years.

**RDA Number:** No longer under this authority.

Presently under review

**Related PR#:** CRA ACB 025, CRA ACB 130

**TBS Registration:** 003128

**Bank Number:** CRA PPU 062

#### Excise and GST/HST Letters (Headquarters and Tax Services Offices)

**Description:** This bank contains correspondence/replies, prepared by Headquarters officers and officers in the Tax Services Offices, addressed to GST registrants or claimants and excise tax licensees in responses to their requests regarding the interpretation of a section, subsection, etc., of the Excise Tax Act, particularly concerning the goods and service tax (GST), the harmonized sales tax (HST) and excise tax. These letters are stored electronically in a chronological order.

**Class of Individuals:** GST/HST registrants and claimants, and excise tax licensees.

**Purpose:** The purpose of this bank is to conduct quality assurance of correspondence addressed to the GST/HST registrants and excise tax licensees. This bank is also used as a research tool for officers that need to answer/interpret the Act. A "severed" bank of the Headquarters rulings is also available, at a cost, to tax publishers subscribing to the "Electronic Bulletin Board Service" (EBBS).

**Consistent Uses:** This bank is used as a source of information for the creation of policy guidelines, information bulletins and internal training materials. This information is never disclosed (except in severed form), other than to specific persons for uses specifically authorized under the Excise Act and the Excise Tax Act.

**Retention and Disposal Standards:** The severed letters will be kept on the system for one year and then will be kept on a backup unit/disk as long as the Excise and GST/HST program exists.

**RDA Number:** Presently under review.

**Related PR#:** CRA PPB130, CRA PPB136

**TBS Registration:** 003777

**Bank Number:** CRA PPU 092

#### Income Tax Rulings Subject Matter Files

**Description:** This bank contains correspondence received from individuals requesting an interpretation of a section, subsection, etc., of the Income Tax Act or another law related thereto and the replies sent by the CRA.

**Class of Individuals:** Members of the general public.

**Purpose:** The purpose of the bank is to file correspondence from and to taxpayers on matters related to the Income Tax Act and Regulations.

This bank is used for records retention and maintenance only. Access to a record will be provided upon proof of identification including name, address, signature and Social Insurance Number. In some instances, correspondence may be filed in the name of the taxpayer's representative. In these cases, the name and address of the representative should also be included on the Record Access Request Form. The subject matter and date of the requested correspondence is also required.

**Consistent Uses:** This bank is used for records retention and maintenance only. Access to a record will be provided upon proof of identification including name, address, signature and Social Insurance Number. In some instances, correspondence may be filed in the name of the taxpayer's representative. In these cases, the name and address of the representative should also be included on the Record Access Request Form. The subject matter and date of the requested correspondence is also required.

**Retention and Disposal Standards:** Records in this bank are maintained for seven years.

**RDA Number:** 96/052

**Related PR#:** CRA PPB 041, CRA PPB 046, CRA PPB 049

**TBS Registration:** 003538

**Bank Number:** CRA PPU 090

### **The Registered Charity Information Return (T3010)**

**Description:** This bank describes information on the directors/trustees of registered charities that these charities are required to provide to the Charities Directorate of the Canada Revenue Agency (CRA) on an annual basis. This information, as well as information related to the operation of the charity, including financial data, is deemed necessary to facilitate the administration and enforcement of the Income Tax Act. The personal information collected on each member of the governing body includes: Last name, first name, initial, date of birth, complete mailing address, home telephone number, title of position within the governing body in the charity and whether or not they are at arm's length (Arms length is a tax concept that describes a relationship in which the parties act independently of each another.) to other Directors/trustees of the same charity.

**Class of Individuals:** Any individual who holds a position on the governing body of a Canadian registered charity.

**Purpose:** In accordance with the Income Tax Act, registered charities are required to provide the CRA with operational information annually.

This information is submitted on Tax form T3010. This information, most of which is confidential, is required to facilitate the administration and enforcement of the Income Tax Act. Form T3010 is used exclusively by the Charities Directorate of the CRA to assess a charity's operational information to ensure that it complies with the Income Tax Act. If the return reveals that the charity presents compliance issues, the Directorate may engage in a series of activities including: outreach/education on how to comply with regulations or a more thorough investigation of the charity's activities, after which various sanctions could be applied, up to and including revocation of registered status. The T3010 information is stored in the Charities Assessing and Registration (CARE) system. CARE is a mainframe system that is maintained by the Information Technology Branch (ITB) of CRA on behalf of the Charities Directorate. It is internal to CRA and does not have linkages to external systems.

**Consistent Uses:** This information is disclosed (see below) in accordance with the Income Tax Act. There are no other uses of the information. Disclosure: The public information portion of the T3010 Return pertaining to directors or trustees is limited to: full name, position in the charity and arm's length status. This information is available to the public and other government agencies on request (see below) and on the Charities' Internet web site. 1.T3010 Ad Hoc Reports/Data Extracts are disclosed to the public upon request, in accordance with Subsection 149.1(15) of the Income Tax Act (public information only). 2.Photocopied T3010 Information Returns are disclosed to the public upon request (public information only). 3.T3010 information is disclosed to Statistics Canada bi-annually (all information). 4.T3010 information is disclosed where the release of any or all of the information, is permitted by law under Subsection 241 of the Income Tax Act.

**Retention and Disposal Standards:** The paper copies of the charity return are to be retained for 6 years. Once a Records Disposition Authority has been obtained, they will be destroyed. We are currently working to apply the same retention and disposal standard to the electronic information stored within CARE.

**RDA Number:** 93/019.

**Related PR#:** CRA PPB 290

**TBS Registration:** 005859

**Bank Number:** CRA PPU 200

## Policy and Planning Branch Regional Operations

### Requests for Refund of Federal Excise Tax on Gasoline

**Description:** Data include information about each claimant. Included are claimant's name, registered charities or athletic association's names, address, telephone number, tax registration number, employer's Corporation Account (CORTAX) issued by the Canada Revenue Agency Account number where applicable, claimant's status and type, official language preference for corresponding with the Agency and information about amount of refund claimed and paid.

**Class of Individuals:** Handicapped persons medically certified, to the extent that public transportation is hazardous to their health; Canadian Charitable Organizations or Canadian Amateur Athletic Associations registered with Canada Revenue Agency who have filed a claim for a gasoline tax refund. These files include both personal and corporate information.

**Purpose:** This bank exists for the purpose of refunding individuals or registered bodies making application under the Excise Tax Act, the federal excise tax paid on gasoline. The bank is used for the purpose of examining individual claims for gasoline excise tax refunds, and may be used to inspect claimant's receipts and supporting documents related to such claims.

**Consistent Uses:** This information is used to assess eligibility for the refund, and to calculate the amount of refund. It is also used to establish internal accounting records on which details of the amount of tax paid or payable are maintained. Other uses for the data include the generation of mailing lists for technical materials, information bulletins, and such similar materials. This information is never disclosed, other than to specific persons for uses specifically authorized under the Excise Act and the Excise Tax Act.

**Retention and Disposal Standards:** Each claim is retained for a period of seven years and then destroyed.

**RDA Number:** No longer covered under an existing authority. Presently under review.

**Related PR#:** CRA RGO 050

**TBS Registration:** 003149

**Bank Number:** CRA PPU 051

## Public Affairs Branch

### Information Disclosed to Investigative Bodies

**Description:** This personal information bank contains a copy of access request or Treasury Board form 350-56(83/2): Request for Disclosure to Federal Investigative Bodies, forwarded by

investigative bodies as listed in Schedule II of the Privacy Act under section 8(2)(e) of the same Act. These nation-wide requests concerning individuals are made for law enforcement purposes. The bank also contains the replies to such requests and gives details about how they are processed.

**Class of Individuals:** Individuals involved in investigations under the Criminal Code, federal and provincial statutes, and municipal bylaws.

**Purpose:** To account for the number of requests under section 8(2)(e) of the Privacy Act.

**Consistent Uses:** This bank will allow the procedures used for exchanging personal information with Investigative Bodies under section 8(2)(e) of the Privacy Act to be audited.

**Retention and Disposal Standards:** Files are kept for two years, and then destroyed.

**RDA Number:** No longer covered under an existing authority. Presently under review.

**Related PR#:** CRA PAB 440

**TBS Registration:** 001781

**Bank Number:** CRA PPU 071

## Standard Personal Information Banks

Please see the instruction to this publication for the definition of Standard Personal Information Bank and a description of their contents.

Access to Information and Privacy Requests

Relocation

Hospitality

Travel

## Manuals

- Appeals Branch
- Appeals Division - Appeals Officer – Tax
- CPP/UI Appeals Officers
- Appeals Division - Management
- Appeals Division -Support Staff - Tax
- Assessment and Collections Branch
- Accounting Data Capture
- Assessor
- Automated Trust System
- Benefit Programs Controls
- Benefit Programs – Validation and Controls
- Business Client Communications System Reference

- Business Registration Manual
- Business Registration On-Line (BRO) Support Procedures Manual
- Business Window Forms Handbook
- Business Window Information
- Canada Pension Plan Record of Earnings
- Cancellation Examination
- Cash Control
- Certification of Canadian Residency
- CFB Enquiries Handbook
- Child Tax Benefit - Eligibility
- Child and Family Benefits - Entitlement
- Children's Special Allowances
- Client Services
- Common Uses Information
- Confidence Validities
- Confidence Validity Guidelines
- Confidentiality for Client Services – Individual Programs
- Control
- Control Clerk
- Corporate Suspense Reference
- Correspondence Referral Unit (CRU)
- CPP-EI Rulings Program - Administrative Policies and Procedures
- CRA PKI Helpdesk User Guide
- Data Capture Coordinators
- Data Capture Users
- Disability Amount for Self, Spouse or Dependents
- Document Control
- Electronic Filing (EFILE) for T1 Returns
- Electronic Revenue Accounting - System Overview
- Electronic Statement of Account (ESA)
- ERA Event and Transcript Preparation
- ERA Interest Calculation General Procedures
- ERA Procedures for Managers
- ERA Statistics
- Error Correction Instructions for Electronic Returns
- Error Inspection – Error Clues
- Error Inspection Control
- Error Inspection Work Instructions
- Exhibits
- Explanation Codes used on Reassessment
- Explanation Codes and Messages
- Family Orders and Agreements Enforcement Assistance and the Refund Set-Off Programs
- Farmer's and Fishermen's Program
- FIP Keying Procedures
- GAPP Manual
- General Ledger Accounts List
- General Ledger Online Reference
- GST/HST Credit Handbook
- GST/HST Credit Manual
- Highlights and Changes – Taxation Centres
- Highlights and Changes – Tax Services Offices
- Individual Services Technical Help Guide
- Individual T1 Identification Master Update
- Information Returns Procedures Manual – Sections 1 to 4
- Initial Assessing of T1 Rejects, SAS, DOA and Prior Year
- Installment Program
- Installments and Installment Interest
- Matching Programs
- Non-Filers/Non-Registrants Operations Manual
- Notice Production
- Online Amendments 2000 User Guide
- Online Taxpayer Correspondence System (OTCS)
- Overview
- Penalties
- Pension Reform
- Preliminary Reassessment Processing Instructions
- Processing Leads and Liaison with the Minister du Revenu du Québec

- Processing Requests for a Reduction of Income Tax Deductions at Source (Tax Waiver Requests)
- RAPID System
- Reassessment Messages and Cancel Codes
- Reassessment Processing Instructions
- Recording and Flagging Procedures
- Referrals
- Refund Enquiries
- Registered Plans for Retirement Savings (RRSP, RRIF, RPP and DPSP)
- Remission Orders
- Resource Officers Instructions
- Revenue Collections
- Revenue Compliance
- Review Procedures
- Reviewer
- SAS-TCA Assessing
- SAS-TCA Control Instructions
- Selection Instructions of Returns
- Sorting and Numbering
- Specialized Processing
- Standardized Accounting Reference
- Subsidiary Ledgers
- Subsidiary Ledger Unit
- Supervisor
- Supplementary Instructions
- T1 Accounting Error Correction
- T1 Accounting Related Guidelines
- T1 Accounting Systems
- T1 Mismatch
- T1 Processing Review Program
- T1 Records
- T2 Interest Calculations
- T3 Initial Assessing, Adjustments and Correspondence Manual
- T3 Records Section
- T3 Returns
- T4 ROE Ident Procedures Manual
- Tax Calculation Procedures
- TCA Processing
- Team Leader Procedures
- Topical Index
- Tracing Refunds
- TRIS\_T1 Taxfiler Representative Identification System
- TSO Cashiering
- Years not on TAPMA
- Compliance Programs Branch
- AIMS Online Help Manual
- Audit Applications Guide
- Audit Programs
- Audit Techniques
- Audit Techniques (Handbook)
- ITSO Selection
- International Tax Services Office Specialized Processing
- International Tax Services Office (ITSO) Workloads
- Investigations Manual
- Non-Resident SAS/TCA Processing
- Non-Resident System and Procedures
- Old Age Security Return of Income
- Office Examination Procedures Manual
- Preparation of the Auditor's Report
- T1 Migration (TIM) System
- Tax Avoidance
- Section 116 Non-Resident Disposition Manual
- Finance and Administration Branch
- Administration - Telecommunications
- Comscreen Coordinator Manual
- Comscreen Operator Manual
- Comscreen Reviewer Manual
- Departmental Emergency Book
- Financial Administration Directorate
- Finance and Administration manual- Information management Volume
- Finance and Administration manual- Materiel management Volume

- Organization and Activity Management Manual
- Organizational Structure
- Program Structure
- Resource Management Division
- Security Manual
- T1 Statistical Data Capture Manual (T1 SDC)
- Time and Activity Recording User Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Agency and its various programs and services may be directed to:

Canada Revenue Agency  
Public Affairs Branch  
4th Floor, Connaught Building  
555 MacKenzie Avenue  
Ottawa, Ontario K1A 0L5

Tel.: (613) 957-8523

## Reading Room

In accordance with the Access to Information Act, Canada Revenue Agency, has established public reading rooms, they can be found at different locations across Canada.

They are opened to the public (Monday through Friday – 08:15 to 17:00) and contain copies of Taxation Operations Manuals, Information Circulars, Interpretations Bulletins, the Access to Information and Privacy Acts, Info Source and request forms. Reading rooms attendants are available to help individuals seeking information and to complete the request forms.

### Atlantic Region

Charlottetown Tax Services Office  
161 St. Peters Road  
Sherwood Business Centre  
Charlottetown PE C1A 8L3

Halifax Tax Services Office  
1256 Barrington Street  
Halifax NS B3J 2T5

Saint John Tax Services Office  
126 Prince William Street  
Saint John NB E2L 4H9

### Newfoundland and Labrador

Tax Services Office  
Sir Humphrey Gilbert Building  
2nd Floor, 165 Duckworth Street  
St. John's NL A1B 4R5

### Quebec Region

Laval Tax Services Office  
3400 Avenue Jean Béraud  
Laval QC H7T 2Z2

Montréal Tax Services Office  
6th Floor  
305 René-Lévesque Boulevard West  
Montréal QC H2Z 1A6

Québec Tax Services Office  
165 Pointe-aux-Lièvres Street South  
Québec QC G1K 7L3

Rouyn Tax Services Office  
44 Avenue du Lac  
Rouyn-Noranda QC J9X 6Z9

Shawinigan Tax Centre  
4695 - 12th Avenue  
Shawinigan QC G9N 7S6

Jonquière Tax Centre  
2251 René-Lévesque Boulevard  
Jonquière QC G7S 5J1

Montréal-Rive-Sud Tax Centre  
3250 Lapinière Boulevard  
Brossard QC J4Z 3T8

### Northern Ontario Region

Belleville Tax Services Office  
11 Station Street  
Belleville ON K8N 2S3

Sudbury Tax Services Office  
1050 Notre-Dame Avenue  
Sudbury ON P3A 5C1

Ottawa Technology Centre  
875 Heron Road  
Ottawa ON K1A 0L5

### Southern Ontario Region

Kitchener/Waterloo Tax Services Office  
166 Frederick Street  
Kitchener ON N2G 4N1

St. Catharines Tax Services Office  
32 Church Street  
St. Catharines ON L2R 3B9

Toronto Centre Tax Services Office  
1 Front Street West  
Toronto ON M5J 2X6

Toronto East Tax Service Office  
4th floor, 200 town Centre Court  
Scarborough ON M1P 4Y3

Toronto North Tax Services Office  
7th Floor  
5001 Yonge Street  
North York ON M3N 6P6

Toronto West Tax Services Office  
1st Floor  
5800 Hurontario Street  
Mississauga ON L5A 4E9

Windsor Tax Services Office  
185 Ouellette Avenue  
Windsor ON N9A 7G7

Hamilton Tax Services Office  
55 Bay Street North  
Hamilton ON L8N 3E1

London Tax Services Office  
451 Talbot Street, 7th floor  
London ON N6A 5E5

### **Prairies Region**

Calgary Tax Services Office  
720 Harry Hays Building  
220 - 4th Avenue South East  
Calgary AB T2G 0L1

Edmonton Tax Services Office  
Suite 10, Canada Place  
9700 Jasper Avenue  
Edmonton AB T5J 4C8

Regina Tax Services Office  
1955 Smith Street  
Regina SK S4P 2N9

Saskatoon Tax Services Office  
340 - 3rd Avenue North  
Saskatoon SK S7K 0A8

Winnipeg Tax Services Office  
325 Broadway Avenue  
Winnipeg MB R3C 2W2

### **Pacific Region**

Northern B.C. & Yukon Tax Services Office  
280 Victoria Street  
Prince George BC V2L 4X3

Southern Interior B.C. Tax Services Office  
277 Winnipeg Street  
Penticton BC V2A 1N6

Vancouver Island Tax Services Office  
1415 Vancouver Street  
Victoria BC V8V 3W4

Vancouver Tax Services Office  
1166 West Pender Street  
Vancouver BC V6E 3H8

Burnaby Fraser Tax Services Office 1st Floor  
9737 King George Highway  
Surrey BC V3T 3E1

# Canada School of Public Service

## Chapter 19

### General Information

#### Background

Legislative amendments to establish the Canada School of Public Service are contained in the Public Service Modernization Act, which received royal assent on November 7, 2003. The Canada School of Public Service (the School) officially came into being on April 1, 2004, as the common learning provider for the Public Service of Canada.

The School brings together three well-established federal public service learning organizations, the Canadian Centre for Management Development, and from the Public Service Commission, Training and Development Canada and Language Training Canada.

The objective of the School is to contribute to building and maintaining a modern, high-quality, professional public service that is at the leading-edge of knowledge in modern public administration and public sector management. Through up-to-date adult learning techniques, it will provide public servants with access to the common learning opportunities they require to effectively serve Canada and Canadians.

#### Responsibilities

The Canada School of Public Service was created to bring a more unified approach to serving the common learning and development needs of public servants and to help ensure that all public service employees across Canada have the knowledge and skills they need to deliver results for Canadians.

Common learning needs include the core knowledge, competency and skills that all public servants require, no matter what job they do or where they do it.

The School is open and accessible to federal public servants in all regions of the country. Headquartered in the National Capital Region, the School has a presence in each province and territory and has the capacity to deliver its programs across Canada in both official languages. It will actively explore service delivery partnerships to improve accessibility to its programs. The School will utilize a variety blended learning products including on-line courses, web-

casting, videoconferencing, business conferencing and distance learning to ensure that learning can be brought to federal public servants, wherever they may be.

The School will also pursue advanced standing for its programs in order to create seamless learning pathways between the public service and universities and community colleges for its clients.

#### Legislation

- Canada School of Public Service Act

#### Organization

##### Office of the President

The President of the Centre is appointed by the Governor-in-Council and has the rank and status of a deputy minister. The President is the Chief Executive Officer of the School and has control over the form and content of programs, studies and publications of the School, the appointment of staff, the contracting for services and any other authority normally exercised by a deputy head pursuant to a statute or delegated authority. The President is assisted in these functions by the School's Senior Vice-President. The positions reporting to the President are listed below.

##### Policy, Planning and Communications

The Director General, Policy, Planning and Communications, assists in setting and communicating the School's strategic directions and priorities and reporting on results. This includes responsibility for the School's planning and reporting cycle, the management of corporate committees as well as for corporate policy development and internal audit and program evaluation. It also includes responsibility for external communications, such as corporate messaging and identity, as well as internal communications to employees.

##### Corporate Services

The Director General, Corporate Services, is responsible for the finance, administration and IT services of the School. Corporate Services have the responsibility for a range of basic services that are required to support the smooth operation of the organization. These include financial services (billing, invoicing, cost recovery, planning, financial systems and contracts), administrative services (accommodation, mail, reception, telecommunications and security), and IT



services (infrastructure, helpdesk/client services, applications and web site). Corporate Services are also responsible for handling Access to Information and Privacy (ATIP) requests and addressing privacy issues.

### **Human Resources**

The Director General, Human Resources is responsible for the provision of a full range of human resource services (e.g. staffing, classification, compensation, learning, HR planning and policy development, etc.) to the School's managers and employees. These services are aimed at building a high performance, learning organization. Human Resources assists senior management in the overall planning, monitoring, reporting and continuous improvement to assist in the School's thrust towards becoming a learning organization that models public service values.

### **Client Relations and Partnerships**

The Director General of Client Relations and Partnerships is responsible for all the primary points of entry to the School for departments, regions, communities, international clients and individual learners. The focus on clients and their learning needs is exercised through the School's international programs and regional operations functions, and through the provision of conferences and special events, registrar and consulting services. The Client Relations and Partnerships branch offers single-window access to the School's learning products, services and expertise to learners from the public service and beyond.

### **Leadership and Learning Centres**

The Senior Vice-President, Leadership and Learning Centres, is responsible for the School's core centres of expertise in training and development. A wide range of evidenced-based training, development and learning opportunities are provided through four leadership and learning centres:

The Leadership and Career Development Centre focuses on the development of leadership skills and competencies, including improving the ability of public servants to bring the core values of the public service to life in the workplace, career development programs for aspiring leaders, which includes the educational component of the Accelerated Executive Development Program (AEXDP), the Career Assignment Program (CAP); the Management Trainee Program (MTP); and leadership and management programs for senior

leaders, including deputy ministers, associate deputy ministers and assistant deputy ministers.

The Public Administration Development Centre provides departments and agencies with learning opportunities that are unique, flexible and costs-effective. It will ensure that the Public Service as a collectivity develop a shared vision and unity of purpose, acquire a common body of government, specific knowledge, master the skills and competencies critical to performance and share common values and principles in their daily management practices. It contains three elements, namely orientation for new managers aimed at various levels from supervisor to executive, a core management curriculum focussed on the fundamentals of public sector management and an advanced management curriculum providing targeted training on specific management topics.

The Professional Development Centre concentrates on the development of professional skills and competencies in the area of public administration. It is responsible for four areas, namely: the orientation of new recruits to the culture, values, traditions and modus operandi of the federal public service; the development of skills that are generic to the Public Service, such as project management; the professional of employees in corporately designated priority functional groups such as human resources, finance, procurement, material management and real property and information holdings; and "train the trainer" program to help departments implement the government's learning policy with respect to workforce development.

The Language Training Centre provides training for the acquisition of second official languages skills at levels A, B, and C by public servants who do not already possess these skills required for the performance of their work. This includes the learning style analysis and diagnostics (Orientation), the research, design and development of French and English programs, courses, and technological learning tools to help public servants meet their work-related second official language requirements. Language Training Centre offers a range of advisory, informational and coordinating services related to second official language training.

### **Knowledge Management and Advanced Education**

The Vice-President of Knowledge Management and Advanced Education is responsible for providing expertise in adult learning and learning

delivery methods. This group also supports the School in the development and implementation of new learning methods, including computer-assisted learning and distance learning. This includes responsibility for CampusDirect, a three year pilot project to develop a public service-wide learning infrastructure. It also provides expertise to the School in the area of knowledge management through acquiring, storing, managing and transmitting information and knowledge of value to the delivery of the School's services.

### Research and University Relations

The Vice-President, Research and University Relations manages the School's multi-faceted relationship with Canada's universities and community colleges and is responsible for conducting and publishing research on a range of issues falling under the topics of public administration, public sector management, governance, learning and leadership. The Branch develops partnerships and networks both nationally and internationally. This group is also responsible for the administration of fellowship programs for senior public and private sector officials and for academics.

## Information Holdings

### Program Records

#### Case Studies

**Description:** Includes subjects relating to the various case studies developed by the CSPA learning specialists and advisers for use in the delivery of its programs.

**Program Record Number:** CSPA EFPC 035

#### Management Topics

**Description:** Includes any and all information with regards to management topics that are currently being researched by CSPA for either the development of future learning product offerings or for information purposes.

**Program Record Number:** CSPA EFPC 045

#### Learning Product Delivery - Orientation

**Description:** Includes subjects relating to learning product deliveries developed by CSPA to help Federal Government managers orient themselves to their positions.

**Program Record Number:** CSPA EFPC 010

#### Learning Product Delivery - Programs Requiring Selection Process

**Description:** Includes subjects relating to learning product deliveries developed by CSPA that require a selection process. This includes

records concerning Career Assignment Program, Overview of Government, Managing Government Agencies, Management Trainee Program and the Accelerated Executive Development Program.

**Program Record Number:** CSPA EFPC 015

#### Learning Product Delivery - Programs Open to all Managers

**Description:** Includes subjects relating to learning product deliveries developed by CSPA that are open to all managers. This includes records concerning offerings such as Coaching for Breakthroughs and Commitment, How Ottawa Works, Leadership: Reflection and Action.

**Program Record Number:** CSPA EFPC 055

#### Learning Product Development and Delivery

**Description:** Includes original thinking and general subjects relating to learning product development and delivery operations and activities at CSPA.

**Program Record Number:** CSPA EFPC 005

#### Learning Product Development and Delivery - International

**Description:** Includes original thinking and general subjects relating to areas of cooperation with other governments, including learning product development and delivery operations and activities at CSPA. Includes projects accepted or refused. Documentation and correspondence from partner federal, provincial and municipal institutions, associations, colleges, universities, research institutes, commissions, crown corporations and private sector firms working in the field of governance and public administration as well as consulates, embassies and cultural offices and international organizations. Includes documentation from conferences, meetings and symposiums attended or hosted by CSPA.

**Program Record Number:** CSPA EFPC 050

#### Research Program

**Description:** Includes subjects relating to the various research projects handled by CSPA. This includes records such as correspondence, reports, studies, projects, guidelines, planning, funded, research proposals and document review.

**Program Record Number:** CSPA EFPC 030

#### Seminars, Workshops, Courses

**Description:** Includes subjects relating to seminars, workshops, courses and other learning events offered by CSPA to federal government managers. This would include records such as correspondence, completed forms, evaluations, course materials, agendas, timetables.

**Program Record Number:** CSPA EFPC 025

## Human Resources

**Description:** Includes subjects relating to the delivery of HR programs and services to CSPS employees and managers. This includes records such as correspondence, reports, studies, projects, memorandums of understanding and contracts, guidelines, policies, course and supplier catalogues, documentation from conferences and meetings.

**Program Record Number:** CSPS EFPC 060

## Personal Information Banks

### Individual Data Base

**Description:** This information bank contains basic information on course and other training activities of the Centre, on actual and potential clients, on internal and external resources employed by the School and all persons with which CSPS has contact.

**Class of Individuals:** Individuals, principally members of the management category of the Canadian federal public service, who have contact with the Canada School of Public Service. May also contain information on members of the private (business) sector or other levels of government who attend CSPS-sponsored activities.

**Purpose:** The purpose of this information bank is to establish and maintain files on actual and potential clients in order to facilitate the registration of these individuals to CSPS activities, to have information available to determine our client profile to help in the development and delivery of products offered by the School. This information bank also permits the establishment and maintenance of distribution lists such as the list of departmental training coordinators to whom CSPS publicity material is sent in bulk.

**Consistent Uses:** This information bank serves to identify potential clients and resources for activities offered by the School.

**Retention and Disposal Standards:** The files are retained as long as the information is still valid.

**TBS Registration:** 003329

**Bank Number:** CSPS PPU 010

### Registration Information System

**Description:** This information bank may contain basic information on participants and administrative data on learning activities at the Canada School of Public Service.

**Class of Individuals:** Individuals, mainly members of the management category of the federal public service, who have taken or are registered on a learning activity sponsored by the Canada School of Public Service. May also contain information on members of the private (business) sector or other levels of government who attend

CSPS-sponsored activities.

**Purpose:** This information bank exists to establish and maintain files on CSPS activities and participants to these learning and development activities.

**Consistent Uses:** The information bank provides data necessary for the delivery of learning activities offered by the Centre.

**Retention and Disposal Standards:** The files are kept for a five-year period following the end of the learning activity, and are then destroyed.

**TBS Registration:** 003328

**Bank Number:** CSPS PPU 005

## Manuals

- Treasury Board Manuals

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about CSPS's various programs and functions may be directed to:

Canada School of Public Service  
373 Sussex Drive  
Ottawa, Ontario  
K1N 6Z2

Tel.: (613) 995-2263  
Fax: (613) 996-0500

## Reading Room

In accordance with the Access to Information Act, the Canada School of Public Service has designated the following premisses as public reading rooms. The addresses are:

### National Capital Region

Canada School of Public Service – De la Salle  
Campus  
373 Sussex Drive  
Room C-102  
Ottawa, Ontario  
K1N 6Z2

Canada School of Public Service – Asticou  
Campus  
241 Cité des Jeunes Blvd.  
Room 1359  
Gatineau, Québec  
k1N 6Z2

# Canada Science and Technology Museum Corporation

## Chapter 20

### General Information

#### Background

The Canada Science and Technology Museum Corporation (CSTMC), a Crown Corporation, was established in 1990 by the Museums Act.

#### Responsibilities

The purpose of the Corporation, as defined in the Act, is to foster scientific and technological literacy throughout Canada by establishing, maintaining and developing a collection of scientific and technological objects, with special but not exclusive reference to Canada, and by demonstrating the products and processes of science and technology and their economic, social and cultural relationships with society. It consists of three museums: the Canada Science and Technology Museum (CSTM), the Canada Aviation Museum (CAvM) and the Canada Agriculture Museum (CAgM).

#### Legislation

- Museums Act, 1990

#### Organization

##### Directorate

The Directorate is responsible for the direction of the Corporation and the management of all its activities, resources and outputs. It includes the office of the Corporate Secretary and Executive Director, Corporate Planning which provides a support function for the President and CEO and the Board of Trustees and offers services in the areas of policy development and internal audit, and evaluation and research.

##### Canada Science and Technology Museum

The Museum is the only comprehensive science and technology museum in Canada. The Museum boasts the largest and finest collection of scientific and technological artifacts in Canada. Since its inception in 1967, the CSTM collection has grown particularly strong in the general areas of communication, transportation, and physical science.

##### Canada Aviation Museum

The Canada Aviation Museum is responsible for preserving, demonstrating and interpreting for

present and future generation the development of Canadian and world aviation, both civil and military and illustrating the past and continuing contribution of aviation to the evolution of the social, economic and built fabric of Canada.

##### Canada Agriculture Museum

The Canada Agriculture Museum is a unique combination of a modern working farm and a museum. It fulfills its mission through exhibitions, special events, school programs, workshops, demonstrations and collaboration with related museums and organizations.

##### Museum Services Branch

The Museum Services Branch provides centralized services and support which include Collection Services, Conservation Services, Informatics Services, Publication Services and Retail Operations.

##### Corporate Development Division

The Corporate Development Division is responsible for generating resources (including money, goods and services) in order to augment the corporation's appropriated federal budget in support of its mandate and corporate objectives. Resources are generated through sponsorship, fundraising and membership programs aimed at the private sector and the general public.

##### Support Services

Support Services provide advice, administration services and control of resources. They include Human Resources, Finance and Administration, Facilities and Protection.

### Information Holdings

#### Program Records

##### Collections and Acquisitions

**Description:** Information on each individual artifact and its acquisition by purchase, gift, donation and exchanges.

**Topics:** Communication and space; Energy and non-renewable resources; Agriculture and Renewable resources; Aviation; Industrial technology; Physical Science and Emerging Technology; Transportation; Domestic Technology.

**Program Record Number:** STM STA 005

## Communications / Marketing / Promotions

**Description:** Information on various activities regarding Communications, Marketing and Promotions.

**Topics:** Marketing; promotion; advertising along with fund raising, sponsorship; memberships, visitor services programs and volunteer program.

**Program Record Number:** STM STA 010

## Conservation

**Description:** Information on the conservation and preservation of artifacts, prevention of their deterioration through care and maintenance, provision of a suitable physical environment for storage, and control of correct handling and packaging procedures for their transportation.

**Topics:** Communication and Space, Energy and non-renewable resources; Agriculture and Renewable resources; Aviation Industrial technology; Physical Science and Emerging Technologies; transportation; domestic technology.

**Program Record Number:** STM STA 015

## Exhibition

**Description:** Information on exhibition, information collection and public opinion research.

**Topics:** Correspondence relating to the proposal and the planning of permanent, temporary, traveling and visiting exhibitions.

**Program Record Number:** STM STA 020

## Loans

**Description:** Information on incoming and outgoing loans for exhibitions and for special events.

**Topics:** Communication and space; Energy and non-renewable resources; Agriculture and Renewable resources; Aviation; Industrial technology; Physical Science and Emerging Technology; Transportation; Domestic Technology.

**Program Record Number:** STM STA 025

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Hospitality

Proactive Disclosure

Relocation

Travel

## Personal Information Banks

### Collections

**Description:** This bank has complete information pertaining to the collection of objects by the Canada Science and Technology Museum and the Canada Aviation Museum.

**Class of Individuals:** Individuals with which the Canada Science and Technology Museum deals, in relation to collecting.

**Purpose:** To maintain complete information about objects collected or collectable by the Canada Science and Technology Museum and the Canada Aviation Museum. The information is classified by objects.

**Consistent Uses:** Determination of value of objects for income tax or insurance purposes.

**Retention and Disposal Standards:** TBD

**RDA Number:** TBD

**Related PR#:** STM STA 005

**TBS Registration:** 001678

**Bank Number:** STM PPU 005

### Contract Files

**Description:** The purpose of this bank is to keep a record of all personal and professional service contracts entered into by the Corporation. It contains information such as the request for service by the manager, the original contractual document, and reasons for not authorizing payment if the terms of the contract have not been met. Active files are kept within the Corporate Services Record Office.

**Class of Individuals:** Information relates to individuals from the private sector under contract for services to CSTM.

**Purpose:** For contracting services.

**Consistent Uses:** To maintain information on all service contracts entered into by CSTM.

**Retention and Disposal Standards:** Six fiscal years, then destroyed.

**RDA Number:** 99/004

**Related PR#:** STM PRN 914

**TBS Registration:** 000377

**Bank Number:** STM PPU 010

### Individual Requests Under the Privacy Act

**Description:** This bank contains formal requests made by individuals under the Privacy Act for access to personal information about them, the replies to such requests and all records relating to their processing. If applicable, includes information on exemptions claimed, complaints received, reports and recommendations of the Privacy Commissioner and litigation in the Federal and Supreme Courts.

**Class of Individuals:** Individuals requesting information under the Privacy Act.

**Purpose:** For processing such requests and for compiling statistics relating to them.

**Retention and Disposal Standards:** Two years after last action.

**RDA Number:** 98/001

**Related PR#:** STM PRN 930

**TBS Registration:** 001680

**Bank Number:** STM PPU 030

### Mailing Lists

**Description:** This bank contains the names, addresses and telephone numbers, organized by areas of specialties or interest.

**Class of Individuals:** Public, media, academics, professionals, museological associations, etc.

**Purpose:** To communicate and promote our Museums programs, services and special activities.

**Consistent Uses:** To inform and distribute materials to individuals and groups of interest.

**Retention and Disposal Standards:** Disposed of when requested to change of address and returned mail no longer meet the purpose for which it was collected.

**RDA Number:** 98/001

**Related PR#:** STM STA 010

**TBS Registration:** 002769

**Bank Number:** STM PPU 015

### Memberships

**Description:** This bank contains the names, addresses, telephone numbers and credit card number of members.

**Class of Individuals:** General public.

**Purpose:** The purpose of this bank is to maintain a record of members, their preferences and special interests for museum related programs and activities.

**Consistent Uses:** This bank is used to maintain and renew memberships, and to seek new members.

**Retention and Disposal Standards:** Destroyed two years after last administrative action.

**RDA Number:** TBD

**Related PR#:** STM STA 010

**TBS Registration:** 003912

**Bank Number:** STM PPU 040

### Requests Under the Access to Information Act

**Description:** Contains formal requests made under the Access to Information Act by individuals for access to records, the replies to such requests and all records relating to their processing. If applicable, includes information on exemptions claimed, interventions of third parties, complaints received, reports and recommendations of the

Information Commissioner and litigation in the Federal and Supreme Courts.

**Class of Individuals:** Individuals requesting information under the Access to Information Act.

**Purpose:** To process requests.

**Consistent Uses:** Compiling statistics relating to the administration of the Act.

**Retention and Disposal Standards:** Two years after last action.

**RDA Number:** 98/001

**Related PR#:** STM PRN 930

**TBS Registration:** 000378

**Bank Number:** STM PPU 020

### Volunteers

**Description:** This bank contains the names of volunteers who have offered to assist with various activities or events. The addresses, telephone numbers and preferred tasks are also included.

**Class of Individuals:** General public.

**Purpose:** The purpose of this bank is to maintain a record of volunteers, their preferences for volunteer activities or events.

**Consistent Uses:** This bank is used to select volunteers for suitable placement in support of CSTM activities or events and to record their participation.

**Retention and Disposal Standards:** Destroyed two years after last administrative action.

**RDA Number:** TBD

**Related PR#:** STM STA 010

**TBS Registration:** 003911

**Bank Number:** STM PPU 035

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Classes of Personal Information

Some CSTM and CAM files summarized in the Program Records contain personal information which is not used in a decision-making process directly affecting the individual to whom it relates. Examples are inquiries about CSTM and CAVM collections, programs and services, information and advice given to individuals by CMST or CAVM employees about museums and museum objects.

These classes of personal information are kept on the relevant subject files and are not identifiable

by name of the individual or other personal identifier. To retrieve these classes of personal information, CSTM and CAVM would need as much detail as possible about the subject matter, the geographic location and the time the information would have come to the CSTM or CAVM.

The retention periods for these classes of personal information are the same as those for the subject files containing the information.

## Manuals

- Corporate Policy Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Canada Science and Technology Museum Corporation under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canada Science and Technology Museum Corporation.

Requests for further information about the Corporation, its components, and its various programs and functions may be directed to:

Communications and Promotion  
Canada Science and Technology Museum Corporation  
1867 St. Laurent Boulevard  
P.O. Box 9724, Station T  
Ottawa ON K1G 5A3  
Tel.: (613) 990-6302

## Reading Room

The Corporation's libraries have been designated under the Access to Information Act as public reading rooms. The addresses are:

### Library

Canada Science and Technology Museum  
2380 Lancaster Road  
Ottawa, Ontario  
Library

Canada Aviation Museum  
11 Aviation Parkway  
Building 194  
Ottawa, Ontario

# Canada-Newfoundland Offshore Petroleum Board

## Chapter 21

### General Information

#### Background

The Canada-Newfoundland Offshore Petroleum Board was established in 1987 as a joint federal/provincial agency pursuant to the federal Canada-Newfoundland Atlantic Accord Implementation Act and by the provincial Canada-Newfoundland Atlantic Accord Implementation Act. These acts brought into law the principles established in a 1985 agreement between the federal government and the provincial government relating to offshore petroleum resources.

#### Responsibilities

The Board manages the petroleum resources in the Newfoundland offshore area on behalf of the Government of Canada and the Government of Newfoundland and Labrador. Its authority is derived from the legislation implementing the 1985 Atlantic Accord between the two governments.

The Board has a duty to ensure that management of offshore land rights takes place in an orderly way; that assessments of the resource potential of the offshore area are completed on a timely basis; offshore exploration and production activities are conducted in a safe and environmentally responsible manner; exploitation of the resource is conducted in accordance with good oilfield practice to optimize recovery and avoid waste; and operators' procurement decisions are consistent with their statutory obligations and agreements with governments to provide economic and social benefits to Canada, and in particular to Newfoundland; and it provides guidance to industry regarding regulatory requirements and encourages continuous improvement in practices that provide for worker safety and environmental protection.

#### Legislation

- Canada-Newfoundland Atlantic Accord Implementation Newfoundland Act, R.S.N. 1990, c.C-2
- Canada-Newfoundland Atlantic Accord Implementation Act, S.C. 1987, c.3

#### Organization

The Board consists of seven members who are appointed for fixed terms of office (The Board currently has six Board members). Three members are appointed by the federal government, three by the provincial government and the Chairman is appointed by both the federal and provincial governments. The Chairman also acts on a full-time basis as Chief Executive Officer.

#### Exploration Department

This Department is responsible for co-ordinating geophysical and geological program authorizations; monitoring and evaluating geological and geophysical programs and exploratory and delineation drilling; determining significant and commercial discovery areas; evaluating undiscovered resource potential of the Board's area of jurisdiction; providing recommendations on development plans and maintaining geological and geophysical databases and cuttings, cores and fluid samples.

#### Reservoir Engineering Department

This Department is responsible for oil and gas conservation; assessing discovered resources and productive capacities; administering regulations concerning exploitation schemes for depletion of oil and gas pools, reservoir data acquisition and production rate limitation; reviewing and providing recommendations on well evaluation programs, development plans for oil and gas fields, production accounting procedures and testing programs; maintaining the reservoir database; evaluating conservation and enhanced recovery projects; monitoring field performance; and conducting reservoir performance studies.

#### Operations and Safety Department

This Department is responsible for reviewing and providing recommendations regarding the approval of offshore petroleum exploration, development and production activities; reviewing operators' emergency response plans; monitoring offshore petroleum activities; conducting safety audits and inspections related to procedures, training and equipment; administering and making recommendations regarding the drafting of regulations, their standards and guidelines; monitoring any conditions of approval; co-ordinating with other agencies as required; and providing status reports of offshore petroleum activities.



### Environmental Affairs Department

This Department assesses environmental effects; administers and advises on environmental protection regulations and guidelines; establishes and monitors compliance with physical environment and effluent treatment requirements; co-ordinates with other environmental agencies; and reviews operators' environmental emergency contingency plans.

### Industrial Benefits Department

This Department provides advice to the Board concerning the administration of the Canada-Newfoundland benefits plan provisions of the legislation, including provisions related to domestic procurement, employment, project management, research and development, education and training, and employment equity.

### Legal and Land Department

This Department is responsible for providing legal and land advice and services to the Board. Land matters include the issuance of exploration rights through calls for bids; and the administration of exploration, significant discovery and production licenses.

### Administration Department

This Department provides administrative, financial, human resource, and computer services to the Board.

### The Executive Committee

The Executive Committee manages the day-to-day activities of the Board. It comprises the Chairman and all of the vice-chairmen.

## Information Holdings

### Program Records

#### Board Management

**Description:** Information relating to the organization and operations of the Board, including correspondence with federal and provincial government departments; correspondence with oil and gas operators; records of Board, executive and management meetings; internal policies; memoranda of understanding; frontier lands regulatory framework; and other related general correspondence.

**Program Record Number:** CNP EXE 005

#### Corporate Files

**Description:** General information including annual reports, corporate brochures, etc. for oil and gas industry suppliers, contractors and consultants.

**Program Record Number:** CNP CBD 035

#### Exploration and Reservoir Engineering

**Description:** Information relating to the results of geophysical and geological surveys and exploratory and development drilling, such as seismic, gravimetric, magnetic and geochemical surveys and well histories. This data includes well materials (cuttings, cores, and fluids) sampled during the drilling. Information relating to discovered oil and gas resource estimates; results of the well evaluation program, including core analysis, well logs, fluid analysis and well test data; conservation and enhanced recovery projects, reservoir performance and productive capacity.

**Program Record Number:** CNP RED 080

#### Safety and Environment

**Description:** Information relating to development and production activities including: operating licenses; engineering research, feasibility studies or experimental projects; development applications for offshore petroleum projects; status of development or production operation activities; diving program approvals; production operation authorization; certificates of fitness; and letters of compliance.

Information relating to exploration and development drilling activities including: Drilling Program Approvals, Authorities to Drill a Well, Final Well Reports (well history documents), and daily and weekly status of drilling operation activities.

Information relating to the occupational health and safety of workers employed in the exploration, production, conservation, processing or transportation of petroleum, including procedures, training requirements and safety equipment; operations, inspections and audits on MODUs and standby vessels; accident/incident reports, investigations and analysis; contingency plans arising as a result of exploration, development and production activities; safety committee meetings; and exercises and drills. Information relating to the protection of offshore operations from physical environmental risks, and to the protection of the environment from the effects of offshore oil and gas activities, including: offshore environmental assessments and reviews; environmental contingency planning; physical environmental data; environmental protection exercises; marine pollution incidents; and environmental research and development projects.

**Program Record Number:** CNP EAD 075

### Industrial Benefits

**Description:** Information relating to the review, approval and implementation of Canada-Newfoundland benefit plans submitted by oil and gas operators.

**Program Record Number:** CNP CBD 030

### Legal Services and Land Management

**Description:** Information relating to the Board's corporate procedures, financial security required by the operators, legislation affecting the Board, contract documents, recommendations and advice respecting legal or policy matters, and the registration of documents relating to interests and instruments. Information relating to the issuance and administration of oil and gas exploration and production rights on offshore Newfoundland and Labrador, including the terms and conditions of exploration, significant discovery and production licences; registration of interests held and transferred; calls for nominations; calls for bids; security and bid deposits and allowable expenditure schedules; work expenditure reports; rental reports; and significant discovery declarations and areas.

**Program Record Number:** CNP EXD 055

### Public Affairs

**Description:** Information relating to the Board's external communications including publications; media and public relations; and advertising, informational and educational programs and materials.

**Program Record Number:** CNP PAD 045

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Acts and Legislation

Administration and Management Services

Buildings

Employment and Staffing

Finance

Furniture and furnishings

Hospitality

Occupational Health, Safety and Welfare

Pensions and Insurance

Personnel

Physical Security

Procurement

Relocation

Travel

## Personal Information Banks

### Access Requests

**Description:** This bank contains information relating to formal access requests made pursuant to the Access to Information Act and the Privacy Act.

**Class of Individuals:** Members of the public or employees of the Board who request access to personal information contained in the Board's records.

**Purpose:** To maintain a record of requests under the Privacy Act and the Access to Information Act.

**Consistent Uses:** The information is also used to respond to formal requests made under the Privacy Act and the Access to Information Act.

**Retention and Disposal Standards:** Access requests are retained for 2 years and are then destroyed.

**RDA Number:** The Board has initiated discussions with National Archives to establish retention and disposal standards for its Personal Information Banks.

**Related PR#:** CNP PRN 930

**TBS Registration:** 002312

**Bank Number:** CNP PPU 015

### Certification of Diving Personnel

**Description:** This bank contains information received from divers and other diving personnel seeking certification by the Board, as well as information regarding such certification and related correspondence. Certain applications are supported by medical certificates.

**Class of Individuals:** Individuals seeking certification as divers or other diving personnel.

**Purpose:** To provide a record of the qualifications and experience of divers and other diving personnel for purposes of certification and to record such certifications.

**Consistent Uses:** Information may be shared with other agencies or authorities that certify diving personnel in other jurisdictions.

**Retention and Disposal Standards:** Information is retained in an individual's file until he or she reaches the age of 70 and is thereafter destroyed, provided that at least two years have elapsed since the last administrative action.

**RDA Number:** The Board has initiated discussions with National Archives to establish retention and disposal standards for its Personal Information Banks.

**Related PR#:** CNP EAD 075

**TBS Registration:** 004347  
**Bank Number:** CNP PPU 020

### Employment Applications

**Description:** This bank contains applications received from individuals seeking employment with the Canada-Newfoundland Offshore Petroleum Board. These requests usually include a letter to which a curriculum vitae is attached.

**Class of Individuals:** Individuals seeking employment.

**Purpose:** To maintain applications for prospective position openings.

**Consistent Uses:** The information is also used to evaluate employees for positions.

**Retention and Disposal Standards:** The applications are retained for one year and are then destroyed.

**RDA Number:** The Board has initiated discussions with National Archives to establish retention and disposal standards for its Personal Information Banks.

**Related PR#:** CNP PRN 920

**TBS Registration:** 002311

**Bank Number:** CNP PPU 005

### Personal Services Contracts

**Description:** This bank contains information relating to bidders' lists and individuals hired under personal service contracts by the Canada-Newfoundland Offshore Petroleum Board. The bank contains contracts placed, services rendered, length of contracts, money expended and the contracts and supporting documents.

**Class of Individuals:** General public.

**Purpose:** To maintain a record of contracts placed, services rendered, length of contracts, money expended and the contracts and supporting documents.

**Consistent Uses:** The information is also used to control contracts issued.

**Retention and Disposal Standards:** Records are transferred to a dormant file after two years, and destroyed after 10 years.

**RDA Number:** The Board has initiated discussions with National Archives to establish retention and disposal standards for its Personal Information Banks

**Related PR#:** CNP PRN 912

**TBS Registration:** 002310

**Bank Number:** CNP PPU 010

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel

## Manuals

- Emergency Response Plan
- Geophysical, Geological, Environmental, and Geotechnical Program Guidelines
- Development Application Guidelines
- Newfoundland Offshore Area Guidelines for Drilling Equipment
- Exploration Benefits Plan Guidelines
- Guidelines Respecting Financial Responsibility for Work or Activity in the Newfoundland and Nova Scotia Offshore Areas
- Catalogue of Information and Services
- Compensation Guidelines Respecting Damages Relating to Offshore Petroleum Activities
- Procurement Reporting Guidelines, - Hibernia Development Project
- Offshore Waste Treatment Guidelines

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Board and its various programs and functions may be directed to:

Access to Information and Privacy Co-ordinator  
 Canada-Newfoundland Offshore Petroleum Board  
 5th Floor, TD Place  
 140 Water Street  
 St. John's NL A1C 6H6  
 Tel: (709) 778-1464  
 Fax: (709) 778-1473  
 E-mail: mbaker@cnopb.nf.ca  
 Web Site: www.cnopb.nfnet.com

## **Reading Room**

The Board's library has been designated as a public reading room in accordance with the Access to Information Act. The library is located at:

Canada-Newfoundland Offshore Petroleum Board  
TD Place  
140 Water Street, 3rd floor  
St. John's, Newfoundland

# Canada-Nova Scotia Offshore Petroleum Board

## Chapter 22

### General Information

#### Background

The Canada-Nova Scotia Offshore Petroleum Board was established in 1990 as a joint federal-provincial agency pursuant to the federal Canada-Nova Scotia Offshore Petroleum Resources Accord Implementation Act and the provincial Canada-Nova Scotia Offshore Petroleum Resources Accord Implementation (Nova Scotia) Act. These Acts implemented a 1986 agreement between the federal government and Nova Scotia relating to offshore petroleum resources. The Board has offices in Halifax and Dartmouth, Nova Scotia.

#### Responsibilities

The Board's principal responsibilities include: enhancement of safe working conditions for offshore petroleum activities; protection of the environment during offshore petroleum activities; management of offshore petroleum resources to ensure that operators provide for maximum economic recovery and avoid waste; review of industrial benefits matters relating to petroleum activities offshore Nova Scotia so as to ensure that Canadians, with first consideration given to Nova Scotians, have a full and fair opportunity to participate on a competitive basis in the supply of goods and services to be used in any offshore petroleum activities; issuance, in a controlled and fair manner, of licences required to carry out petroleum exploration and development activities offshore Nova Scotia. The Board also maintains a public registry of licences, curates samples and geological and geophysical information (which is made available to the public following a statutory confidentiality period), and compiles and develops information on petroleum resources within the Nova Scotia Offshore area; collection, maintenance and distribution of offshore petroleum information to the petroleum industry, governments and the public in general.

#### Legislation

- Canada-Nova Scotia Offshore Petroleum Resources Accord Implementation (Nova Scotia) Act, S.N.S. 1987, c. 3.

- Canada-Nova Scotia Offshore Petroleum Resources Accord Implementation Act, S.C. 1988, c. 28.

#### Organization

The Board consists of five members who are appointed for fixed terms of office (the Board currently has four Board members with one additional appointment pending). The Government of Canada and the Government of Nova Scotia each appoint two members. The Chairman is appointed by both governments. The Board has appointed a Chief Executive Officer who is responsible for day to day operations of the Board and a staff of thirty-three people.

#### Offshore Petroleum Resources

This Department is responsible for assessing discovered petroleum resources and evaluating the undiscovered petroleum resource potential of the Nova Scotia offshore area; recommending lands for disposition through calls for bids (including the terms and conditions of calls for bids and licences); administering licences under which oil and gas rights are held and maintaining a public registry of such licences; evaluating the results of geological and geophysical surveys and exploratory and development drilling; determining areas to be designated as significant discoveries or commercial discoveries; archiving geological, geophysical and well history reports; and curating cuttings, cores and fluid samples.

#### Offshore Operations, Health and Safety

This Department is responsible for providing recommendations regarding the approval of plans, programs and specific activities related to exploration, development or production; monitoring any conditions of approval; conducting audits, inspections and investigations related to procedures, training and equipment; reviewing operator's management system frameworks and safety plans; reviewing operators' emergency response plans; and monitoring and providing status reports on offshore petroleum activities. It is also responsible for conserving oil and gas resources; assessing the productive capacities of wells; monitoring field performance and conducting reservoir performance studies; and administering regulations concerning production schemes, production rate limitations and the acquisition of reservoir data.

## Environmental Affairs

This Department assesses the environmental effects of offshore operations as well as risks to offshore operations arising from the physical environment. It administers and advises on environmental protection regulations and guidelines, establishes and monitors compliance with physical environment and effluent treatment requirements, coordinates with other environmental agencies, and reviews operators' environmental emergency contingency plans.

## Administration, Industrial Benefits and Legal

This Department provides administrative, financial, human resources and legal services to the Board. The Department is responsible for the Board's external communications, including publications and public relations. The Department also administers statutory requirements concerning employment and industrial benefits plans.

## Information Holdings

### Program Records

#### Administration

**Description:** Information relating to office management and administration, including human resources, employee benefits, furniture and equipment, software, leases and leasehold improvements, purchasing, insurance, and travel.

**Topics:** The records related to Administration may contain information about the internal management and organization of Board staff, employee benefits; office management, furniture, equipment, software, leases, leasehold improvements, purchasing, insurance and travel.

**Access:** By file number and subject matter.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 050

#### Benefits

**Description:** Information relating to statutory plans concerning industrial benefits and employment.

**Topics:** The records related to Benefits may contain information about competitive bids, industrial benefits, suppliers and service providers, research, training, technology transfers and project work activities.

**Access:** By file number, subject matter and company.

**Format:** Documents are in hardcopy and

electronic format.

**Program Record Number:** NSO NSO 025

#### Board Management

**Description:** Information relating to the organization and operations of the Board, including correspondence with Board members and ministers, liaison with federal and provincial government departments, memoranda of understanding with other agencies, Board by-laws, records of Board meetings, and related general correspondence.

**Topics:** The records related to Board management may contain information about inter-governmental correspondence, memoranda of understanding, Board meeting minutes, records of Board decisions and resolutions, and Board by-laws.

**Access:** By file number and subject matter

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 005

#### Environmental

**Description:** Information relating to the protection of offshore operations from physical environmental risks and to the protection of the environment from the effects of offshore oil and gas activities, including environmental assessments and reviews, environmental contingency plans, physical environmental data, environmental protection exercises, marine pollution incidents, and environmental studies and research.

**Topics:** The records related to Environmental may contain information about environmental assessments, research and studies, contingency plans, physical data, environmental effects monitoring reports, incident reports, inter-government correspondence and workplans.

**Access:** By file number, subject matter and company.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 035

#### Financial

**Description:** Information relating to financial administration, including budgeting, payroll (including source deductions and remittances), asset inventories, bank statements, audit matters, royalty collection and remittance, and financial accounting and reporting.

**Topics:** The records relating to Financial administration may contain payroll, accounts, budgets, audits and bank statements

**Access:** By file number and subject matter.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 020

### General

**Description:** Information relating to industry associations, standards associations, training organizations and other training matters, consultants and general correspondence.

**Topics:** The records related to General may contain information about trade associations, industry organizations, lobbying groups, training organizations, consultants, workshops and conferences.

**Access:** By file number, subject matter and company.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 060

### Legal

**Description:** Information relating to opinions, recommendations or advice respecting legal or policy matters, financial security required from operators, access to information and privacy, and the collection and administration of royalties.

**Topics:** The records related to legal may contain information on opinions, recommendations or advice respecting legal or policy matters.

**Access:** By file number and subject matter.

**Format:** Documents are in hardcopy and electronic format

**Program Record Number:** NSO NSO 010

### Legislation, Regulations and Guidelines

**Description:** Information relating to federal and provincial legislation and regulations, guidelines and internal policies and procedures.

**Topics:** The records related to Legislation, Regulations and Guidelines may contain information about rights and resources, environmental protection, financial responsibility, development applications, occupational health and safety requirements and industrial benefits plans.

**Access:** By file number, subject matter and company.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 015

### Operations and Safety

**Description:** Information relating to exploration, development and production activities, including operating licences, development plans, approvals of plans and programs, authorizations of specific activities, activity status reports, well files, certifying authorities and certificates of fitness, inspections and audits of operational procedures

and equipment, directives, accident and incident reports, investigations, contingency plans, safety committee meetings, exercises and drills, and other matters relating to operations, occupational health and safety, evaluations of reservoir performance and productive capacity.

**Topics:** The records related to Operations and Safety may contain information about activity or work authorizations, inspections, operational audits, accidents, incidents, safety plans, contingency plans, certificates of fitness, activity status reports, well files, safety committee meetings, exercises and drills.

**Access:** By file number, subject matter and company.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 030

### Public Affairs

**Description:** Information relating to the Board's external communications, including publications, the website, and media and public relations.

**Topics:** The records related to Public Affairs may contain information about environmental issues, regulatory matters, public consultations, work authorizations, activity reports, and intergovernmental correspondence.

**Access:** By file number and subject matter.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 055

### Resources

**Description:** Information relating to the results of geophysical, geological and well site surveys and exploratory and development drilling; geological and geophysical studies; estimates of discovered and undiscovered oil and gas reserves; and the Board's Core Storage and Laboratory facility.

**Topics:** The records related to Resources may contain information about exploratory drilling, development drilling, geological and geophysical studies, oil and gas reserves, geophysical and geological samples and cores.

**Access:** By file number, subject matter and company.

**Format:** Documents are in hardcopy, electronic format, and microfilm.

**Program Record Number:** NSO NSO 040

### Rights Management

**Description:** Information relating to the issuance and administration of licences for oil and gas exploration and production, including registry and title matters, calls for nominations, calls for bids, work deposits, allowable expenditure schedules, work expenditure reports, rental reports, and

declarations of significant and commercial discoveries.

**Topics:** The records related to Rights Management may contain information concerning oil and gas exploration and production licences, call for bids, work deposits, title matters, nominations, allowable expenditure schedules, work expenditures, rental reports, and declarations of significant and commercial discoveries.

**Access:** By file number and subject matter.

**Format:** Documents are in hardcopy and electronic format.

**Program Record Number:** NSO NSO 045

## Personal Information Banks

### Certification of Diving Personnel

**Description:** This bank contains applications received from divers and information regarding such certification and related correspondence. Certain applications are supported by medical certificates. As of March 2003 the Board no longer issues diving certificates and has signed a memorandum of understanding with the Diver Certification Board of Canada to undertake the certification of divers.

**Class of Individuals:** Individuals seeking certification as divers or other diving personnel.

**Purpose:** To provide a record of the qualifications and experience of divers and other diving personnel for purposes of certification and to record such certifications.

**Consistent Uses:** Information may be shared with other agencies or authorities that certify diving personnel in other jurisdictions.

**Retention and Disposal Standards:** Information is retained in an individual's file until he or she reaches the age of 70 and is thereafter destroyed, provided that at least two years have elapsed since the last administrative action.

**RDA Number:** TBD

**Related PR#:** NSO NSO 030

**TBS Registration:** 003315

**Bank Number:** NSO PPU 005

### Employment Applications

**Description:** This bank contains applications received from individuals seeking employment with the Board. These are usually in the form of letters to which curricula vitae are attached.

**Class of Individuals:** Individuals seeking employment.

**Purpose:** Information may be used to fill vacancies.

**Consistent Uses:** The information may also be used for planning and staffing purposes.

**Retention and Disposal Standards:** The

applications are retained for six months and are then destroyed.

**RDA Number:** TBD

**Related PR#:** NSO NSO 050

**TBS Registration:** 003316

**Bank Number:** NSO PPU 010

## Classes of Personal Information

Certain personal information may be collected which is not contained in the specific data banks described above; for example, information on personnel providing services to the Board or an operator (either directly or through a contractor) or personal information obtained through requests for information or offers of services. This information is stored as part of the general subject files, where records are not normally retrieved by an individual's name or other personal identifier. This personal information is normally retrievable only if specifics are provided concerning the subject matter. The retention periods for these classes of personal information are controlled by the records disposal schedules of the general subject files in which they are stored.

## Manuals

- Emergency Response Plan
- Geophysical and Geological Programs in the Nova Scotia Offshore Area--Guidelines for Work Programs, Authorizations and Reports
- Guideline on the Issuance of Exploration Licences
- Guidelines Respecting Financial Responsibility for Drilling in the Nova Scotia and Newfoundland Offshore Areas
- Industrial Benefits and Employment Plan Guideline
- Land Division Guideline
- Plans and Authorizations Required for Development Projects
- Guidelines Respecting Drilling Programs
- CNSOPB/CNOPB Joint Guideline – Data Acquisition and Reporting for Well, Pool and Field Evaluations
- Operator's Safety Plan
- Respecting Physical Environment Programs during Petroleum Drilling and Production Activities on Frontier Lands
- Offshore Waste Treatment Guidelines
- Offshore Chemical Selection Guidelines



## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note that under section 122 of the federal Canada-Nova Scotia Offshore Petroleum Resources Accord Implementation Act and section 121 of the provincial Canada-Nova Scotia Offshore Petroleum Resources Accord Implementation (Nova Scotia) Act, certain information provided to the Board is privileged and cannot be disclosed without the written consent of the person who provided it.

Requests concerning released well data, geological data, geophysical data and samples should be directed to:

Archive and Laboratory Supervisor  
Core Storage and Laboratory  
Canada-Nova Scotia Offshore Petroleum Board  
201 Brownlow Avenue  
Suite 27  
Dartmouth NS B3B 1W2  
Tel.: (902) 468-3994

Requests concerning the ownership of licences and other registry matters should be directed to:

The Registrar  
Canada-Nova Scotia Offshore Petroleum Board  
6th Floor, TD Centre  
1791 Barrington Street  
Halifax NS B3J 3K9  
Tel.: (902) 422-5588

Requests for other information may be directed to the manager of the appropriate department noted above, at the Board's Halifax office (address and phone number as above).

Information regarding Board activities and offshore petroleum resource regulation can be found at the web site: [www.cnsopb.ns.ca](http://www.cnsopb.ns.ca).

## Reading Room

The Board has facilities for the examination of records by the public at both its Halifax and Dartmouth offices at the addresses noted above.

# Canadian Air Transport Security Authority (CATSA)

## Chapter 23

### General Information

#### Background

The creation of the Canadian Air Transport Security Authority (CATSA) stems from the Government of Canada's commitment to enhance air transportation security in response to the tragic events of September 11, 2001. CATSA came into force on April 1, 2002, upon the passage of the Canadian Air Transport Security Authority Act (Bill C-49). The creation of CATSA was part of a comprehensive \$2.2 billion package of air security initiatives contained in the December 2001 budget. CATSA is a Crown corporation based in the National Capital Region. It reports to Parliament through the Minister of Transport.

#### Responsibilities

The Canadian Air Transport Security Authority (CATSA) is responsible for:

##### **Pre-board screening of passengers and their belongings.**

In the screening process, passengers and their carry-on baggage are examined to prevent a passenger from transporting a prohibited item, such as a knife, firearm, incendiary device, or explosive, onto the plane. CATSA is responsible for ensuring that passengers are screened at Canadian airports.

##### **Acquisition, deployment, operation and maintenance of Explosives Detection Systems (EDS).**

Through the use of high-tech Explosives Detection Systems (EDS) equipment, CATSA is responsible for screening checked baggage at Canadian airports. This responsibility includes purchasing, installing, operating and maintaining the equipment.

##### **Screening of Non-Passenger in restricted areas.**

CATSA implemented a system for the random screening of non-passengers accessing restricted areas at Canadian airports. The screening applies to individuals such as airline personnel, airport employees, refuelers, caterers and maintenance personnel. CATSA's role includes the administration of the program, training of

screening personnel and the purchase, deployment, operation and maintenance of all screening equipment.

##### **Implementation of a Restricted Area Identification Card (RAIC).**

Together with Transport Canada and Canadian airports, CATSA is implementing an enhanced restricted area identification card for all non-passengers working in a restricted area at the airport. Biometrics and centralized databanks will allow CATSA to track, in real time, the issuance, verification and cancellation of passes.

##### **Implementation of the Canadian Air Carrier Protective Program (CACPP).**

CATSA is responsible for working with the Royal Canadian Mounted Police (RCMP) for the implementation of the Canadian Air Carrier Protective Program. CATSA provides funding to the RCMP to place specially-trained police officers onboard Canadian commercial aircrafts. This program covers selected domestic, transborder and international flights, and all flights to Reagan National Airport in Washington, D.C.

##### **Contributions toward airport policing costs.**

In the aftermath of 9/11, new measures were implemented at airports to increase police presence. CATSA provides funding, under contribution agreements, to airports that are required by Transport Canada regulations to maintain an enhanced police presence.

#### Legislation

- Canadian Air Transport Security Authority Act (C-49)

#### Organization

##### **Office of the President and Chief Executive Officer (CEO)**

The President and CEO plays a pivotal role in positioning CATSA strategically, both at the national and the international levels. The President and CEO is also responsible for ensuring that the organization receives all it needs to execute its mandate. By managing the organization's corporate requirements, by establishing priorities, by administering the corporate growth and by liaising with his national and international counterparts and with other security and intelligence agencies, the President

and CEO ensures that CATSA's mission and vision are carried out.

### **Internal Audit**

The Internal Audit division is responsible for the oversight frameworks across the organization such as international and external audits, program evaluation and quality reviews. The Internal Audit division reports directly to the President and CEO.

### **Office of the Executive Vice President and Chief Operating Officer (COO)**

The Executive Vice President and COO is CATSA's representative for the operations and as such is responsible for the day-to-day operations of the organization. He plays an essential role in helping CATSA achieve its mandate by providing the operational requirements of the organization as a whole and by ensuring that the corporate strategy and direction are followed.

### **Office of the Vice President and Chief Financial Officer (CFO)**

The Vice President and CFO is responsible for the following divisions:

#### **Finance**

The Finance division is responsible for ensuring the provision of advice, services and support in the areas of financial planning, accounting operations, contracting and procurement and asset management.

#### **Legal and Regulatory Affairs**

The Legal and Regulatory Affairs' division is responsible for supporting the organization in providing advice and counsel on legal issues and commercial contracting expertise. It is also responsible for regulatory affairs. This function includes ensuring cost, benefit and risk analysis of regulatory changes and providing advice and interpretations of regulations.

#### **Corporate Services**

The Corporate Services division comprises seven groups. The Human Resources group works in partnership with all parts of CATSA to enable them to successfully meet their human resources requirements such as resourcing, payroll and benefits and job evaluation. The Organizational Effectiveness group is responsible for performance management and corporate learning. The Learning group is responsible for CATSA's training centers and training contractors. The Facilities Management group is responsible for all of CATSA's leased facilities. The Information Management and Information Technology group supports the organization in the areas of records

management, database administration, infrastructure and help desk and network services. The Information Systems (IS) group plays an essential role in project management and CATSA's business systems and web. And finally, the Corporate Security group ensures information technology, document handling, physical, personnel and contract security.

### **Office of the Vice President of Operations**

The Vice President of Operations is responsible for the following divisions:

#### **Equipment Implementation and Maintenance**

The Equipment division is responsible for technical delivery such as equipment procurement and deployment of baggage screening equipment, equipment testing and evaluation, technical writing and technical support and compliance.

#### **Screening Operations**

The Screening Operations division is responsible for several programs such as pre-board screening and hold baggage screening. The Operations group plays a pivotal role in monitoring service delivery and security and regulatory compliance and in managing all regional operational issues. This division's responsibilities include performance measurement reporting, negotiation, interpretation and administration of service provider's contracts, provider scheduling and the administration of invoicing for service provider contracts.

#### **Operations Support**

The Operations Support division comprises several areas of responsibilities such as the management, planning, implementation and the analysis reporting of the Non-passenger Screening (NPS) program, the development, implementation and review of the standard operating procedures as well as CATSA's operating plan. It is also responsible for pass cards and biometrics – including the Restricted Area Identification Card program (RAIC) – operational requirements, external liaison, internal liaison and operational policy development.

### **Office of the Vice President of Quality**

The Vice President of Quality is responsible for the following divisions:

#### **Quality and Police Programs**

The Quality and Police Programs division is responsible for the administration and management of CATSA's role in the Canadian Air Carrier Protective Program (CACPP). This division provides expertise in information and

trend analysis and it also ensures airport policing quality management and risk management. It also looks after CATSA's Security Communication Centre for the oversight of screening points and critical security incidents.

### Research and Certification

The Research and Certification division is responsible for the coordination and monitoring of the research portfolio. It also serves as a centre of expertise in the disciplines of strategic and tactical research, statistical analysis, and best practices. The Certification group of this division is responsible for certification and accreditation of screening officers and for the analysis of certifications and quality control issues.

### Office of the Vice President of Strategy

The Vice President of Strategy is responsible for the following divisions:

#### Communications

The Communications division is responsible for supporting the organization in terms of media relations, strategic and internal communications, translation, editing and website content. The Communications division also provides expertise with respect to marketing, advertising, public opinion research, the federal identity program and official languages. The Communications division's responsibilities also include media monitoring, the processing of public inquiries and complaints and the production of CATSA's monthly newsletter. In addition, the Communications division is responsible for government and stakeholder relations including Parliamentary and Inter-governmental affairs and the administration of key legislative requirements such as Access to Information and Privacy legislations and privacy impact assessments requirements.

#### Strategic and Business Planning

The Strategic and Business Planning division is responsible for providing strategic business advice and ensuring international liaison and environmental scanning. This division is also responsible for corporate reporting and policy. It helps ensure compliance to statutory reporting requirements such as the corporate plan and the annual report of the organization. It plays an important role in the area of integrated management practices such as performance measurement and evaluation and the management of CATSA's Business Intelligence system.

### Corporate Secretary

The Corporate Secretary's division supports the Board of Directors in board and committee meetings responsibilities and is the focal point for communication with the board of directors and senior management. The Corporate Secretary also assists directors and senior management in tailoring corporate governance principles and practices to fit the board's needs and the expectations of the government. The Corporate Secretary also provides legal advice to the Board of Directors at meetings and liaises with the Legal Services Division on behalf of the Board.

## Information Holdings

### Program Records

#### Office of the President and Chief Executive Officer (CEO)

##### Executive Services

**Description:** Information on the President & CEO's activities; Coordinates briefing material for the President & CEO; Coordinates day-to-day operations of the CEO's office.

**Topics:** President and Chief Executive Officer; briefing notes; scheduling; corporate coordination.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 290 and 150

##### Policing Programs

**Description:** Information on the Canadian Air Carrier Protective Program (CACPP); aviation security-related policing at airports; liaison with all law enforcement agencies and other groups having involvement with the law enforcement & air security matters, in Canada and abroad; quality control of pre-board screening and hold bag screening process.

**Topics:** Canadian Air Carrier Protective Program (CACPP); airport policing; law enforcement; national and international air security; quality control of pre-board screening (PBS) and hold baggage screening (HBS) systems.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 320 (Policing) and 325 (CACPP)

##### Ethics & Security

**Description:** Information on values and ethics code of conduct; conflict of interest; harassment policy; corporate security; internal auditing.

**Topics:** Ethics; code of conduct; conflict of interest; harassment; corporate security; audit.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 130

### Information Management

**Description:** Information on classification and management of corporate documents; incoming and outgoing mail; protection of security classified documents; develop and maintain retention and disposition schedules.

**Topics:** Classification; corporate documents; mail; retention and disposition.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 220

### Operations Division

#### Pre-board screening program

**Description:** Information on pre-board screening of passengers and baggage; procedures related to security screening; emergency procedures; contracts for pre-board security screening services.

**Topics:** pre-board screening; hold bag screening; standard operating procedures; emergency procedures; screening operations.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 300 (Pre-board screening) and 305 (Hold baggage screening)

#### Restricted Area Identification Card (RAIC)

**Description:** Information on new pass system for non-passengers working in restricted areas at airports.

**Topics:** biometrics; restricted area identification card; non-passenger screening.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 350 (RAIC)

#### Non-Passenger Screening (NPS)

**Description:** Information on security screening of non-passengers such as airport personnel, airport employees, refuelers, caterers and maintenance personnel accessing restricted areas at airports.

**Topics:** Non-passenger screening; restricted area identification card.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 330 (Airports, aircrafts, airlines) and 340 (Safety and security)

#### Equipment Implementation and Maintenance

**Description:** Information on screening equipment; equipment procurement; equipment maintenance and installation; testing and evaluation of systems.

**Topics:** Explosives Detection Systems (EDS); trace machines; equipment purchase, installation and maintenance.

**Access:** Files are arranged by case / subject and date.

**Program Record Number:** CATSA 310 (EDS equipment) and 315 (Non-EDS equipment)

### Security Research and Regulatory Liaison

**Description:** Information on security research, best practices and regulatory affairs; regulatory liaison with Transport Canada and other government departments, national and international air security regulatory bodies; input to national and international civil aviation security rules, regulations, policies and guidelines; business intelligence activities and operations research.

**Topics:** Regulatory amendments; security trends and threats; risk analysis; security technology; statistics; forecasts; customer service surveys; national and international policies and procedures; operational information management systems; performance metrics; security needs.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 340 (Safety and security)

### Finance and Administration

#### Finance

**Description:** Information on financial planning; financial forecasting and budgeting; contracting and procurement; accounting operations.

**Topics:** financial planning; forecasting and budgeting; goods and services; contracting and procurement.

**Access:** Files are arranged by case / subject and date.

**Program Record Number:** CATSA 100

#### Human Resources

**Description:** Information on job evaluation, organizational review/change, recruitment, staffing compensation and salary administration, benefits and pension; performance management program.

**Topics:** Pay; benefits; pension plan; job evaluation; performance management; staffing.

**Access:** Files are arranged by case / subject and date.

**Program Record Number:** CATSA 280

#### Facilities Management

**Description:** Information on facilities at headquarters; regional centres; regional managers' offices.

**Topics:** Facility Operations/Maintenance; leases; maintenance, purchase, warranties of all furniture, fixtures, equipment, space allocation; space planning/design; construction / renovation; assets control; health & safety; fire safety.

**Access:** Files are arranged by subject and date.

**Program Record Number:** CATSA 200

#### Information Technology and Information System

**Description:** Information on website; business systems, applications and support.

**Topics:** Information technology; website; business systems; technical support; technical training.

**Access:** Files are arranged by subject and date.  
**Program Record Number:** CATSA 290

### **National Training and Certification Program**

**Description:** Information on the national training and certification program. Development and implementation of the program; design of pre-selection testing tools, training courses, on-the-job training program, certification process, recertification and continuous professional development programs for a screening officers across Canada.

**Topics:** Pre-selection testing tools, training courses, on-the-job training program, certification process, recertification and continuous professional development; Learning Management Systems (LMS).

**Access:** Files are arranged by subject and date.  
**Program Record Number:** CATSA 300

### **Corporate Affairs**

#### **Communications**

**Description:** Information on the department's media/public relations, planning and assessment activities, media monitoring.

**Topics:** Inquiries; media relations; news clippings; communication plans; employee newsletters; news releases; speeches; correspondence.

**Access:** Files are arranged by subject and date.  
**Program Record Number:** CATSA 150

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

**Description:** Information pertaining to requests made under the Access to Information Act and the Privacy Act for access to records under the control of the department, as well as information concerning the administration of this legislation.

**Topics:** Access requests, privacy requests, complaints, Federal Court cases, consultations, policies and procedures, statistical information, reports, training; Info Source.

**Access:** Files are arranged by case / subject and date.

**Program Record Number:** CATSA 210

#### **Parliamentary Affairs**

**Description:** Information on written and oral questions in Parliament and other information required by Parliament, its committees, or other government institutions.

**Topics:** Order Paper questions and petitions; question period; government and private members' bills; motions for the production of papers; parliamentary committees; tabling of annual reports and returns.

**Access:** Files are arranged by subject and date.  
**Program Record Number:** CATSA 120

### **Public Affairs**

**Description:** Information on public awareness, marketing initiatives; website content, promotional products; conventions and trade shows; public opinion research; Federal Identity program; Official languages policy.

**Topics:** Official languages; public opinion research; federal identity program; marketing and promotions; public awareness.

**Access:** Files are arranged by subject and date.  
**Program Record Number:** CATSA 150

### **Law, Policy & Strategic Affairs**

#### **Legal Counsel**

##### **Board of Directors Secretariat**

**Description:** Information on briefings for Board of Directors meetings; Minutes and resolutions of the Board.

**Topics:** Board of Directors meetings.

**Access:** Files are arranged by subject and date.  
**Program Record Number:** CATSA 260 (Legal) and 270 (Board of Directors)

#### **Policy & Strategic Issues**

**Description:** Information on policy development and strategic advice & analysis on legislative and policy initiatives; Treasury Board submissions; policies and frameworks for program evaluation and risk management; Corporate Plan and Corporate Plan Summary, the Annual Report, liaison with Cabinet committees; Research on National and international policy initiatives, studies; international conferences.

**Topics:** Treasury Board Submission; Corporate Plan; Annual Report; Policy analysis and Strategic planning; risk management; program evaluation.

**Access:** Files are arranged by subject and date.  
**Program Record Number:** CATSA 120, 100 (Annual report) and 290 (Corporate plan)

### **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Administration and Management Services

Automated Document, Records, Information Management Systems

Business Continuity Plans (BCP)

Hospitality

Human Resources

Proactive Disclosure

Physical Security

Travel

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems

Business Continuity Planning

Executive Correspondence Management Systems

Hospitality

Internal Disclosure of Wrongdoing in the Workplace

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel

## Manuals

- Aerodrome Security Measures
- Air Carrier Security Measures
- Benefit and Pension Contracts
- Canadian Aviation Security Regulations
- Canadian Institute of Chartered Accountants Handbook outlining generally accepted accounting principles
- CATSA Code of Ethics and Conduct
- CATSA contracting policy
- CATSA Regulatory Reference Manual
- Employee Guidelines
- Government Security Policy
- Hold Baggage Screening: Instructor Guide
- Human Resources Framework
- Information Management Framework
- Operational Policy Bulletins
- Point Leader: Instructor Guide
- Pre-board Screening Manual: Instructor Guide
- Pre-Board Screening Operations Manuals
- Proficiency requirements for comprehensive auditing, a guide for practitioners
- Screening Officer - Level 1
- Screening Officer - Level 1: Instructor Guide
- Screening Officer - Level 2:
- Screening Officer - Level 2: Instructor Guide
- Screening Officer - Level 3: Instructor Guide
- Screening Operations Bulletins (formerly Pre-Board Screening Operations Bulletins)
- Security and Emergency Awareness Session
- Standard Operating Procedures (for pre-board screening and hold baggage screening)
- Technical Security standards for Information Technology
- Train The Trainer New: Instructor Guide
- Train The Trainer Update: Instructor Guide
- Value-for-Money Auditing Self Study Guide & Audit regime in Crown Corporations

## Additional Information

Please note: Requests made to the Canadian Air Transport Security Authority under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canadian Air Transport Security Authority.

CATSA headquarters are located at:

99 Bank Street, 13th floor  
Ottawa ON K1P 6B9  
1-888-294-2202

## Reading Room

99 Bank Street, 13th floor  
Ottawa ON K1P 6B9

# Canadian Artists and Producers Professional Relations Tribunal

## Chapter 24

### General Information

#### Background

The Canadian Artists and Producers Professional Relations Tribunal was created pursuant to the Status of the Artist Act which received Royal Assent in June 1992. The provisions of the Act creating the Tribunal were brought into force in June 1993. The first members of the Tribunal were appointed in March 1995 and the Tribunal has been operational since the substantive provisions of the Act were brought into force in May 1995.

One of the most important features of the Status of the Artist Act is that it establishes a framework for the conduct of professional relations between independent professional artists and producers within the federal jurisdiction.

The Act guarantees the right of artists to join associations that can represent their professional interests and gives them a mechanism through which to advance their socio-economic interests by guaranteeing the right to bargain collectively with producers for the purpose of reaching agreement on the minimum terms and conditions under which an artist will provide services to those producers. The Act also permits producers to form associations for the purposes of bargaining and entering into scale agreements.

#### Responsibilities

The Tribunal is the independent quasi-judicial agency established to administer the framework governing professional relations between self-employed artists and producers under federal jurisdiction that is prescribed by the Status of the Artist Act. The Tribunal's principal responsibilities are to define sectors of cultural activity suitable for collective bargaining between artists' associations and producers within the Tribunal's jurisdiction and to certify artists' associations to represent self-employed artists working in these sectors; and to deal with complaints of unfair labour practices and other matters brought forward by artists, artists' associations and producers and to prescribe appropriate remedies for contraventions of Part II of the Act.

The Tribunal reports to Parliament through the Minister of Labour. However, certain provisions of the Act specify a role for the Minister of Canadian Heritage.

#### Legislation

- Status of the Artist Act
- Status of the Artist Act Professional Category Regulations
- Canadian Artists and Producers Professional Relations Tribunal Procedural Regulations

#### Organization

The Tribunal is composed of a Chairperson, a Vice-chairperson and not less than two or more than four other full-time or part-time members. The Chairperson is the Chief Executive Officer of the Tribunal and is responsible for the management of the staff and supervision of the work of the Tribunal.

### Information Holdings

#### Program Records

##### Adjudication Files

**Description:** These records contain the documentation related to the processing of applications and complaints filed by artists, artists' associations and producers with the Tribunal pursuant to the Status of the Artist Act and include public notices, evidence, exhibits, submissions and in some cases transcripts of hearing proceedings, Tribunal decisions and notices of proceedings before higher courts.

**Topics:** Documents include applications for: certification, determination/declaration, review, consent to prosecute, judicial review as well as complaints, notices to bargain and scale agreements.

**Access:** Files are arranged by case file, ie. numerically according to the year of application.

**Format:** Paper.

**Program Record Number:** CAPPRT LEG 1300

##### Reports and Bulletins

**Description:** Monthly reports on developments in the arts and cultural industries generally including



copyright, the broadcasting industry, technological and industrial developments with respect to the Internet; bulletins reporting on the Tribunal's adjudicative and other activities.

**Topics:** Monthly reports include analysis of copyright, the broadcasting industry, technological and industrial developments with respect to the Internet; the Bulletin provides a summary of decisions issued by the Tribunal, information on developments at the Tribunal and details on a variety of matters of interest to parties bargaining under the Status of the Artist Act.

**Access:** Files arranged by date.

**Format:** Paper.

**Program Record Number:** CAPPRT REP 1700

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Finance

Furniture and Furnishings

Hospitality

Human Resources

Occupational Health, Safety and Welfare

Official Languages

Pensions and Insurance

Personnel

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Vehicles

## Personal Information Banks

### Mailing List

**Description:** This bank contains the names, addresses and telephone numbers of individuals and arts organizations.

Classes of Individuals: Members of the public, media, lawyers, arts professionals, academics.

**Purpose:** To communicate Tribunal decisions and public announcements to interested members of the public.

**Consistent Uses:** To inform and distribute materials to individuals, arts organizations and cultural industries.

Retention and Disposition Standards: Mailing list is updated at the request of persons and organizations and when mail returned unopened.

**RDA Number:** TBD

**Related PR#:** CAPT LEG 1300, CAPT REP 1700

**TBS Registration:** 004348

**Bank Number:** CAPPRT PPU 001

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Hospitality

Relocation

Travel

## Classes of Personal Information

In the course of conducting programs and activities, categories of personal information may be accumulated and stored as part of specific adjudication files and may not be retrieved by name of the individual or other personal identifier. Such personal information may be gathered in the course of conducting a hearing or other activity. This form of personal information is retrievable only if specifics are provided concerning the nature of the matter, the date, or the parties involved. The retention period for this class of personal information is controlled by the record schedules of the general subject files in which they are stored. Adjudicative files are retained for thirty years after the last administrative action.

## Manuals

- Tribunal Procedures

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Canadian Artists and Producers Professional Relations Tribunal, its programs and functions, may be directed to:

Access to Information and Privacy Coordinator  
Canadian Artists and Producers Professional  
Relations Tribunal  
1st Floor West, 240 Sparks Street  
Ottawa ON K1A 1A1  
Tel.: (613) 996-4052  
Toll-free: 1-800-263-2787

## Reading Room

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

1st Floor West, 240 Sparks Street  
Ottawa ON K1A 1A1  
Tel.: (613) 996-4052  
Toll-free: 1-800-263-2787

# Canadian Centre for Occupational Health and Safety

## Chapter 25

### General Information

#### Background

The Canadian Centre for Occupational Health and Safety (CCOHS) is a corporation under Schedule II of the Financial Administration Act, created by Parliament in April, 1978 to act as a national institute to promote the rights of Canadians to a healthy and safe working environment. It is governed by a Council of Governors representing labour, employers and federal, provincial and territorial governments.

#### Responsibilities

CCOHS promotes a healthier and safer workplace by providing a free occupational health and safety inquiries service to Canadians in both official languages while providing a cost recovery print and electronic information delivery service. The cost recovery service includes publications, training, online electronic services in various formats (CD-ROM, Web, Intranet, magnetic tape).

Specialized services are also offered containing the full text of occupational health and safety and environmental legislation, and regulatory and advisory information on chemicals in the workplace and the environment.

#### Legislation

- Canadian Centre for Occupational Health and Safety Act
- Financial Administration Act, Schedule II

#### Organization

CCOHS is a corporation under Schedule II of the Financial Administration Act. Its policies are established by the Council of Governors, which consists of a chairman and 12 representatives from labour, employers' organizations, and the federal, provincial and territorial governments. It meets three times a year. The Chairman is appointed by federal Order-in-Council. The President and Chief Executive Officer supervises and directs the work and staff of the Centre.

There are five departments through which the program is delivered.

#### Corporate Management

Provides the direction and management of operations at CCOHS.

#### Inquiries Service

Responds directly to occupational health and safety inquiries from the public.

#### Health and Safety Products and Services

Provides occupational health and safety products and services to businesses, labour organizations, governments media, and health and safety professionals.

#### Marketing, Sales & Communications

Provides the promotion, communication, client service and technical support for the products available from CCOHS.

#### Computer Systems and Services

Provides the technical structure and support services for the production and promotion of occupational health and safety products.

### Information Holdings

#### Program Records

##### Databases accessible through CCOHS' electronic services:

**Description:** CHEMINDEX--This is a convenient guide to information resources on over 200,000 chemicals, including CAS registry numbers, chemical names and synonyms that indicate which CCOHS databases contain information on that substance.

**Topics:** Chemicals

**Access:** By subject

**Format:** Electronic

**Program Record Number:** OHS HSP 035

##### Material Safety Data Sheet (MSDS) and its French counterpart FTSS

**Description:** contain more than 250,000 material safety data sheets as supplied by more than 600 contributors. Users can search for MSDSs by product name, manufacturer or supplier; MSDSs are the most recent available from suppliers. Monthly updates are provided on the internet or as an updated DVD or CD-ROM every three months. More than 60,000 MSDSs are added and removed each quarter to ensure clients are provided with the very latest information available.

**Topics:** Material Safety Data Sheet  
**Access:** By product  
**Format:** Electronic  
**Program Record Number:** OHS HSP 001

### **CHEMINFO**

**Description:** A database collection of authoritative, evaluative chemical profiles. Each of the over 1,300 profiles provide a detailed evaluation of health, fire and reactivity hazards, and recommendations on topics such as storage, handling, personal protective equipment, accidental release, first aid and hazard classifications including WHMIS and OSHA. CHEMINFO helps our Canadian and international clients deliver informed and accurate responses to specific chemical questions, recommend safe handling and storage procedures, develop respiratory protection and other PPE programs, conduct workplace risk assessments, assist in developing emergency preparedness plans and in responding to hazardous materials incidents, among other activities.

**Topics:** Chemicals  
**Access:** By subject  
**Format:** Electronic  
**Program Record Number:** OHS HSP 002

### **Chemical Evaluation Search and Retrieval System (CESARS)**

**Description:** A database that contains more than 800 chemical profiles with comprehensive environmental and health information. CESARS provides detailed descriptions of chemical toxicity to humans, mammals, aquatic and plant life, as well as data on physical-chemical properties, and environmental fate and persistence. Each of the 23 sections contains references and most have topic summaries of key information.

**Topics:** Chemicals  
**Access:** by subject  
**Format:** Electronic  
**Program Record Number:** OHS HSP 016

### **Conflict of Interest**

**Description:** This bank contains disclosures by employees concerning potential conflict of interest situations, investigation reports and correspondence about potential and actual employee conflicts between the private interests or holdings of employees and their official duties.

**Topics:** Conflict of Interest  
**Access:** By name  
**Format:** Manual - paper records  
**Program Record Number:** OHS HR 001

### **Domestic/Non-Domestic Substances List (DSL/NDSL)**

**Description:** is a Canadian regulatory inventory including nearly 70,000 world-wide commercial chemical substances. Useful for chemical manufacturers, suppliers and importers needing to identify whether a chemical substance is considered existing or new to Canada, in accordance with Canadian Environmental Protection Act (CEPA) guidelines.

**Topics:** chemical  
**Access:** by subject  
**Format:** Electronic  
**Program Record Number:** OHS HSP 018

### **New Jersey Hazardous Substance Fact Sheets (NJHSFS)**

**Description:** provides workers, employers, emergency responders, and others with essential information on the hazards and safe use of more than 1,000 industrial chemicals and environmental contaminants. Easy-to-understand fact sheets contain basic summarized information on the health and environmental hazards, safe storage, handling, control measures, first aid, and emergency procedures for common chemicals. Useful glossary of terms, plus basic questions and answers are included in each fact sheet.

**Topics:** chemicals  
**Access:** by subject  
**Format:** Electronic  
**Program Record Number:** OHS HSP 026

### **Chemical Hazards Response Information System (CHRIS)**

**Description:** This database provides emergency response and hazard information on 1,300 chemicals identified by the US Coast Guard. CHRIS includes practical response recommendations and extensive lists of hazard ratings and classifications for hazardous materials transport, water shipment, water pollution and more.

**Topics:** chemicals  
**Access:** by subject  
**Format:** Electronic  
**Program Record Number:** OHS HSP 031

### **The Transport of Dangerous Goods (Transport TDG) database**

**Description:** contains approximately 2,500 records on regulatory and other information related to the transportation of dangerous goods (excluding explosives) in Canada. The database contains records for dangerous goods provide proper shipping names and identification numbers, hazard classifications, regulated limits, as well as special provisions for transport. In

addition, the North American Emergency Response Guidelines for materials include information on potential health, fire or explosion hazards, public safety and first-aid recommendations, plus immediate actions for fire, spill or leak situations.

#### **The Transport of Hazardous Materials (TRANSPORT 49CFR) database**

**Description:** contains regulatory and other information related to the transportation of hazardous materials in the United States of America. This database includes key transport information for approximately 4,000 regulated materials, including hazard classes, labels and special provisions for transport. In addition, the North American Emergency Response Guidelines for each hazardous material is provided, including potential health, fire or explosion hazards, public safety and first-aid recommendations, plus immediate actions for fire, spill or leak situations.

**Topics:** transport

**Access:** by subject

**Format:** Electronic

**Program Record Number:** OHS HSP 022

#### **CANADIANA is a bibliographic database**

**Description:** which includes a unique collection of Canadian occupational health and safety information, with references to Canadian research reports and studies, plus journal articles, conference proceedings and unpublished materials. CANADIANA provides users with an essential source of Canadian-related information, including French-language literature.

**Topics:** Health and safety information

**Access:** by subject, by author

**Format:** Electronic

**Program Record Number:** OHS HSP 7

#### **CISILO, a bibliographic database**

**Description:** with references to international occupational health and safety literature, is produced by International Occupational Safety and Health Information Centre/Centre international d'informations de sécurité et d'hygiène du travail (CIS) in Geneva. CIS scans more than 400 journals annually on basic safety and health topics.

**Topics:** bibliographic health and safety

**Access:** by subject, author, or journal

**Format:** Electronic

**Program Record Number:** OHS HSP 013

#### **INRS-bibliographie**

**Description:** French bibliographic database covering the international literature available on the prevention of occupational hazards. Emphasis is placed on french-language literature.

**Topics:** bibliographic health and safety

**Access:** by subject, author or journal

**Format:** Electronic

**Program Record Number:** OHS HSP 021

#### **HSELINE**

**Description:** A database containing more than 200,000 citations with abstracts to worldwide literature on occupational safety and health. It covers all U.K. health and safety commission and health and safety executive publications as well as a wide range of periodicals, books, conference proceedings, reports, and legislation. It is predominantly oriented towards safety and industrial hazards.

**Topics:** bibliographic health and safety

**Access:** by subject by author or journal

**Format:** Electronic

**Program Record Number:** OHS HSP 033

#### **OSHLINE™ with NIOSHTIC®-**

**Description:** With over 10,000 records, the OSHLINE™ bibliographic database provides authoritative, up-to-date coverage and concise summaries of published, peer-reviewed OSH-related literature from around the world. Approximately 1,000 new references are added to OSHLINE every three months. In addition, NIOSHTIC provides bibliographic references with summaries of over 200,000 other top international, peer-reviewed health and safety publications, including journal articles, research reports, books, studies and more, from the U.S. National Institute for Occupational Safety and Health (NIOSH).

**Topics:** bibliographic health and safety

**Access:** by subject, author, or journal

**Format:** Electronic

**Program Record Number:** OHS HSP 008

#### **RTECS® --The NIOSH Registry of Toxic Effects of Chemical Substances (RTECS)**

**Description:** database provides critical toxicological information with citations from more than 2,500 international journals, textbooks, technical reports, scientific proceedings and compendia. RTECS is an authoritative source for chemical hazard information, with more than 150,000 substances with approximately 400,000 chemical names and synonyms plus over 120,000 unique CAS numbers.

**Topics:** bibliographic health and safety

**Access:** by subject, author or journal

**Format:** Electronic

**Program Record Number:** OHS HSP 12

#### **NIOSH Pocket Guide to Chemical Hazards (NPG) 5th Greenbook Edition**

**Description:** An internationally recognized reference database for evaluating workplace

chemical hazards. The NPG database offers concise, industrial hygiene data for nearly 700 chemicals, including symptoms of exposure, exposure limits, respirator selections and protective measures.

**Topics:** chemicals

**Access:** by subject

**Format:** Electronic;hardcopy

**Program Record Number:** OHS HSP 034

### Canadian EnviroOSH Legislation

**Description:** A series of documents that provide the complete text of all Canadian health, safety and environmental legislation, as well as critical guidelines and codes of practice in one complete collection. Canadian enviroOSH Legislation gives Canadians immediate access to their rights and responsibilities in health, safety and the environment, providing one-stop access to quality-assured information for all Canadian jurisdictions. The "Plus Standards" series of databases also contain the complete text of all documents, enabling users to determine the context of the information and how it applies to their situation. From legislation documents, users can click and go directly to the complete text of those referenced standards from the Canadian Standards Association (CSA) and the Canadian General Standards Board (CGSB).

**Topics:** legislation

**Access:** by subject

**Format:** Electronic; paper

**Program Record Number:** OHS HSP 060

### Unjust Dismissal

**Description:** Updated semi-annually, the Human Resources Development Canada (HRDC) – Labour Program CD-ROM provides details of cases under the Canada Labour Code (CLC). It includes information regarding the employer/employee, type of industry/occupation, and summaries of decisions made at various stages of the proceedings.

**Topics:** Unjust dismissal

**Access:** by subject

**Format:** Electronic

**Program Record Number:** OHS HSP 009

### TOXLINE® on CCINFOdisc I

**Description:** A collection of toxicological information from the U.S. National Library of Medicine (NLM), containing over 1,000,000 references to published material and research in progress in the areas of environmental pollution, chemical testing, agents causing birth defects, food and water contamination, carcinogenic effects and occupational hazards and more. It includes references from 15 secondary sources

for 1981 to present.

**Topics:** toxicological

**Access:** by subject

**Format:** Electronic

**Program Record Number:** OHS HSP 11

### HSDB®--

**Description:** A key reliable resource on hazardous chemicals, this database provides comprehensive, peer-reviewed data profiles (150 fields) on more than 4,500 potentially toxic chemicals, created and updated by the U.S. National Library of Medicine. Also, this database includes a wide range of standards, guidelines and regulatory data for use by environmental workplace and transport personnel. HSDB is an excellent source of hard-to-find data for chemicals on topics including toxic effects, environmental fate, and accident reports.

**Topics:** chemicals

**Access:** by subject

**Format:** Electronic

**Program Record Number:** OHS ISS 055

### ILO Encyclopedia of Occupational Health & Safety – CCOHS

**Description:** A Web-based version of the International Labour Organisation's (ILO) comprehensive encyclopedia of occupational health and safety, giving easier access to the most authoritative, comprehensive and easy-to-understand coverage of the core and allied fields encompassing occupational health and safety. This database contains 1,000 articles written by internationally recognized experts, including critical information on more than 2,000 chemicals plus a comprehensive international directory of authors and contributors.

**Topics:** health and safety

**Access:** by subject

**Format:** Electronic

**Program Record Number:** OHS HSP 072

### IPCS INCHEM

**Description:** The IPCS INCHEM collection of databases offers quick and easy access to thousands of searchable documents related to the sound management of chemicals. It is an invaluable resource for all safety professionals and those concerned with the safe use of chemicals. IPCS INCHEM databases bring together the most current peer-reviewed publications and database records from the world's top international bodies. It is now freely accessible via the Internet or for a \$250 annual investment for single or multi-user CD-ROM subscriptions.

**Topics:** chemical management

**Access:** by subject

**Format:** Electronic

**Program Record Number:** OHS HSP 038

### IPCS INTOX –

**Description:** This Databank and Poison Centre Software are essential tools for poison centres and related units concerned with preventing, recording, evaluating, diagnosing, treating and reporting on chemical emergencies. Both these database-driven tools allow professionals to: respond rapidly to poisonings by their being able to rapidly retrieve and present essential information about the toxic agents and their effects; record and manage data systematically; plus, respond quickly to emergency inquiries regarding poisons and access information from more than 100 experts and those responding to emergencies concerning toxic exposures. The IPCS INTOX Programme provides a forum for collaboration between experts and those responding to emergencies concerning toxic exposures. Being part of this expanding global network is an important benefit for participants, as they are able to share information via the INTOX global network. The programme has been coordinated by the IPCS in collaboration with the Canadian Centre for Occupational Health and Safety.

**Topics:** poison

**Access:** by subject

**Format:** Electronic

**Program Record Number:** OHS HSP 037

### Client Information

**Description:** This data bank contains information on individuals and businesses requesting information on CCOHS products and services. It also contains information on companies that actually purchase the information, including customer service report logs.

**Topics:** clients, support,

**Format:** electronic and paper

**Program Record Number:** OHS MSC 001

### Inquiries

**Description:** A toll-free person-to-person service that answers questions on specific occupational health and safety matters. The answers to the most commonly asked occupational health and safety questions (3,000) are also available on the CCOHS Website in the area called OSH Answers.

**Topics:** Chemical hazards, physical hazards, occupational diseases, biological hazards, psycho social issues, occupational safety, ergonomics, occupational health and safety administration.

**Access:** by subject, by person

**Program Record Number:** OHS IRS 041

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Acts and Legislation

Administration

Administration and Management Services

Employment and Staffing

Hospitality

Human Resources

Occupational Health, Safety and Welfare

Proactive Disclosure

Relocation

Travel

## Personal Information Banks

### Inquiries database

**Description:** This database contains client requests for information about specific occupational health and safety matters. Callers are not required to provide any identifying information to obtain service. The personal information collected, if provided, includes the following: individual's name, mailing address, phone number, e-mail address, description of the information required, user type- (government, union or employer), industry type, answer type and response delivery method.

**Class of Individuals:** Any individual that contacts the Canadian Centre for Occupational Health and Safety (CCOHS) for information.

**Purpose:** This information is used to process and respond to requests received by CCOHS. Non identifying information is used for the purpose of statistical analysis of the program.

**Consistent Uses:** The client may be asked to evaluate the service/program received from CCOHS for the purpose of program evaluation and or improving customer service. A third party company may conduct the customer satisfaction surveys on behalf of CCOHS. They are required to keep the information confidential.

**Retention and Disposal Standards:** The records will be kept for a period of 5 years. After 5 years without activity, the record will be destroyed.

**RDA Number:** 2002/006

**Related PR#:** OHS IRS 04.

**TBS Registration:** 005828

**Bank Number:** OHS PPU 041

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Manuals

- User Manual (Windows and MacIntosh)

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Centre and its various programs and functions may be directed to:

### Client Services

Tel.: (905) 570-8094

Toll-free: 1-800-668-4284

Fax: (905) 572-2206

E-mail: [clientservices@ccohs.ca](mailto:clientservices@ccohs.ca)

### Inquiries Service

Canadian Centre for Occupational Health and Safety

135 Hunter Street East

Hamilton ON Canada L8N 1M5

Tel.: (905) 572-4400

Toll-free: 1-800-263-8466

Fax: (905) 572-4500

## Reading Room

Facilities in Resource Centre have been designated as a public reading room in accordance with the Access to Information Act.

The address is:

135 Hunter Street East

Hamilton, Ontario



# Canadian Commercial Corporation

## Chapter 26

### General Information

#### Background

The Canadian Commercial Corporation (CCC) is governed by its enacting legislation, the 1946 Canadian Commercial Corporation Act. CCC's broad mandate: "to assist in the development of trade between Canada and other nations and to assist persons in Canada to dispose of goods and commodities that are available for export from Canada".

#### Responsibilities

CCC is a Crown Corporation mandated to facilitate international trade, particularly in government markets. For Canadian exporters, CCC is a partner who helps open the door to international markets and win export sales. Since 1946, CCC has served thousands of companies in all regions of Canada, helping them to capture over \$30 billion in export business in more than 100 countries.

CCC's principal business is to act as a prime contractor, signing contracts with foreign buyers for goods and services from Canadian suppliers. When CCC is involved as prime contractor, the foreign buyer gets a unique and powerful government-backed guarantee of contract performance, while the Canadian exporter gains the confidence and credibility that comes from having the Government of Canada at the table.

In addition to its prime contractor role, CCC facilitates access to commercial sources of pre-shipment financing, and offers a range of procurement, pre-contract, contract advisory and post-contract services on a fee for service basis.

CCC is an integral part of the Government of Canada's trade team offering services which complement the export financing and insurance activities of Export Development Canada as well as the market intelligence and promotional activities of the Department of International Trade and other federal departments and agencies

#### Legislation

- Canadian Commercial Corporation Act

#### Organization

The board of directors is comprised of Canadian business executives, public service officials and the President of the Corporation. The President and Chief Executive officer directs the business of the Corporation and exercises further power and duties as assigned by the Board.

#### Business Development and Operations

This unit handles market opportunities development, business development, preparation of bids and proposals, contract negotiations and contracting administration. It is also responsible for the Progress Payment Program that gives access to pre-shipment financing to small and medium sized enterprises.

#### Communications and Stakeholder Relations

This unit is responsible for increasing awareness and usage of CCC services among exporters, trade intermediaries, foreign buyers. It focuses on sectoral marketing, communications, media, government relations, events and trade shows.

#### Corporate Services

The unit oversees the human resources, administration, health and safety, official languages, rewards and recognition, multiculturalism, translation and security requirements of the Corporation. It is also responsible for planning and implementing the IM/IT infrastructure for the Corporation.

#### Risk and Financial Services

This unit is responsible for ensuring sound financial and risk management practices for all policies and programs of the Corporation, as well as corporate strategic planning.

### Information Holdings

#### Program Records

##### CCC Files

**Description:** The Corporation's files contain information relating to contracts concluded with foreign governments and international agencies on behalf of Canadian suppliers.

**Topics:** Exports, contracts; defense industry; developing countries; foreign governments; foreign trade; international trade; supplier listings and contracts; trade development; international

financial institutions.

**Program Record Number:** CCC CCC 005

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standards Program Records and a description of their contents.

Accounts and accounting

Acts and legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings and Properties

Equipment and Supplies

Employment and Staffing

Finance

Furniture and Furnishings

Human Resources

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Procurement

Staff Relations

Training and Development

## Personal Information Banks

### Medical Records

**Description:** This bank records the medical history of the employees of the International Development Research Centre as well as of family members of staff who are posted overseas, and of Office of the Auditor General (OAG) and Canadian Commercial Corporation (CCC) staff who consult the travel clinics according to contractual agreement. It contains pre-employment examinations, health histories, reports of physical examinations, results of biochemical tests, x-rays, and cardiograms. The files are arranged in alphabetical order by last name.

**Class of Individuals:** Past and present IDRC employees, OAG and CCC contract staff.

**Purpose:** To maintain a health history record of past and present employees of IDRC and of OAG and CCC contract staff.

**Consistent Uses:** This file is used to record health history and medical examinations of employees and of OAG and CCC contract staff, to record annual and periodic medical examinations of all employees who travel overseas, and to maintain and update records of required inoculations of all employees and OAG and CCC contract staff who travel abroad.

**Retention and Disposal Standards:** The records are retained for five years after employment termination then destroyed.

**RDA Number:** 83/002

**Related PR#:** IDR RB 010

**TBS Registration:** 001154

**Bank Number:** IDR PPE 803

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Canadian Commercial Corporation under the Access to Information Act must be accompanied by a \$5.00 cheque or money order made payable to the Canadian Commercial Corporation.

Requests for further information about the Corporation and its various programs and functions may be directed to the following:

Canadian Commercial Corporation  
General Enquiries

50 O'Connor Street, Suite 1100  
Ottawa ON K1A 0S6

Tel.: 1 (800) 748-8191

## Reading Room

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 hours of operation are from 08:30 to 17:00, Monday to Friday.

# Canadian Cultural Property Export Review Board

## Chapter 27

### General Information

#### Background

In order to better ensure the protection and preservation of significant examples of our cultural, historic and scientific heritage in institutions and public authorities located in Canada, the Government of Canada adopted the Cultural Property Export and Import Act (Act) in 1977.

The Canadian Cultural Property Export Review Board (CCPERB) is an independent administrative tribunal established by the Cultural Property Export and Import Act with three main areas of responsibility: hearing appeals of denied export permits; determining fair cash offers to purchase in relation to denied export permits; and certifying cultural property for income tax purposes.

#### Responsibilities

The Act regulates the export and import of cultural property; provides for grants to assist with the purchase of cultural property under certain circumstances; and provides for special tax incentives to encourage Canadians to donate or sell important cultural objects to designated institutions and public authorities based in Canada.

For the purposes of the Act, cultural property must be movable, that is, capable of being transported from one place to another; and it need not be Canadian in origin. The concept of cultural property incorporates a wide variety of objects ranging from works of art to archaeological artifacts, military objects to archival material, ethnographic material to decorative arts, and scientific to musical instruments.

As part of exercising its responsibilities, CCPERB must first confirm that the cultural property in question is of outstanding significance by reason of its close association with Canadian history or national life, its aesthetic qualities, or its value in the study of the arts or sciences; and is such a degree of national importance that its loss to Canada would significantly diminish the national heritage.

Administrative services to the Review Board are provided through the Department of Canadian Heritage by the Movable Cultural Property Secretariat. All Review Board files are housed with the Secretariat. The personal information they contain pertains to members of the Review Board, applications for grants, loans, cultural property export permits and appeals of refusal of such permits, and applications for the certification of cultural property submitted on behalf of donors or vendors. Applications are filed by number but can be either accessed through a manual cross-index or automated system containing the name of the appellant (in the case of an export appeal) or the donor/vendor (in the case of certification) or recipient institution. Review Board member files are maintained in alphabetical order.

#### Legislation

- Cultural Property Export and Import Act.
- Cultural Property Export Regulations
- Canadian Cultural Property Export Control List

#### Organization

Employees of the Movable Cultural Property Directorate, whose offices are located in the National Capital Region, provide secretariat services to the Canadian Cultural Property Export Review Board.

### Information Holdings

#### Program Records

##### Cultural Property Exports and Imports

**Description:** Information on the export/import of controlled cultural objects and the transfer of ownership of such objects to designated institutions and public authorities through the provisions of tax incentives as set out in the Cultural Property Export and Import Act.

**Topics:** Implementation of certain provisions of the Cultural Property Export and Import Act; denied export permits; certification; case files on consultants and special advisors.

**Program Record Number:** CPE CPI 005.

## Standard Program Records

Please see the introduction to this publication for the definition of Standard Program Records and a description of their contents

Acts and Legislation

Administration

Employment and Staffing

Hospitality

Personnel

Salaries and Wages

Travel

## Personal Information Banks

### Appeals

**Description:** An applicant for a cultural property export permit, whose application is refused, may appeal this decision to the Canadian Cultural Property Export Review Board. The process of appeal, including the dissemination of the relevant information, is set out in section 26 of the Cultural Property Export and Import Act. The information in this bank includes the original permit application, the advice of the expert examiner and any other experts consulted, and administrative correspondence related to the conduct of the appeal and any requests for a determination of a fair cash offer with respect to the file. In each case, the information contained in an appeal file is shared with all parties in the proceeding.

**Class of Individuals:** Individuals seeking to export cultural property which is subject to export control, expert examiners and designated permit officers.

**Purpose:** To facilitate the hearing of appeals of refused export permit applications by the Canadian Cultural Property Export Review Board and allow the Review Board to make a determination of a fair cash offer where requested.

**Consistent Uses:** Information contained in this bank is used to inform Review Board Members of the objects under consideration and to advise institutions and public authorities in Canada of the availability of objects for which the Canadian Cultural Property Export Review Board has established a delay period. The information is also used to identify trends and patterns associated with the operations of the Review Board.

**Retention and Disposal Standards:** Files are kept for ten years and are then transferred to the National Archives of Canada

**RDA Number:** 79/002

**Related PR#:** CPE CPI 005

**TBS Registration:** 000116

**Bank Number:** CPE PPU 005

### Certification

**Description:** The purpose of this bank is to enable the Review Board to make determinations concerning the certification of cultural property for income tax purposes, and to issue cultural property income tax certificates. The application files contain information concerning the fair market value of objects being disposed of to designated institutions by individual donors or vendors. Material held in the bank includes the application, appraisals, declaration of authenticity, information on provenance, significance of the object, deeds of gift or purchase agreements and, in the case of a sale, the purchase price. Copies of any advice from experts consulted and a copy of the tax certificate are also included.

**Class of Individuals:** Individuals or corporations who donate or sell cultural property to designated Canadian cultural institutions, museums, archives, libraries, and universities.

**Purpose:** Certification of cultural property for income tax purposes and the issuance of cultural property income tax certificates.

**Consistent Uses:** Information contained in this bank is used to support the determination of fair market value for the purposes of issuing income tax certificates. The information is also used to identify trends and patterns associated with the operations of the Review Board.

**Retention and Disposal Standards:** Files are retained for ten years and are then transferred to the National Archives of Canada.

**RDA Number:** 79/002

**Related PR#:** CPE CPI 005

**TBS Registration:** 000117

**Bank Number:** CPE PPU 010

### Certification - Appeals Before the Tax Court

**Description:** In accordance with section 33.1 of the Cultural Property Export and Import Act, redeterminations of fair market value made by the Canadian Cultural Property Export Review Board may be appealed to the Tax Court of Canada. Any person who has irrevocably disposed of an object, the fair market value of which has been redetermined under subsection 32(5), to a designated institution or public authority may, within ninety days after the day on which a Cultural Property Income Tax Certificate is issued in relation to that object, appeal the redetermination to the Tax Court of Canada. Material held in the bank includes the Notice to Appeal filed with the Tax Court, correspondence with legal counsel, reports prepared by expert

witnesses, court documents, copies of the original tax certificate, correspondence, and application for certification of cultural property for income tax purposes.

**Note:** Some of these records may be protected by solicitor client privilege.

**Classes of Individuals:** Individuals who donate or sell cultural property to designated institutions.

**Purpose:** The Tax Court of Canada may confirm or vary the fair market value and, for the purposes of the Income Tax Act, the value fixed by the Court is deemed to be the fair market value of the object determined by the Review Board in respect of its disposition.

**Consistent Uses:** Information in this bank is used to support the appeal process associated with the contestation of a redetermination made by the Canadian Cultural Property Export Review Board. Information is also used to identify trends and patterns associated with the operations of the Review Board.

**Retention and Disposal Standards:** Files are retained for ten years and are then transferred to the National Archives of Canada.

**RDA Number:** 94/010

**Related PR#:** CPE CPI 005

**TBS Registration:** 004255

**Bank Number:** CPE PPU 030

### Review Board Members

**Description:** Section 18 of the Cultural Property Export and Import Act establishes the Canadian Cultural Property Export Review Board and defines the composition of its membership.

Information in this bank includes the curricula vitae of members, Orders-in-Council appointing them to the Board, correspondence, travel expense claims, press releases and articles by and about members.

**Class of Individuals:** Members of the public; curators; dealers and collectors.

**Purpose:** The information was compiled to determine the professional qualifications of individuals and their eligibility for membership on the Board. Some information is also used in the completion of travel documentation and for remuneration of members.

**Consistent Uses:** The information in this data bank is used to maintain a record of expense claims. This database is also used to communicate to stakeholders the identity and qualifications of the Review Board Members.

**Retention and Disposal Standards:** Files are retained for ten years and are then transferred to the National Archives of Canada.

**RDA Number:** 94/010

**Related to PR#:** CPE CPI 005

**TBS Registration:** 002589

**Bank Number:** CPE PPU 025

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Travel

## Manuals

- A Guide to Exporting Cultural Property from Canada;
- Making Applications for Certification of Cultural Property for Income Tax Purposes - Information and Procedures
- Review Board Policies and Guidelines for Applications for Certification - Archival Audiovisual and Related Material
- Review Board Policy and Guidelines for Applications for Certification - Architectural Archives.

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Canadian Cultural Property Export Review Board under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canadian Cultural Property Export Review Board.

Requests for further information about the Board and its various programs and functions may be directed to:

Canadian Cultural Property Export Review Board  
15 Eddy Street<sup>3<sup>rd</sup></sup> Floor  
Gatineau QC K1A 0M5  
Tel.: (819) 997-7761  
Fax: (819) 997-7757  
E-mail: revboard\_sec.@pch.gc.ca

## **Reading Room**

The library of the Department of Canadian Heritage has been designated as a public reading room in accordance with the Access to Information Act. The address is:

15 Eddy Street  
2<sup>nd</sup> Floor  
Gatineau, Quebec

# Canadian Dairy Commission

## Chapter 28

### General Information

#### Background

The Canadian Dairy Commission, a Crown Corporation established by the Canadian Dairy Commission Act in October 1966, is accountable to Parliament through the Minister of Agriculture and Agri-Food. A chairman and chief executive officer, a vice-chairman and a commissioner are appointed by Governor in Council to head the corporation. Funded by the federal government, producers and the marketplace, the Commission strives to balance and serve the interests of all dairy stakeholders – producers, processors, further processors, exporters, consumers and governments.

#### Responsibilities

The legislated objectives of the Commission are to provide efficient producers of milk and cream with the opportunity of obtaining a fair return for their labour and investment, and to provide consumers with a continuous and adequate supply of dairy products of high quality.

The Commission has the authority to purchase, store, process or sell dairy products; to investigate matters relating to the production, processing or marketing of any dairy product; and to help promote the use of dairy products.

In meeting its legislated objectives, the Commission carries out a wide range of activities. It establishes support prices at which it will purchase butter and skim milk powder. These prices are used as a reference at the provincial level in pricing milk components sold to processors. It also works with the private sector to balance the seasonal demand and supply of industrial milk products for the domestic market through the operation of storage programs and facilitates the export of dairy products to world markets within Canada's World Trade Organization (WTO) commitments. Additionally, the Commission acts as first receiver of butter imports to fulfill Canada's international trade obligations and administers a permit system which provides further processors and exporters with access to competitively-priced milk components for use in the manufacturing of dairy products and products containing dairy ingredients.

The supply of industrial milk is managed nationally through the establishment of Market Sharing Quotas (MSQ) as determined by provisions of the National Milk Marketing Plan. The Commission, in chairing the Canadian Milk Supply Management Committee (CMSMC), calculates and recommends the level of national MSQ and provincial market shares that are determined by the CMSMC. On behalf of Canadian dairy producers, the Commission administers and acts as a Secretariat to the revenue pooling and market sharing systems.

CDC's Access to Information and Privacy requests and their administration are handled by Agriculture and Agri-Food Canada.

#### Legislation

- Canadian Dairy Commission Act
- Dairy Products Marketing Regulations

#### Organization

The Chairman and CEO heads the CDC, with help from the Vice-Chairman and the Commissioner. They are assisted by three Senior Directors, each heading the following sections:

##### Audit

The Audit Section is in charge of internal and external audits. External audits are mostly carried with further processors who participate in the Special Milk Class Permit Program.

##### Finance and Operations

This section is responsible for the commercial operations of the CDC, as well as for the administration of the Special Milk Class Permit Program, the Dairy Ingredient Marketing Program, and the financial and electronic systems of the Commission.

##### Policy and Corporate Affairs

This section is responsible for economic and policy analysis, strategic planning, program evaluation, human resources and communications.

## Information Holdings

### Program Records

#### Domestic Seasonality Programs

**Description:** Information on dairy processors using the program to balance the seasonal demand and supply of butter, skim milk powder and certain concentrated milk products for the domestic market.

**Topics:** name, address, products, purchases, sales.

**Access:** Files arranged by project and by company.

**Format:** EDP Systems.

**Program Record Number:** CDC COM 070

#### Domestic Dairy Product Innovation Program

**Description:** Information on milk provided to processors in addition to provincial quota allocations to facilitate the introduction to the domestic market of new, made-in-Canada products containing milk ingredients.

**Topics:** name, address, product, market information.

**Access:** Files arranged by project and by company.

**Format:** EDP systems.

**Program Record Number:** CDC POL 005

#### Pooling

**Description:** Information on the provincial utilization and revenues from sales of all milk by sub-class.

**Topics:** province, production, sales, utilization, milk class.

**Access:** Files arranged by project and by province.

**Format:** EDP Systems and hard copy files.

**Program Record Number:** CDC SOP 050

#### Special Class Milk Permit Program

**Description:** Information on processors, further processors and suppliers using the permits issued by CDC to maintain the competitiveness of the Canadian further processing industry as well as export markets within Canada's WTO commitments.

**Topics:** name, address, quantity, product, recipe.

**Access:** Files arranged by project.

**Format:** EDP Systems.

**Program Record Number:** CDC INT 025

#### Subsidy Payments and Rules

**Description:** Information on milk production and producers' eligibility for and payment of subsidy to milk producers on qualifying shipments of industrial milk and cream.

**Note:** Program terminated on January 31, 2002.

**Topics:** name, address, production.

**Access:** Files arranged by registration number sequence and province.

**Format:** EDP systems, microfilm.

**Program Record Number:** CDC SOP 055

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration and Management Services

Audits

Budgets

Buildings

Classification of positions

Employment and Staffing

Equipment and Supplies

Finance

Hospitality

Human Resources

Occupational Health, Safety and Welfare

Official Languages

Pensions and Insurance (kept by Agriculture and Agri-Foods Canada)

Personnel

Proactive Disclosure

Procurement

Relocation

Salaries and Wages (kept in part by Agriculture and Agri-Foods Canada)

Staff Relations

Training and Development

Travel

Utilities

### Personal Information Banks

#### Milk Producers' Records

**Description:** The records contain farmland postal address, financial reports, amount of subsidy paid and the production data.

**Class of Individuals:** Milk producers

**Purpose:** This bank exists to register and furnish



information and data necessary for payment of the federal dairy subsidy.

**Consistent Uses:** This bank is used for the administration of the dairy policy and operation of the dairy program.

**Retention and Disposal Standards:** These files are retained indefinitely.

**RDA Number:** 69/046

**Related PR#:** CDC SOP 055

**TBS Registration:** 002997

**Bank Number:** CDC PPU 005

### Financial Management Information System – SATURN

**Description:** Financial information for the Commission. Contains names, addresses, telephone numbers, Social Insurance Number (SIN).

**Class of Individuals:** Contractors, suppliers, employees of the CDC.

**Purpose:** The SIN is required for inclusion on the Tax information slip and on the tax information file that the department is required to transmit to the Canada Revenue Agency.

**Consistent Uses:** To report to the Canada Customs and Revenue Agency.

**Retention and Disposal Standards:** Records are kept for six years following the financial year of their last utilization, then sent to National Archives for selective conservation.

**RDA Number:** 69/046

**Related PR#:** CDC SOP 050, CDC SOP 055, CDC COM 070

**TBS Registration:** 004319

**Bank Number:** CDC PPE 805

### Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

### Classes of Personal Information

In the course of conducting the programs and activities of the Canadian Dairy Commission, categories of personal information may be accumulated which are not contained in the specific personal information banks described in this entry.

This form of personal information is normally retrievable only if requests include general

background on the circumstances under which an individual contacted the Commission and an approximate time-frame. The retention period for these classes of personal information is controlled by the record schedules of the general subject files in which they are stored.

## Manuals

### Audit

- Audit Criteria Procedure Manual (Special Class Program)
- Canadian Institute of Chartered Accountants – Handbook
- Guidelines for Audit Committees in Crown Corporations and other public enterprises (Treasury Board Secretariat)
- Milk Utilization Audit Manual
- Review of the Independent Panel on Modernization of Comptrollership in the Government of Canada (Treasury Board Secretariat)
- The Professional Practices Framework (Institute of Internal Auditors)
- Domestic Dairy Product Innovation Program
- The Domestic Dairy Product Innovation Program – Background information and application form.

### Pooling

- Agreement for the Entry of the Province of Newfoundland and Labrador into the National Milk Marketing Plan and the Comprehensive Agreement on Pooling of Milk Revenues
- Agreement on All Milk Pooling
- Comprehensive Agreement on Pooling of Milk Revenues
- National Milk Marketing Plan
- Western Milk Pool Agreement
- Special Milk Class Permit Program
- Information guide for Animal Feed Distributors
- Information guide for Distributors
- Information guide for Further Processors

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Commission and its various programs and functions may be directed to:

**Communications**

Canadian Dairy Commission  
Building 55, NCC Driveway  
Central Experimental Farm  
960 Carling Avenue  
Ottawa ON K1A 0Z2  
Tel.: (613) 792-2049  
Fax.: (613) 792-2009  
E-mail: [cdc-ccl@agr.gc.ca](mailto:cdc-ccl@agr.gc.ca)  
Web Site: [www.cdc-ccl.gc.ca](http://www.cdc-ccl.gc.ca)

**Reading Room**

Canadian Dairy Commission  
Building 55, NCC Driveway  
Central Experimental Farm  
960 Carling Avenue  
Ottawa ON K1A 0Z2

# Canadian Environmental Assessment Agency

## Chapter 29

### General Information

#### Background

The Canadian Environmental Assessment Agency (the Agency) was created on December 21, 1994 to administer the federal environmental assessment process under the Canadian Environmental Assessment Act. The Agency reports directly to the Minister of the Environment. The Agency is a federal department dedicated to administering and promoting environmental assessment policies and practices of the federal government. Its mission is to provide Canadians with high quality federal environmental assessments that contribute to informed decision making in support of sustainable development.

#### Responsibilities

The Agency's main responsibilities are: to administer the federal environmental assessment process; to provide advice to the Minister of the Environment on his responsibilities under the Act; to provide opportunities for public participation in the federal environmental assessment process and to promote sound environmental assessment practices.

#### Legislation

- The Canadian Environmental Assessment Act is complemented by the following regulations:
- the Law List;
- the Comprehensive Study List;
- the Inclusion List;
- the Exclusion List;
- the Federal Authorities Regulations;
- the Projects Outside Canada Environmental Assessment Regulations;
- the Regulations Respecting Co-ordination by Federal Authorities of Environmental Assessment Procedures and Requirements Regulations; and the Canada Port Authority Environment Assessment Regulations.

#### Organization

The Agency is divided into three main sectors: Program Delivery, Policy Development and

Corporate Services. The Agency's Legal Services reports directly to the President, who heads the Agency.

#### Legal Services

Legal Services provides professional advice to the Agency and other federal departments regarding the design and implementation of the Act and the environmental assessment regulatory framework.

#### Program Delivery Sector

##### Project Assessment

Project Assessment administers the federal environmental assessment process for projects which require assessment by a review panel or a mediator; manages the Agency's responsibilities, including the public review process, for comprehensive studies and class screenings; enhances public participation through the Participant Funding program; and advocates timely, efficient and high-quality environmental assessments of projects.

##### Regional Liaison and Guidance

Regional Liaison and Guidance provides the Agency's clients across the country with services to enhance the quality of environmental assessment to promote compliance with the Act and its regulations. These include training on the Act and advice on good environmental assessment practices.

The six regional offices across Canada are responsible for the coordination of federal authorities in the conduct of comprehensive studies and of federal environmental assessments involving other jurisdictions. They also provide expert advice, training and information on environmental assessment activities and practices to other federal departments and agencies, the provinces and territories, First Nations, industry, universities, environmental groups and other stakeholders.

Regional Liaison and Guidance supports the President of the Agency as the federal Administrator of the environmental and social protection regimes set out in chapters 22 and 23 of the 1975 James Bay and Northern Quebec Agreement (JBNQA) and assists (remove. It also provides guidance to) partners and stakeholders in the conduct of environmental assessments under the JBNQA.

## Policy Development Sector

### Legislative and Regulatory Affairs

Legislative and Regulatory Affairs provides a legislative and regulatory framework for integrating environmental assessment into federal decision making; monitors and promotes compliance within that framework; and explores alternatives to regulations.

It is responsible for the design and implementation of the government-wide Quality Assurance Program related to environmental assessment and the design and implementation of the government-wide electronic registry of project environmental assessment information (the Canadian Environmental Assessment Registry Information System).

It provides support to the Regulatory Advisory Committee and the Senior Management Committee on Environmental Assessment.

### Policy Analysis

Policy Analysis develops the policy framework for environmental assessment in Canada and represents Canada in international negotiations related to environmental assessment. It facilitates an effective and efficient environmental assessment process through the negotiation of bilateral agreements for environmental assessment cooperation with provinces and other jurisdictions. It provides guidance to departments in their compliance with the Cabinet Directive on the Environmental Assessment of Policy, Plan and Program Proposals. As well, it provides advice on Aboriginal environmental assessment matters to the Agency and other clients in order to shape the federal approach to integrating environmental assessment requirements into comprehensive land-claim agreements, self-government agreements and federal devolution initiatives.

To support the development of the policy framework for environmental assessment, Policy Analysis is also responsible for a number of development and guidance activities. It manages the Agency's research and development program that funds new research to advance the practice of environmental assessment. It develops guidance on the integration of traditional ecological knowledge into environmental assessment. As well, Policy Analysis serves as Secretariat to the Environmental Assessment Administrators Group. Policy Analysis is also responsible for the development and coordination of the Agency's Sustainable Development Strategy.

## Corporate Services Sector

### Communications

Communications provides communications advice, planning, production and related services in support of the Agency's strategic objectives. It promotes environmental assessment to the public. Communications manages the Agency's site and a communications program which facilitates informed public participation in the federal environmental assessment process. The Agency's web site can be accessed at [www.ceaa-acee.gc.ca](http://www.ceaa-acee.gc.ca). Communications also manages the parliamentary relations, ministerial services, ministerial correspondence, and Access to Information Act and Privacy Act activities.

### Finance and Administration

Finance and Administration is responsible for managing financial resources by providing services such as financial planning, analysis and reporting, procurement and contracting, accounting, cost recovery and financial systems support and training. Finance and Administration supports the Agency's delivery of programs and services by providing advice and services such as corporate planning and reporting, performance measurement and policy development.

### Human Resources

The Human Resources Group provides direction, services and strategic advice related to the human resource aspects of the Agency's programs, activities and initiatives. Services are provided in the areas of staffing, classification, organizational design, staff relations, career development and learning, strategic planning, occupational health and safety, pride recognition and workplace well-being, employment equity and official languages.

## Information Holdings

### Program Records

#### Aboriginal Peoples

**Description:** Information on the contribution of the Agency and its predecessor, the Federal Environmental Assessment Review Office, to the negotiation and implementation of comprehensive land claims and self-government agreements; on the development of regulations under the Act concerning environmental assessment in relation to Indian Aboriginal Reserve Lands and Indian Band Funding and the establishment and operation of an Aboriginal Advisory Committee to the Agency.

**Topics:** Includes all the Canadian Environmental Assessment Agency's Aboriginal affairs, comprehensive land claims agreements by region, self-government negotiations by region and the department of Indian and Northern Affairs Canada's Aboriginal affairs files.

**Access:** Files are arranged by province, territory and subject.

**Program Record Number:** CEAA ABO 100

### Communications

**Description:** Correspondence, reports, memoranda, general enquiries and requests from individuals and organizations.

**Topics:** General correspondence, annual reports, mailing lists, publications; audio-visual documents, speeches, exhibitions; news releases, environmental assessment panel reports.

**Access:** Files are arranged by subject.

**Program Record Number:** CEAA COM 105

### Environmental Assessment Projects

**Description:** Information on projects undergoing assessment, including potential project candidates for assessment; project assessments being conducted by responsible authorities for which advice is sought from the Agency; and projects subject to class screening, comprehensive study and review by a mediator or panel. Also the operation of an internet based registry of federal projects undergoing environmental assessment and a quality assurance program for assessments.

**Topics:** review panels, comprehensive study reports, model class screening reports, environmental impact statements, screening guidelines, project descriptions, terms of reference, panel reports, pipeline, oil and gas, hydro-electric, mining, etc.

**Access:** Files are organized by project name and region.

**Program Record Number:** CEAA ENV 110

### Federal-Provincial Agreements

**Description:** Information on federal provincial agreements for environmental assessment cooperation.

**Topics:** Bilateral agreements with provinces on environmental assessment co-operation, Environmental Harmonization Agreement of the Canadian Council of Ministers of the Environment, general correspondence, communiqués.

**Access:** Files are arranged by province, territory and subject.

**Program Record Number:** CEAA FPA 115

### International Agreements

**Description:** Information on international agreements or conventions on environmental assessment for which Canada is a signatory.

**Topics:** UN Economic Commission for Europe Convention on Environmental Impact Assessment in a Transboundary Context, bilateral environmental agreements.

**Access:** Files are organized by subject.

**Program Record Number:** CEAA INT 120

### Legislative and Regulatory Development

**Description:** Information on the development and application of the 1984 Environmental Assessment and Review Process Guidelines Order, the Canadian Environmental Assessment Act and regulations under the Act, including related public consultations and activities of the Regulatory Advisory Committee.

**Topics:** Consultations with organizations, the provinces and other government departments.

**Access:** Files are arranged by legislative and regulatory topic and related activities.

**Program Record Number:** CEAA LEG 125

### Participant Funding Program

**Description:** Correspondence and applications relating to the Participant Funding Program and contribution agreements administered by the Canadian Environmental Assessment Agency.

**Topics:** Funding review committee, contribution agreement, funding application, review panel, comprehensive study, participant funding guide, mailing lists.

**Access:** Records are organized by project.

**Program Record Number:** CEAA PFP 130

### Policy Assessment

**Description:** Information on the development of the process for policy assessment at the federal level.

**Topics:** Strategic environmental assessment (SEA) contracts; SEA guidance materials; SEA Subcommittee meeting materials; and SEA Workshop.

**Access:** Files are organized by subject.

**Program Record Number:** CEAA ASS 135

### Process Development

**Description:** Information on the development of processes, procedures and guidelines for the implementation of the Canadian Environmental Assessment Act.

**Topics:** Consultations with organizations, the provinces and other government departments.

**Access:** Files are organized by subject.

**Program Record Number:** CEAA DEV 140

### **Professional and Non-Professional Services Contracts**

**Description:** Information includes professional and non-professional service contracts and the selection process for consultants.

**Topics:** Includes all aspects of professional services contracts; tender calls; requests for proposals and contract awards; contract claims and disputes.

**Access:** Files are arranged by name.

**Program Record Number:** CEAA PRO145

### **Federal Environmental Assessment Index**

**Description:** Lists projects for which an environmental assessment has been initiated, regardless of whether the project undergoes a screening, comprehensive study, panel review or mediation. The Index provides a "one-window" access to basic information on environmental assessments being conducted under the Act prior to November 2003. The Index provides departmental contacts for more information.

**Topics:** Environmental assessment projects.

**Access:** on-line access through the Internet. The information is available by province, responsible authority, ecological region and drainage basins and through a geographical information system.

**Program Record Number:** CEAA FEA 150

### **Sustainable Development**

**Description:** Information on the Canadian Environmental Assessment Agency's Sustainable Development Strategy and related training workshops.

**Topics:** Sustainable Development Strategy, Contracts, Environment and Sustainable Development Coordinating Committee, Interdepartmental Network on Sustainable Development Strategies, sustainable development training.

**Access:** Files are organized by subject and date.

**Format:** Hard copy, electronic copy, CD ROM.

**Program Record Number:** CEAA SDS 155

### **Strategic Environmental Assessment**

**Description:** Information related to procedures and techniques for the implementation of the 1999 Cabinet Directive of the Environmental Assessment of Policy, Plan and Program Proposals referred to as "Strategic Environmental Assessment".

**Topics:** Program records related to procedures and techniques for the implementation of the Cabinet Directive of the Environmental Assessment of Policy, Plan and Program Proposals referred to as "strategic environmental assessment".

**Access:** Files are organized by subject and

department. SEA Subcommittee and international meeting files are organized by date.

**Program Record Number:** CEAA SEA 160

### **Research and Development**

**Description:** Information related to the Research and Development Program administered by the Canadian Environmental Assessment Agency.

**Topics:** Includes all aspects related to the selection process for applications for funding, management of contribution agreements and publication of reports; evaluation committee records; peer review; general correspondence and mailing lists.

**Access:** Files are organized by year of funding.

**Format:** Hard copy, electronic copy, CD ROM.

**Program Record Number:** CEAA RAD 165

### **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Budgets

Business Continuity Plans (BCP)

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health and Safety

Official Languages

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

## **Standard Personal Information Banks**

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Business Continuity Plans

Executive Correspondence Management Systems

Hospitality

Internal Disclosure of Wrongdoing in the Workplace

Relocation

Travel

## **Classes of Personal Information**

### **General Correspondence**

Correspondence received from external organizations and individuals in the format of requests for information, complaints, comments and suggestions related to a broad range of issues pertaining to the Agency.

The personal information contained in this class normally includes the name and address of the enquirer. However, this information is fragmented throughout the subject files and is normally retrievable only if the name, subject and the date of correspondence is provided.

Information pertaining to environmental assessments may be disclosed to foreign, provincial or municipal governments as well as other interested parties unless the individual expressly requests confidentiality.

The retention periods of these classes of personal information depend on the record disposal schedules of the general subject files in which they are stored.

### **Mailing Lists**

This class contains correspondence and mailing lists, which may contain personal information in the form of an individual's name, mailing address at home or business.

The purpose of this class is to maintain standard lists for the mailing of publications, reports, press

releases and other documentation on the Agency's activities and programs.

Records on the automated system are updated as required to take changes into account.

### **Ministerial Correspondence**

This class of information contains correspondence addressed to the Minister and received by the Agency's correspondence unit from external organizations and individuals in the form of requests for information, complaints, opinions and other similar submissions related to a broad range of issues pertaining to the Agency's activities, wherein some unsolicited personal information has been provided by the correspondents. This type of information would be retrievable only if specifics of name, date of communication and subject are provided.

Information pertaining to environmental assessments may be disclosed to foreign, provincial or municipal governments as well as other interested parties unless the individual expressly requests confidentiality.

The retention period for these classes of information depends on the record schedules of the subject files in which the information is stored.

## **Manuals**

- Consolidated Regulations Under the Canadian Environmental Assessment Act (Inclusion list, Exclusion List, Comprehensive Study List, Law List) – Unofficial versions with explanations of amendments made in November 1999
- Cumulative Effects Assessment, Practitioner's Guide
- Guide to Information Requirements for Federal Environmental Assessment of Mining Projects in Canada – Test Version
- Guide to the Preparation of a Comprehensive Study for Proponents and Responsible Authorities
- Operational Policy Statement: Addressing Cumulative Environmental Effects Under the Canadian Environmental Assessment Act
- Operational Policy Statement: Addressing "Need for", "Purpose of", "Alternatives to" and "Alternative Means" under the Canadian Environmental Assessment Act
- Operational Policy Statement Establishing the Scope of the Environmental Assessment

- Operational Policy Statement: Preparing Project Descriptions under the Canadian Environmental Assessment Act
- Operational Policy Statement: Using the Class Screening Process under the Canadian Environmental Assessment Act
- Procedures for an Assessment by a Review Panel
- Reference Guide: Addressing Cumulative Environmental Effects
- Reference Guide: Assessing Environmental Effects on Physical and Cultural Heritage Resources
- Guide on Biodiversity and Environmental Assessment
- Reference Guide – Determining Whether A Project is Likely to Cause Significant Adverse Environmental Effects
- Reference Guide for Projects Proponents on the Cost Recovery of Environmental Assessment Review Panels
- Reference Guide for the Federal Co-ordination Regulations
- Reference Guide – Public Registry
- Responsible Authority's Guide
- Strategic Environmental Assessment: The 1999 Directive on the Environmental Assessment of Policy, Plan and Program Proposals. Guidelines for Implementing the Cabinet Directive.
- The Citizen's Guide

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Agency's programs and functions may also be directed to the following addresses:

Canadian Environmental Assessment Agency  
22nd Floor  
160 Elgin Street  
Ottawa ON K1A 0H3  
Tel.: (613) 957-0700  
E-mail: info@ceaa-acee.gc.ca

### Alberta Region

Revillon Building  
10237 - 104 Street N.W.  
Suite 100  
Edmonton AB T5J 1B1  
Tel.: (403) 422-7704  
E-mail: ceaa.alberta@ceaa.gc.ca

### Atlantic Region

Suite 1030, TD Centre  
1791 Barrington Street  
Halifax NS B3J 3L1  
Tel.: (902) 426-0564  
E-mail: Bill.Coulter@ceaa.gc.ca

### Pacific and Northern Region

757 West Hastings Street  
Suite 320 – Sinclair Centre  
Vancouver BC V6C 1A1  
Tel.: (604) 666-2431  
E-mail: Paul.Scott@ceaa.gc.ca

### Prairie Region

123 Main Street  
Suite 263  
Winnipeg MB R3C 4W2  
Tel.: (204) 984-2457  
E-mail: Dan.McNaughton@ceaa.gc.ca

### Quebec Region

1141 de l'Église Street  
Room 105, First Floor  
P.O. Box 9514  
Sainte Foy QC G1V 4B8  
Tel.: (418) 649-6444  
E-mail: ceaa.quebec@ceaa.gc.ca

### Ontario Region

55 St-Clair Avenue East  
Room 907  
Toronto ON M4T 1M2  
Tel.: (416) 952-1575  
E-mail: Louise.Knox@ceaa.gc.ca

### Reading Room

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

Place Bell Canada  
22nd Floor  
160 Elgin Street  
Ottawa, Ontario



# Canadian Food Inspection Agency

## Chapter 30

### General Information

#### Background

The Canadian Food Inspection Agency (CFIA) was created in 1997 to consolidate the delivery of all federally mandated food inspection, plant protection and animal health programs - delivery that was previously provided by four federal government departments: Agriculture and Agri-Food Canada, Fisheries and Oceans Canada, Health Canada and Industry Canada.

#### Responsibilities

The Canadian Food Inspection Agency, reporting to the Minister of Agriculture and Agri-Food, delivers all federal inspection services related to: food; animal health; and plant protection.

This includes responsibility for the administration and enforcement of 13 Acts and 39 sets of regulations.

Health Canada and the CFIA share unique and complementary roles and responsibilities, specifically in the area of food safety. Health Canada is responsible for food safety policies, standards and regulations, while the CFIA is responsible for all food inspection and compliance activities, as well as the development of regulations and policies related to food labelling and compositional standards.

#### Legislation

- Agriculture and Agri-Food Administrative Monetary Penalties Act
- Canada Agricultural Products Act
- Canadian Food Inspection Agency Act
- Consumer Packaging and Labelling Act (as it relates to food)
- Feeds Act
- Fertilizers Act
- Fish Inspection Act
- Food and Drugs Act, Sections 2 and 27 (as it relates to food)
- Health of Animals Act
- Meat Inspection Act

- Plant Breeders' Rights Act
- Plant Protection Act
- Seeds Act

#### Organization

##### Canadian Food Inspection Agency

The Agency Executive consists of the President, an Executive Vice-President, a Vice-President Operations, a Vice-President Programs, a Vice-President Public Affairs, a Vice-President Human Resources, a Vice-President Science, a Vice-President Corporate Services, an Executive Director International Affairs, an Executive Director Corporate Planning, Reporting & Accountability, a Head, Legal Services and an Executive Assistant to the President.

### Information Holdings

#### Program Records

##### Plant Protection

###### Export and Domestic Programs (Plants)

**Description:** Information on the planning and maintenance of a national program designed to prevent the spread of pests within Canada, survey for and control quarantine pests occurring in Canada and to ensure the acceptance of Canadian agricultural and forestry products in export markets and for movement within Canada by being free of plant pests and meeting the health standards of the receiving country or region.

**Topics:** Export agriculture and forestry products to foreign and domestic markets; pest distribution (publications); ship, mill and elevator sanitation inspection; plant quarantine importation requirements of foreign and domestic market; decontamination and fumigation; pesticide application, phytosanitary export and domestic movement certification; quarantines; the following database: Plant Pest Database.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA EDP 156

##### Fertilizer Evaluation, Registration and Compliance

**Description:** Information on pre-sale evaluation and registration of fertilizer and on inspection of

fertilizer products to ensure compliance with regulatory requirements.

**Topics:** Evaluating fertilizer; approval of single ingredients; correspondence; labelling; certificates of registration; product inspection; toxicity residues and diseases; violations; the following databases: Compendium of Fertilizer-Use Pesticides, Heavy Metal Concentrations in Fertilizers and Fertilizer Materials, Levels of Pesticide Contaminants in Fertilizers.

**Access:** Various

**Format:** Listing of analytical results of fertilizer samples, Canadian fertilizer plant statistics and fertilizer database of registered products are machine-readable.

**Program Record Number:** CFIA FEV 150

### Import and Export (Seed Potatoes)

**Description:** Information on the control of imports, export certification, and facilitation of seed potato trade.

**Topics:** Phytosanitary agreements; facilitation of trade; import standards; export certification; complaint investigation (foreign); evaluation of foreign certification programs.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA IMP 125

### Import Program (Plants)

**Description:** Information on the planning and maintenance of a national program to prevent the introduction and establishment in Canada of foreign plant pests detrimental to the Canadian agricultural and forestry industries.

**Topics:** Import permits; port inspection statistics, commercial; port inspection statistics, non-commercial; quarantine and decontamination; importation of agricultural and forest products.

**Access:** Various

**Format:** Airport inspection file is machine-readable.

**Program Record Number:** CFIA IPP 155

### Inspection and Enforcement

**Description:** Information on the inspection and enforcement of standards governing seed quality.

**Topics:** Seed inspection; violations and detentions; crop inspection; grading; diseases; seed testing.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA ENF 100

### Inspection, Testing and Certification

**Description:** Information on the inspection and testing of seed potatoes, and certification for

domestic markets.

**Topics:** Seed multiplication; seed potato improvement; inspection; enforcement; training programs; storage and transportation; testing (seed lots, field and post-harvest); inventory of varieties; assessment of varieties; complaint investigation (domestic); federal-provincial consultations.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA ITC 115

### Plant Registration and Licencing

**Description:** Information on the registration of storages, slaughtering and processing plants and meat rendering plants. Licencing of grading stations for meat and egg products.

**Topics:** Policy development, construction specifications, equipment, inspection records.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA PRL 080

### Seed Potato Programs

**Description:** Information on the planning and maintenance of a national program designed to provide seed potatoes of a class and quality that will meet the demands of both domestic and export markets.

**Topics:** Seed potato certification standards; import requirements of foreign and domestic markets; export and domestic certification standards.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA SEE 161

### Seed Standards

**Description:** Information on the development of new or amended seed quality standards; packaging and labelling.

**Topics:** Development of seed standards; registering and inspecting seed establishments; accrediting seed graders; licensing seed operators; and, developing training materials to help ensure seeds sold in, imported to and exported from Canada meet established standards for quality and are properly labelled.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA STA 105

### Standards and Specifications

**Description:** Information on guidelines, specifications and standards on seed potatoes.

**Topics:** Standards and labelling; laboratory facilities; transportation; storage; seed potato varieties; policy development.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA SPE 120

### Variety Registration

**Description:** Information on the evaluation of new varieties of seeds for the purpose of registration.

**Topics:** Registration of seeds; list of registered varieties; unregistered varieties.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA VAR 110

## Program Records – Animal Health

### Disease Control

**Description:** Information on the prevention, control and eradication of communicable and other diseases, and on compensation for related losses.

**Topics:** Animal diseases - brucellosis, tuberculosis, rabies and other indigenous diseases; foreign animal diseases; reportable diseases of animals and poultry; artificial insemination; embryo transfer; veterinary biologics; the following database: Wildlife Serum Bank.

**Access:** Various

**Format:** Machine-readable records are available on brucellosis survey arranged by herd at headquarters; also on herd serum banking and rabies control.

**Program Record Number:** CFIA CON 025

### Export Testing and Certification

**Description:** Information on the acceptability of Canadian animals and products for export by ensuring their being free of disease or disease-causing agents and by meeting the standards of importing countries.

**Topics:** Species of animals; disease and disease-causing agents; import requirements of foreign countries; export testing programs and certification; facilitating export; export of livestock, non-traditional exotic species, birds; poultry; export of plants.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA ETC 020

### Feed Evaluation, Registration and Compliance

**Description:** Information on pre-sale evaluation of feed, registration of feed, and inspection of feed

production and products to ensure compliance with regulatory requirements.

**Topics:** Evaluation of feed; approval of single ingredients; correspondence; labelling; certificates of registration; registration continuance certificates; product inspection; Feedmill inspection; toxicity, residues and diseases; violations; hay and straw grading; the following database: Livestock Feeds Contaminants Database.

**Access:** Various

**Format:** Feed database of registered products and listing of analytical results of feed samples are machine-readable; microfilm for expired certificates of registration and company correspondence.

**Program Record Number:** CFIA FRC 145

### Humane Treatment of Animals

**Description:** Information on the prevention of stress-related diseases in animals and humane treatment of animals being transported within Canada or imported to or exported from Canada.

**Topics:** Enquiries; reports; correspondence; transportation systems; ports of entry; recommended codes of practice for farm animals.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA HTA 010

### Importation of Animals / Animal Genetics / Animal Products

**Description:** Information on the control of animal bird and animal pathogens imports to prevent animal disease from gaining entry into Canada.

**Topics:** Veterinary inspection reports; Foreign Animal Disease (FAD) strategy documents; quarantine station activity reports; import protocols; risk assessments; import permit applications; import permits; laboratory diagnostic test results, import of animal pathogens; import of game farm and zoological garden animals; import of pets; feathers; skins, hides and wool; import of birds; fertilizers; tankage; plant products; insects; others (tropical fish, amphibians, worms).

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA ANI 015

## Program Records – Food

### Export and Import

**Description:** Information on the certification of Canadian meat and meat products and egg and egg products for export to comply with the requirements of foreign countries. Compliance of imported meat, meat products and egg and egg

products and all of the byproducts with Canadian standards.

**Topics:** Import certification; Export certification; foreign inspection system and foreign country residue monitoring programs and establishment reviews; review of registered Canadian and foreign facilities to comply with export and import requirements; statistics; complaints; enforcement and compliance; policy development.

**Access:** Various

**Format:** List of all approved foreign establishment; products for import and export, and statistics on the import and export of meat are computer available.

**Program Record Number:** CFIA EXP 090

### **Fish Inspection**

**Description:** Inspection of fish products in export including inter-provincial and import for safety and quality; inspection of industry Quality Management Program.

**Topics:** Product inspection and certification for export; monitoring of industry processing and grading practices; inspection of fish harvesting, handling, transportation, storage and processing facilities, development and testing of grade standards; development and enforcement of regulations.

**Access:** Records are arranged numerically by subject.

**Format:** Listing of analytical results of fertilizer samples, Canadian fertilizer plant statistics and fertilizer database of registered products are machine-readable.

**Program Record Number:** CFIA INS 483

### **Grading, Standards and Labelling (Dairy, Fruit and Vegetables)**

**Description:** Information on grading programs, quality standards and on the design and control of labelling requirements.

**Topics:** Standards - dairy, fresh fruit and vegetables, processed fruit and vegetables, honey and maple products; grading of dairy products; monitoring the grading of fruit and vegetable products; label design and approval; packaging; weight and volumes; studies and surveys; policy development; consultation with governmental and non-governmental organizations.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA DFV 045

### **Import, Export and Interprovincial Control**

**Description:** Information on the control and regulation of import, export and interprovincial movement of dairy, fresh and processed fruit,

vegetable products and honey and maple products.

**Topics:** Export certification; compliance to import regulations; concessions - processing and packaging; consultations - associations, government agencies (foreign and domestic); statistics; complaints; policy development.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA IEI 055

### **Inspection and Monitoring**

**Description:** Information on the inspection and monitoring of dairy, fresh and processed fruits and vegetables, honey and maple products and certain other products; and on related establishments.

**Topics:** Product inspection; establishment inspection; laboratory analysis; certificates of inspection; system auditing; consultation with governmental and non-governmental organizations; violations and prosecutions; inspection fees; complaints; compliance; policy development; the following database: Residues in Agri-Foods Monitoring Program.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA MON 060

### **Inspection and Monitoring (Meat and Poultry Products)**

**Description:** Information on the inspection, slaughter, monitoring and auditing of food animals, meat products, meat-by products and plant sanitation.

**Topics:** Testing - toxicity, agricultural chemicals and veterinary drug residues, contaminants; slaughter and disease monitoring; complaint investigation; transport and plant sanitation; inspection auditing; surveys; national and regional inspection and audits - slaughterhouses, storage and processing facilities; stamping devices; policy development.

**Access:** Various

**Format:** Files of statistics on monthly red meat and poultry kills, disease condemnations and establishment reviews are computer available as well as chemical and veterinary drug residues in Agri-Food monitoring.

**Program Record Number:** CFIA MPP 075

### **Red Meat Grading Program**

**Description:** Information on a national and regional program audits on red meat grading program delivery.

**Topics:** Grading, audits and monitoring of

grading accuracy and delivery of red meat; complaints, enforcement; policy development.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA RMG 035

### Registration and Product Standards (Meat and Poultry Products)

**Description:** Information on standards for the processing, grading and marking of poultry and poultry products, red meat, egg and egg products.

**Topics:** Sanitation and building standards; grading standards; poultry packaging and labelling; import and export requirements; policy development; consultation with industry.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA RPS 030

### Registration, Licensing and Arbitration

**Description:** Information on the registration of fresh and processed fruit and vegetable, honey and maple products processing plants, dairy plants, and fresh produce warehouses; the licensing of dealers and brokers; and the arbitration of disputes.

**Topics:** Registration of establishments - dairies; fresh and processed fruit and vegetable, honey and maple products processing plants; fresh produce warehouses; licensing of dealers and brokers; suspension or cancellation of registration; list of registered processors; arbitration boards; complaints; policy development.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA RLA 050

### Standards and Labels

**Description:** Information on the development of and compliance with standards and labels to ensure quality, nutritional value and safety of agri-food products.

**Topics:** The information is available on CFIA web site.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA LAB 085

### Program Records – Science

#### Analytical Methodology Development

**Description:** Information on analytical methodologies to support and enhance the quality of scientific analysis provided by the division.

**Topics:** Methodology research proposals; assessment studies; methods validation; establishment and dissemination of methodology;

program review; analytical literature surveys; research reports; publications; investigational sampling requests, and results.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA AMD 070

#### Biological Programs

**Description:** Information on the identification of pests and on analysis of pest risk.

**Topics:** Lists of intercepted pests; insects and plant diseases; surveys; pest identification; and analysis of pest risk.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA BIO 170

#### Pathology Services

**Description:** Diagnostic service and research activities related to animal diseases, consultation and licensing for use of biologics, veterinary and pest control products.

**Topics:** Diseases (agents of disease, transmission to humans, economic loss due to disease); diagnostic activities; diagnostic reagents; registration consulting service; licensing and use of biologics, veterinary and pest control products.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA PAT 005

#### Scientific Analysis (Science)

**Description:** Information on analytical tests to ensure conformity with established quality-assurance and safety standards for certain products and facilities.

**Topics:** Requests for analysis; analytical reports; test results; product safety; sampling programs (quotas); provision standards; consultation with national and international, governmental and non-governmental organizations; methods of analysis; statistics; laboratory accreditation protocols; audits; check samples; quality assurance protocols.

**Access:** Files arranged by date sampled, laboratory number or by commodity, region, date and type of test. Certain files are kept in regional laboratories.

**Format:** LIMS computer database contains samples received and reported, tests requested and performed, and computer-generated certificates of analysis are machine-readable. Additional data stored in Personal Computer Databases.

**Program Record Number:** CFIA SCI 065

## Program Records – Others

### Access to Information and Privacy Requests

**Description:** Includes material related to the administration of and internal procedures for the processing of formal and informal requests, in accordance with the Access to Information Act and/or the Privacy Act. These records may contain the requests made by individuals to obtain access to information under the control of the institution in accordance with the Access to Information Act and/or the Privacy Act, related replies and information related to their processing, such as the software systems used within institutions to manage the administration of access and privacy requests, i.e. ATIP Flow, ATIP Image software, Coordination of Access to Information Requests (CAIR) System, etc. These records may include requests for correction of personal information; informal requests; complaints, investigations and requests for judicial review; consultations received from or sent to other institutions; requests for advice received from institutional officials that raise privacy and/or access to information concerns, etc.

**Topics:** These records may include material related to cases leading to a change of policy or procedure, material related to reports to Parliament on the administration of the Acts; conference material; committee information; copies of relevant legislation, and related policies, as well as information related to the interpretation and application of these laws and policies.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA PRN 930

### Regulatory Communication

**Description:** Includes guidelines and procedures relative to the dissemination of technical information via various media.

**Topics:** Regulatory communication; computer systems; presentations; publications; regulatory information by telephone.

**Access:** Various

**Format:** Machine-readable, computer available and/or hard copy available.

**Program Record Number:** CFIA REC 051

### Training for Inspection and Monitoring (Meat Hygiene)

**Description:** Information on training for the inspection and monitoring of food animals, meat products and plant sanitation.

**Topics:** Inspection techniques for various species, sanitation practices, humane handling, meat processing; basic meat science; basic microbiology; food borne pathogens; biological

residues.

**Access:** Various

**Format:** Training materials in written format as modules with visual components on video or filmstrip with audio cassette.

**Program Record Number:** CFIA TIM 076

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information & Privacy Requests

Accounts and Accounting

Audits

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Procurement

Proactive Disclosure

Relocation

Salaries and Wages

Training and Development

Travel

Utilities

Vehicles

## Personal Information Banks

### Accreditation of Private Seed Testing Laboratories

**Description:** This bank contains technical information on organization, management, testing equipment, sample throughput and the performance rating of the laboratory in performance monitoring programs.

**Class of Individuals:** Seed laboratory proprietors, accredited seed analysts.

**Purpose:** The purpose of this bank is to maintain records of the businesses and individuals who have been accredited to test and grade seed along with the technical data on the bases for the accreditation, and subsequent performance of the quality of the seed testing carried out by the laboratory.

**Consistent Uses:** To assess, on the basis of performance and maintenance of the facilities and staff, if the accreditation should be continued or withdrawn.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 105

**TBS Registration:** 003139

**Bank Number:** CFIA PPU 103

### Accredited Private Seed Analyst

**Description:** This bank contains technical information on persons that applied for and written an accredited seed analyst exam. It contains a copy of their results and any certificates awarded.

**Class of Individuals:** Seed analysts working for private seed testing laboratories or seed firms.

**Purpose:** The purpose of this bank is to maintain a record of the persons who have written the exam and the results they achieved in the exam.

**Consistent Uses:** To assess the level of the actual persons' competence should they want to obtain a higher level of accreditation. The file is used to confirm that the level of accreditation that a seed laboratory merits based on the qualification of its complements of accredited seed analysts.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 105

**TBS Registration:** 003138

**Bank Number:** CFIA PPU 102

### Agricultural Biotechnology

**Description:** This bank contains correspondence related to agricultural biotechnology, including correspondence on submissions for environmental safety assessments of plants with novel traits (PNTs), novel feeds derived from PNTs, and other areas of agricultural biotechnology. Personal information in this data bank includes correspondents' names, addresses (if sent in by post), email addresses (if sent in by email), correspondence, and agency responses to that correspondence.

**Class of Individuals:** Individuals from the general public, academia, non-government organizations (NGOs), and industry who write to the agency on issues related to agricultural biotechnology.

**Purpose:** The information is used to respond to correspondence and to provide information, including decision documents for PNTs, to individuals who have given comments or made general inquiries about agricultural biotechnology. Relevant scientific comments may be used in safety assessments of PNTs. The names and addresses of the individuals may be provided to the organization conducting the safety assessment with the consent of the individuals.

**Consistent Uses:** Comments and personal information may be shared with other federal government regulators doing safety assessments, such as Health Canada, for the same purposes: to allow for comments on assessments and other aspects of regulating agricultural biotechnology, and to respond to correspondents.

**Retention and Disclosure Standards:** The personal information and comments received are entered in an electronic database, which will be retained indefinitely. The intent is for hard copies to be retained for five years and, once the RDA is approved, they will be destroyed after the retention period has expired.

**RDA Number:** 2003/015

**Related PR#:** CFIA FRC 145, CFIA VAR 110, CFIA IPP 155

**TBS Registration:** 005394

**Bank Number:** CFIA PPU 125

### Animal Health Importation Program

**Description:** This bank contains information related to the importation of animals, animal products and by-products, veterinary biologics and related items. Examples are cattle, horses, poultry, animal semen and embryos, meat, animal hides, veterinary vaccines, serums, toxins, etc. The information relates to permits, applications, quarantines, test results, numbers imported, etc.

**Class of Individuals:** Information relates

primarily to the identification of Canadian importers and, to a lesser extent, exporters in other countries.

**Purpose:** To provide statistical information on imported commodities, to enable tracebacks for disease purposes and to provide an inventory of animals, commodities, owners, etc. for reference and consultation purposes.

**Consistent Uses:** The bank is used primarily for issuing import permits, quarantining animals and birds, import statistic compilation, tracing back from disease outbreaks, verification of legal entry of animals, etc., into Canada.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 015

**TBS Registration:** 001711

**Bank Number:** CFIA PPU 011

#### **Application for Compensation (PVYn)**

**Description:** Name, address, telephone number, legal description of persons (farmers), property, production and sale records and grower's seed potato certification number.

**Class of Individuals:** Farmers mainly.

**Purpose:** For the purpose of awarding compensation payments to persons (farmers mainly) affected by the plant virus PVYn.

**Consistent Uses:** It is expected that there will be some form of data sharing with the provinces and the potato marketing boards.

**Retention and Disposal Standards:** 25 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 99/004

**Related PR#:** CFIA 161

**TBS Registration:** 002941

**Bank Number:** CFIA PPU 012

#### **Artificial Insemination (A.I.) Units**

**Description:** Information contained in the bank includes reports on owners of male donor animals in the A.I. units; name, identification and test results of the animals; records on the amount of semen being imported into the country to be stored at the A.I. units; and records showing the amount of semen exported.

**Class of Individuals:** Individuals who have had semen collection of their animals done at artificial insemination units.

**Purpose:** The purpose of this information bank is to support the prevention of disease transmission through the use of artificial insemination.

**Consistent Uses:** This bank is used in the monitoring of artificial insemination units and for

issuing licences, export certificates and import permits.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 000880

**Bank Number:** CFIA PPU 055

#### **Authorization of Establishments to Certify Seed**

**Description:** This bank contains technical information on seed handling equipment, seed sale data and product compliance data.

**Class of Individuals:** Seed establishment proprietors.

**Purpose:** The purpose of this bank is to maintain a record of businesses and individuals who have been authorized to tag and seal certified seed, and/or sell certified seed in bulk, along with technical data on the basis of the authorization and subsequent performance of the seed from such establishments in meeting standards under the Seeds Act and Regulations.

**Consistent Uses:** To assess on the basis of product performance whether authorization should be continued or withdrawn to certify seed.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 095

**TBS Registration:** 000890

**Bank Number:** CFIA PPU 105

#### **Canadian Processed Poultry Stations**

**Description:** As per the livestock and Poultry Carcass grading Regulations, under the Canada Agricultural Products Act, this bank contains documentation prepared by federal inspectors on registration, processed poultry grading standards, application, program delivery and audits.

**Class of Individuals:** Registered processed poultry station operators.

**Purpose:** To provide historical records on processed poultry stations, grading standards, compliance for graded poultry.

**Consistent Uses:** The primary use of the files is to accumulate for weekly publication a provincial and Canadian record of processed poultry stations' output for use by the Canadian poultry industry.



**Retention and Disposal Standards:** These records are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 035

**TBS Registration:** 000885

**Bank Number:** CFIA PPU 080

### **Canadian Registered Hatcheries (Chicken and/or Turkey)**

**Description:** Documentation prepared by federal inspectors on hatchery permit issuance, hatchery premises plans, inspections and audit reports.

**Class of Individuals:** Chicken/turkey hatchery operators.

**Purpose:** To provide an historical record on hatcheries registered under the Hatchery Regulations of the Health of Animals Act.

**Consistent Uses:** Health status, program performance, delivery as it relates to the production of healthy disease free chicks and poults.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 035

**TBS Registration:** 000884

**Bank Number:** CFIA PPU 075

### **Consumer Complaint Database**

**Description:** Information on complaints received from consumers and buyers of fish products including name, address and phone number of the complainant, details of the complaint and the results of the investigations.

**Class of Individuals:** Consumers and buyers of fish products

**Purpose:** To record particulars of complaints from consumers and buyers of fish products and investigations related thereto.

**Consistent Uses:** In cases of suspected food poisoning, other data including illness symptoms are stored.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 080

**TBS Registration:** 003623

**Bank Number:** CFIA PPU 095

### **Development & Implementation of HACCP Systems**

**Description:** The National Hazard Analysis Critical Control Point (HACCP) adaptation contribution program will provide contribution funding to small and medium sized federally registered food processing establishments to develop implement HACCP systems.

**Class of Individuals:** Owners of small & medium sized federally registered food processing establishments.

**Purpose:** To collect information about participating establishments and their owners such as name, address, SIN, size and progress through HACCP implementation in order to determine the usefulness of the program dollars spent.

**Consistent Uses:** None at the present time.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 080

**TBS Registration:** 004005

**Bank Number:** CFIA PPU 036

### **Disease Investigation**

**Description:** Information contained in the bank includes reports on herds in which there have been an unusual number of deaths or other uncommon occurrences; reports from veterinary practitioners reporting unusual occurrences in their area; reports from veterinarians in charge of registered establishments reporting high incidence of disease in one particular herd or flock.

**Class of Individuals:** Livestock owners who have had uncommon occurrences in their herds or flocks.

**Purpose:** The purpose of this information bank is to support the monitoring of livestock diseases in Canada in accordance with the Health of Animals Act.

**Consistent Uses:** The primary use of this bank is to report unusual occurrences of animal disease.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 000874

**Bank Number:** CFIA PPU 025

**Disease Investigation on Reportable Diseases**

**Description:** Information contained in the bank includes reports on individual herds or flocks in which a reportable disease has been diagnosed or suspected.

**Class of Individuals:** Livestock owners who have a reportable disease in their herd or flock.

**Purpose:** The purpose of this information bank is to support the eradication and/or control of livestock diseases in Canada which are reportable under the Health of Animals Act.

**Consistent Uses:** The primary use of this bank is to monitor reportable livestock diseases and payment of compensation.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 000879

**Bank Number:** CFIA PPU 050

**Embryo Transfer Centres**

**Description:** Information contained in the bank includes the names and identification of parents of embryos, results of tests of parent and recipient animals, records of animals, animal embryos imported into the country by means of recipient animals or for transfer into recipient animals and records showing the number of animal embryos exported.

**Class of Individuals:** Individuals who operate embryo transfers performed at embryo transfer centres.

**Purpose:** The purpose of this information bank is to support the prevention of disease transmission through the process of animal embryo transfer from donor females into recipient females.

**Consistent Uses:** The bank is used in the monitoring of embryo transfer centres for registration purposes, issuing export certificates and import permits.

**Retention and Disposal Standards:** These files are retained for 10 years.

**RDA Number:** 2003/015

**Related PR#:** CFIA 035

**TBS Registration:** 000876

**Bank Number:** CFIA PPU 035

**Export Control Information Bank**

**Description:** This bank contains information such as species exported, destination and phytosanitary condition.

**Class of Individuals:** The information in this bank relates to persons wishing to export plants or plant materials.

**Purpose:** The purpose of this bank is to issue

phytosanitary certificates for export of plants or plant materials.

**Consistent Uses:** The information will be used to maintain a list of individuals and organizations interested in the Salmonella and Food-Borne Disease Program.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 156

**TBS Registration:** 003037

**Bank Number:** CFIA PPU 120

**Export of Livestock**

**Description:** Information contained in the bank includes names and addresses of livestock exporters, numbers and identification of the livestock, including embryos and semen exported. The files include records on individuals as well as companies involved in the exporting of livestock such as volume of business, value of contracts and purpose of exportation.

**Class of Individuals:** Livestock owners and companies exporting livestock.

**Purpose:** The purpose of this information bank is to support the prevention of the export of diseased livestock and to ensure that the livestock meet the health requirements of the importing countries, and to provide for statistical compilation.

**Consistent Uses:** The bank is used to monitor the export of animals, to issue health certificates, and to establish uniformity of procedures in the operations of quarantine and inspection of livestock for export.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 020

**TBS Registration:** 000873

**Bank Number:** CFIA PPU 020

**Feed Registration**

**Description:** This bank contains applications for feed registration in compliance with the Feeds Act. It also includes the companies' and farmers' names and addresses, and names of feeds (including brand names), together with registration numbers. This information is included on a database of feed manufacturers having registered feed products.

**Class of Individuals:** On-farm manufacturers who mix medicated feed and commercial feed mills.

**Purpose:** The information was obtained as part of the feed registration procedure.

**Consistent Uses:** The information is used by headquarters and regional feed, registration and compliance staff to carry out inspection and sampling, as required.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 145

**TBS Registration:** 001876

**Bank Number:** CFIA PPU 111

#### **Herd Test Reports on Bovine Tuberculosis**

**Description:** 1985-1986 was the last year of farm testing. no more herd testing on tuberculosis. Information contained in the bank includes the number of animals tested, the number of animals suspected of or suffering from tuberculosis, the location where the infected animals were slaughtered, the amount of compensation paid and a certificate declaring premises free of disease. This information bank records test results on all herds tested for bovine tuberculosis.

**Class of Individuals:** Livestock owners of animals suspected of or suffering from tuberculosis.

**Purpose:** The purpose of this information bank is to support the eradication of bovine tuberculosis.

**Consistent Uses:** Primary use of this bank is to monitor tuberculosis in Canada and to calculate the payment of compensation for animals slaughtered under the Health of Animals Act.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 000875

**Bank Number:** CFIA PPU 030

#### **Herd Test Reports on Brucellosis**

**Description:** Historical data. Information contained in the bank includes reports on herd owners, the number of animals tested, the number of animals suspected of, or suffering from, brucellosis, the location where the infected animals were slaughtered, the amount of compensation paid and the certificate declaring premises free of disease. No herd testing for several years on Brucellosis. Canada declared Brucellosis free in 1985.

**Class of Individuals:** Livestock owners of animals suspected of or suffering from brucellosis.

**Purpose:** The purpose of this information bank is to aid in the eradication of brucellosis.

**Consistent Uses:** The information is used to evaluate the program and to calculate the payment of compensation for animals slaughtered under the Health of Animals Act.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 035

**TBS Registration:** 000877

**Bank Number:** CFIA PPU 040

#### **Herd Test Reports on Johne's Disease (Paratuberculosis)**

**Description:** Historical data. Information contained in the bank includes the number of animals tested and the number of animals suspected of or suffering from Johne's disease.

**Class of Individuals:** Livestock owners of animals suspected of or suffering from Johne's disease. Canada is free of Paratuberculosis. No program in Canada.

**Purpose:** The purpose of this information bank is to support the control of Johne's disease in accordance with the Health of Animals Act.

**Consistent Uses:** Primary use of this bank is to monitor Johne's disease in Canada.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 000878

**Bank Number:** CFIA PPU 045

#### **Herd Test Reports on Leukosis for CHAH Program**

**Description:** The information in this bank includes reports on herd owners, the number of animals tested and the number of animals suspected of being infected with enzootic bovine leukosis (EBL) virus. This bank records all official test results on all herds enrolled in the Canada Health Accredited Herd (CHAH) plan for EBL. Information in the bank also includes the identity of the animals in the herd.

**Class of Individuals:** Livestock owners who wish to enrol their herd in the voluntary CHAH plan for enzootic bovine leukosis.

**Purpose:** The purpose of this information bank is to support a voluntary herd accreditation program for enzootic bovine leukosis in Canadian cattle herds. The herd accreditation program (CHAH) enables owners to detect EBL and to control the

infection within their herd and facilitates domestic and international trade.

**Consistent Uses:** This bank records all official test results on all herds enrolled in the Canada Health Accredited Herd (CHAH) plan for EBL.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 002378

**Bank Number:** CFIA PPU 046

#### Import Control Information Bank

**Description:** This bank contains information on plants and plant materials, such as species imported, origin, intended use, names of importers, and notices of refused entry.

**Class of Individuals:** Persons wishing to import plants or plant materials.

**Purpose:** To issue permits for import of plants or plant materials, to control entry and to enable the Plant Health Division to correspond with export and/or import permit holders on regulatory subject matters.

**Consistent Uses:** To issue import permits, to compile plant-origin- destination profiles and to enable the Plant Health and Production to contact permit holders for regulatory enforcement purposes.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 155

**TBS Registration:** 000892

**Bank Number:** CFIA PPU 115

#### Inspection and Registration - Processed Dairy Products

**Description:** This bank contains information on the condition of dairy premises, product quality, volumes and countries of origin of imported products.

**Class of Individuals:** Dairy processors.

**Purpose:** The purpose of this bank is to support the enforcement of the regulation of dairy products under the mandate of the Canada Agricultural Products Act and Regulations.

**Consistent Uses:** The information is used in regulating the manufacturing, importation, exportation and marketing of dairy products and in the formulation of government policy.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective

retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 060

**TBS Registration:** 000886

**Bank Number:** CFIA PPU 085

#### Inspection and Registration - Processed Products

**Description:** This bank contains documentation on safety, grading, packaging, and labelling of products as well as correspondence and information on food processors, packers, importers, wholesalers and producers (honey and maple).

**Class of Individuals:** Processors, packers, importers, wholesalers and producers (honey and maple) of processed products.

**Purpose:** The purpose of this bank is to aid enforcement of the Canada Agricultural Products Act and Regulations relating to the quality and safety of processed products, including honey and maple products.

**Consistent Uses:** The information is used to assist in the maintenance of national quality standards and to assess compliance with regulatory requirements.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 045

**TBS Registration:** 000888

**Bank Number:** CFIA PPU 095

#### Inspector/Grader Certificate & Application

**Description:** Information required for all inspectors in the CFIA to permit them to inspect under the various acts.

**Class of Individuals:** Inspectors.

**Purpose:** To permit inspectors to inspect agricultural commodities.

**Consistent Uses:** Once the application form has been completed and approved, a card is presented to the individual so that he/she then becomes a registered establishment inspector.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 076

**TBS Registration:** 002696

**Bank Number:** CFIA PPU 097

### **Investigations: Violations of Acts and Regulations - FPI CFIA**

**Description:** The information contained in this bank consists of narrative reports which describe the action taken in a particular investigation. Coverage consists of persons and/or companies suspected of violating acts and regulations administered by the Food Production and Inspection Branch (FPI).

**Class of Individuals:** The general public.

**Purpose:** The purpose of this bank is to maintain records to assist in the enforcement of the acts and regulations administered by FPI. Narrative reports are collected under the authority of the Department of Agriculture and Agri-Food Act. Social insurance numbers are collected on narrative reports under the authority of the Department of Agriculture and Agri-Food Act. The social insurance number is required to properly identify individuals suspected of violating the Act.

**Consistent Uses:** The information is used primarily to investigate alleged and known violations of acts and regulations administered by FPI.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**TBS Registration:** 001875

**Bank Number:** CFIA PPU 096

### **Licensing Agents and Inspection - Fresh Fruits and Vegetables**

**Description:** This bank includes documentation on product grading, labelling and packaging as well as information on dealers and brokers.

**Class of Individuals:** Dealers and brokers.

**Purpose:** The purpose of this bank is to aid enforcement of the Canada Agricultural Products Act and Regulations relating to product quality and marketing of fresh fruits and vegetables.

**Consistent Uses:** The information is used to assist in the maintenance of national quality standards and to assess compliance with regulatory requirements.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 050

**TBS Registration:** 000887

**Bank Number:** CFIA PPU 090

### **Licensing of Swine Producers Feeding Garbage**

**Description:** Information contained in the bank includes copies of permits issued to individuals showing name, address, location and number of swine on premises, building structure and size, number of swine arriving at the premises, number of swine leaving and the location where they were slaughtered. Files contain applications for all garbage feeders operating in Canada.

**Class of Individuals:** All garbage feeders who have operated or are operating in Canada.

**Purpose:** The purpose of this information bank is to support the prevention of the introduction of disease through the feeding of garbage to swine in accordance with the Health of Animals Act.

**Consistent Uses:** The primary use of this bank is to monitor garbage feeding of swine and to license premises in Canada.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 030

**TBS Registration:** 000881

**Bank Number:** CFIA PPU 060

### **Processed Egg Stations Operation**

**Description:** Documentation on processed egg station operation.

**Class of Individuals:** Processed egg station operators.

**Purpose:** The purpose of the bank is to provide an historical record on registered processed egg stations' operation, compliance and station output.

**Consistent Uses:** The bank is used to maintain a list of registered processed egg stations and to accumulate a provincial and Canadian record of processed egg output for use by the total Canadian poultry industry.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 035

**TBS Registration:** 000883

**Bank Number:** CFIA PPU 070

### **Salmonella and Food-Borne Disease**

**Description:** Information contained in the bank relates to the identity and location of individuals/organizations of interest to officers of the Salmonella and Food-Borne Disease program. It includes their areas of expertise and special interest, membership/position in professional, scientific or industrial organizations or groups,

participation in the branch program, and allocation to specific program mailing lists.

**Class of Individuals:** Information relates to individuals who work in or have interests in salmonella or other food-borne disease problems.

**Purpose:** The purpose of this information is to enable the branch program officers to identify and to contact the various individuals with interests in salmonella and other food-borne disease problems. It also enables grouping of individuals with similar areas of sub-interest or responsibility and allows modified mailing lists.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 001710

**Bank Number:** CFIA PPU 006

### Seed Quality

**Description:** This bank contains information on purity, labelling, advertising of seeds, registration of crop varieties and production data. Individuals involved in the production, importation and marketing of seed are identified by name and address.

**Class of Individuals:** Seed producers and growers.

**Purpose:** The purpose of this bank is to monitor and to enforce compliance with the Seeds Act and Regulations respecting quality, labelling and advertising of seeds.

**Consistent Uses:** To ensure that seed producers and growers are operating in compliance with the Act and Regulations.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 105

**TBS Registration:** 000889

**Bank Number:** CFIA PPU 100

### Shell Egg Grading Stations

**Description:** Documentation on shell egg grading station operation.

**Class of Individuals:** Egg station operators.

**Purpose:** The purpose of this bank is to provide a historical record on registered egg stations' operation and compliance.

**Consistent Uses:** The information is used to maintain a list of registered shell egg grading stations for the Canadian poultry industry.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then

transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 035

**TBS Registration:** 000882

**Bank Number:** CFIA PPU 065

### Test Reports for Rabies

**Description:** Information in this bank relates to the identity and location of individuals or organizations whose animals are suspected of being infected with rabies. The information includes the number of specimens submitted, test results, number and identity of animals quarantined, the amount of indemnity paid and a certificate declaring the premises in question free of disease.

**Class of Individuals:** Livestock, pet and zoo owners.

**Purpose:** The data are collected for the purpose of disease control statistics, the prediction of disease, and for quarantine and indemnity.

**Consistent Uses:** The information is used to control the disease and predict outbreaks of rabies, make payments of indemnity and to decide on treatment in the case of human contacts.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 025

**TBS Registration:** 002377

**Bank Number:** CFIA PPU 051

### Traceback Information (PVYn)

**Description:** Name, address, telephone number, legal description of affected land, UTM Code of affected land, grower seed potato certification number, map of farm.

**Class of Individuals:** Mainly potato producers.

**Purpose:** For the purpose of tracing possible sources of PVYn infections on specific farms.

**Consistent Uses:** This information will be used internally only. Policy development may be based on general information collected.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 161

**TBS Registration:** 003137

**Bank Number:** CFIA PPU 014

### Veterinary

**Description:** This bank contains reports and memos prepared by the regional director, reports

by the regional veterinary supervisor, reports generated by district veterinarians, training records, files on accredited veterinarians and investigative reports.

**Class of Individuals:** Veterinarians.

**Purpose:** The purpose of this information bank is to document allegations of non-compliance with proper procedures for certifying livestock by accredited veterinarians for export purposes under the authority of the Health of Animals Act and Regulations.

**Consistent Uses:** The information will be used to conduct investigations on the ethics of professional veterinarians and to ensure compliance with procedures so as to ensure the international credibility of Canadian export certification.

**Retention and Disposal Standards:** These files are retained for 10 years. The files are then transferred to National Archives for selective retention.

**RDA Number:** 2003/015

**Related PR#:** CFIA 005

**TBS Registration:** 001713

**Bank Number:** CFIA PPU 026

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Hospitality

Relocation

Travel

## Classes of Personal Information

### General Correspondence and Enquiries

Personal information in this class relates to routine correspondence concerning the regulatory and licensing activities associated with meat inspection, pesticides, feeds and fertilizers, veterinary biologics and the humane transportation of animals. It also relates to general enquiries concerning agricultural research, food advisory information. The personal information contained in this class normally includes the name and address of the enquirer, but is neither arranged nor retrievable by personal identifiers. This form of personal information exists in a fragmented form throughout the subject files controlled by the Agency and is normally retrievable only if specifics are provided concerning the subject and the date of the

correspondence. The retention period for this class of personal information is controlled by the retention period of the files in which they are stored.

### Ministerial Correspondence

This class of information contains correspondence received from external organizations and individuals in the form of requests for information, complaints, opinions and other similar submissions related to a broad range of policy issues pertaining to Canadian Food Inspection Agency's activities, wherein some unsolicited personal information has been provided by the correspondent. This form of information would be retrievable only if specifics of name, date of communication and subject were to be provided; it is not arranged or retrievable by personal identifiers. The retention periods of these classes of personal information are controlled by the record schedules of the general subject files in which they are stored.

## Manuals

- Canadian Shellfish Sanitation Program - Manual of Operation
- Chemical Methods
- Dairy Plant Inspection Manual Requirements and Procedures
- Establishment Inspection Manual - Processed Products
- Facilities Inspection
- Feed Freight Assistance Manual
- Feed Inspection Manual
- Feed Laboratory Analytical Methods
- Fertilizer Inspection Manual
- Fertilizer Laboratory Methods Manual
- Fish Products Inspection Manual - Policy and Procedures
- Fishery Officer's Guide for Habitat Management and Protection
- Fresh Fruit Commodity Manual
- Fresh Vegetables Commodity Manual
- Good Manufacturing Practices (GMP) - Crab Processing
- Good Manufacturing Practices (GMP) - Lobster Processing
- Good Manufacturing Practices (GMP) - Shrimp Processing

- Grading Manual - Dairy Products
- Inspection Manual - Dairy Products
- Inspection Manual - Fresh Fruits and Vegetables
- Inspection Manual - Hatcheries
- Inspection Memoranda of Understanding and Agreement
- Inspector's Guide - Licensing and Arbitration (Fresh Fruits and Vegetables)
- Lake Classification Inspection Procedures Manual - Central and Arctic Region
- Licensing and Arbitration Manual
- Livestock Grading Manual
- Manuals of Procedures Relating to the Health of Animals Act
- Meat Hygiene Manual of Procedures
- Meat Inspection Act and Regulations
- Metal Can Defects Manual
- Methods and Procedures for Testing Seed
- Microbiological Analysis of Frozen Vegetables
- Plant Pest Emergency Program Manual
- Plant Protection Directives, Act and Regulations
- Plant Virus and Antiserum Bank
- Processed Egg Inspection Manual
- Processed Poultry Inspection Manual
- Product Inspection Manual - Processed Products
- Recommended Manufacturing Practices for Pasteurized/Modified Atmosphere Packaged/Refrigerated Food
- Regulatory Proposals and Regulatory Directives
- Seed Potato Inspectors' Manual
- Seed Potato Laboratory Manual
- Shell Egg Inspection Manual
- Ship, Mill and Elevator Inspection Manual
- Specialty Cheese Manual
- Standard Procedures for Bacteriological Analysis

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Agency and its various programs and functions may be directed to:

Access to Information and Privacy Services  
Canadian Food Inspection Agency  
59 Camelot Drive, Room 211 East  
Ottawa ON K1A 0Y9  
Tel.: (613) 225-2342 ext. 4728

## Reading Room

The Agency has designated a public reading room in accordance with the Access to Information Act.

Access to Information and Privacy Services  
Canadian Food Inspection Agency  
59 Camelot Drive, Room 211 East  
Ottawa ON K1A 0Y9  
Tel.: (613) 225-2342 ext. 4728



# Canadian Forces Grievance Board

## Chapter 31

### General Information

#### Background

The Canadian Forces Grievance Board (CFGB) was established on March 1, 2000 as a result of legislation that contained comprehensive amendments to modernize the National Defence Act (NDA). These amendments are designed to help renew the Canadian Forces. One of the reforms was aimed at creating an independent review of grievances through the establishment of the Canadian Forces Grievance Board. The establishment of the Board is defined in section 29.16 of the NDA. Chapter 7.12 of the Queen's Regulations and Orders applicable to the Canadian Forces that govern the types of grievances referred to the CFGB came into effect on June 15, 2000.

#### Responsibilities

The Canadian Forces Grievance Board is an external and independent administrative tribunal with powers of a quasi-judicial nature, established by the National Defence Act (NDA), that is mandated to investigate and review grievances referred to it by the Chief of the Defence Staff (CDS) and to provide findings and recommendations to the CDS regarding grievances so referred. The Canadian Forces Grievance Board has the power to summon witnesses, to compel the production of evidence when the Board considers it necessary and to determine and modify its own rules of procedure. Although the Board's findings and recommendations are not binding, the CDS must provide reasons in writing to the Board and the grievor if he does not accept them. The Board reports annually to Parliament through the Minister of Defence.

#### Legislation

- Canadian Forces Grievance Board Rules of Procedure
- National Defence Act
- Queen's Regulations and Orders applicable to the Canadian Forces

#### Organization

The Board is responsible for the review of certain types of grievances referred to the Board by the Chief of the Defence Staff.

#### Board Membership

The Board is made up of a chairperson, a full-time vice-chairperson, a part-time vice-chairperson and part-time members, all appointed by the Governor in Council. The Chairperson is a full time member, is the Chief Executive Officer of the Board and has supervision over and direction of its work and staff. The senior staff consists of an Executive Director, a Director, Grievance Analysis and Operations, and a Director, Legal Services and General Counsel.

#### Organizational Structure

##### Director, Grievance Analysis and Operations

The Director, Grievance Analysis and Operations is responsible for researching and investigating the information that the Board needs to make findings and recommendations on grievance cases.

##### Executive Director

The Board's Executive Director is responsible for providing strategic leadership, as well as developing and implementing the Board's management framework, its strategic priorities, its business plan, reviewing its progress, and negotiating on behalf of the Board with central agencies.

##### Director, Legal Services and General Counsel

The Director, Legal Services and General Counsel is accountable for directing the provision of legal advice, interpretation and legal opinions to the Canadian Forces Grievance Board, legal representation at Board hearings, and representation of the Board before the Federal Court of Canada.

## Information Holdings

### Program Records

#### Access to Information and Privacy Activities and Policies

**Description:** Information on the Canadian Forces Grievance Board policies and procedures regarding the Access to Information Act and the Privacy Act.

**Topics:** Policy, procedures and report files; access to information and privacy information bank files; updates to Info Source; liaison with other government departments; policies and procedures governing access to and release of information and the application of exemptions; statistics and activity reports.

**Access:** By subject.

**Program Record Number:** CFGB ADM 752

#### Applications for employment

**Description:** Information on individuals who submitted applications for employment to the Canadian Forces Grievance Board.

**Topics:** letters, completed applications forms, résumés, letters of reference and letters acknowledging receipt of applications.

**Access:** By name

**Program Record Number:** CFGB HR 500

#### Board Members

**Description:** Information on individuals appointed by order of the Governor-in-Council to the Canadian Forces Grievance Board.

**Topics:** Information on Board Members.

**Access:** By name

**Program Record Number:** CFGB RH 530

#### Canadian Forces Member Grievance

##### References

**Description:** Information on grievance files submitted by members of the Canadian Forces and referred to the Canadian Forces Grievance Board by the Chief of Defence Staff.

**Topics:** grievor's name and service number, findings and recommendations sent to the Chief of Defence Staff.

**Access:** By file number

**Program Record Number:** CFGB LEG 1120

#### Communications

**Description:** Information on communication matters of the Canadian Forces Grievance Board.

**Topics:** Board brochures; audio-visual presentations; annual reports.

**Access:** By subject.

**Program Record Number:** CFGB ADM 757

#### Contracts

**Description:** Information on the procurement of services by the Canadian Forces Grievance Board.

**Topics:** Policy, procedures, description of requirement, price, contract negotiations, contract solicitation and award.

**Access:** By company

**Program Record Number:** CFGB FIN 410

#### Grievance Proceedings

**Description:** Information on the policies and procedures regarding the processing of grievances.

**Topics:** Policy and procedures; legislation; general files.

**Access:** By subject.

**Program Record Number:** CFGB ADM 250

#### Legal Matters

**Description:** Legal opinion and research, and related correspondence, in relation to matters within the mandate of the Board.

**Topics:** Law related to operational case files, administrative matters or research.

**Access:** By subject.

**Program Record Number:** CFGB LEG 230

#### Security

**Description:** Information on the application to the Canadian Forces Grievance Board of the Security Policy of the Government of Canada.

**Topics:** Security Policy of the Government of Canada; related correspondence, policies and procedures; compliance measures of the Board.

**Access:** By subject.

**Program Record Number:** CFGB HR 300

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Acts and Legislation

Administration

Classification of positions

Employment and Staffing

Finance

Hospitality

Human Resources

Occupational, Health & Safety

Official Languages

Proactive Disclosure

Procurement

Relocation  
 Staff Relations  
 Training and Development  
 Travel

## Personal Information Banks

### Access Requests Files

**Description:** This bank contains formal requests made by individuals under the Privacy Act and the Access to Information Act, the replies to such requests and information relating to their processing.

**Class of Individuals:** Individuals requesting access to information under the Privacy Act and the Access to Information Act.

**Purpose:** This information is used for processing requests made under the Privacy Act and the Access to Information Act.

**Consistent Uses:** This information may be used for research, statistical, program monitoring and evaluation purposes; it is also used in response to a complaint filed by an individual to the Privacy or Information Commissioner, or in defence against a Court action.

**Retention and Disposal Standards:** The records are retained for two years after all actions have been completed then destroyed.

**RDA Number:** TBD.

**Related PR#:** CFGB ADM 752

**TBS Registration:** 004447

**Bank Number:** CFGB PPU 014

### Applications for employment

**Description:** The records related to this bank contain information on individuals who have submitted applications for employment and related correspondence. The records may contain letters, completed application forms, résumés, letters of reference and letters from the Grievance Board acknowledging receipt of applications. The types of personal information collected include: applicant's name, mailing address, telephone number, e-mail address, employment status and history, marital status, age, sex, country of birth, citizenship, social insurance number, educational background and letters of recommendation.

**Class of individuals:** Individuals seeking employment with the Board.

**Purpose:** To maintain an inventory of potential candidates that may be considered for use in a staffing purpose when vacancies arise within the Canadian Forces Grievance Board.

**Consistent uses:** Relevant information may be transferred to an employee personnel record if the individual is offered and accepts employment.

**Retention and Disposal Standards:** Individual applications are retained for two years after receipt of the application and then destroyed. Applications considered during a staffing process are retained for two years following the expiry of the eligibility list or after the last administrative use and then destroyed.

**RDA Number:** 98/005

**Related PR#:** CFGB HR 500

**TBS Registration:** 005862

**Bank Number:** CFGB PPU 016

### Board Members

**Description:** This bank describes information related to Order-in-Council appointments to the Canadian Forces Grievance Board. The files may contain the individuals' names, mailing addresses, telephone numbers, email addresses, gender and age of the appointees, career highlights, curricula vitae, qualifications and letters of recommendation, photographs and biography, and a record of travel expenses and honoraria. **Class of individuals:** Individuals appointed by order of the Governor-in-Council.

**Purpose:** The purpose of this information is used to maintain an inventory of current and former Board Members of the Canadian Forces Grievance Board as well as to manage the administration of expenses and communications with these individuals.

**Consistent Uses:** No additional use of this information is intended.

**Retention and Disposal Standards:** Records are retained for six years after expiry of terms and then destroyed. Records will be destroyed only once a RDA number is in place.

**RDA Number:** TBD.

**Related PR#:** CFGB HR 530

**TBS Registration:** 005860

**Bank Number:** CFGB PPU 010

### Canadian Forces Member Grievance References

**Description:** This bank contains information, forwarding comments, recommendations and decisions resulting from grievances submitted by members of the Canadian Forces and referred to the Canadian Forces Grievance Board by the Chief of Defence Staff. In addition to the requirements indicated on the Personal Information Request Form, individuals must provide their full name and service number. Individuals wishing to access only specific information should identify the material desired to expedite the processing of their requests.

**Class of Individuals:** Members of the Canadian Forces who have submitted grievances which have been referred to the Canadian Forces

Grievance Board by the Chief of Defence Staff.

**Purpose:** The information is used by the Canadian Forces Grievance Board in dealing with grievances referred to the Board pursuant to the National Defence Act.

**Consistent Uses:** The information may be used for research, planning, evaluation and statistical purposes. It may also be used in the dissemination of precedents, and in the preparation of reports pursuant to the National Defence Act.

**Retention and Disposal Standards:** These records are kept for seven years and are then destroyed, unless they form part of substantial and precedent-setting grievance case files meeting specific criteria.

**RDA Number:** TBD

**Related PR#:** CFGB LEG 1120

**TBS Registration:** 004448

**Bank Number:** CFGB PPE 801

### Contracts

**Description:** This bank describes the information collected to manage the contracting process within the Canadian Forces Grievances Board. The personal information collected includes the name of the company or the individual with whom the contract has been established, contact person, mailing address, telephone & fax numbers and email addresses. Also included are copies of curricula vitae, letters of reference, cheques, records of payment and GST number.

**Class of individuals:** Individuals hired under personal service contracts by the Board or employees of private companies who represent their company as contact persons.

**Purpose:** The purpose of this information is to manage the establishment of personal services contracts and the disbursement of funds for services or deliverables as specified within the contract. Aggregate information is used to compile statistical data on all contracts established by the CFGB.

**Consistent Uses:** Information may be used to provide reports to management and it may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** Records are retained for six fiscal years after completion of terms of contract and then destroyed.

**RDA Number:** 99/004

**Related to PR#:** CFGB FIN 410

**TBS Registration:** 005861

**Bank Number:** CFGB PPU 012

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Travel

Relocation

## Classes of Personal Information

### Human Resources Planning and Management

Personal information about employees is also maintained in other departmental files and data bases in the human resource planning and management functions. Such systems are used to provide aggregated reports for the purpose of human resource planning and management and to assist in analysis of trends or developments. Although some of the information may be retrieved by a personal identifier, the data bases are not used to provide information about individual employees nor to make any administrative decisions affecting individual employees.

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Inquiries for general information about the Canadian Forces Grievance Board and its functions may be directed to:

### Communications Services

Canadian Forces Grievance Board  
60 Queen Street, 10th Floor

Ottawa ON K1P 5Y7

Tel.: 1-877-276-4193

Fax: (613) 996-6491

E-mail: [cfgb-cgfc@cfgb.cgfc.gc.ca](mailto:cfgb-cgfc@cfgb.cgfc.gc.ca)

Web Site: [www.cfgb-cgfc.gc.ca](http://www.cfgb-cgfc.gc.ca)

## Reading Room

In accordance with the Access to Information Act, members of the public may examine the basic and subsidiary manuals governing the administration and operation of the Canadian Forces Grievance Board at:

Canadian Forces Grievance Board  
60 Queen Street, 10th floor  
Ottawa ON K1P 5Y7

# Canadian Grain Commission

## Chapter 32

### General Information

#### Background

The Canadian Grain Commission (CGC) is a federal agency reporting to the Canadian Parliament through the Minister of Agriculture and Agri-Food. The CGC: Regulates grain handling in Canada; Establishes and maintains standards of quality for Canadian grains.

The CGC's vision statement is as follows: Excellence in grain quality assurance; We will maintain unbiased third-party objectivity; We will do what is good for the entire grain industry; The quality of grains, oilseeds and pulses is the focal point of our expertise; Quality is anything that enhances the value of Canadian grain; We are a business-like government organization; We will ask "Does it make sense?"; We will work to our strengths; We will focus on clients needs.

Its mission is: To be a leader in providing grain quality management and quantity assurance, dedicated to excellent and responsive service supporting producers, all sectors of the grain industry and their customers.

#### Responsibilities

The CGC delivers a grain quality and quantity assurance program that results in consistent and reliable shipments of grain that meet contract specifications for quality, safety and quantity. Quality is Canada's competitive edge in the world market. Quality and quantity assurance services include:

Inspecting grain to certify quality, including all grain received at and shipped from terminals, all grain exported from transfer elevators, and submitted samples of grain from producers and the grain trade

Certifying weights for grain exports, supervising weighing at terminals, conducting audits of terminal and transfer elevator stocks and inspecting terminal and transfer elevator scales

Identifying and explaining the relationships between the physical and biochemical properties of grain and the end-use value of grain

Developing fast, accurate, economical, and meaningful methods for evaluating grain quality

Supporting the sale and market development of grains and oilseeds by giving technical advice on grain and oilseed quality and end uses, and by evaluating the quality of plant breeders' cultivars to ensure that they have the physical and quality criteria needed for registration

- Screening, monitoring and certifying grain shipments to ensure that Canadian grain is not only safe but meets strict international tolerances for toxic contaminants
- Providing information to marketers and processors of Canadian grain on the quality of commercial grain shipments and of each harvest
- Investigating and resolving complaints and inquiries related to the quality and quantity of Canadian grain
- Providing other specialized services requested by the grain industry
- The CGC also regulates the grain industry to ensure the fair treatment of producers and the integrity of grain transactions and to maintain grain quality as grain is moved through marketing channels. Regulation includes:
  - Licensing eligible grain dealers and elevator companies
  - Conducting audits of licensees' liabilities to producers
  - Monitoring the financial position of licensees and obtaining security to protect producers in case of a default by a licensee
  - Developing and setting grain quality standards
  - Inspecting grains and grain handling facilities to ensure freedom from insect infestations
  - Collecting and publishing statistics on grain handling, storage, and movement
  - Administering producer cars
  - Mediating and resolving producer complaints concerning grain transactions
- The CGC provides other services of value to the grain industry in Canada and abroad, such as:
  - Operating the Grain Inventory Accounting System and facilitating information flow on behalf of the grain trade
  - Providing grain quality data

- Offering general and custom-designed grain industry training courses
- Conducting contract work, for example, repairing moisture meters and doing chemical analyses of grain

The CGC provides services to CGC staff, such as: Administration; Communications; Finance; Information technology; Policy development; Library; Health and safety.

## Legislation

- Canada Grain Act

## Organization

### Canadian Grain Commission

The CGC is organized into the Executive, Corporate Services, Grain Research Laboratory (GRL), Industry Services, and Finance. Its head office is located in Winnipeg, Manitoba. Industry Services comprises five regions: Bayport, Eastern, Pacific, Prairie and Thunder Bay. The CGC employs approximately 700 employees.

The Executive consists of three commissioners, appointed by government, who set policy and provide leadership, and the chief operating officer who oversees operations. Assistant commissioners, also appointed by government, work closely with producers and other industry members in rural development. Assistant commissioners inform producers and the industry about the CGC's role and responsibilities and act as mediators.

The chair of the Grain Appeal Tribunal reports directly to the chief commissioner. The Tribunal is an independent committee appointed by the CGC. It examines appeals by those dissatisfied with the grade assigned on an official sample and makes a final decision.

## Information Holdings

### Program Records

#### Economics and Statistics Operations

**Description:** Economic and statistical information on grain handling and storage.

**Topics:** Grain handling information and statistics involving licensees; grain inspected and weighed at licensed elevators; prices received by western producers; policy analysis and recommendations.

**Access:** Records are located in Winnipeg.

**Format:**

**Program Record Number:** CGC CGC 570

#### Grain Inspection Operations

**Description:** Information on the inspection and grading of samples of grain and grain screenings obtained by Commission employees or submitted by grain industry.

**Topics:** Quality of samples submitted; quality of grain handled by terminal and transfer elevators; special treatment of grain in terminal elevator; elevator inspections and infestation control; primary and export standard samples; reinspections.

**Access:** The files are located in Winnipeg and in regional offices.

**Program Record Number:** CGC CGC 565

#### Grain Research

**Description:** Information on the quality of cereal grains, pulses and oilseeds.

**Topics:** Enquiries, consultations, advice and reports; quality assessment of each new harvest; grain cargo composite monitoring; evaluation of breeder lines; research in cereal and oilseed chemistry and processing technology; moisture meter standardization; evaluation and development of new testing methods.

**Access:** Records are located at the Winnipeg office.

**Program Record Number:** CGC CGC 575

#### Policy Development and Coordination

**Description:** Information on the administration of the Canada Grain Act; issuing of regulations and orders; advising the Minister on matters relating to grain handling; and coordination of functions of all divisions within the Canadian Grain Commission.

**Topics:** Canada Grain Act and Regulations; and Regulations; Canadian Grain Commission orders and directives to the grain trade; Grain Appeal Tribunal.

**Access:** Records located in Winnipeg.

**Format:** Hard copy and/or computer diskettes.

**Program Record Number:** CGC CGC 585

#### Service Agreements

**Description:** Information relates to individuals or individuals representing companies with which we have a service agreement.

**Program Record Number:** CGC CGC 586

#### Weighing of Grain

**Description:** Information on the supervision of grain weighing at terminal and transfer elevators.

**Topics:** Supervision of grain weighing; weighing exception reports; scale equipment inspection; weigh-over of elevator stocks for audit; investigation of complaints related to weight; weighing facilities — planning and control.

**Access:** Records are located at Winnipeg and at regional offices.

**Program Record Number:** CGC CGC 580

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Audits

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Procurement

Relocation

Salaries and Wages

Training and Development

Travel

Utilities

Vehicles

## Personal Information Banks

### Canadian Grain Commission Licensing and Bonding Program

**Description:** Information relating to the licensing of grain dealers and grain elevators.

**Class of Individuals:** Grain dealers and operators of grain elevators.

**Purpose:** To license grain dealers and grain elevators.

**Consistent Uses:** Same as purpose.

**Retention and Disposal Standards:** Records are held for ten years.

**Related PR#:** AAFC CGC 570

**TBS Registration:** 001717

**Bank Number:** CGC PPU 210

### Producer Car Program

**Description:** Correspondence and producers car applications which are filed by date of receipt and contain information such as the producer's name, application number; type, quality and quantity of grain; and the Canadian Wheat Board permit number.

**Class of Individuals:** Grain producers.

**Purpose:** To allocate railcars to grain producers for the transport of their crop to terminal elevators or other destinations.

**Consistent Uses:** Same as purpose.

**Retention and Disposal Standards:** Records are held for ten years.

**Related PR#:** AAFC CGC 565

**TBS Registration:** 001716

**Bank Number:** CGC PPU 205

### Unofficial Sample File

**Description:** The bank contains the name of the grower, the name of the requester and the quality of the sample.

**Class of Individuals:** Grain producers and companies.

**Purpose:** To maintain a record of all unofficial samples submitted for grading by grain inspectors.

**Consistent Uses:** Same as Purpose.

**Retention and Disposal Standards:** Records are held for three years.

**Related PR#:** AAFC CGC 565

**TBS Registration:** 001718

**Bank Number:** CGC PPU 215

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Classes of Personal Information

### General Correspondence and Enquiries

Personal information in this class relates to routine correspondence concerning the regulatory and licensing activities associated with grain quality, grain inspection and weighing, and producer cars. It also relates to general enquiries concerning



scientific research, and food advisory. The personal information contained in this class normally includes the name and address of the enquirer, but is neither arranged nor retrievable by personal identifiers. This form of personal information exists in a fragmented form throughout the subject files controlled by the Department and is normally retrievable only if specifics are provided concerning the subject and the date of the correspondence. The retention period for this class of personal information is controlled by the retention period of the files in which they are stored.

### **Ministerial Correspondence**

This class of information contains correspondence received by the Departmental Secretariat from external organizations and individuals in the form of requests for information, complaints, opinions and other similar submissions related to a broad range of policy issues pertaining to the Canadian Grain Commission and Agriculture and Agri-Food Canada's activities, wherein some unsolicited personal information has been provided by the correspondent. This form of information would be retrievable only if specifics of name, date of communication and subject were to be provided; it is not arranged or retrievable by personal identifiers. The retention periods of these classes of personal information are controlled by the record schedules of the general subject files in which they are stored.

### **Other Programs and Agreements**

This class reflects other programs and agreements not specifically covered under the other classes. These other programs and agreements are aimed at resolving specific problems of a limited nature or in specifically defined areas of the country. This information may include financial, employment, demographic and educational data on individuals. Such data, however, would be stored as part of the general subject files where records are not normally retrieved by name of individual or other personal identifier. This form of personal information is normally retrievable only if specifics are provided concerning the name of the program concerned and the name of the specific project.

### **Manuals**

- The Official Grain Grading Guide
- Handbook of Occupational Safety and Health
- Canadian Grain Storage CD-ROM (co-produced with AAFC)

- Protection of Farm stored grains and oilseeds from insects mites and molds (brochure)
- Grain Dust, Fusarium and You (brochure)

### **Additional Information**

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Department and its various programs and functions may be directed to:

Regulatory Coordinator  
Canadian Grain Commission  
600-303 Main Street  
Winnipeg MB R3C 3G8  
Tel.: (204) 983-3081

### **Reading Room**

The library of this institution has been designated as a public reading room in accordance with Access to Information Act.

Library  
Canadian Grain Commission  
8th floor, 303 Main Street  
Winnipeg MB R3C 3G8  
Tel.: (204) 984-6336

# Canadian Heritage

## Chapter 33

### General information

#### Background

The Department of Canadian Heritage was created on June 25, 1993, through the reorganization of the federal government. The Act to establish the Department of Canadian Heritage and to amend or repeal certain other acts was proclaimed on June 12, 1996. The Department's mission is to contribute to a more cohesive and creative Canada. We honour this commitment to Canadians by promoting the creation, dissemination and preservation of diverse Canadian cultural works, stories and symbols reflective of our past and expressive of our values and aspirations. To enhance the quality of our lives, Canadian Heritage fosters access to and participation in Canada's cultural life. The Department strengthens connections among Canadians and deepens understanding across diverse communities to ensure that all Canadians can participate in civic life. In Canada, we have developed a distinctive model of shared citizenship based on diversity, mutual accommodation, respect and responsibility; that is why Canadian Heritage promotes citizen's rights and responsibilities and fosters opportunities for all to participate in Canada's civic life.

#### Responsibilities

The Department of Canadian Heritage is responsible for policies and programs relating to arts, culture, heritage, broadcasting, Canadian identity, multiculturalism, official languages and sport, as well as broad policies relating to heritage.

Areas of responsibility include: developing Canadian cultural affairs and broadcasting policy; assisting cultural industries and arts and heritage organizations; encouraging the creation, production, distribution and consumption of cultural and heritage goods and services; creating opportunities for young Canadians to participate in exchange programs and promoting exchanges and related activities; fostering Canadians' collective sense of self and promoting the civic participation of all members of Canadian society; supporting community partnerships; promoting a greater understanding of human rights; enhancing the participation of urban and off-reserve

aboriginal organizations in Canadian society; managing programs and initiatives related to the multicultural character of Canadian society; encouraging and developing amateur sport; advancing the equality of status and use of the official languages and supporting the development of official-language minority communities.

#### Legislation

The following statutes are administered, in whole or in part, by the portfolio of Canadian Heritage:

- An Act to Incorporate the Jules et Paul-Emile Léger Foundation
- Broadcasting Act
- Canada Council Act
- Canada Traveling Exhibitions Indemnification Act
- Canadian Multiculturalism Act
- Canadian Race Relations Foundation Act
- Canadian Radio-Television and Telecommunications Commission Act
- Copyright Act
- Cultural Property Export and Import Act
- Department of Canadian Heritage Act
- Foreign Publishers Advertising Services Act
- Holidays Act
- Investment Canada Act
- Lieutenant Governors Superannuation Act
- Museums Act
- National Anthem Act
- National Archives of Canada Act
- National Arts Centre Act
- National Capital Act
- National Film Act
- National Flag of Canada Manufacturing Standards Act
- National Library Act
- National Sports of Canada Act
- National Symbol of Canada Act
- Official Languages Act (Part VII)

- Parliamentary Employment and Staff Relations Act
- Physical Activity and Sport Act
- Public Service Employment Act (Report to Parliament)
- Public Service Staff Relations Act
- Salaries Act (Lieutenant-Governors)
- Status of the Artist Act (Part I)
- Telefilm Canada Act
- Trademarks Act (Use of national symbols)
- Yukon Public Service Staff Relations Act
- Yukon Education Staff Relations Act

## Organization

### Deputy Minister's Office

#### Corporate Secretariat

This group supports the Minister's office and the offices of the Ministers of State, the Deputy Minister, and the Associate Deputy Minister, through the coordination and provision of a wide range of advisory and operational services. The Corporate Secretariat includes the Access to Information and Privacy Secretariat, Parliamentary and Regulatory Affairs, the Executive Services Secretariat, and Planning and Resources Management.

#### Human Resources and Workplace Management

Reporting to the Deputy Minister, the Human Resources and Workplace Management provides services and advice to the Management Committee and to managers of the Department on all matters involving human resources management, protection and safety services and facilities management services. Thus, the Branch ensures human resources services in the National Capital Region and in Regional Offices.

#### Legal Counsel

Reporting to the Deputy Minister, the Legal services are provided by lawyers from the Department of Justice who offer program managers a wide range of services, including preparing opinions on the laws administered by the Department, drafting regulatory texts and giving advice on policies being developed.

### Office of the Ombudsman and Senior Integrity Officer

The Ombudsman is an impartial party who offers support and conflict resolution services to all Department staff, regardless of the employee's level or job category. The Office's mandate is to build trust and promote an environment within the Department that encourages employees to address their concerns, and be a communications channel and a vehicle to assist the organization in working towards change. The Office, which is a distinct entity reporting directly to the Deputy Minister, operates according to three guiding principles: neutrality, confidentiality and informality.

The Ombudsman is also the Senior Integrity Officer. As such, he/she helps employees express their concerns about wrongdoing, pursuant to the Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace.

#### Portfolio Affairs Office

The Portfolio Affairs Office (PAO) provides a strategic focus to the Department's interactions with members of the Portfolio by coordinating and integrating issues related to the policy, resources planning, reporting, marketing, communications and governance practices of the 19 boards, agencies and Crown corporations for which the Minister of Canadian Heritage is responsible. PAO manages Ministerial and Deputy Ministerial meetings with the Heads and Chairs of Portfolio organizations oversees the process of Governor in Council and Ministerial appointments and monitors the status of the current appointees of these organizations.

#### Strategic Policy and Research Branch

The Strategic Policy and Research Branch coordinates and informs the strategic policy decisions of Canadian heritage, provides the Minister and the Department with intelligence on a wide range of social and economic policies discussed at Cabinet, and provides corporate leadership on the policy and research agendas of the Department. The Strategic Policy and Cabinet Affairs unit contributes to the policy development process by developing the Department's horizontal policy agenda, monitoring and shaping ministerial priorities and assisting with the Department's internalization of the Government's policy agenda. It briefs the Minister and Ministers of State on all policies presented to Cabinet, and assists sectors in the development of Departmental policies for submissions to Cabinet.

The Strategic Research and Analysis Unit conducts research on issues relating to the Department's objectives, provides advice to other sectors and communicates research findings.

### **Citizenship and Heritage Sector**

The Citizenship and Heritage Sector integrates programs and policies that strengthen the foundations of our society - inclusion, linguistic duality, respect for diversity, recognition of Aboriginal societies and the rights and responsibilities of citizenship. The activities of the sector foster strong communities and reinforce shared citizenship and a sense of belonging to Canada. The Citizenship and Heritage sector has policies and programs in five key areas - Official Languages, Multiculturalism and Human Rights, Aboriginal Affairs, Heritage, Citizenship Participation and Promotion. In addition, the sector supports one administrative tribunal, the Canadian Cultural Property Export Review Board, and two special operating agencies, the Canadian Heritage Information Network and the Canadian Conservation Institute.

### **Aboriginal Affairs Branch**

The Aboriginal Affairs Branch assumes responsibility for the activities of its Aboriginal Programs Directorate and its Policy and Research Directorate. The branch works with Aboriginal people, primarily off-reserve, to celebrate and strengthen their cultural distinctiveness as an integral part of Canadian diversity. The Department of Canadian Heritage is committed to improving the quality of life of Aboriginal people, and increasing their full participation in, and contribution to, Canada's civic and cultural life. The Aboriginal Affairs Branch operates with this departmental perspective in mind.

### **Aboriginal Programs Directorate**

Our Programs support Aboriginal infrastructure at the national, regional and community levels for Inuit, Métis, Non-Status Indian and First Nations living primarily off-reserve. They enable Aboriginal people to address the social, cultural and economic issues affecting their lives in Canadian society. The Aboriginal Programs Directorate works to help realize Canadian Heritage's strategic objectives by strengthening Aboriginal cultural identity and languages and by facilitating the inclusion of Aboriginal people in a manner that recognizes their cultures and fosters their contribution to Canada. These programs and initiatives, some of which have been operating for almost 30 years, provide a representative voice and promote culture. They also connect

communities, and support community services in urban and rural settings in order to improve the quality of life of Aboriginal people. Funding for programs and initiatives is provided through the Aboriginal Friendship Centres Program, the Northern Native Broadcast Access Program, the Aboriginal Representative Organization Program, the Aboriginal Women's Program, the Urban Multipurpose Aboriginal Youth Centres Initiative, the Post-Secondary Scholarship Program, the Young Canada Works for Aboriginal Urban Youth, and the Aboriginal Languages Initiative. The Aboriginal Programs Directorate also administers three Aboriginal languages agreements with the Northwest Territories, the Yukon, and Nunavut.

### **Policy and Research Directorate**

The Policy and Research Directorate provides policy and issue analysis and advice to the Minister of Canadian Heritage on matters relating to the lives of Aboriginal people in Canada. The Directorate focuses on Aboriginal cultures, languages and identity, and the unique place of Aboriginal societies within the broader Canadian society. The Directorate is responsible for Aboriginal policy development, policy and treaty negotiation coordination, research and international and indigenous relations. The Directorate is working closely with the Ministerial Task Force on Aboriginal Languages and Cultures and is overseeing the review of associated federal programming in support of the creation of the Aboriginal Languages and Cultures Centres.

### **Citizenship Participation and Promotion Branch**

The Citizenship Participation and Promotion Branch fosters citizen participation and engagement by connecting Canadians to one another, both within and across communities. The Branch achieves these objectives through a number of initiatives.

The Canadian Studies program enables young Canadians to learn more about Canada, its history, and its institutions. The Exchanges Canada program offers opportunities for youth to connect with young Canadians from diverse communities and to experience our common institutions first-hand. Finally, the Katimavik program and the Young Canada Works initiative enable youth to participate fully in Canada's institutions and communities through work experiences and volunteer opportunities.

Volunteerism Initiatives: One of the concrete ways Canadians connect with each other and contribute to their communities is through volunteering. The

Canada Volunteerism Initiative (CVI) works to enhance the experience of volunteering by helping organizations effectively recruit, engage and retain volunteers. The best way to do this is to create connections between organizations, so they can share best practices and learn from each other. To facilitate this exchange, CVI has facilitated the creation of local networks that ensure the program activities are responsive to community needs.

CVI also focuses on increasing the awareness of the contributions volunteers make to our quality of life, through formal promotional activities such as the annual National Volunteer Week, and through the dissemination of knowledge and information about volunteering in Canada.

Youth Engagement Initiatives: Youth engagement initiatives help to prepare youth for a lifetime of civic engagement and shared citizenship. These initiatives follow a logical progression from building awareness and knowledge of the country, to creating connections between citizens, and leading to full participation in Canada's institutions and society.

### **Multiculturalism and Human Rights Branch**

The Multiculturalism and Human Rights Branch groups policy and program activities related to multiculturalism and human rights. The Branch supports the Government's agenda for promoting Canadian identity, and for the inclusion and valuing of all citizens in the social fabric of the country.

### **Human Rights Program**

The Human Rights Program promotes the development, understanding, respect for and enjoyment of human rights in Canada; and coordinates consultations on the domestic implementation of international human rights instruments.

The program promotes knowledge of human rights through various education and promotion activities, and coordinates the preparation of Canada's reports on the implementation of United Nations and other international human rights instruments. The activities of the Program include the provision of both financial and technical support to non-governmental organizations concerned with human rights education, development and research, and assisting and coordinating federal/provincial/territorial consultations on human rights in Canada. The Program distributes selected human rights publications upon request. The Program also funds the Court Challenges Program of Canada for test cases of national significance on official

languages and equality rights guaranteed under Canada's Constitution (administered at arms-length from the Government).

### **Multiculturalism Program**

Canada's cohesion is built on diversity. The Multiculturalism Program of the Department of Canadian Heritage is one important means by which the government pursues the identity, social justice and civic participation goals of Canada's Multiculturalism Policy. Celebrating over 30 years of accomplishments, the Multiculturalism Policy encourages Canadians to embrace, accept, and respect one another without regard to race, religion, origin or ethnicity. The Canadian Multiculturalism Act of 1988 reaffirmed multiculturalism as a fundamental characteristic of Canadian society. The Program has further evolved to encompass, within its policy goals, four areas of focus: fostering cross-cultural understanding; combating racism and discrimination; promoting shared citizenship; and ensuring that institutions reflect our diversity.

The Multiculturalism Program implements Canada's Multiculturalism Policy through the following types of initiatives:

Community action - initiatives that support communities to identify what prevents their members from participating in society, and/or draw on the communities' strengths to develop solutions.

Institutional development - initiatives that help public institutions become more open, accessible, inclusive and responsive to diverse communities.

Policy development and implementation - analysing and developing policy options to further the implementation of the Canadian Multiculturalism Act and advance the values and principles of multiculturalism in Canada.

Public education - initiatives that seek to improve public understanding of multiculturalism and racism and contribute to informed public dialogue and take action on issues related to ethnic and racial diversity in Canada.

Research projects that engage in the systematic investigation and study of data and information to acquire, generate and disseminate knowledge, and increase understanding of issues related to multiculturalism, and cultivate ethnic, religious and racial diversity in Canada.

## **Official Languages Support Programs Branch**

The Official Languages Support Programs Branch has the mandate to enhance the vitality of the English and French linguistic minority communities in Canada and support and assist their development, as well as to foster the full recognition and use of both English and French in Canadian society, as set out in section 41 of the Official Languages Act, through the two programs identified below. In addition, in accordance with section 42, it coordinates the Government of Canada commitment by encouraging federal departments and agencies to participate actively in community development and promote linguistic duality.

### **Community Life component**

This component is intended to create, improve and deliver activities and services to minority communities to ensure their long-term development. The component emphasizes the need to enable the various development partners, whether they are organizations in the communities themselves, provincial and territorial governments, or federal departments and agencies, to organize their actions so as to obtain long-term impacts. In this regard, it helps support various community activities (representation, awareness, networking, etc.) and equip these communities with certain infrastructures required to establish living spaces in their language, such as community centres, community radio and theatres. This component supports community and cultural activities offered by community organizations, and the development of services from provincial and territorial governments in certain priority areas. It also seeks to encourage partnerships between communities and federal departments and agencies in areas relating to community life.

### **Development of Official-Language Communities**

The purpose of this program is to help members of English and French linguistic minority communities to improve their ability to live in their own language in their communities, participate in Canadian society and ensure their long-term development, as well as to have access to education in their language in their communities and to programs and services in their language offered by various governments, institutions or administrations. The following two components of the program contribute to these objectives.

## **Enhancement of Official Languages**

The purpose of this program is to increase the proportion of Canadians who: have a working knowledge of both official languages, have a better understanding of and appreciation for the benefits of linguistic duality, and accept official-language minority rights and foster their participation in Canadian society. The following two components of this program contribute to these objectives.

### **Minority-Language Education component**

This component seeks to help provinces and territories provide programs and activities relating to education in the language of the minority communities and increase the proportion of Canadians who use these programs. The component also seeks to increase and disseminate knowledge, methods and innovative tools that can support minority official-language education. In this regard, it makes it possible to sustain activities relating to the support and administration of education in minority communities, program development, teacher training and development, student support, or other priority areas, such as establishing school-community centres, implementing school governance and supporting post-secondary education. It also makes it possible to support first-language development activities and fund research projects or projects to develop methods and tools to help advance education in minority communities.

### **Promotion of Linguistic Duality component**

This component aims to increase participation by Canadians in activities that promote linguistic duality and rapprochement, to promote the French language and culture in Canada, and to increase access for Canadians to services in both official languages provided by non-government organizations. It makes it possible to support activities that promote linguistic duality to Canadians in order to better inform them about the issue and make them understand and appreciate the advantages of living in a bilingual country. Activities of rapprochement between various groups of Canadians, in particular, will be carried out, as will promotional activities highlighting the importance of learning the second official language or celebrating the contribution of the French language and culture to majority and minority communities. Activities leading to the development of an organization's bilingual capacity will also be carried out.

## **Second-Language Learning component**

This component is intended to help provinces and territories provide programs and activities aimed at the learning of English and French as a second official language and increase the proportion of Canadians who use these programs. The component also seeks to increase and disseminate knowledge, methods and innovative tools that can support the teaching of the second official language. In this regard, the component makes it possible to sustain activities relating to the support and administration of the teaching of English and French as a second official language, program development, teacher training and development, student support, or other priority areas. It also makes it possible to support activities to learn and develop English and French as a second official language and fund research projects or projects to develop methods and tools to help advance second-language teaching.

## **Strategic Policy and Management Branch**

The Strategic Policy and Management Branch provides a sector perspective and a modern management approach to policy, planning, research and resourcing activities, ensuring a clear link to departmental priorities and strategies, and maximizing opportunities for horizontal linkages. In addition, it conducts and disseminates public opinion and socio-demographic research.

## **Heritage Group**

### **Canadian Conservation Institute**

The Canadian Conservation Institute (CCI) has the mandate to promote the proper care and preservation of Canada's cultural heritage and to advance the practice, science, and technology of conservation.

Its mission is to preserve the Canadian heritage and support conservation and heritage institutions in Canada by creating and disseminating conservation knowledge and providing expert services. The Institute offers a wide range of products and services to its clients, for example: consulting services, conservation and restoration treatments, analytical and scientific services, site visits, on-site services, training services, preventive conservation services, publications and specialized products, library services, and exhibit transportation services.

Reflecting its priority of providing the widest possible access to the knowledge developed by its conservators and scientists, CCI publishes an increasing amount of information on its website. It

also provides assured response to all inquiries via a Client Services Desk, 613-998-3721. In order to respond to an increasing interest from the general public for information on the preservation of personal artifacts, family heirlooms, and memorabilia, CCI has created a new public website "Preserving my Heritage". This new Web site contains a wide range of practical how-to-care-for information, fascinating insights into the world of preservation, a virtual tour of the Institute's conservation and research laboratories, and much more.

## **Canadian Heritage Information Network (CHIN)**

CHIN's mission is "as an active museum network, CHIN engages national and international audiences in Canadian Heritage through leadership and innovation in digital content, partnerships and lifelong learning opportunities". As of March 2004, more than 1,020 Canadian museums had joined in the collaborative effort to develop content for online audiences.

Through the Virtual Museum of Canada (VMC) at [www.virtualmuseum.ca](http://www.virtualmuseum.ca), CHIN assists the Canadian museum community in achieving a collective online presence. The VMC enables Canadians to freely access, in both official languages, heritage content and features developed by Canadian museums and galleries, including virtual exhibits, games, educational materials and more than 400,000 images. The VMC also includes the Community Memories landmark, designed to stimulate community/museum partnerships in the development of local history exhibits. Since its launch, the VMC has enjoyed tremendous success with over 11 million visits and over 53 million page views.

The CHIN Web site, at [www.chin.gc.ca](http://www.chin.gc.ca), provides the heritage community with access to professional resources, with a particular focus on skills development for the creation, presentation and management of digital content. CHIN products and services include online courses on image digitization and automated collections management systems; information about professional events and career opportunities; research and reference tools; a national inventory of nearly 4 million museum objects, including artefacts, natural science specimens and archaeological sites; intellectual property publications; bibliographies and data dictionaries.

CHIN also represents the museum community in international projects related to access to heritage

information. In addition to the VMC and CHIN portals, CHIN also manages the international Conservation Information Network's Web site.

### **Heritage Policy Branch**

The Heritage Branch is responsible for the development of legislation and national policies and strategies aimed at protecting and enhancing public access to Canada's artistic, historic, built, natural and scientific heritage. The Branch maintains ongoing liaison with federal heritage agencies, and with national heritage organizations and other non-governmental organizations. The Branch assists the Parks Canada Agency with its legislative and cabinet responsibilities, and has launched the Historic Places Initiative to protect Canada's National historic sites, federal heritage buildings, and archaeological resources under federal jurisdiction. The Branch is also responsible for the design and delivery of heritage programs such as the Museums Assistance Program; the Movable Cultural Property Program; the Young Canada Works in Heritage Organizations Program; the Canada Traveling Exhibitions Indemnification Program; the Canadian Arts and Heritage Sustainability Program; co-manages the Cultural Spaces Canada Program with the Arts Policy Branch; and provides the Secretariat to the Canadian Cultural Property Export Review Board.

### **Cultural Affairs Sector**

The Cultural Affairs Sector draws together policy development and program delivery related to the arts, new media, broadcasting and cultural industries. The Sector provides the Minister with independent policy advice and support on new initiatives that shape overall cultural policy. The Sector's objectives are to promote the creation, dissemination and preservation of diverse Canadian cultural works, stories and symbols reflective of our past and expressive of our values and aspirations. The Sector's goal is to support the creation of, and access to diverse Canadian cultural expression.

In fulfilling its mandate the sector works closely with portfolio agencies including the National Film Board, Telefilm Canada, the Canada Council for the Arts, the National Arts Centre, the Canadian Broadcasting Corporation, and the Canadian Radio-Television and Telecommunications Commission.

### **Arts Policy Branch**

The Arts Policy Branch develops national strategies, policies and programs to assist Canadian artists and non-profit cultural

organizations, and conducts related research. It also develops legislation and proposes legislative amendments to the Status of the Artist Act and the Income Tax Act pertaining to the status of the artist and national arts services organizations. The Arts Policy Branch is responsible for the Arts Presentation Canada Program, the National Arts Training Contribution Program, the Canadian Arts and Heritage Sustainability Program, the Cultural Capitals of Canada Program and the Cultural Spaces Canada Program. The Arts Policy Branch also advises the Minister on policies regarding the Canada Council for the Arts and the National Arts Centre.

### **Broadcasting Policy and Innovation Branch**

The Broadcasting Policy and Innovation Branch works to ensure the sustainable development and operation of a broadcasting system to which all Canadians have access and which reflects the diversity of the country, in accordance with the Broadcasting Act. The Branch develops policies, monitors and advises on issues facing the Canadian broadcasting system and public and private broadcasters, as well as new media industries. It also provides advice to the Minister on government policy related to the CBC and the CRTC.

The Branch is also responsible for the Canadian Television Fund, the Northern Distribution Program and for Radio Canada International.

### **Canadian Culture On Line Branch**

The Canadian Culture Online is part of the Department's strategy to encourage a uniquely Canadian presence on the Internet. The objectives are to help create Canadian cultural content for the Internet, encourage Canadians to access that content and help create the right environment for Canada to become a leader in digital content production. The funding programs under Canadian Culture Online help creators and communities, cultural industries and institutions to develop and promote digital content that reflects our culture, history, arts and heritage. Important areas of emphasis are the creation of original French language content and content for young Canadians. Key policy issues include digital standards and interoperability, sustainability and copyright, cultural diversity, French on the Internet, Aboriginal content, youth, as well as e-learning.

The Branch also supervises and reviews the Canadian New Media Fund administered by Telefilm Canada.



## **Copyright Policy Branch**

Copyright has been described as the foundation upon which all cultural creation is built. Copyright allows creators to be fairly compensated for their works, and provides a mechanism through which Canada's rich cultural heritage is disseminated and made accessible to the greatest possible number of citizens. Copyright promotes and protects all forms of creative endeavour, and thus supports the development of all Canadian cultural industries. The Copyright Policy Branch, in co-operation with the Intellectual Property Policy Directorate of Industry Canada, is responsible for formulating national policies, and for proposing legislative amendments to the Copyright Act when necessary. The work of the Branch ensures, through the development of policies and legislation, the legal recognition and protection of the economic and moral rights of creators and users.

## **Film Video and Sound Recording Branch**

The Film, Video and Sound Recording Branch develops, implements and administers policies and programs in support of the production, distribution and consumption of Canadian audiovisual cultural products and sound recordings. The Branch also advises the Minister on policies regarding Telefilm Canada and the National Film Board of Canada.

Through the Canadian Audio-Visual Certification Office, it also co-administers Canada's film and video tax credit program with the Canadian Customs and Revenue Agency.

With the creation of the Canada Music Fund, the branch also provides investment for the development of new artists and the production and promotion of new recordings; for crosscutting projects affecting the industry; and for the preservation and digitization of significant Canadian musical works.

## **Investment Review Branch**

### **The Cultural Sector Investment Review**

Directorate is responsible for the administration of the Investment Canada Act as it pertains to investments by non-Canadians in Canada's cultural sector. The directorate's mission and objectives focus on ensuring that it is able to derive significant and various benefits for Canadians through the review of investments by non-Canadians who establish or acquire cultural businesses in Canada.

## **Publishing Policy and Programs Branch**

By formulating and developing national policies, proposing legislation and designing and administering programs in the fields of book and periodical publishing, the Publishing Policy and Programs Branch is responsible for fostering the creation, publication and dissemination of Canadian authored books and periodicals containing Canadian editorial content. This is achieved through supporting the Canadian-owned book and periodical publishing sectors. The Branch also supports the Canadian book and periodical publishing industries by providing direct financial assistance to Canadian publishers, by ensuring that market conditions do not unfairly jeopardize the ability of Canadian publishers to produce books and periodicals; by ensuring that Canadian publishers remain competitive in the marketplace; and by assisting the Canadian book industry to adapt to new technologies. The Publishing Policy and Programs Branch works closely with other departments, Canada Council for the Arts, stakeholders and clients to ensure a strong Canadian-owned industrial infrastructure within the Canadian publishing industry.

## **International and Intergovernmental Affairs Sector**

The International and Intergovernmental Affairs Sector is responsible for international affairs such as the International Network on Cultural Policy; involvement in the International Francophonie and Trade and Investment for the cultural industries. The Sector is also responsible for the Department's intergovernmental relations; the policies and programs for Sport Canada and coordinating federal involvement in the 2010 Olympic and Paralympics Winter Games.

## **International Affairs Branch**

The International Affairs Branch builds international support for Canadian domestic cultural policy objectives. The Branch positions Canada as a leader on the world stage by building international alliances through cooperation, advocacy, exchanges and engagement. Through participation in international cultural fora, and bilateral and multilateral missions, International Affairs strives to shape international policy discussions and action plans. By using a holistic, PCH-wide approach to the international cultural agenda, International Affairs is able to bring the international context to domestic policy-making and program delivery.

International Affairs comprises three directorates which manage PCH's international relations,

participation, negotiations and strategy, as well as policy development. The International Relations and Policy Development Directorate, in addition to its responsibilities for bilateral and multilateral cooperation, is the lead on the international cultural diversity file - which includes the Convention on Diversity of Cultural Contents and Artistic Expressions at UNESCO - and houses the International Network on Cultural Policy's (INCP) Liaison Bureau. The International Francophonie Directorate promotes Canada's involvement and influence within the International Francophonie in the areas of culture, heritage and sport, most notably through the promotion of Francophone-Canadian culture through the management of and participation in TV5, the international French-language television channel. The Branch's International Sport Directorate works to enhance Canada's position as a leading sport nation by influencing the international sport policy agenda to advance domestic sport objectives. These objectives include the eradication of doping in sport and increased access and equity in sport for targeted under-represented groups, such as women and disabled athletes.

### **Planning and Intergovernmental Affairs Branch**

The Intergovernmental Affairs Directorate seeks to forge strategic alliances with other levels of government to support mutual areas of interests such as the arts, culture and heritage as well as ensure that intergovernmental issues are incorporated into the Department's policies and programs.

The Tourism Policy Directorate guides the Department's approach to tourism and seeks to influence Canada's priorities and objectives in this policy area. At its core, the Directorate provides leadership in the development, implementation and promotion of a departmental policy on tourism. Currently, the Directorate is coordinating two major initiatives: the Federal-Provincial-Territorial (FPT) Tourism Initiative and the Canadian Heritage Sustainable Tourism Policy Initiative.

### **Sport Canada Branch**

Through the policies and programs of Sport Canada, the Government of Canada is involved in enhancing opportunities for participation and excellence in sport so that all Canadians can enjoy involvement in sport to the extent of their abilities and interests, and an increasing number of athletes can perform consistently and successfully at the highest international competitive levels.

To these ends, the Branch provides expertise and financial assistance to national single and multi-sport organizations, athletes, coaches, organizing committees of major sport events, provincial and territorial governments and other activities connected to sport which support departmental strategic objectives and Government of Canada priorities. Sport Canada's policies and programs are developed and delivered using the framework provided by the Canadian Sport Policy – adopted jointly by the federal, provincial and territorial governments in 2002, and the Physical Activity and Sport Act.

### **2010 Games Secretariat**

The 2010 Winter Games Federal Secretariat is the focal point of the Government of Canada's participation in the 2010 Olympic and Paralympic Winter Games in Vancouver and Whistler. Federal involvement includes not only delivering essential government services such as security, customs and immigration for the Games, but also ensuring the Games will leave sustainable athletic, cultural and economic legacies. The 2010 Winter Games Federal Secretariat works with over 20 federal departments, agencies and crown corporations to ensure that Government of Canada priorities such as diversity, inclusion, environmental sustainability and volunteerism are incorporated into all stages and aspects of the Games and the Olympiad's four year Cultural Program.

The Federal Secretariat works in concert with the 2010 Organizing Committee for the Olympic and Paralympic Winter Games (OCOG), the Province of British Columbia, the City of Vancouver, the Resort Municipality of Whistler, the Canadian Olympic and Paralympic Committees and four local BC First Nations (Lil'wat, Musqueam, Squamish and Tsleil-Waututh).

### **Trade and Investment Branch**

Trade and Investment provides expertise and policy advice on cultural trade and investment issues, including trade negotiations and disputes, and provides support to Canadian arts and cultural small and medium sized enterprises (SMEs) for international business development and export preparedness. The Branch consists of two directorates: the Trade and Investment Development Directorate (TIDD); and, the Trade and Investment Policy Directorate (TIPD).

TIPD works in close cooperation with the Department of International Trade and other federal departments to ensure Canada's position in international trade and investment negotiations

reflects our cultural policy priorities. As part of its mandate, TYPD is working with Canadian and international partners to develop the proposed international convention on cultural diversity, and also provides expertise on international trade issues involving domestic cultural policy development.

TIDD ensures the inclusion of the arts and cultural sectors interests in the federal government's international business strategies and delivers trade support programs and services. TIDD represents the Department in Team Canada Inc, engages the cultural sectors through Trade Team Canada Cultural Goods and Services and is responsible for the Trade Routes program, a multi-sector program that supports export preparedness and international market development activities of Canadian arts and cultural SMEs.

### **Planning and Corporate Affairs Sector**

Helping the Department better serve Canadians, that's what we're all about. As the champion of excellence in management, the Planning and Corporate Affairs Sector provides leadership and support to departmental activities in the delivery of programs which in turn enable the Department to fulfill its mandate and accountabilities.

### **Corporate Planning and Management Branch**

The Corporate Planning and Management Branch (CPMB) provides corporate expertise, analysis and advice on all matters related to integrated planning, reporting and management, with special emphasis on corporate planning and modern management practices. The Branch is responsible for the production of the Report on Plans and Priorities (RPP), the Departmental Performance Report (DPR) and the departmental input to the Canada's Performance Report.

### **Corporate Review Branch**

The Corporate Review Branch is responsible for the planning, organization and management of internal audit and evaluation activities for the Department. The Corporate Review Branch also supplies information, analyses and advice to Departmental managers to help improve management practices, resource allocation, policy development and compliance with program terms and conditions.

Evaluation Services provides Senior Management with objective assessments and advice on: a) the adequacy of program design, delivery and performance measurement practices and b) the

continued relevance / rationale, success and cost-effectiveness of its programs, policies and initiatives. The staff also provides guidance and advice on performance measurement strategies and tools, implementation of accountability and measurement framework and, with program managers develop frameworks to guide future evaluations.

Assurance Services conducts audits to provide assurances on risk management strategy and practices, management control frameworks and practices, and information used for decision-making and reporting.

### **Financial Management Branch**

The Financial Management Branch is responsible for developing and implementing the financial management framework in Canadian Heritage that is the foundation for sound decision-making and sound comptrollership practices. The Branch has four directorates:

The Financial Planning and Resource Management Directorate is responsible for the development and maintenance of an integrated financial management framework; the funding of departmental operations through the preparation of departmental Budgets and Estimates; monitoring, controlling, and providing advice for the optimum utilization of resources allocated to the Department; and developing and directing the implementation of sound financial planning, financial control and financial reporting.

The Grants and Contributions Centre of Expertise follows the Department's success in ensuring due diligence in the management of grants and contributions' programs through rigorous training and enhanced monitoring, a Centre of Expertise was created in early 2003. The Centre brings together all corporate functions and services in support of grants and contributions and is leading the migration to a more reasonable diligence that continues to manage risks and maintain accountability while improving access for the diversity of program applicants many of which are struggling to build capacity in their cultural sector or minority community.

The Centre comprises: Advisory Services which promotes the good management of grants and contributions' programs throughout their life cycle (design, delivery, monitoring and audit/evaluation) in accordance with the Grants and Contributions Management Policy: Principles and Standards of Practice; a Policy Services Unit which issues policy papers and clarifications; a Secretariat which ensures the accuracy of and processes files

for approval; a Grants and Contributions Information Management System; and a Learning Services unit which provides tools, training and opportunities for program staff to share best practices.

The Accounting Operations, Financial Policy and Systems Directorate is responsible for departmental accounting operations; issue of payments and collection of revenues; maintaining the departmental delegation of signing authorities; production of Public Accounts; overseeing financial systems, policies and training; development and operation of the Department's Integrated Financial and Materiel System (IFMS) and the Salary Management System (SMS).

The Contracting and Materiel Management Directorate is responsible for providing services, advice and support to management in the areas of goods and services contracting, partnerships, sponsorships, warehousing, fleet operations and asset tracking.

### **Knowledge, Information and Technology Services**

The Knowledge, Information and Technology Services' (KITS) mandate is to provide its clients in PCH with IM/IT leadership and expert advice in the area of technology and information management. KITS is responsible for developing and implementing an Information Management and Information Technology (IM/IT) strategy that will form the foundation of the Department's evolution into a state-of-the-art, knowledge-based learning organization.

KITS is responsible for developing and maintaining corporate systems and providing an efficient and secure technical infrastructure. The Branch is also responsible for strengthening its IM/IT capacity to meet its Government on-Line commitments in the next four years and beyond. KITS' long-term objective is to build an integrated, networked IM/IT service level organization to support PCH's business drivers.

### **Public Affairs and Communications Sector (PAC)**

The Public Affairs and Communications Sector is mandated to ensure an integrated, coherent and proactive approach in how PCH reaches out to Canadians. In contributing to the government's important role in bringing Canadians together, the PAC Sector communicates and delivers events, stories and shared experiences, domestically and internationally. The Sector also ensures that regional perspectives are represented at the departmental Executive table and that PCH

policies, programs, communications and services are delivered in a regionally sensitive way.

### **Communications Branch**

The Communications Branch promotes the policies, programs and services that support the Department's strategic objectives. It also provides strategic advice to the Department's Sectors and Programs on all issues related to communications with the public, client groups and the media. Through its integrated communications activities, and the use of techniques such as storytelling, the Branch ensures that the Department is visible, accessible and accountable to the public.

### **e-services Branch**

The mandate of the Branch is to enable PCH and Canadians to engage, develop and showcase Canadian arts, culture, heritage and sports through improved service delivery and innovative use of the Internet and new media technologies.

This mandate is delivered through a variety of strategies and initiatives, which include:

- A Canadian Heritage service vision agenda
- The Canadian Cultural Observatory and its on-line digital hub Culturescope.ca: providing research information and a virtual space for engagement within the cultural professional community
- The Cluster: CultureCanada.gc.ca, a PCH horizontal contribution to providing a window to all Canadian government cultural information, products and services.
- Culture.ca, Canada's Cultural Gateway: a collaborative initiative designed to provide Canadians with access to the best Canadian cultural content on-line
- The Departmental Web site, presenting the face of Canadian Heritage to Canadians
- The Service Improvement and Government On-Line initiatives

The Branch contributes to departmental policy and program development through its expertise in service improvements, Internet technologies, and service delivery.

### **Canadian Cultural Observatory**

The Observatory, in collaboration with its many partners, informs and advances cultural development in Canada by fostering more responsive cultural research, encouraging informed decision-making for policy and planning, and stimulating community debate and improved

knowledge exchange. Culturescope.ca, the Observatory's interactive on-line hub for arts and culture professionals, supports this mandate by providing access to cultural data, research and analysis, as well as a suite of networking tools that enable groups of registered members to work together in private on-line communities. The website address is [www.Culturescope.ca](http://www.Culturescope.ca).

### **Culture.ca Gateway**

Culture.ca is a unique gateway designed for Canadians to explore and find the best of Canadian culture on-line. Extensive and continually revised and updated resources connect to the history, art, people, places, sports, and media that help define who we are as Canadians. The site includes 1.5 million fully searchable Web resources, and provides direct access to more than 10,000 quality Canadian cultural sites. Featured content encourages users to explore cultural topics in further depth and presents candid perspectives from Canadians, including cultural leaders from across the country. Culture.ca also provides access to the Speaker's Bureau, an on-line directory of cultural experts who are available to share their expertise with Canadians.

### **Culture, Heritage and Recreation Cluster**

CultureCanada.gc.ca is the Government of Canada's one-stop Web access to government culture, heritage and recreation services and programs. Created as part of the Treasury Board Secretariat's Government On-Line initiative, CultureCanada.gc.ca is based on the GOL principles of "organizing information around the needs and expectations of Canadians", as well as "taking a whole of government approach" in providing information. This Web site seeks to deliver quick and easy access to cultural services across Canada. The goal is to provide greater links to a wide range of resources from all levels of government in Canada. The website address is [www.Culturescope.ca](http://www.Culturescope.ca).

### **ECommunications**

The eCommunications unit develops and maintains the Canadian Heritage web site. Via the Canadian Heritage public website, eCommunications provides public access to information on the Department's programs, policies, publications and events. It comprises over 50,000 Web pages and is visited by more than half a million Internet users per month.

### **Service Improvement and Government On-Line**

The eServices Branch has responsibility for Service Improvement across the Department of Canadian Heritage. The "Service Improvement Initiative" was established by Treasury Board as part of "Results for Canadians" to serve Canadians better. The eServices Branch is also responsible for key departmental initiatives pertaining to the Internet including Government On-line. The Branch advances Canadian Heritage's online initiatives aimed at expanding the reach and quality of communication, connecting and interacting with Canadians, as well as fostering a public dialogue through eConsultations and enhancing public access to information and services through online service delivery.

### **Major Events and Celebrations Branch**

Through various programs, both international and national, the Major Events and Celebrations Branch seeks primarily to promote and strengthen Canadian identity and pride in Canada, and to highlight our society's major accomplishments. It also seeks to commemorate and celebrate Canada, and the individuals, events and symbols that have shaped its specific character.

### **Celebration, Commemoration and Learning**

The Celebration, Commemoration and Learning directorate is the cornerstone of a strategy designed to create a constant and unified federal presence right across the country. The implementation of a five-year plan entitled "Building a Cohesive Canada through Celebration, Commemoration and Learning" is a key responsibility. As well, the Directorate has the mandate to create opportunities for Canadians to connect in celebrating their history, their diversity and their achievements and to commemorate people, places and events that have marked Canada's development. One of its main activities includes the Celebrate Canada! Program, which is an eleven-day celebration that takes place from June 21 to July 1. National Aboriginal Day on June 21 kicks off the celebrations. Events continue with Saint-Jean-Baptiste Day on June 24, Canadian Multiculturalism Day on June 27, and culminate with Canada Day on July 1. Other activities related to the program include the Poster Challenge and the Canada Youth Awards.

### **International Expositions**

The International Expositions Directorate designs, plans and implements Canada's participation in international expositions with the goal of

enhancing their positive impact, both nationally and internationally. Ensuring the active involvement of citizens in Canada's participation at expositions through the development of engaging programs and initiatives is a priority. The Directorate represents the Government of Canada at the International Exhibitions Bureau (IEB), the body that controls the frequency and the quality of international expositions, and is responsible for the fulfillment of the IEB Convention when expositions are hosted in Canada.

### **State ceremonial and Corporate Events**

The mandate of State Ceremonial and Corporate Events directorate is to coordinate various events ranging from national events under the responsibility of State Ceremonial, such as royal visits, state funerals and installation of new Governors General. Other activities include provision of ceremonial and protocol advice, administration of federal activities for Lieutenant Governors, oversee and coordinate use of a gift bank for use by the Governor General and members of the Canadian Ministry, and oversee use of Parliament Hill for activities.

### **Management, Regional and Correspondence Services Branch**

The Management, Regional and Correspondence Services Branch is responsible for the management of the strategic, business planning and reporting functions for the Public Affairs and Communications Sector, directing public opinion research and trends analysis for both the Sector and the Department, providing policy advice to the Assistant Deputy Minister of the Sector and other senior executives of the Department, and leading the coordination of policy development in the Sector. The Branch is also responsible for the management of regional liaison and coordination through the Regional Affairs Directorate between the Department's five regions and Headquarters, the management and operations of ministerial correspondence and the sectoral management of human, financial and information management / information technology resources.

### **Information and Research on Canada Program (IRCP)**

The sole recipient of the Information and Research on Canada Program is the Canadian Unity Council (CUC) for the operations and activities of the CUC's Centre for Research and Information on Canada (CRIC). Founded in 1996, the CRIC focuses on research, communication and education. Its purpose is to inform and

educate all Canadians about their country. Initiatives include: Opinion Canada, a bi-monthly bulletin; Direction, a weekly newsletter; a Web site, fact sheets published three times a month; opinion poll tracking; regional and provincial roundtables on Canadian unity; and Handbook on Canada, a pocket-book size reference.

### **Regions**

Five regional offices, located in Moncton, Montreal, Toronto, Winnipeg and Vancouver, manage and deliver programs, serve clients, provide liaison daily with the public and contribute to the development and implementation of departmental policies. Twenty-six points of service across the country ensure that Canadians have access to departmental programs and services.

## **Information Holdings**

### **Program Records**

#### **Citizenship and Heritage Sector**

##### **Aboriginal Affairs Branch**

**Description:** Information concerning policy relating to Aboriginal people, grants and contributions, advice and the administration of programs supporting Aboriginal organizations and on social, cultural, political and economic issues and research concerning Aboriginal people.

**Topics:** Aboriginal people – general; Aboriginal representative organizations; language retention; social and cultural development; women; youth.

**Format:** Paper and electronic

**Program Record Number:** PCH CCP 070

##### **Canada Travelling Exhibitions Indemnification Program**

**Description:** Files are maintained on national and international security risks concerning the movement and exhibition of cultural objects; the administration of the Canada Travelling Exhibitions Indemnification Act; heritage indemnification schemes in other countries; applications submitted by Canadian Heritage institutions to indemnify travelling exhibitions; valuations and descriptions of national and international cultural property borrowed by applicant institutions; applications and infrastructure information submitted by Canadian heritage institutions for facilities approval.

**Topics:** Purpose and implementation of the Act, its Regulations and Indemnity Agreements; amendments, legal advice and associated instruments; descriptions of national

indemnification schemes worldwide;  
indemnification applications and approvals;  
institutional facilities approval forms; analysis and  
advice rendered by 3rd party experts concerning  
indemnification and facilities approvals;  
correspondence; evaluation tools and studies  
related to program performance.

**Access:** CTEIP system database is searchable  
by person/owner, lender, creator/artist, applicant,  
venue and institution.

**Format:** Paper and electronic

**Program Record Number:** PCH TEP 042

### **Canadian Arts & Heritage Sustainability Program**

**Description:** Separate files are maintained at  
Headquarters and in regional offices for all  
applications for all components. Only those under  
the Capacity Building Component for Heritage  
Organizations are maintained within the Heritage  
Branch. Files contain information on the  
corporate and financial status of the heritage  
organizations involved. Project specifications and  
all correspondence are included on file, separated  
according to regions.

**Topics:** Capacity Building for Heritage  
organizations; studies related to program  
performance.

**Access:** GCIMS searchable by multiple variables  
ie fiscal year, institution and region, headquarters  
etc.

**Format:** paper and electronic

**Program Record Number:** PCH MHP 279

### **Canadian Conservation Institute**

**Description:** Information on the provision to  
Canadian museums of specialized conservation  
services, conservation research, Exhibit  
transportation and storage; strategic planning;  
technical design advice on building and renovation  
of heritage facilities; training through internships,  
publications and information services on the  
institute's conservation research projects and  
other related technical areas.

**Topics:** Operations; fine arts and polychromes;  
textiles; works of art on paper; archaeology and  
ethnology; furniture and wooden objects;  
development planning and feasibility studies;  
architectural design; environmental standards and  
controls; collection preservation; security; fire  
protection; exhibit transportation and storage;  
conservation processes research; environment  
and deterioration research; analytical research  
services; photographic services, documentation;  
publications; internships; seminars; library.

**Access:** Records organized by topic and in  
chronological order.

**Format:** Paper: records, publications, reports,

brochures, catalogues. Electronic: Web sites.

**Program Record Number:** PCH MHP 276

### **Canadian Heritage Information Network (CHIN)**

**Description:** The provision of services to assist  
Canadian museums and other heritage  
organizations in sharing and disseminating  
information about their institutions, collections,  
and related information; manages investment in  
the development of online museum content; online  
resources for heritage professionals; advice and  
training on creating, presenting and managing  
digital content online; production of virtual  
exhibitions in collaboration with national and  
international partners; information on the  
development of standards and guidelines for  
museum documentation and information  
exchange, and related publications.

**Topics:** Electronic delivery of museum products  
and services; information management;  
digitization, preservation, documentation, national  
inventories of Canadian collections and  
archaeological sites; research and reference  
information pertinent to conservation,  
archaeology, material culture, and museums;  
information technology assessment; Internet  
presence, intellectual property management;  
policy; procedures; public enquiry.

**Access:** Electronically via two major websites

**Program Record Number:** PCH MHP 274

### **Canadian Studies**

**Description:** Information concerning the activities  
of the Canadian Studies Program, as well as  
technical and financial support provided to  
individuals, organizations, private sector  
companies and corporations and educational  
institutions aimed at promoting Canadian studies.

**Topics:** Brochures and eligibility criteria for the  
Canadian Studies Program.

**Access:** Organized by subject matter.

**Format:** Print and electronic.

**Program Record Number:** CH CCP 085

### **Community Life Component**

**Description:** Information on the services  
provided to official-language minority community  
groups, including funding to voluntary  
organizations, to establish and maintain their  
organizations, as well as funding to provinces and  
territories for minority language service delivery.

**Topics:** Development of institutional services for  
the minority; lobbying and promotion activities  
relating to access of minority groups to  
educational, health, sports, leisure and  
telecommunications services; maintenance and  
development of services provided directly by  
minority-community organizations.

**Access:** Records organized by program and chronological order.

**Format:** Electronic and paper support.

**Program Record Number:** PCH OLP 025

### Community Partnerships Program

**Description:** (i) Information relating to the international year of volunteers 2001; (ii) resources on volunteerism and fund-raising to help voluntary organizations build capacity; information on Canada Volunteerism Initiative.

**Topics:** Volunteerism, voluntary action, Canada Volunteerism Initiative.

**Access:** Organized by subject matter.

**Format:** electronic

**Program Record Number:** PCH CCP 060

### Exchanges Canada

**Description:** Information relating to exchanges programs and exchange-related activities aimed at young Canadians.

**Topics:** Brochures and eligibility criteria for Exchanges Canada programs and exchange-related activities offered to young Canadians.

**Access:** Organized by subject matter.

**Format:** Paper and electronic (Web site).

**Program Record Number:** PCH CCP 065

### Heritage Policy

**Description:** Cabinet documents, legislation, policy issues for the Government, correspondence, memoranda, reports and socio-economic data relating to cultural heritage preservation and enhancement for the benefit of present and future generations of Canadians.

**Topics:** Cultural heritage; historical resources; libraries; museums; archives; federal archaeology; historic sites and places; federal heritage agencies.

**Access:** Records organized by subject and chronological order.

**Format:** paper and electronic.

**Program Record Number:** PCH MHP 225

### Human Rights Program

**Description:** Information concerning policies and programs relating to human rights and the implementation of international human rights instruments; technical and financial support to national and regional voluntary and non-governmental organizations aimed at promoting development, understanding and respect for human rights in Canada.

**Topics:** Human rights - general; Canadian Charter of Rights and Freedoms; International bodies and specialized agencies; multilateral treaties; Canada's reports to the United Nations; International Covenant on Civil and Political Rights; International Covenant on Economic,

Social and Cultural Rights; International Convention on the Elimination of All Forms of Racial Discrimination; Convention on the Elimination of All Forms of Discrimination against Women; Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment; Convention on the Rights of the Child; Court Challenges Program of Canada; Continuing Committee of Officials on Human Rights; Conferences of Ministers Responsible for Human Rights.

**Format:** Paper, electronic (Web site) and alternative formats. A full list of publications is available on the Program Web site. To order any of these publications please contact: (819) 953-6112.

**Program Record Number:** PCH CCP 035

### Minority Language Education Component & Second-Language Learning Component

**Description:** Information pertaining to education in the language of an official-language minority community and the teaching of the second official language.

**Topics:** Development of bilingualism; Bilingualism and Biculturalism Royal Commission; information - program and publicity; Official Languages in Education; summer language bursary program; official language monitor program; correspondence with the public and educational institutions; elementary, secondary and post-secondary levels education; federal/provincial/territorial conferences; adult education language programs; specific projects and activities, cost-shared by province and territory; language research - general, conferences, co-operation with institutions and organizations, projects, general enquiries, relations with national and inter-provincial organizations; protocol of agreements between the Government of Canada and the Council of Ministers of Education, Canada (CMEC) and bilateral agreements between the Government of Canada and provincial/territorial governments, for minority-language education and second-language instruction.

**Access:** Records organized by program and chronological order.

**Format:** Electronic and paper support.

**Program Record Number:** PCH ESP 030

### Movable Cultural Property - Policy and Activities

**Description:** This class of documents contains information about the departmental activities related to the Cultural Property Export and Import Act. It includes files on the administration of the Cultural Property Export and Import Act, the



applications for designation of institutions and public authorities as eligible recipients of cultural property grants, loans and applications for grants and loans, and files on applications for export permits.

**Topics:** Purpose of the Act, amendments and associated instruments; policy concerning patriation of cultural objects, export and import control; case files of illegal imports and exports; designation of eligible institutions; cultural property grants and loans; export permits; cultural property export control; cultural property protection in other countries.

**Access:** Information on certification, designation, grants and exports are available on SUMMA database.

**Format:** Paper and electronic

**Program Record Number:** PCH MHP 275

### **Multiculturalism Program**

**Description:** Information concerning the Canadian Multiculturalism Act, the application of the federal multiculturalism policy and program activities involving the multicultural nature of the country.

**Topics:** Multiculturalism Program - general; program management; social development; community action; civic participation; anti-racism; public education on multiculturalism, racism and diversity; organizational and institutional change related to diversity; ethnic, racial, religious and cultural identity; hate crime and bias activity; research; reports and studies; demographic data; research and analysis for the Minister and for federal departments and agencies on the implications and application of multiculturalism as a federal policy.

**Access:** All funded research projects and annotated bibliographies are listed alphabetically by author.

**Format:** The Multicultural Act as well as bibliographies of publications and lists of research projects undertaken by the Program can be found in electronic format on the Canadian Heritage web site. To order any of these products, please contact the Resource Centre at (819) 953-1970 or toll free at 1-888-77M-ULTI.

**Program Record Number:** PCH MUL 050

### **Museums Assistance Program**

**Description:** Separate files are maintained at Headquarters and in regional offices for all applications under the program's components. Files contain information on the corporate and financial status of the museum, art gallery or related organization involved. Project

specifications and all correspondence are included on the file.

**Topics:** Assistance programs - aid to individual museums, art galleries, and related non-profit organizations for specific projects in public access and service, collections support, organizational and human resource development and aboriginal museum development; studies related to program performance.

**Access:** GCIMS searchable by multiple variables ie fiscal year, institution and region.

**Format:** Paper and electronic

**Program Record Number:** PCH MHP 278

### **Promotion of Linguistic Duality Component**

**Description:** Information on the Promotion of Official Languages Program, which provides funding and technical support to organizations in the private sector.

**Topics:** Promulgation and implementation of laws recognizing the equal status of both official languages; fostering a national awareness of linguistic duality; introduction of linguistic reforms within the activities carried out by organizations, voluntary and private sector establishments and the provinces and territories.

**Access:** Records organized by program and chronological order.

**Format:** Electronic and paper support.

**Program Record Number:** PCH OLP 020

### **Ship Information Database**

**Description:** Contains information about ships that were registered in Canadian ports or sailed in Canadian waters. Although the primary target group for this database is archaeological resource managers, the information will also be of interest to marine curators, archivists, historians and avocationalists. Hosting services are provided by the Canadian Heritage Information Network.

**Topics:** Electronic delivery of database services, information management, archaeological shipwrecks, maritime records, underwater heritage, Internet presence.

**Access:** Searchable access by category.

**Format:** Electronic – web site – CHIN Reference database.

**Program Record Number:** PCH MHP 280

### **Young Canada Works Program**

**Description:** Information related to providing financial assistance to heritage, aboriginal or official languages organizations to hire young Canadians; applications from young Canadians, records from participating institutions indicating the compliance with program specifications.

**Topics:** Assistance programs- aid to heritage, aboriginal or official languages organizations,

success stories, students' essays detailing their experiences.

**Access:** Heritage component - GCIMS searchable by multiple variables ie fiscal year, institution and region, headquarters, etc; aboriginal component – by subject matter and case files; official languages component - GCIMS searchable by multiple variables ie fiscal year, institution and region, headquarters and case files.

**Format:** Heritage component - paper and electronic ; aboriginal component – paper and electronic; official languages component - paper and electronic

**Program Record Number:** PCH MHP 277

### **Cultural Affairs Sector**

#### **Arts Presentation Canada - Applications for Financial Support (formerly registered under Cultural Initiatives Program - PCH APP 265)**

**Description:** Information concerning projects for which financial support has been requested from the program.

**Topics:** presentations of live professional arts performances; festivals and special events.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 234

#### **Book Publishing Industry Development Program**

**Description:** Separate files are maintained for each application under the program's components. Files contain information on the corporate and financial status of the book publisher or industry group involved. Financial statements, business plans and all correspondence are included on file. The program also maintains an automated data bank with financial information on each applicant.

**Topics:** Programs components Aid to publishers; Support for the Canadian Book Industry Supply Chain Initiative; Aid to Industry and Associations, International Marketing Assistance.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH ACI 250

#### **Broadcasting Distribution Services**

**Description:** Information on legislative changes to the Broadcasting Act, identification and analysis of issues leading to program policy and development proposals for national and regional application and in relation to international concerns; formulates policies and programs recommending strategies which ensure the Canadian broadcasting system evolves in a manner that safeguards and enhances Canadian social, cultural, political and economic objectives, particularly with respect to violence, access and media literacy.

**Topics:** Relates to current and emerging areas of significance such as the information highway, convergence, telecommunications, industry restructuring, international trade agreements and evolving technologies; develops legislation which reflects policy with respect to radio, television, cable television and other broadcasting distribution services; and administers related programs.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH ACI 224

#### **Broadcasting Programming Services**

**Description:** Information on the identification and analysis of issues leading to the development of policy and program proposals for national application taking into account international trends and developments. Information on the formulation of policies and proposals, recommending and shaping strategies directed at developing the Canadian broadcasting sector both in Canada and internationally.

**Topics:** This includes television, radio, pay and specialty services [both public (CBC and provincial) and private] operating in English and French and other languages in a manner that enhances Canadian social, cultural, political and economic objectives; formulating and shaping policies and strategies for the CBC and negotiating their implementation; monitoring and assessing the impact of major trends on the broadcasting sector including digital technology and digital video compression, industry restructuring and heightened competition, international trade agreements and public and private sector needs and concern.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH BC1 026

#### **Canada Magazine Fund (CMF)**

**Description:** Separate files are maintained for each application under the program's components. Files contain information on the corporate and financial status of the periodical publishers or industry group involved. Financial statements, business plans and all correspondence are included in the file. The program also maintains an automated data bank with the financial information on each application.

**Topics:** Program's components - support for editorial content; support for business development for small magazines; support for infrastructure development.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH CMF 001

### **Canadian Arts and Heritage Sustainability Program - Applications for Financial Support (formerly registered under Cultural Initiatives Program - PCH APP 265)**

**Description:** Information concerning capacity building projects proposed by arts and heritage organizations, endowment support for arts organizations, networking initiatives for municipal cultural workers and information concerning a number of regional arts stabilization projects.

**Topics:** capacity building, notably governance and management capacities of arts and heritage organizations, endowment support for arts organization - performing arts, visual arts, media arts, literary arts and interdisciplinary arts organizations.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 237

### **Canadian Audio-Visual Certification Office (CAVCO)**

**Description:** An automated information bank containing information on applications from producers for the Canadian Film or Video Production Tax Credit Program (CPTC) and the Film or Video Production Services Tax Credit Program (PSTC) and the pre-existing Capital Cost Allowance Program (CCA). A manual filing system exists containing individual application forms and supporting documentation for all the programs, including UNESCO's Beirut Agreement certification program. Specific client information is confidential. Specific requests for statistics can only be accommodated on a general aggregate level.

**Topics:** This information includes: number of certified productions per year as well as total budgets; and number of applications received and certified.

**Format:** Paper.

**Program Record Number:** PCH ACI 255

### **Canadian Cultural Agencies: Performing, Visual and Literary Arts**

**Description:** Correspondence, memoranda and reports relating to the Canada Council and National Arts Centre.

**Topics:** Canada Council - organization, legislation and regulations, programs and development, requests for information and assistance. National Arts Centre - facilities, organization, legislation and regulations, financial policy, resident companies.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 232

### **Canadian Culture Online**

**Description:** Information on funding available to public and private sector organizations for the development, production and marketing of Canadian digital cultural content or research and development in cultural new media.

**Topics:** Digital standards and interoperability; sustainability and copyright; cultural diversity; French on the Internet; Aboriginal content; youth Internet use; e-learning.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 233

### **Canadian Film or Video Production Tax Credit Program (CPTC)**

**Description:** A refundable tax credit program for films and videos with Canadian content. The tax credit is available at a rate of 25% of qualified labour expenditures incurred after 1994 by a qualified corporation, for the production of a Canadian film or video production. The qualified labour expenditure may not exceed 48% of the cost of the production net of assistance. Co-productions between Canada and another country are eligible for the tax credit program only when co-produced under an official treaty.

**Topics:** The February 27, 1995 federal budget proposed to eliminate the capital cost allowance (CCA) incentive for certified productions in favour of a refundable tax credit. The CPTC Program jointly administered by the Canadian Audio-Visual Certification Office (CAVCO) and Canada Customs and Revenue Agency (CCRA), was subsequently created to replace the CCA incentive.

**Format:** Paper.

**Program Record Number:** PCH CTC 001

### **Copyright Policy**

**Description:** Information on the formulation and recommendation of departmental copyright policy and associated legislative development at departmental and inter-departmental levels.

**Topics:** Criteria for copyright protection, especially in the digital environment; subject matter of protection; economic and moral rights of copyright owners; ownership of copyright; exceptions to protection; term of protection; infringement of copyright and remedies; briefs and submissions relating to the above; copyright-based industries; clearance of copyright; interfacing of communications; copyright policies, and international negotiations of copyright protection.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 245

### **Cultural Capitals of Canada - Applications for Financial Support**

**Description:** Information concerning special projects and activities that highlight the arts and culture proposed by Canadian municipalities for which financial support has been requested from the program.

**Topics:** special activities proposed by Canadian municipalities that celebrate the arts and culture, activities that build a legacy by integrating arts and culture into community planning, innovative projects involving partnership activities that celebrate community identity through cultural exchanges among communities in at least two provinces.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 238

### **Cultural Spaces Canada - Applications for Financial Support (formerly registered under Cultural Initiatives Program - PCH APP 265)**

**Description:** Information concerning cultural infrastructure projects and the organizations which have requested financial support for these projects from the program.

**Topics:** construction, renovation and acquisition of specialized equipment for arts and heritage facilities such as museums, concert halls, theatres, performance spaces, etc.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 236

### **Film and Video Policy and Programs**

**Description:** Information on the film and video industries in general, their markets, industry participants, related departmental and agency programs, industry associations and policy issues.

**Topics:** Canadian ownership; imports and exports; distribution and production; federal cultural agencies - Telefilm Canada, National Film Board; foreign investment policies tax issues; tax credit issues; financial assistance; training and development.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH ACI 221

### **Film or Video Production Services Tax Credit Program (PSTC)**

**Description:** A refundable tax credit program for films and videos without Canadian content. The PSTC is available at a rate of 16% of qualified Canadian labour expenditures incurred by an eligible production corporation for services provided in Canada by Canadian residents or taxable Canadian corporations for the production of an accredited production.

**Topics:** The PSTC is a mechanism designed to encourage the employment of Canadians by a

corporation, the activities of which in the year are primarily the carrying on through a permanent establishment in Canada of a film or video production or production services business. In return for hiring Canadian residents to perform work in Canada, the eligible production corporation may be entitled to a credit against taxes payable in Canada.

**Format:** Paper.

**Program Record Number:** PCH FTC 200

### **Innovation**

**Description:** Factual and analytical information on issues impacting the evolution of the broadcasting sector including the impact of new technologies, changing business models, and evolving consumer demands; monitoring and assessing the impact of major trends on the broadcasting sector including digital technology and digital video compression, industry restructuring and heightened competition, and international trade agreements. Develops and implements strategies, policies and legislation to ensure that the Broadcasting system is developed and structured in a manner consistent with the government's social, cultural, political and economic objectives.

**Topics:** Emerging technologies, changing business models, Information highway, changing broadcasting environment, ownership, Standing Committee hearings on broadcasting.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH INN 240

### **Investment Canada Act**

**Description:** This class of documents contains separate files for each notification, application for review or opinion under the Investment Canada Act. Files contain information about the corporate and financial status of non-Canadian investors and the Canadian businesses involved in transactions. Personal information retained could include citizenship, nationality and other personal and financial information of foreign investors, the company presidents, vice-presidents and shareholders. The information is used to determine whether the Investment Canada Act applies to a specific investment and/or whether the investment is of net benefit to Canada. Files are maintained at the Department for the duration of the monitoring period and then filed in the archives of the Department.

**Topics:** Foreign investment cases in the cultural sector; acquisitions or establishments of Canadian cultural businesses; applicability of the Investment Canada Act; legal opinions on Canadian status.

**Program Record Number:** PCH ICA 010

### **National Arts Training Contribution Program - Applications for Financial Support**

**Description:** Information concerning institutions and programs for which financial support has been requested.

**Topics:** Training in the arts - performing arts, visual arts, media arts, literary arts and interdisciplinary work.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH ACG 210

### **Performing, Visual and Literary Arts Policy**

**Description:** Correspondence, memoranda and reports relating to performing, visual, media and literary arts, crafts and design policy issues.

**Topics:** Arts; performing arts; Status of the Artist Legislation and related initiatives; music; theatre; dance; taxation Canadian artists, tax issues and treatment of the artists; federal tax; tax expenditures; tax incentives and fiscal measures; visual arts; crafts; exhibitions and fairs; literary arts; cultural sector training; Native arts; arts and technologies and Arts marketing.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH APP 235

### **Publications Assistance Program (PAP)**

**Description:** Separate files are maintained for each request for registration made with regards to the Program available to periodicals, small community weekly newspapers and certain other weekly newspapers mailed in Canada for delivery in Canada. Eligible publications receive a subsidy applied against postal rates charged by Canada Post Corporation.

**Topics:** Files contain general information on the publisher and required documents regarding their eligibility under the PAP. This information is confidential and consists of financial information on the publisher, reports, documents required by the Department and correspondence with Canada Post Corporation.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH PAP 200

### **Publishing Policy - Book and Periodicals**

**Description:** Information on the formulation of policies and programs pertaining to the book trade and the magazine publishing industry in Canada.

**Topics:** Book and periodical policy in Canada and in the international context; reports, statistics and studies; book publishing and related sectors; marketing and development of the publishing industry in Canada and internationally; periodical and newspaper publishers and publishing; postal subsidy; print media and advertising; foreign investment; electronic publishing; associations, clubs and societies relevant to the publishing

industry; conferences, task forces and study groups.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH ACI 223

### **Sound Recording Policy and Programs**

**Description:** Information on the sound recording industry in general, its markets, industry participants, related departmental and agency programs including the Canada Music Fund (CMF), industry associations and policy issues.

**Topics:** Canadian ownership; imports and exports, copyright, customs and immigration; federal cultural agencies - Canada Council for the Arts and CRTC; private sector - CMF program administrations (e.g. FACTOR; MUSICACTION), foreign investment policies; tax issues; financial assistance; training and development.

**Format:** Paper and electronic / Web site.

**Program Record Number:** PCH ACI 222

### **International and Intergovernmental Affairs Sector**

#### **Sport Canada**

**Description:** Information relating to programs aimed at national sport organizations and high performance athletes, as well as financial eligibility and support. Also, information on sport participation in Canada, Canadian results at major events, major events hosted in Canada, and policies with the area of sport.

**Topics:** National Sport Organization Support Program including national sport federations, sport organizations for athletes with disabilities, multi-sport/service organizations and national sport centres; Athlete Assistance Program; Hosting Support program; Sport Funding and Accountability Framework; major games schedule; sport publications, reports, papers and policies.

**Format:** Electronic and/or paper support.

**Program Record Number:** PCH FAS 415

### **Public Affairs and Communications Sector**

#### **Canadian Symbols Promotion and Protection**

**Description:** Information concerning Canadian symbols.

**Topics:** Flag etiquette in Canada; the Arms of Canada; the National Flag of Canada; and the National anthem of Canada.

**Access:** All documents are organized by subject.

**Format:** Paper and electronic (Web site).

**Program Record Number:** PCH CPP 040

#### **State Ceremonial and Corporate Events**

**Description:** Information concerning State Ceremonial activities.

**Topics:** Protocol and Special Events - ceremonies (state funerals, Canada Day, flags,

installation of governors general, statue unveilings, etc); - lieutenant-governors (general administrative support; provincial administrators; speeches from the Throne; statutes); - Royal visits (organize and deliver all federal aspects of visits); - legal applications (advice on the use) of the Canadian flag and other official symbols of the Crown (includes royal patronage; royal photographs; use of prefix royal; use of names of members of the Royal Family; salute and saluting; titles); - gifts offered by the Government of Canada and Governor General; - use of Parliament Hill.

**Access:** All documents are organized by subject.

**Format:** Paper and electronic (Web site).

**Program Record Number:** PCH CPP 050

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Classification and Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Vehicles

## Personal Information Banks

### Human Resources and Workplace Management

#### Security Services Investigation Files

**Description:** This bank contains personal information on individuals who have been involved in criminal and miscellaneous incidents or security violations and infractions investigated by Security Services. This bank consists of investigation and occurrence reports, written statements, documentary exhibits and other related correspondence. Persons are identified by date of birth, name and initials. The report in which they are mentioned is identified by the assigned file index number, the type of incident or infraction and the date of its occurrence. Information in this bank may be maintained on paper documents and automated form.

**Class of Individuals:** Employees of the Department and contractors dealing with the Department.

**Purpose:** The purpose of this bank is to record information on security violations and infractions in order to evaluate trends in criminal activities, assess awareness and application of security measures and determine the need for and nature of disciplinary action.

**Consistent Uses:** This information is used by departmental authorities to support decisions regarding disciplinary measures, security and reliability screening, criminal actions, investigations, and suppression of crime, as well as for planning, evaluation and statistical purposes.

**Retention and Disposal Standards:** The information in this bank is retained for two years following an employee's termination with the Department and five years for cases where a person is not an employee of the Department, it is then destroyed.

**RDA Number:** 98/001

**Related PR#:** PCH PRN 931

**TBS Registration:** 002165

**Bank Number:** PCH PPU 803

## Portfolio Affairs Office

### Governor in Council & Ministerial Appointments databases

**Description:** These banks contain recommendations and biographical information, as well as related correspondence, on persons recommended as nominees for Governor in Council appointments to organizations for which the Minister is responsible. These banks also contain information on individuals appointed to these organizations.

**Class of Individuals:** Personal information relates to candidates for appointment to various positions within organizations for which the Minister is responsible, as well as to the current incumbents of these positions.

**Purpose:** The purpose of these banks is to maintain an inventory of potential candidates for appointment to organizations for which the Minister is responsible and to track the status of the current appointees to these organizations.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Active files are retained for five years and then destroyed.

**RDA Number:** 98/005

**Related PR#:** PCH PRN 903

**TBS Registration:** 003698

**Bank Number:** PCH PPU 058

## Citizenship and Heritage Sector

### Dialogue on Heritage

**Description:** This file contains the identification of people and organizations that have submitted their comments on the document of discussion "Canadians and their Heritage: some Trends, Issues and Ideas - A Dialogue on Heritage in the 21st Century". The data contained in the file include: first name, name, occupation, preferred language for correspondence, organization, address, city, province/territory, postal code, e-mail address, Web site and a description of their involvement within heritage (professional, volunteer, academic, amateur or other - please specify).

**Class of Individuals:** The general public and heritage organizations in Canada.

**Purpose:** This information will be used for analysis that will serve to elaborate the new policies and revise existing policies in the heritage sector.

**Consistent Uses:** Personal information will not be utilized for any other purpose than previously defined. Personal information will not be divulged to any third party.

**Retention and Disposal Standards:** This information will be kept active for ten years after which it will be transferred to the National Archives

of Canada.

**RDA Number:** 96/003

**Related PR#:** PCH MHP 225

**TBS Registration:** 005153

**Bank Number:** PCH PPU 077

### Youth Outreach Program

**Description:** The Youth Outreach program has been established to gather and maintain information on Canadian schools, school boards, youth centres and ethno cultural organizations for subsequent use in a National Video Competition called "Racism. Stop It!" The records related to the Youth Outreach program include the completed entry forms received from participants. Starting 2004, some of the "tombstone" information from these forms has been entered into the Youth Outreach Database. The completed entry forms and the database contain the name, mailing address, telephone number, age, grade and gender of those youth who have submitted entries (as a team member) into the competition. Other information contained in these records include the name, mailing address, telephone number and e-mail address of Canadian primary and secondary schools, CEGEPs, school boards, youth centres and ethno cultural organizations. The name and e-mail address, when available, of individuals who work or volunteer at these institutions will also be contained in the database.

**Class of Individuals:** Youth, who are permanent residents of Canada or Canadian citizens and who are between the ages of 12 and 18 and have entered the "Racism. Stop It!" National Video Competition. Individuals who work or volunteer at Canadian schools, school boards, and selected youth centres and ethno cultural organizations.

**Purpose:** The primary purpose is to maintain information about Canadians schools, school boards, youth centres and ethno cultural organizations to disseminate information about the video competition and other promotional material. The information is also used to process competition entries, select winners, contact winners and send them their prizes. Aggregate information will also be used to provide statistical data / reports on the competition and participation by school, school board, province, region, etc. and to be used in developing future contests.

**Consistent Uses:** The mailing information contained in the database may also be used to disseminate information about other youth-related programs, such as the Mathieu Da Costa Challenge and other departmental programs, i.e. Exchanges Canada.

**Retention and Disposal Standards:** 8012-11/by year – retained for 7 years after completion of each year's competition and then destroyed. 8012-12/by year – retained for 7 years after completion of each year's competition and then transferred to National Archives of Canada as historical records.

**RDA Number:** 97/032

**Related PR#:** PCH MUL 050

**TBS Registration:** 005576

**Bank Number:** PCH PPU 060

## International and Intergovernmental Affairs Sector

### Athlete Assistance Program

**Description:** This bank contains information on federal financial assistance to top Canadian athletes. It includes biographical data, performance results and academic information on each recipient.

**Class of Individuals:** Personal information related to top Canadian athletes.

**Purpose:** The purpose of this bank is to maintain an inventory on eligible athletes receiving federal financing.

**Consistent Uses:** The mailing information may also be used to communicate with the athletes and is shared with various sport organizations (the athletes indicate that they authorize this sharing of information when they complete the registration form).

**Retention and Disposal Standards:** Hard-copy records are retained for 5 years and are then archived. Identical electronic records also exist and are kept indefinitely for statistical purposes.

**RDA Number:** 99/012

**Related PR#:** PCH FAS 415

**TBS Registration:** 002734

**Bank Number:** PCH PPU 220

### Status of the High Performance Athlete in Canada Study

**Description:** This bank contains detailed information on the socio-economic and occupational conditions of Canadian high performance athletes.

**Class of Individuals:** Information related to Canadian High Performance Athletes.

**Purpose:** To develop policies and programs which are responsive to the needs of Canadian Athletes and the current realities of international sport.

**Consistent Uses:** None.

**Retention and Disposal Standards:** The information is kept indefinitely.

**RDA Number:** 99/012

**Related PR#:** PCH FAS 415

**TBS Registration:** 002955

**Bank Number:** PCH PPU 232

## Planning and Corporate Services Sector

### Accounts Payable/Employee Accounts

**Description:** This bank contains authorizations, advances, claims, supplier invoices, travel arrangements and itineraries, correspondence concerning travel, relocation or posting of employees, expense reports, receipts, correspondence and other supporting documents relating to expenses being reimbursed, fees being paid, claims being settled, other payments and cheque requisitions. Records of transactions also exist in automated form in the Accounts Payable Sub-system. Individuals seeking access to this bank should specify whether they are an employee, contractor or claimant and provide details of the payment such as location, type and dates.

**Class of Individuals:** Employees claiming travel and hospitality expenses, relocation expenses, education course fees, isolation allowances and membership fees, awards, ex gratia and other sundry payments; suppliers of goods and services provided to the Department; and individuals on contract.

**Purpose:** The purpose of this bank is to support the accounts payable/employee accounts function, which is to make non-payroll payments in accordance with authorizations.

**Consistent Uses:** The records are used to substantiate and issue cheques for the above-noted supplier invoices, expenses, fees, claims and other payments; for planning, budgeting and audit purposes; and to provide reports concerning international travel, first class and business class air travel, child care expenses, extended travel versus short-term relocation and the use of private vehicles to the Treasury Board Secretariat, as requested. Limited information is disclosed to Public Works and Government Services Canada to facilitate cheque issue.

**Retention and Disposal Standards:** The records are retained for six fiscal years following the fiscal year during which the claim was settled and then destroyed.

**RDA Number:** 99/004

**Related PR#:** PCH PRN 914, 927, 933, 934, 936

**TBS Registration:** 002162

**Bank Number:** PCH PPU 804



## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks and a description of their contents.

Access to Information and Privacy Requests

Hospitality

Relocation

Travel

## Classes of Personal Information

In the course of conducting the programs and activities of the Department, categories of personal information may be accumulated which are not contained in the specific personal information banks previously described in this entry. Such personal information includes requests for information and publications, research proposals, expressions of public support, comments and suggestions, requests for funding and assistance, and complaints. This information is stored as part of the general subject files, the records of which are not normally retrievable by name of individual or other personal identifier. Specifics must be provided concerning the subject matter, related program activity, as well as the date on which the information was received by the Department and to whom it was addressed.

The personal information contained in these subject files is retained for the same period of time as the related subject information and is disposed of according to the appropriate subject records schedules.

### Arts Presentation Canada

This class of personal information contains applications and supporting documentation submitted by cultural organizations seeking financial assistance for their activities. These documents may contain personal information pertaining to the directors and officers of cultural organizations including names and addresses. As well, the curriculum vitae of participants and/or expert advisors to the proposed activity may be held on file. This information is not filed by personal identifier but rather by cultural organization or activity title. This information was compiled to assess applications for funding of projects under the program including management development projects, capital projects and festivals and special events such as national conferences, etc. Records are primarily

maintained by the Department's Regional Offices which are responsible for the management of the Program. Records maintained by headquarters are retained for seven years, then transferred to National Archives of Canada for selective retention.

### Book Publishing Industry Development Program

This class of documents contains separate files for each application for funding under the Book Publishing Industry Development Program. Files contain information about the corporate and financial status of the book publishers or industry groups involved. Personal information retained could include citizenship, nationality and other personal and financial information of company presidents, vice-presidents and shareholders. The information is used to determine eligibility for funding under the program. Files are retained for seven years and are then destroyed. (See also Program Records: COM ACI 250 - Book Publishing Industry Development Program).

### Canada Magazine Fund

This class of documents contains separate files for each application for funding under the Canada Magazine Fund. Files contain information about the corporate and financial status of the book publishers or industry groups involved. Personal information retained could include citizenship, nationality and other personal and financial information of company presidents, vice-presidents and shareholders. The information is used to determine eligibility for funding under the program. Files are retained for seven years and are then destroyed. (See also Program records: - Canada Magazine Fund).

### Canadian Arts and Heritage Sustainability Program

This class of personal information contains applications and supporting documentation submitted by cultural organizations seeking financial assistance for their activities. These documents may contain personal information pertaining to the directors and officers of cultural organizations including names and addresses. As well, the curriculum vitae of participants and/or expert advisors to the proposed activity may be held on file. This information is not filed by personal identifier but rather by cultural organization or activity title. This information was compiled to assess applications for funding of projects under the program including capacity building projects, networking projects, matching endowment grants, etc. Records maintained by

headquarters are retained for seven years, then transferred to National Archives of Canada for selective retention. Records are also maintained by the Department's Regional Offices which are responsible for the management of one of the components of the Program.

### **Canadian Audio-Visual Certification Office (CAVCO)**

This class of documents contains confidential personal information pertaining to the creative personnel employed in productions which have applied to the Canadian Film or Video Production Tax Credit Program (CPTC), the Film or Video Production Services Tax Credit Program (PSTC) and the pre-existing Capital Cost Allowance Program (CCA). Information is not filed by personal identifier, but is filed with application forms. Files are retained for 25 years and then transferred to the National Archives of Canada for selective retention. (See also Program Records: - Canadian Audio-Visual Certification Office (CAVCO), Canadian Film or Video Production Tax Credit Program (CPTC) and Film or Video Production Services Tax Credit Program (PSTC)).

### **Canadian Heritage Information Network (CHIN)**

This class of personal information is pertinent to the collection of museum objects by Canadian museums. The purpose of the information is to create a national inventory of museum collections and to assist museums in managing their collections and developing online content. The documents may contain references to individuals with whom Canadian museums deal in relation to collecting or Web development. Also contained is basic biographical information on Canadian artists. The records are created and supplied by Canadian museums and are maintained as long as is necessary for their management. As well, information provided by Virtual Museum of Canada (VMC) users who register to receive e-mail updates is collected using Secure Socket Layer (SSL), a privacy enhancing technology. This information is kept under CHIN's control, protected under the Privacy Act, and is not provided to any third party. Information concerning the use of VMC content is gathered through "traffic data" for the purposes of statistical analysis, and is disclosed to third parties only in aggregate form. This information is captured in standard Web logs and through feedback.

### **Cultural Capitals of Canada Program**

This class of personal information contains applications and supporting documentation

submitted by Canadian municipalities seeking financial assistance to undertake cultural and arts development projects. These documents may contain personal information pertaining to the employees of the municipalities, including names and addresses. As well, the curriculum vitae of individuals associated with the municipalities may be held on file. This information is not filed by personal identifier but rather by the name of the cultural institution. This information was compiled to assess applications for funding of operations under the Program. Records maintained by headquarters are retained for seven years, then transferred to the National Archives of Canada for selective retention.

### **Cultural Initiatives Program**

This class of personal information contains applications and supporting documentation submitted by cultural organizations seeking financial assistance for their activities. These documents may contain personal information pertaining to the directors and officers of cultural organizations including names and addresses. As well, the curriculum vitae of participants and/or expert advisors to the proposed activity may be held on file. This information is not filed by personal identifier but rather by cultural organization or activity title. This information was compiled to assess applications for funding of projects under the program including management development projects, capital projects and festivals and special events such as national conferences, etc. Records maintained by headquarters are retained for seven years, then transferred to National Archives of Canada for selective retention. Records are also maintained by the Department's Regional Offices which are responsible for the management of the Program.

### **Cultural Spaces Canada**

This class of personal information contains applications and supporting documentation submitted by organizations seeking financial assistance to improve their physical infrastructure. These documents may contain personal information pertaining to the directors and officers of the institutions, including names and addresses. As well, the curriculum vitae of individuals associated with the institution may be held on file. This information is not filed by personal identifier but rather by the name of the cultural institution. This information was compiled to assess applications for funding of operations under the Program. Records maintained by headquarters are retained for seven years, then

transferred to the National Archives of Canada for selective retention.

### **Labour Market Study**

Part 1 of this bank contains personal information on approximately 1200 employees of the museums across Canada and responses to questions on training and professional development opportunities, employment conditions, educational and training background, and some demographic data. Part 2 contains data on 500 museums and responses to questions on the museums labour market such as number of full-time and part-time positions; number of people employed for each job and their classifications; current budgets, etc. Records will be kept for five years (plus two years dormant).

### **National Arts Training Contribution Program**

This class of personal information contains applications and supporting documentation submitted by cultural training institutions seeking financial assistance for their operations. These documents may contain personal information pertaining to the directors and officers of the institutions, including names and addresses. As well, the curriculum vitae of individuals associated with the institution may be held on file. This information is not filed by personal identifier but rather by the name of the cultural institution. This information was compiled to assess applications for funding of operations under the Program. Records are primarily maintained by the Departments Regional Offices that are responsible for the management of the Program. Records maintained by headquarters are retained for seven years, then transferred to the National Archives of Canada for selective retention.

### **Publications Assistance Program (PAP)**

This class of documents contains separate files for each application for funding under the Publications Assistance Program. Files contain information about the corporate and financial status of the publishers or industry groups involved. Personal information retained could include citizenship, nationality and other personal and financial information of company presidents, vice-presidents and shareholders. The information is used to determine eligibility for funding under the program. Files are retained for seven years and are then destroyed. (See also Program records: Publications Assistance Program).

## **Manuals**

- Access to Information and Privacy Acts - Employee Guide
- Audit Manual
- Departmental Access to Information and Privacy Acts Policies and Procedures Handbook
- Departmental Information Collection and Public Opinion Research Policies Handbook
- Departmental Mail and Courier Services Policies and Procedures Handbook
- Financial Coding Manual
- Financial Management Guide
- Fire Safety Plan
- Grants and Contributions Manual
- Guide to Departmental Mail Services
- Human Resources Web Site
- Information Classification and Protection Guide
- Information Collection and Public Opinion Research Desk Guide
- Information Technology Security Handbook
- Maintenance Standards (Volumes 1 & 2)
- Management Directives
- Personnel Security Guide
- Security and Emergency Procedures Handbook
- Sign Manual
- The Departmental Policy on Informatics

## **Additional Information**

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

## **Reading Room**

The Knowledge Centre has been designated under the Access to Information Act as a public reading room.

In accordance with the mission of the Department of Canadian Heritage, the Knowledge Centre holds a unique collection of documents in the areas of arts, cultural industries, heritage, Canadian identity, multiculturalism, official languages, amateur sport and national parks and historic sites. Clients will find documents in

various formats from on-line and CD-ROM databases to monographs, microforms, periodicals, newspapers and official documents.

The Knowledge Centre also holds copies of all documents published or sponsored by Parks Canada, Canadian Heritage and their founding departments. Clients may access the electronic version of many of these documents on the Internet sites of the Department and the Agency, or they may borrow the printed version by interlibrary loan. Its address is:

Jules Léger Building  
South Tower  
Terrasses de la Chaudière  
15 Eddy Street, 2nd Floor  
Gatineau QC K1A 0M5

General Information, Reference and Circulation:

Tel.: (819) 994-5478

Interlibrary Loan Service:

Tel.: (819) 997-5467

Cataloguing:

Tel.: (819) 994-5915

Fax: (819) 953-7988

E-mail: [pch\\_library@canadianheritage.gc.ca](mailto:pch_library@canadianheritage.gc.ca)

It is open weekdays from 08:00 a.m. to 4:30 p.m.

Departmental manuals are available for consultation in regional offices listed below. Manuals are also available at local offices in the regions - addresses and telephone numbers can be obtained from the appropriate regional office. A Telephone Device for the Deaf (T.D.D.) telephone number is available at certain regional offices.

## **Regional Offices**

### **Atlantic Region**

Canadian Heritage  
1045 Main Street, Unit 106  
Moncton NB E1C 1H1  
Tel.: (506) 851-7066

### **Ontario Region**

Canadian Heritage  
150 John Street, Suite 400  
Toronto ON M5V 3T6  
Tel.: (416) 973-5400 or (416) 954-0395

### **Prairies and Northern Region**

Canadian Heritage  
275 Portage Avenue, 2nd Floor  
P.O. Box 2160  
Winnipeg MB R3C 3R5  
Tel.: (204) 983-3601

### **Quebec Region**

Canadian Heritage  
Guy-Favreau Complexe  
200 René Lévesque Boulevard West  
West Tower, 6th Floor  
Montreal QC H2Z 1X4  
Tel.: (514) 283-2332

### **Western Region**

Canadian Heritage  
300 West Georgia Street, Suite 400  
Vancouver BC V6B 6C6  
Tel.: (604) 666-0176

# Canadian Human Rights Commission

## Chapter 34

### General Information

#### Background

The Canadian Human Rights Commission was given its mandate with the passage in July 1977 of the Canadian Human Rights Act. The Act became operative on March 1, 1978.

#### Responsibilities

The Commission's program objective is to give effect to the principle that within the federal sphere every individual should have an equal opportunity to participate in Canadian life consistent with his or her duties and obligations as a member of the Canadian society.

Specifically, the Commission deals with complaints of discrimination in employment, in the provision of goods, services, facilities and/or accommodation customarily available to the general public and in the provision of commercial premises or residential accommodation, based on any of the eleven prohibited grounds of discrimination enumerated in the Act: race, national or ethnic origin, colour, religion, age, sex, sexual orientation, marital status, family status, disability, or conviction of an offence for which a pardon has been granted. The Commission attempts to resolve complaints through alternative dispute resolution. Cases that cannot be resolved are investigated and may be referred to the Canadian Human Rights Tribunal for further inquiry.

The Canadian Human Rights Act prohibits discrimination in policies and practices affecting wages for male and female employees who are performing work of equal value. As a result, the Commission investigates complaints alleging inequities in wage-related practices.

The Commission also carries out employment equity audits of federal departments, agencies, and federally regulated employers. The Employment Equity Act mandates the Commission to perform these audits, take the necessary steps to ensure there is compliance and report to Parliament on the results every year.

The Commission also has a statutory responsibility to discourage and reduce discriminatory practices through public education, liaison, and any other means it considers

appropriate. This responsibility is discharged by producing promotional and educational materials, developing and conducting information programs to foster public understanding of the principles of equal opportunity enshrined in the Canadian Human Rights Act, and by working cooperatively with employers and service providers both at the headquarters and regional levels in order to prevent discrimination.

The Commission functions as an independent agency and reports to Parliament.

#### Legislation

- Age Guidelines, SI/78-165
- Canadian Human Rights Act, R.S.C. 1985, c. H-6, as amended
- Canadian Human Rights Benefit Regulations, SOR/80-68, as amended
- Customs and Excise Human Rights Investigation Regulations, SOR/83-196
- Employment Equity Act, S.C. 1995, c.44
- Employment Equity Regulations, SOR/96-470
- Equal Wage Guidelines, 1986, SOR/86-1082
- Immigration Guidelines, SI/80-125
- Immigration Investigation Regulations, SOR/80-686
- Protection of Personal Information Regulations, SOR/78-145

#### Organization

The Commission is headed by the Chief Commissioner who has deputy minister status. In this role, the Chief Commissioner is supported by the Secretary General. There are eight The operational and administrative branches/unit at headquarters are: Executive Secretariat, Legal Services, Alternative Dispute Resolution Services, Employment Equity, Policy and International Program, Human Resources and Corporate Services, and the Operations Sector - including Human Rights Promotion, Investigation, Pay Equity, and Operations, Planning, Performance Reports. Alternate Dispute Resolution Services; Executive Secretariat, 2) Legal Services Communications; Corporate Services; Employment Equity, Policy and Outreach; Executive Secretariat; Learning and Development

Unit; Legal Services; Operations sector (complaints, investigations and prevention.), and Prevention.

### **Alternate Dispute Resolution Services**

This Branch was created in February 2003 to expand and strengthen the Commission's ADR services. It provides mediation and conciliation, and encourages complainants and respondents to consider ADR as an alternative to investigation and adjudication. ADR is available at every stage of the complaint process, including immediately after a complaint has been filed. The services are provided by trained mediators who have both facilitation skills and expertise in human rights. The Branch consults with is completely independent (not true anymore; check this with Richard)of the other branches dealing with complaints, and receives direction from an Advisory Council of prominent jurists.

### **Communications**

This Branch provides communications advice and services to senior managers and staff. It is responsible for internal and external communications, including media relations, telephone and e-mail inquiries, publications, website management and maintenance, as well as editorial services.

### **Corporate Services**

This Branch provides the Commission with support services in human resources, finance, assets and facilities management, telecommunications, security, information technology, and information management. It is also responsible for planning, review activities, and special corporate initiatives such as Modern Comptrollership.

### **Employment Equity, Policy and Outreach**

This Branch is responsible for monitoring and ensuring private and public sectors employers' compliance with the Employment Equity Act by means of employment equity audits.

It also monitors human rights issues and develops policy proposals, guidelines and research reports to help the Commission reach decisions and support the operational branches. Finally, it coordinates the Commission's activities to assist human rights institutions outside Canada and to carry out pro-active initiatives..

### **Executive Secretariat**

This Branch provides advice and administrative services to the executive offices, including coordinating Commission meetings, supporting

the Executive Committee, managing executive correspondence, and coordinating the preparation of briefing materials. It is also responsible for access to information and privacy and disclosure policy.

### **Learning and Development Unit**

The Unit was created on April 1, 2004. The mandate of the Unit is to prepare a framework and continuous learning processes where a new integrated approach to learning will support and adapt to business objectives. Employees at all level and managers/supervisors will be provided with advice on learning options, methods and activities. The individual developmental plans will be done through many means such as courses, exposure to a diversity of experience (short-term assignments), mentoring, exchanges and part-time language training during the employee's career path. The development of a new learning culture will be tied to succession planning and commitment to individuals.

### **Legal Services**

This Branch provides advice to the Chief Commissioner, Secretary General, Commission members and staff. Legal officers also represent the Commission in litigation before tribunals and the courts.

### **Alternate Dispute Resolution Services**

This Branch was created in February 2003 to expand and strengthen the Commission's ADR services. It provides mediation and conciliation, and encourages complainants and respondents to consider ADR as an alternative to investigation and adjudication. ADR is available at every stage of the complaint process, including immediately after a complaint has been filed. The services are provided by trained mediators who have both facilitation skills and expertise in human rights. The Branch is completely independent of the other branches dealing with complaints, and receives direction from an Advisory Council of prominent jurists..

### **Operations**

The Sector is responsible for dealing with complaint related inquiries and investigating those complaints that are not resolved through mediation. This includes pay equity complaints and other complaints raising systemic issues. The Sector is responsible for preparing and presenting cases to the Commission, the members of which make the final decisions on complaints. The Sector is also responsible for developing and conducting activities and information programs to

reduce and prevent discrimination and foster public understanding of the Canadian Human Rights Act and Employment Equity Acts and Human Rights Issues. The Sector is responsible for media relations, editorial services and community activities. It The sector also trains staff involved in the complaint process and establishes operational policies and performance standards. The six regional offices conduct investigations and education/prevention programs and are also part of included in the Operations Sector.

### **Employment Equity**

This Branch is responsible for monitoring and ensuring private and public sectors employers' compliance with the Employment Equity Act by means of employment equity audits.

### **Policy and International Program**

This Branch monitors human rights issues and develops policy proposals, guidelines and research reports to help the Commission reach decisions and support the operational branches. It also coordinates the Commission's activities to assist human rights institutions outside Canada.

### **Human Resources**

This Branch provides a full range of client-centred HR services in staffing, classification, and organization analysis pay and benefits, staff relations, training and human resources planning, employment equity and official languages programs and health and safety.

### **Corporate Services**

This Branch provides the Commission with support services in human resources, assets and facilities management, finance, assets and facilities management, telecommunications, informatics, security, information technology, and information management and library services. It is also responsible for planning, and review activities, and special corporate initiatives such as Modern Comptrollership. Please note that the Commission also provides corporate services to the Law Commission of Canada.

## **Information Holdings**

### **Program Records**

#### **Access and Privacy Coordination**

**Description:** Coordination of Access to Information and Privacy.

**Topics:** Access to Information and Privacy

**Access:** Files arranged by names and numbers.

**Format:** Paper and electronic

**Program Record Number:** HRC AFP 065

### **Administrative Services**

**Description:** Correspondence, memoranda, reports, statistics on the general administration, administrative policy and procedures, of the Commission.

**Topics:** human resources, finance, assets and facilities management, telecommunications, security information technology, and information management, planning, audits, evaluations, studies, and special corporate initiatives such as Modern Comptrollership.

**Access:** Files arranged by topic.

**Format:** Paper and electronic., computer database, microfiche, photos.

**Program Record Number:** HRC AFP 045

### **Communications**

**Description:** Information on contacts and activities with employers, unions and non-governmental organizations; education programs; community and outreach activities, and CHRC meetings.

**Topics:** Education programs; consulting activities; information programs.

**Access:** Files arranged by organization and project.

**Format:** Paper and electronic.

**Program Record Number:** HRC COP 001

### **Employment Equity**

**Description:** Information on employment equity policy, compliance procedures under the Employment Equity Act, and the Commission's review and analysis of employment equity data.

**Topics:** Employment equity; statutory compliance under the Employment Equity Act; labour market availability of designated groups; employment systems and practices; compliance standards and assessment factors for audits; positive and special measures supporting employment equity; enforcement procedures; recommendations for legislative changes to the Employment Equity Act; progress reports on designated group representation.

**Access:** Files arranged by subject matter or title.

**Format:** Paper and electronic computer.

**Program Record Number:** HRC EPE 060

### **Employment Systems**

**Description:** Documentation, compliance audit reports, correspondence and information relating to employment policies and practices of federally-regulated and provincially-regulated employers; also CHRC policies on the application of the Canadian Human Rights Act to employment policies and practices (i.e., employment systems).

**Topics:** Policies and procedures relating to employment systems in federal departments, Crown corporations and agencies, chartered banks, communication organizations, land transportation organizations, air transportation organizations, navigation organizations, manufacturing industries, employee associations and provincially- regulated employers.

**Access:** Files arranged by organization.

**Format:** Paper and electronic computer database

**Program Record Number:** HRC CCB 020

### **Financial Services**

**Description:** Correspondence, memoranda, reports, statistics on the financial management of all programs and activities within the Commission.

**Topics:** Accounts, audits, budget, contracts, hospitality, grants, signing authorities, travel.

**Access:** Files arranged by topic.

**Format:** Paper and electronic, computer database, microfiche.

**Program Record Number:** HRC AFP 050

### **General Liaison**

**Description:** Co-operative liaison on administrative and operational subject matters with various governments, agencies and institutions.

**Topics:** Federal departments and agencies; international governmental organizations; provincial and territorial governments and agencies; provincial human rights commissions; universities, colleges, schools, and institutions.

**Access:** Files arranged by organization.

**Format:** Paper.

**Program Record Number:** HRC RPB 040

### **Human Rights/Discrimination/Amendments**

**Description:** Information on human rights and discrimination of a general nature; Canadian Human Rights Act amendments; committees; conferences.

**Topics:** Human rights; discrimination; Canadian Human Rights Act amendments, government and non-government organizations, accessibility standards, adaptation plans; committees -- general, government and non-government organizations; conferences.

**Access:** Files arranged by subject or organization.

**Format:** Paper and electronic.

**Program Record Number:** HRC LOP CCB 015 001

### **Information Access and Privacy Coordination**

**Description:** Information on support for, and Coordination of, information planning, development, Access to Information and Privacy, and information collection activities.

**Topics:** Information planning; national information systems development; Access to Information and Privacy; information collection; informatics coordination.

**Format:** Paper, computer database, audio tapes, large print, photos etc.

**Program Record Number:** HRC AFP 065

### **Information and Production**

**Description:** Information on the administration of the Commission's public affairs and media relations.

**Topics:** CHRC publications; advertising, displays, lectures, conferences and other community activities; miscellaneous enquiries, press clippings, press releases and mailing lists.

**Format:** Paper and electronic., audio-visual, braille, large-print, oversized and other alternative formats.

**Program Record Number:** HRC COM RPB 030 001

### **Learning and Development**

**Description:** Information on the tools, learning options, methods and activities.

**Topics:** Official Language/Training Opportunities; Learning Framework and Plan; Performance Discussion Process; and Individual Learning.

**Format:** Paper and electronic

**Program Record Number:** HRC LD 001

### **Legal Matters**

**Description:** Information on the administration of legal matters, regulations and guidelines established for operational purposes; legal research on various subjects.

**Topics:** Regulations and guidelines as identified under the Acts, laws, and regulations above, legal research on issues such as jurisdiction, judicial review, remedies, evidence, primacy; legal opinions by grounds of discrimination.

**Access:** Files arranged by subject.

**Format:** Paper and electronic., computer database, audio-visual, photos.

**Program Record Number:** HRC LEG 005

### **Personnel Services Human Resources Services**

**Description:** Correspondence, memoranda, reports, statistics on general personnel management activities within the Commission.

**Topics:** Appointments, official languages, classification, employment and staffing, health/medical services, insurance, resource planning, salaries/wages, performance appraisals, superannuation/pension plans, disciplinary measures, training/development, employment equity statistics and security authorization.

**Access:** Files arranged by topics and by



individual names.

**Format:** Paper and electronic., computer database.

**Program Record Number:** HRC AFP 055

### **Communication Program Delivery**

**Description:** Information on contacts and activities with employers, unions and non-governmental organizations; education programs; community and outreach activities, and CHRC meetings.

**Topics:** Education programs; consulting activities; information programs.

**Access:** Files arranged by organization and project.

**Format:** Paper, computer database.

**Program Record Number:** HRC RPB 035

### **Policy and International Program Outreach**

**Description:** Reports by CHRC researchers and by contract organizations, survey questionnaires and data, background materials, and policy analysis in human rights. Co-operative liaison on administrative and operational subject matters with various governments, agencies and institutions.

**Topics:** Surveys, research on various grounds of discrimination; discriminatory practices; international organizations and foreign governments; federal interdepartmental committees; provincial governments; relevant correspondence.

**Access:** Files arranged by report title or subject matter.

**Format:** Paper and electronic., computer database.

**Program Record Number:** HRC POL 001RPB 010

### **Special Programs and Arrangements**

**Description:** Documentation, correspondence and information on special programs, plans or arrangements undertaken by federally-regulated employers or service providers; also, CHRC policies on the application of the Canadian Human Rights Act to special programs and arrangements.

**Topics:** Policies and procedures in CHRC, provincial human rights commissions, foreign governments and agencies, contract compliance, consultants; special programs related to employment including studies and research, federal departments, crown corporations and agencies, chartered banks, communications organizations, land transportation organizations, air transportation organizations, navigation organizations, manufacturing industries, employee associations; special programs related to services in federal departments, crown corporations and

agencies, chartered banks.

**Access:** Files arranged by organization.

**Format:** Paper and electronic, computer database.

**Program Record Number:** HRC CCB 025

## **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Hospitality

Proactive Disclosure

Travel

## **Personal Information Banks**

### **Access and Privacy Request Data**

**Description:** This bank contains formal and informal requests sent by individuals seeking access to CHRC operational administrative information and/or personal information about themselves held by the Canadian Human Rights Commission, replies to such requests, and information related to request processing.

**Class of Individuals:** General public; applicants.

**Purpose:** This material is used for processing access and privacy requests only and for reporting on the number of such requests received annually.

**Consistent Uses:** Nil There are no consistent uses of these files.

**Retention and Disposal Standards:** The information in this bank is retained for two years after the last administrative action and then destroyed in accordance with the Privacy Act.

**RDA Number:** 98/001

**Related PR#:** HRC AFP 065

**TBS Registration:** 001506

**Bank Number:** HRC PPU 015

### **Commission Members**

**Description:** The Commission has a biography on each person appointed as Commission member. These records contain or may contain personal information on members such as employer, address, national of ethnic origin, fee and travel expense claims, etc. The Commission is made up of one full-time member and up to six part-time members.

**Class of Individuals:** Individuals appointed to the Commission by order of the Governor-in-Council.

**Purpose:** This information is retained to help the Chief Commissioner in her role as Commission spokesperson and as publicly available information regarding the Commissioners'

background and experience relating to human rights matters.

**Consistent Uses:** There are no consistent uses of these files.

**Retention and Disposal Standards:** The information in this bank is retained for six years and then destroyed or transferred to the National Archives of Canada for archival purposes.

**RDA Number:** 98/001

**Related PR#:** HRC AFP 050, HRC AFP 055

**TBS Registration:** 003414

**Bank Number:** HRC PPU 020

### **Complaints Received Under the Canadian Human Rights Act, Part III**

**Description:** The files consist of complaints lodged by individuals or groups from March 1, 1978, to the present, dealing with discrimination on the grounds of race, national or ethnic origin, colour, religion, age, sex, sexual orientation, marital status, family status, disability, or conviction for an offence for which a pardon has been issued; complaints of discrimination concerning pensions and insurance; hate messages; equal pay, and with complaints received because of threats or intimidation subsequent to having filed a complaint of discrimination (section 59 of the Canadian Human Rights Act). They contain statements from individuals and groups, correspondence with and reports about complainants, respondents, and witnesses dealing with a complaint and other facts relevant to its investigation or conciliation.

**Class of Individuals:** General public; complainants, respondents, witnesses.

**Purpose:** The purpose of this bank is to record, enquire into and resolve complaints of discrimination in connection with the application of Part III of the Canadian Human Rights Act, and where necessary to provide evidence for the hearing of a complaint by the Canadian Human Rights Tribunal, the Federal Court of Canada and/or the Supreme Court of Canada.

**Consistent Uses:** The information is used by the Commission to fulfill its mandate under the Canadian Human Rights Act, as well as for research, planning, evaluation and statistical purposes, education, and prevention.

**Retention and Disposal Standards:** The information in this bank has a ten (10) year retention period and may then be transferred to the National Archives of Canada for archival purposes.

**RDA Number:** 2003/004 & 90/006

**Related PR#:** HRC CCB 015 and HRC PPU 010

**TBS Registration:** 001504

**Bank Number:** HRC PPU 005

### **Litigation Files**

**Description:** Information on legal proceedings of specific complaints of discrimination before the Canadian Human Rights Tribunal or a court of law, and legal opinions regarding specific complaints.

**Class of Individuals:** General public; complainants, respondents, witnesses.

**Purpose:** The information in this bank enables the Branch to carry out its mandate as legal advisor to the Commission and in proceedings before Tribunals and the courts.

**Consistent Uses:** There are no other consistent uses of these files.

**Retention and Disposal Standards:** Information in this bank is retained for 10 years and is then eligible for destruction or transferred to the National Archives of Canada for archival purposes.

**RDA Number:** 2003/004 and 90/006

**Related PR#:** HRC LEG 005

**TBS Registration:** 001505

**Bank Number:** HRC PPU 010

### **Professional and Personal Service Contracts**

**Description:** Basic data such as work experience, This bank contains basic data such as educational qualifications, employment history, start-up and appointment and termination dates, amount of fees paid and other allowable expenses and payments.

**Class of Individuals:** General public; contractors

**Purpose:** The purpose of this bank is to maintain a record concerning professional and personal service contracts by individuals who contract with the Commission. The information is used in selecting qualified individuals to provide contractual services. To ensure qualifications of actual or potential contractors reflect the competencies necessary to deliver results, and that billing information is up to date.

**Consistent Uses:** Used to create an internal source list upon which we can draw information for internal reporting purposes and when looking for a qualified contractor.

**Retention and Disposal Standards:** The information in this bank is retained for six years and then destroyed or transferred to the National Archives of Canada for archival purposes.

**RDA Number:** 99/004

**Related PR#:** HRC AFP 055 and HRC AFP 045

**TBS Registration:** 001507

**Bank Number:** HRC PPU 025

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Travel

## Classes of Personal Information

### Operations Files

In the course of conducting the programs and activities of the Operations Branch, categories of personal information may be accumulated which are not contained in the specific personal information banks described in this entry. Such personal information may include an individual's race, national or ethnic origin, colour, religion, age or marital status, views or opinions of another individual about the individual, etc., which are stored as part of the general subject files, where records are not normally retrieved by name of individual or other personal identifier.

This form of personal information is normally retrievable only if specifics are provided concerning personnel/employment policies and practices or special programs, plans or arrangements undertaken by federally regulated employers or service providers, or concerning Commission policies relating to the application of the Canadian Human Rights Act to employment policies, practices and special programs/arrangements. The retention of this personal information class is governed by a records schedule negotiated with the National Archives of Canada.

### Enquiries Received Under the Canadian Human Rights Act, Part III

In the course of conducting the programs and activities of Alternative Dispute Resolution Services, categories of personal information may be accumulated and stored as part of the general subject files where records are not normally retrieved by name of individual or other personal identifier. Such personal information is accumulated in the course of responding to complaints of discriminatory practices and policies on various grounds which may or may not be prohibited by the Act. This form of personal information is retrievable only if specifics are provided concerning the nature of the complaint, the date, and the office to which it was addressed. The files are retained for two years from last

administrative action, in accordance with the Privacy Act and then destroyed.

### Human Rights Promotion

In the course of conducting Human Rights Promotion programs and activities, categories of personal information may be accumulated which are not contained in the specific personal information banks described in this entry. Such personal information may include an individual's race, national or ethnic origin, colour, religion, age or marital status, views or opinions of another individual about the individual, etc., which are stored as part of the general subject files, where records are not normally retrieved by name of individual or other personal identifiers.

This form of personal information is normally retrievable only if specifics are provided concerning research related to the communication duties and responsibilities of the Commission.

The retention of this personal information class is governed by a records schedule negotiated with the National Archives of Canada.

### Policy and International Program

In the course of conducting the activities of Policy and International Program, categories of personal information may be accumulated which are not contained in the specific personal information banks described in this entry. Such personal information may include an individual's race, national or ethnic origin, colour, religion, age, sexual orientation or marital status, views or opinions of another individual about the individual, etc., which are stored as part of the general subject files, where records are not normally retrieved by name of individual or other personal identifiers. This form of personal information is normally retrievable only if specifics are provided concerning research related to the duties and responsibilities of the Commission, including policy analysis and development, surveys to monitor current public opinion, socio-economic studies of human rights problems, preparation and analysis of statistics, bibliographies, and other data.

The retention of this personal information class is governed by a records schedule negotiated with the National Archives of Canada.

### Manuals

- Aboriginal Employment Preferences
- Accommodation of Religious Observances
- ADR Model

- Age Guidelines
- Benefit Childcare Leave and Benefits
- Bona Fide Justification
- Bona Fide Occupational Requirements
- Documents Handling Procedures
- Drafting Legal Opinions Procedures
- Drafting Requests for Instruction Procedures
- Drug and Alcohol Testing
- Employers' Progress Monitoring System
- Employment Equity Compliance Reviews: Process and Reference Manual
- Equal Wage Guidelines
- Filing a Pay Equity Complaint
- Framework for Compliance Audits Under the Employment Equity Act
- Guide to Pay Equity and Job Evaluation
- Harassment
- HIV/AIDS
- Immigration Guidelines
- Implementing Pay Equity in the Federal Public Service
- Investigation Plan for Pay Equity Issuing Contracts Procedures
- Legal Research Procedures Policies and Procedures Manual - Standards and Alternative Dispute Resolution Branch
- Pregnancy/Childbirth
- Procedures Manual - Pay Equity
- Procedures Manual - Legal Services
- Process by which compliance officers will audit the employment systems review
- Service Standards - Employment Equity
- Service Standards - Standards and Alternative Dispute Resolution Branch
- Special Programs
- Standards applying to the conduct of audits (qualitative and quantitative) - Employment Equity
- Statistical Analysis Manual - Employment Equity
- Voluntary Early Retirement

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Canadian Human Rights Commission and its different publications may be obtained by contacting:

Communications Branch Human Rights Promotion Branch  
 Canadian Human Rights Commission  
 Canada Building  
 344 Slater Street  
 Ottawa ON K1A 1E1  
 Tel.: (613) 943-9106

Website: [www.chrc-ccdp.ca](http://www.chrc-ccdp.ca)

## Reading Room

In accordance with the Access to Information Act, an area on the premises of the institution and in each of its regional offices has been designated as a public reading room. The addresses are as follows:

### Canadian Human Rights Commission Headquarters

Canada Building  
 344 Slater Street, 8th Floor  
 Ottawa ON K1A 1E1  
 Tel.: (613) 995-1151  
 Fax: (613) 996-9661  
 Ottawa: (888) 214-1090  
 Regional Offices: (800) 999-6899  
 TTY: (888) 643-3304  
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# Canadian Human Rights Tribunal

## Chapter 35

### General Information

#### Background

The Canadian Human Rights Tribunal (Tribunal) was established in its original form in 1977 by the Canadian Human Rights Act (CHRA). Formerly known as the “Human Rights Tribunal Panel”, the Tribunal was funded and administratively supported through the Canadian Human Rights Commission (Commission) until 1997 when it officially became a fully independent agency scheduled under the Financial Administration Act. A year earlier, the Tribunal’s mandate had been expanded to include the adjudication of proceedings under the Employment Equity Act (EEA). Therefore, members of the Tribunal also act as the Employment Equity Review Tribunal (EERT). The Tribunal has existed in its current form, as a permanent standing body, since 1998.

#### Responsibilities

The Tribunal is a quasi-judicial tribunal that publicly hears complaints of discrimination referred to it by the Commission in order to determine, for the most part, whether the activities of federally-regulated employers and service providers violate the CHRA. The purpose of the CHRA is to protect individuals from discrimination and to promote equality of opportunity. It prohibits discrimination on the basis of race, national or ethnic origin, colour, religion, age, sex, marital status, family status, sexual orientation, disability, and conviction for which a pardon has been granted. The Tribunal’s main objective is to ensure that the CHRA is applied fairly and impartially.

In particular, the Tribunal may hear complaints of discrimination in the provision of goods, services, facilities or accommodation customarily available to the general public; in the provision of commercial premises or residential accommodation; or in matters related to employment. Complaints are based on one or more of the eleven grounds of discrimination enumerated above. The Tribunal also hears complaints alleging wage disparity between men and women performing work of equal value in the same establishment. Finally, it has jurisdiction to hear complaints of telephonic communication likely to expose persons to

hatred or contempt by reason of their identification on discriminatory grounds. The parties to a Tribunal proceeding include the complainant and the person alleged to have engaged in the discriminatory practice (“respondent”). The Commission may also participate in the proceeding as a representative of the public interest. The Tribunal decides if discrimination has occurred based on evidence and the law. If it finds that the complaint is substantiated, the Tribunal issues an order to the respondent, setting out the remedies.

Apart from its adjudications under the CHRA, the Tribunal’s mandate also includes hearing matters under the EEA. The EEA governs most federally regulated employers and obliges them to eliminate systemic barriers to a fully representative workforce. Two general types of proceedings can give rise to the constitution of an EERT: (1) Proceedings initiated by an employer, or by the Commission, wherein the Tribunal examines the validity of a “direction to comply with the EEA” previously issued by the Commission to the employer; (2) Proceedings initiated by a private sector employer, or by the Minister of Labour, wherein the Tribunal examines the appropriateness of monetary penalties previously assessed by the Minister against the employer in respect of certain kinds of non-compliance with the EEA. The Tribunal convenes a hearing, hears evidence and argument and makes an order either granting or denying the relief sought.

#### Legislation

- Canadian Human Rights Act (R.S., 1985, c. H-6)
- Employment Equity Act (S.C. 1995, c.44)

#### Organization

##### Tribunal Members

The CHRA provides for a full-time Chairperson and Vice-chairperson, as well as up to thirteen additional full- or part-time members, all appointed by the Governor in Council. The Chairperson and Vice-chairperson may be appointed for terms of up to seven years while the other members may be appointed for terms of up to five years. At present, the Tribunal is comprised of a Vice-chairperson acting as Chairperson (the post of Chairperson is vacant),

as well as two other full-time members and six part-time members. The Acting Chairperson is serving a five year term while the other members have been appointed to terms of three years.

When a case is referred to the Tribunal under the CHRA or the EEA, the Chairperson designates either one or three members to hear the case. In carrying out their adjudicative functions members set dates for disclosure, hear and decide preliminary objections, preside over hearings where testimony and other evidence is presented, deal with motions, listen to argument and make decisions on the merits of the case (including remedy where appropriate). The Chairperson and Vice-chairperson also develop policies and establish rules of procedure for the Tribunal's adjudication processes.

### **Tribunal Staff**

#### **Registry**

The Registry's activities are entirely separate from the adjudication process. The Registrar of the Tribunal and his staff plan and arrange hearings, serve as a liaison between the parties and members, and direct the Tribunal's administrative operations. The Registrar is the Senior Public servant and Chief Operations Officer of the Tribunal, whose duties include providing administrative support and procedural guidance to the members, as well as budgeting and allocating resources for the Tribunal. The Registry's staff is divided into the following sections: Corporate Services, Financial Services, Network Services, Registry Operations, Research Services.

#### **Corporate Services**

Corporate Services is responsible for the delivery of all corporate and administrative services to the Tribunal, including procurement, records management, office accommodation, telecommunications, contracting of professional services, and reception services.

#### **Financial Services**

Financial Services is responsible for the delivery of all financial services to the Tribunal, including processing and recording all account transactions, monitoring the budget and providing reports to Parliament and central agencies.

#### **Network Services**

Network Services provides all information technology support to Tribunal members and

staff, including network systems maintenance, purchases, installation, and testing of hardware and software.

#### **Registry Operations**

Registry Operations' Manager is responsible for the planning and organization of all cases that are referred to the Tribunal for hearing, the development of operational policies and procedures relating to the administration of the hearing process, and the supervision of Registry Officers. The Registry Officers provide logistical support services to the Tribunal including advice and guidance as to media coverage, scheduling of witnesses, hearing dates, and procedural matters. They manage all administrative aspects of the cases, liaising between the parties and the Tribunal members.

#### **Research Services**

Research Services assists the Tribunal members, on large and complex cases, by cataloguing evidence and locating items in the record as directed by the Tribunal.

#### **Legal Services**

Legal Services provides the Tribunal with legal information, advice and representation.

## **Information Holdings**

### **Program Records**

#### **Registry Files**

**Description:** Case files containing the information concerning all complaints under the CHRA referred by the Commission; case files containing all information relative to applications from the Commission under the EEA and requests from employers under the EEA; administrative files pertaining to administrative matters in each case; judicial review files for those cases which have been the subject of such review by the Federal Court.

**Topics:** All documents necessary for Tribunal proceedings on each case, such as complaints, applications, requests, pleadings, notices, questionnaires, responses, transcripts and exhibits; all information relating to administrative matters of each case, such as bookings and travel arrangements; federal judicial review documents such as Notices of Application; final Tribunal decisions and Tribunal rulings.

**Access:** Files arranged by case file.

**Format:** Paper, some documents may be

available in electronic format.

**Program Record Number:** HRT REG 001

### Reports and Statistics

**Description:** Reports and various listings relating to the Tribunal, and other records.

**Topics:** Listing and record of Tribunal proceedings, list of decisions rendered; docket of cases; overview and statistical summary of Tribunal proceedings; record of postponements/adjournments; mediation report; case assignments; EEA record and listing of Tribunal proceedings; Tribunal's annual reports.

**Access:** Files arranged by subject.

**Format:** Paper, some documents may be available in electronic format.

**Program Record Number:** HRT REP 155

### Special Projects

**Description:** Documentation and information on special projects and meetings.

**Topics:** Consulting and Audit Canada Organizational Review; second language training; meetings with officials of foreign governments; Members' workshops/training programs; Tribunal Newsletter; implementation of amendments (CHRA) contract; Dispute Resolution Fund; Web page design; Human Rights Tribunal chairs' meetings; Principles of Conduct for Members of Federal Administrative Tribunals; EPAC (E-Filing Project Advisory Committee); Canadian Human Rights Tribunal Layperson's Guide; documents related to the Tribunal's independence and separation from the Commission; Service Improvement Initiative; policies and initiatives concerning unrepresented litigants.

**Access:** Files arranged by subject.

**Format:** Paper.

**Program Record Number:** HRT SPE 200

### Tribunal Members

**Description:** Information relating to individuals appointed to the Tribunal/ Tribunal Panel.

**Topics:** Governor in Council appointments; expiration dates of tribunal members' terms; resignations; form letters and mailings to members; biographical data, curricula vitae and questionnaires; complaints, enquiries and press clippings; directory of Tribunal Panel; code of conduct and conflict of interest; members' training; members' meetings; members' position profiles; members' Per Diem and Annual Retainer Survey.

**Access:** Files arranged by subject.

**Format:** Paper.

**Program Record Number:** HRT PAN 110

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Business Continuity Plans (BCP)

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

## Personal Information Banks

### Case Files

**Description:** Personal information pertaining to referrals for inquiries from the Commission under the CHRA; Commission applications under the EEA, or employers' requests under the EEA, including questionnaires, particulars, documents; correspondence, transcripts, and exhibits relating to a case and its parties; personal information relating to administrative aspects of all cases.

**Class of Individuals:** General public, parties, witnesses.

**Purpose:** To retain a record of all proceedings before the Tribunal.

**Consistent Uses:** Where a Tribunal decision or ruling is challenged before the Federal Court, relevant material from the corresponding case file is disclosed to the Court and to the parties involved.

**Retention and Disposal Standards:**

Information in this bank is retained for ten years and is then transferred to the National Archives of Canada for archival purposes.

**RDA Number:** 94/032

**Related PR#:** HRT REG 001

**TBS Registration:** 005321

**Bank Number:** HRT PPU 001

### Professional and Personal Service Contracts

**Description:** This bank contains information relating to the procurement and implementation of contracts and any correspondence with holders of contracts.

**Class of Individuals:** General public, individuals engaged under contract.

**Purpose:** The purpose of this bank is to maintain a record concerning professional and personal service contracts and to record payments made to individuals engaged under contract with the Tribunal.

**Consistent Uses:** To support decisions relating to the selection of qualified individuals to provide personal and professional services.

**Retention and Disposal Standards:** The information in this bank is retained for five years and is then transferred to the National Archives of Canada.

**RDA Number:** 94/032

**Related PR#:** HRT PRN 112

**TBS Registration:** 005322

**Bank Number:** HRT PPU 120

### Tribunal Members

**Description:** This bank contains biographies and other information such as employment histories, addresses, phone numbers, fees and

travel expense claims etc.

**Class of Individuals:** Individuals appointed to the Tribunal/ Tribunal Panel by order of the Governor in Council.

**Purpose:** To retain a personnel record of members of the Tribunal/Tribunal Panel and their experience related to human rights issues.

**Consistent Uses:** This information would be used to deal with outstanding claims by members for fees, expenses, etc. and to contact inactive members to deal with outstanding issues arising out of cases. Biographical information of current members is made available on the Canadian Human Rights Tribunal website.

**Retention and Disposal Standards:** The information in this bank is retained for five years after the expiry of each member's term, then transferred to the National Archives of Canada for archival purposes.

**RDA Number:** 94/032

**Related PR#:** HRT PRN 110

**TBS Registration:** 005323

**Bank Number:** HRT PPU 110

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Business Continuity Planning (BCP)

Electronic Network Monitoring Logs

Executive Correspondence Management Systems

Hospitality

Relocation

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel

## Classes of Personal Information

In the course of conducting the general programs and activities of the Tribunal, categories of personal information may be accumulated which are not contained in the specific personal information banks described above. Such personal information may consist of compliments, complaints (other than complaints made under the CHRA and referred



to the Tribunal by the Commission), suggestions, opinions, proposals, enquiries, mailing lists and other correspondence which may include names, addresses, telephone numbers, etc. This type of information is not normally retrievable by the name of an individual or other personal identifier. It can be located only if specific and sufficient details are provided concerning the event or activity of interest. The retention period of this information is controlled by the records disposal schedules of the general subject files in which it is stored.

## Manuals

- Administrative Assistance Manual
- Tribunal Members Manual
- Registry Officer Manual

## Additional Information

Further information about the Canadian Human Rights Tribunal and its different publications may be obtained by contacting:

Access to Information and Privacy Coordinator  
Canadian Human Rights Tribunal  
160 Elgin Street, 11th Floor, Suite A-100  
Ottawa ON K1A 1J4  
Tel.: (613) 995-1707

## Reading Room

In accordance with the Access to Information Act, an area on the premises of the Canadian Human Rights Tribunal office is made available as a public reading room. The address is the same as above.

# Canadian Institutes of Health Research

## Chapter 36

### General Information

#### Background

CIHR (Canadian Institutes of Health Research) is the major federal agency responsible for funding health research in Canada. The CIHR concept is an innovative one - a multi-disciplinary approach organized through a framework of thirteen "virtual" institutes, each dedicated to a specific research area, linking and supporting researchers pursuing common goals. Institutes bring together researchers who approach health challenges from different disciplinary perspectives, drawing on the combined strengths of these approaches. The four pillars of CIHR include biomedical, clinical science, health systems and services, and the social, cultural and other factors that affect the health of populations. CIHR Institutes are not centralized "bricks and mortar" facilities, they are "virtual" organizations that fund researchers located in universities, hospitals and other research centres across Canada. CIHR Institutes are a source of scientific leadership establishing priorities that facilitate research efforts in Canada.

#### Responsibilities

According to the Canadian Institutes of Health Research Act, the objective of the CIHR is to excel, according to internationally accepted standards of scientific excellence, in the creation of new knowledge and its translation into improved health for Canadians, more effective health services and products and a strengthened Canadian health care system.

The institutes promote and build upon Canada's firm foundation of research excellence. They engage the research community and encourage interdisciplinary, integrative health research. Through their Scientific Directors and Institute Advisory Boards and under the guidance of the Governing Council, they work together to forge a health research agenda across disciplines, sectors, and regions that embraces scientific opportunity and reflects the emerging health needs of Canadians, the evolution of the health care system and the information needs of health policy decision-makers. They facilitate partnerships and accelerate the transfer of new knowledge into benefits for Canadians.

#### Legislation

- Canadian Institutes of Health Research Act, Chapter 6, Statutes of Canada 2000

#### Organization

CIHR is run by a President and a Governing Council of 19 members. The Governing Council sets the overall strategic direction, goals and policies. It establishes, maintains, and terminates Health Research Institutes and determines the mandate of each. As outlined in the legislation, the Governing Council is responsible for the management of the CIHR, including: developing its strategic directions, goals and policies; evaluating its overall performance, including with respect to achievement of its objective; approving its budget; establishing a peer review process for research proposals made to the CIHR; approving funding for research; approving other expenditures to carry out its objective; establishing policies respecting consulting and collaborating with persons and organizations that have an interest in health research; and dealing with any other matter that the Governing Council considers related to the affairs of the CIHR.

Thirteen research Institutes have been created in the areas of Aboriginal Peoples' Health, Aging, Cancer Research, Circulatory and Respiratory Health, Genetics, Gender and Health, Health Services and Policy Research, Human Development, Child and Youth Health, Infection and Immunity, Musculoskeletal Health and Arthritis, Nutrition, Metabolism and Diabetes, Neurosciences, Mental Health and Addiction, Population and Public Health.

Led by Scientific Directors and guided by the wisdom of Institute Advisory Boards composed of various health stakeholders, Institutes encourage researchers, voluntary health organizations, government and other partners to work together to shape the Canadian research agenda and translate research findings into practice within Canada's health system.

All applications for Grants and Awards are subject to a rigorous peer review process by volunteer committees of experts in their fields. Successful applications are approved by Council. Day to day CIHR activities are conducted by a Secretariat of approximately 350 employees located in Ottawa.

## Secretariat

The Secretariat, which has the general responsibility for the administration of the Mandate, is divided into an Ethics branch and four portfolios under the direction of four Vice-Presidents:

### Ethics

Responsible for ethics in research

### Corporate Affairs Portfolio

#### Governance

Responsible for coordination of activities and meetings of Governing Council and various Executive Committees involved in corporate governance of CIHR

#### Corporate Performance Management

Responsible for the auditing of CIHR

#### Corporate Planning and Policy

#### Evaluation and Analysis

Responsible for the analysis and data both within CIHR and to the research community

#### Communications and Marketing

#### Web Services

Responsible for promoting the nature, scope and significance of health research in Canada

#### Service and Operations Portfolio

#### Finance and Administration

#### ITMS

Responsible for records management, access to information and privacy, and Information Technology Services

#### Human Resources

#### Partnerships and Knowledge Translation Portfolio

#### Partnerships & Alliances

Responsible for initiating and maintaining strategic alliances and partnerships between CIHR, related federal, provincial and municipal agencies and voluntary and non-for profit organizations and industry partners as well as managing information and communications related to such alliances.

#### External Relations

Responsible for identifying and initiating strategic opportunities for partnerships between CIHR and relevant international universities, organizations and researchers

## Knowledge Translation

Responsible for strengthening among health researchers and users of health knowledge, enhancing capacity for knowledge uptake, and accelerating the flow of knowledge into beneficial health applications

### Research Portfolio

Responsible for the grants and awards programs administrated by CIHR and the peer review process

### Knowledge Creation Programs

Responsible for the stream operating the competition, peer review, and grant administration functions

### Research Translation Programs

Responsible for the translation of research findings into improved health products, health care practices and services, always looking for optimum ways to exchange knowledge between researchers and users

### Research Planning and Resourcing

Responsible for the coordination of the cross-CIHR teams involved in planning and implementing strategic research initiatives

### Research Capacity Development

Responsible for programs that support trainees and career investigators and assists researchers applying to CIHR through a help desk, grants craft sessions, and an expanded committee observers program

## Information Holdings

### Program Records

#### Secretariat Ethics

##### Ethics

**Description:** Responsible for developing and enforcing policy and guidelines in regard to research ethics, as well as encouraging interdisciplinary, innovative and integrative research on ethical issues pertaining to health.

**Topics:** Organization of conference; publication of policies.

**Access:** Information arranged by subject, by committee or by name.

**Format:** Computerized database and paper files.

**Program Record Number:** CIHR CIHR 275

## Corporate Affairs Portfolio

### Canada on the Move: Step One

**Description:** Information about a 'natural experiment' conducted by the Institute of Nutrition, Metabolism and Diabetes (INMD). The purpose is to collect voluntary feedback from members of the public using pedometers. The information gathered will be used to further INMD's strategic priority in obesity and healthy body weight research.

**Topics:** Aggregate data; administration of the project; general correspondence.

**Access:** Information arranged by e-mail address if supplied by participant (optional).

**Format:** Computerized database

**Program Record Number:** CIHR CIHR 420

### Governance

**Description:** Information related to the organizational structure, memberships, agenda, minutes and activities of CIHR and its committees; as well as records related to corporate policy and the strategic plan; program evaluation.

**Topics:** Terms of reference, agenda and minutes; membership; committees; strategic plan.

**Access:** Information arranged by subject or committee.

**Format:** Paper case files.

**Program Record Number:** CIHR CIHR 290

### Communications and Marketing

**Description:** Information related to the administration and management of CIHR's internal and external communication function including publishing, public and media relation.

**Topics:** Communications; exhibits; public relations; publications.

**Access:** Files arranged by subject.

**Format:** Paper subject files.

**Program Record Number:** CIHR CIHR 295

## Service and Operations Portfolio

### Service and Operations

**Description:** Information relating to the following functional areas: Human Resources; Finance and Administration; Information Systems and Technology; Records, Access to Information, Privacy and Security.

**Topics:** Staff relations and Compensation, Human Resources information management; Financial management; operational plans; Financial analysis and planning; assets management and administrative services; Information management; inventory of electronic data; information systems design, implementation and maintenance; CIHR's program evaluation; essential records program; Access to Information and Privacy Acts; Security.

**Access:** Information arranged by subject and name.

**Format:** Computerized database and paper files.

**Program Record Number:** CIHR CIHR 280

## Research Portfolio

### Knowledge Creation Programs

**Description:** Information related to a series of CIHR's programs designed to support research projects and salaries of scientists.

**Topics:** Grants and awards.

**Access:** Files arranged by name of principal applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 285

### Career Investigators

**Description:** Originally called the Associateship Program, the Career Investigators program was established in 1956 as a means of providing funds for salaries of a limited number of individuals of outstanding ability and training who made research a full-time career. All awards were discontinued in the year 2000.

**Topics:** Individual career investigator applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 055

### CIHR Genomics Research Program

**Description:** This funding program has been discontinued. This program has as its objectives the analysis of the human and other selected genomes and proteomes, including the development of related technologies and bioinformatics, and the study of corresponding medical, ethical, legal and social issues.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 305

### Clinician-Scientists

**Description:** The Clinician-Scientist Award is offered to highly qualified and motivated clinicians who have been identified by a Canadian medical or dental school as having strong potential to become clinician-scientists.

**Topics:** Applications; committee assessment; notification and administration of the award;

general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 165

### Doctoral Research Awards

**Description:** Doctoral Research Awards are intended to provide special recognition and support to students who are pursuing a doctoral degree in the health sciences in Canada or abroad.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 300

### Equipment Grants

**Description:** Applications for Equipment Grants will be considered in relation to the proposed science of the project for which the equipment is required. Where equipment is required for a project for which an application is being submitted for an operating grant, the equipment should be included in it.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 020

### Fields of Research

**Description:** Information on speciality areas of health research for which CIHR has some responsibility.

**Topics:** Research in the fields of dentistry; schools of pharmacy; psychology; occupational health and safety; gerontology; surgery and veterinary medicine; space research; mental research; general correspondence.

**Access:** File arranged by subject.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 115

### Fund for Research in the Fields of Dyskinesia and Torticollis

**Description:** The Fund is used for the support of basic and/or clinical research, in the broad field of movement disorders known as dyskinesia and more particularly for research in the movement

disorder known as torticollis.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 111

### CIHR Groups

**Description:** This funding program is closed to new applicants until further notice. CIHR groups provide full support for teams of accomplished investigators who wish to develop collaborative programs in what appear to be especially productive areas.

**Topics:** Application of group director and colleagues; executive and Governing Council decisions; administration of the group; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 030

### Health Professional Student Research Awards (formerly known as the Burroughs Wellcome Fund Student Research Awards)

**Description:** A number of awards will be provided each year to each Canadian School of medicine, dentistry, veterinary medicine, pharmacy, optometry, ophthalmology, nursing, midwifery, audiology/speech language pathology, dietetics, occupational therapy, chiropractic medicine, physiotherapy, athletic therapy, respiratory therapy, social work and clinical psychology programs to enable health professional students to gain exposure to research at any time throughout the year.

**Topics:** Deans' reports; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 085

### Health Research Programs of Excellence

**Description:** These programs are trans-disciplinary research programs representing at least two of the four themes of health research, with an emphasis on research translation between the themes, and focused on an important health problem.

**Topics:** Individuals' applications; committee decisions, administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 425

### **Institutional Establishment and Development Grant**

**Description:** To increase the capacity of all Canadian research institutions to undertake excellent health research. Accordingly, it announces a one-time opportunity for Institutional Grants, with two specific objectives:

**Establishment Grants:** To facilitate the recruitment to Canadian institutions of excellent international health researchers, or Canadian citizens who have established their reputation for excellence in health research through careers developed outside Canada.

**Development Grants:** To permit underdeveloped institutions to undertake activities which will increase their competitiveness in applications for CIHR funding.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 345

### **Intellectual Property Management Program**

**Description:** Accelerate the transfer of knowledge and technology residing in Canadian universities and hospitals for the benefit of Canada. IPM grants are intended to strengthen the ability of these institutions to manage their intellectual property, to attract potential users and to promote the professional development of intellectual property personnel. The ultimate goal is to contribute to the strengthening of Canada's competitiveness in a knowledge-based global economy. A joint participation with the Natural Sciences and Engineering Research Council (NSERC) and the Social Sciences and Humanities Research Council (SSHRC).

**Topics:** Individual applications to NSERC; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 405

### **Interdisciplinary Capacity Enhancement (ICE) Team Grant Program**

**Description:** This program is to provide support for new or existing groups who can demonstrate that they are committed to engendering a trans-disciplinary research culture and to attracting into, engaging and mentoring junior researchers (faculty and post-doctoral fellows not otherwise funded) or established researchers who have not worked extensively in health research in the past.

**Topics:** Individuals' applications; committee decisions, administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 435

### **Interdisciplinary Health Research Teams (IHRTs)**

**Description:** Interdisciplinary Health Research Teams (IHRTs) consist of five or more researchers who pool their expertise, different perspectives, and resources to address or resolve an important health research issue.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 320

### **International Scientific Exchange**

**Description:** CIHR participates in a number of exchange programs each with a separate agreement, which are intended to foster collaboration between scientists in Canada and those in Argentina, Brazil, the People's Republic of China, France and Italy.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 185

### **Investigators**

**Description:** This program has been discontinued. The program provides salary support for independent investigators who have made outstanding contributions and have demonstrated leadership in their field. It is intended for health researchers who, early in their

career, have developed a reputation for excellence in research.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 060

#### **Maintenance Grants**

**Description:** The program provides for the cost of maintaining instruments that are not part of shared facilities and are required for the conduct of ongoing research for a single CIHR operating grant, or for several CIHR research grants held by one or two investigators.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 025

#### **Multi-User Maintenance Grants**

**Description:** This program covers the costs of maintaining facilities which are shared by groups of researchers within a department, faculty, university or region.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 175

#### **MD/PHD Program Studentships**

**Description:** Studentships are offered to students who are registered in a combined MD/PHD program at Canadian institutions that offer such a program.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 080

#### **Michael Smith Prize in Health Research**

**Description:** In 1993, Dr. Michael Smith shared the Nobel Prize for chemistry for discovering and developing a crucial technique, known as site-

directed mutagenesis, used in genetic engineering. His discovery enabled researchers to gain enormous insights into the structure and function of genes and proteins. To honour Dr. Smith, CIHR has established the Michael Smith Prize in Health Research.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 245

#### **Multi-User Equipment Grants**

**Description:** CIHR will consider applications for multi-user equipment grants to augment the research capabilities of a large number of funded investigators within an institution or region.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 180

#### **New Investigators**

**Description:** This program is intended to provide the opportunity for new investigators to develop and demonstrate their independence in initiating and conducting health research.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 065

#### **Operating Grants**

**Description:** Information about operating grants to provide support for new or continuing research activities by individuals or small groups of investigators working in collaboration.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 010

**Opportunity Program**

**Description:** The Opportunity Program supported workshops, consensus conferences, strategic planning exercises and similar activities. The program was offered only in FY 1999/2000.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 315

**Partnerships**

**Description:** Information related to CIHR's Partnership Research Program which aims to increase the number of grants, awards for training and other forms of salary support.

**Topics:** Various agreements between CIHR and Pharmaceutical companies, non-profit Organizations and Government. See CIHR web site for complete listing of Agreements. ([www.cihr-irsc.gc.ca](http://www.cihr-irsc.gc.ca))

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 240

**Postdoctoral Fellowships**

**Description:** Postdoctoral Fellowships provide support for highly qualified candidates to add to their experience by engaging in research either in Canada or abroad. A candidate must hold, or be completing, either a PhD or a health professional degree (or equivalent) in a field such as medicine, dentistry, pharmacy, optometry, veterinary medicine, chiropractic, nursing or rehabilitative science.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 075

**President's Fund**

**Description:** Information related to funds made available for grants and awards in support of projects that cannot benefit from the assistance available under the CIHR's regular programs.

**Topics:** Individual requests; decisions; administration; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Paper case files.

**Program Record Number:** CIHR CIHR 270

**Proof of Principle Program**

**Description:** The objective of this program is to facilitate and improve the efficiency of the commercial transfer to knowledge and technology resulting from CIHR-funded grants and awards.

**Topics:** Individual applications; reviews by external referees; committee assessments; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 330

**Randomized Controlled Trials (formerly Clinical Trials)**

**Description:** A randomized controlled trial (RCT) is a study involving humans where at least two interventions in health care (possibly including placebo or standard care) are compared using random allocation, statistical methodologies and blinding techniques.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 160

**Science Writer Scholarships**

**Description:** CIHR has established scholarships at both undergraduate and graduate levels to increase the number of Canadian science writers engaged in communicating the findings and implications of health research.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 365

**Senior Investigators**

**Description:** This funding program has been suspended until further notice. This program is designed to contribute to the salary of investigators of exceptional merit who are leaders in their field having more than ten years' experience as an independent investigator.

**Topics:** Individual applications; committee decisions; administration of award; general



correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 255

### Senior Research Fellowships

**Description:** This funding program has been suspended until further notice. Senior Research Fellowships are offered to outstanding candidates who have been identified by a Canadian institution as having strong potential to become an independent investigator.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 070

### Short-term Exchange Grant

**Description:** Designed to facilitate cross-disciplinary training opportunities by providing financial support primarily to biomedical and health-associated researchers, for short-term (three months maximum) exchange visits to appropriate research centres for specialized training.

**Topics:** Applications; reviews by the Institute of Genetics; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 410

### Special Projects

**Description:** This program has been suspended until further notice. CIHR will consider projects in those subject areas which do not fall within the terms of reference of any of its regular programs.

**Topics:** Applications; reviews by external referees; committee assessment; notification and administration of grants; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 195

### Strategic Programs Announced through the Request for Application Process

**Description:** Strategic Programs refer to research funding and/or training initiatives related to CIHR priorities and designed to contribute to

CIHR strategic initiatives. Strategic programs, particularly CIHR Institute funding opportunities are launched through Requests for Applications (RFAs) twice a year.

**Topics:** Please refer to CIHR's website for a complete listing of RFAs, ([www.cihr-irsc.gc.ca](http://www.cihr-irsc.gc.ca)).

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 500

### The Michael Smith Awards for Research Personnel

**Description:** In 1993, Dr. Michael Smith was honoured with the Nobel Prize for Chemistry for his discovery and development of a crucial technique, known as site-directed mutagenesis, used in genetic engineering. His discovery enabled researchers to gain enormous insights into the structure and function of genes and proteins. Throughout his career, Dr. Smith strongly encouraged young people to pursue science as a career, and he has used his prize to promote science, encourage women to pursue interests in science and support research on severe mental illnesses, especially schizophrenia. In honouring Dr. Smith's scientific accomplishments and his lifelong promotion of science, CIHR offers Doctoral Research Award, Postdoctoral Fellowship and New Investigator awards in his name.

**Topics:** Individual applications; committee decisions; administration of the award; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 250

### Training Program Grants

**Description:** A CIHR Training Program consists of a group of excellent mentors/educators, accomplished in health research, who work collaboratively to offer a research training program of defined format and content to a group of trainees.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 325

**Tri-Council Workshop/Networking Program**

**Description:** The objective of this program was to help the research community to plan collaborative research projects to be submitted to CIHR and health-related programs of the granting councils. The program was offered only in FY 1999/2000.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 310

**Workshops and Symposia**

**Description:** This funding program has been discontinued effective September 1, 2003. As part of its program for research in the health sciences, CIHR is prepared to support a limited number of applications for the support of workshops and certain types of symposia held in Canada.

**Topics:** Individual applications; committee decisions; administration of the grant; general correspondence.

**Access:** Information arranged by name of applicant.

**Format:** Computerized database and paper case files.

**Program Record Number:** CIHR CIHR 112

**Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Automated Document Records and Information Management System

Budgets

Buildings and Properties

Business Continuity Planning

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

**Personal Information Banks****Canada on the Move: Step One (CMSO)**

**Description:** This database contains information about a "natural experiment" conducted by the Institute of Nutrition, Metabolism and Diabetes (INMD).

**Class of Individuals:** Members of the public.

**Purpose:** The purpose of this information is to create a quality database that would be made available to health researchers with an interest in studying obesity and physical activity.

**Consistent Uses:** Personal information to be used for research purposes only by investigators in a "natural experiment".

**Retention and Disposal Standards:** Information will be retained for ten years and then destroyed.

**RDA Number:** 95/020

**Related PR#:** CIHR CIHR 420

**TBS Registration:** 005771

**Bank Number:** CIHR PPU 055

**Governance****Membership of Governing Council, Institute Advisory Boards (IABs) and Committees**

**Description:** This bank contains letters nominating individuals for service on Governing Council, IABs and its committees, letters of invitation, thank you letters and Conflict of Interest

Acknowledgement. The membership of Governing Council, IABs and Committees is made public. Persons requesting access should provide name, affiliation, name of committee and date of membership.

**Class of Individuals:** Members of the health science community, federal employees and members of the public.

**Purpose:** The information is used to assist in the selection and appointment of members for the membership of Governing Council, IABs and its Committees.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Files in this bank are retained for eight years: active two years and dormant six years. They are then transferred to the National Archives of Canada for selective retention.

**RDA Number:** 95/020

**Related PR#:** CIHR CIHR 290

**TBS Registration:** 000528

**Bank Number:** CIHR PPU 020

## Ethics

### Compliance - Integrity in Research and Scholarship

**Description:** This bank includes correspondence and reports collected and generated in the course of monitoring institutional and individual compliance with the Tri-Council Policy Statement on Integrity in Research and Scholarship. It may include allegations of non-compliance, requests from CIHR to research institutions to explore allegations, summaries of institutional findings and sanctions imposed by CIHR or Universities.

**Class of Individuals:** Individuals who make allegations about breaches of the Tri-Council Policy Statement on Integrity in Research and Scholarship, individuals who are the subject of allegations, officials in research institution or in the academic community involved in determining whether allegations are well-founded.

**Purpose:** The purpose of this bank is to monitor the compliance of research institutions and individual researchers with the Tri-Council Policy Statement on Integrity in Research and Scholarship.

**Consistent Uses:** This information is used to monitor the different policies and procedures established in regards to ethics.

**Retention and Disposal Standards:** Five years after the last administrative action and then destroyed. Summary Information related to sanctions maintained for the duration of the sanction.

**RDA Number:** 95/020

**Related PR#:** CIHR CIHR 275

**TBS Registration:** 003980

**Bank Number:** CIHR PPU 050

## Services and Operations

### Applicants' History Sheets and Notification of Award

**Description:** This bank contains Applicants' History Sheets for individuals, which are kept in the Programs Branch. These sheets, which are cumulative over the life of the program, are identified by the applicant's name and file number. They also contain information such as the title of the grant application, amount requested and funded or rejected. The Finance Section also keeps copies of notifications of awards, which contain the applicant's name, address, university, grant number and amount awarded. This information relates to investigators holding an academic appointment in a Canadian Health Science Faculty, and Research Trainees. This information is used to maintain a history of the CIHR's financial support to individuals.

**Class of Individuals:** Investigators holding an academic appointment in a Canadian School of medicine, dentistry, veterinary medicine, nursing, optometry, or pharmacy.

**Purpose:** This bank is used to identify applicants and to constitute a history of CIHR support to individuals and organizations.

**Consistent Uses:** The information collected is to provide historical data which assists the peer review process.

**Retention and Disposal Standards:** The bank is updated annually and retained permanently.

**RDA Number:** 95/020

**Related PR#:** 010, 015, 020, 025, 030, 045, 160, 240, 245, 320, 325, 330, 335, 340, 345, 350, 355, 360, 370, 375, 385, 390, 395, 400, 405, 425, and 435

**TBS Registration:** 003368

**Bank Number:** CIHR PPU 045

### Application for Employment File

**Description:** The purpose of this bank is to maintain a record of information relating to applications for employment received from the general public. This bank contains completed application forms, letters and curricula vitae of persons interested in working for the CIHR. Access to this bank will require name, address and date of birth.

**Class of Individuals:** General public.

**Purpose:** It is used to select candidates for Canadian Institutes of Health Research when vacancies arise.

**Consistent Uses:** The bank is used in the staffing of positions at CIHR.

**Retention and Disposal Standards:** Records

are retained for two years and then destroyed.

**RDA Number:** 98/005

**Related PR#:** CIHR CIHR 280

**TBS Registration:** 000669

**Bank Number:** CIHR PPU 030

## Partnership and Knowledge Translation Portfolio

### Partnerships Grants and Awards Application and Assessment Records

**Description:** This bank contains supporting documentation of proposed projects and of individual applications for funding under one of the several Partnership programs sponsored by the CIHR. It contains applications, third-party assessments, committee assessments, site visit-reports, and training, travel and financial administration details on the support of successful applicants. Individuals identified are those applicants meeting the criteria for each program, as amended from time to time, and published in the Canadian Institutes of Health Research's Grants and Awards Guide.

**Class of Individuals:** This information relates to investigators holding an academic appointment in a faculty of health science in a Canadian university, or employees of a company (the term "company" is understood to mean an organization, industry or consortium which produces health care products or services).

**Purpose:** This information is used to evaluate the relative merits of the proposals (with the purpose of funding or not funding) and for observing the progress of those proposals that are funded.

**Consistent Uses:** CIHR also uses information in this bank to identify prospective referees and committee members, to evaluate its programs, and to produce statistics and planning information. Some data is shared between the CIHR and participants in this program.

**Retention and Disposal Standards:** Files in this bank are retained for eight years: active two years after termination or rejection of special program and dormant six years. They are then transferred to the National Archives of Canada for selective retention.

**RDA Number:** 95/020

**Related PR#:** CIHR CIHR 240

**TBS Registration:** 003369

**Bank Number:** CIHR PPU 040

## Research Portfolio

### Grants Applicants and Committee Records

**Description:** The purpose of this bank is to maintain a record of the applications and assessment records of health scientists applying for funding of research projects by CIHR. It

contains the relevant Canadian Institutes of Health Research application form and supporting data presented by the applicant, referee and committee assessments of the project, the ranking awarded, the decision of CIHR, and if successful, the financial and administrative data pertaining to its support. Individuals identified are those making project proposals to CIHR.

**Class of Individuals:** Investigators pursuing health research at a Canadian institution.

**Purpose:** Information in the bank is evaluated to assess the relative merit of the proposal for the purpose of funding or not funding the project.

**Consistent Uses:** Information in the bank provides the basis for planning and budgeting of health sciences research activities by CIHR, and is useful in the monitoring of the peer review system. Information is shared with the Natural Sciences and Engineering Research Council (SER PPU 004) and the Social Sciences and Humanities Research Council (SHR PPU 015, 020). The results of competitions are forwarded to university research administration officers and Dean's Offices who are responsible for processing applications from their institutions before sending them to CIHR, for administering the grants and for informing the candidates of the outcome of their applications.

**Retention and Disposal Standards:** Files in this bank are retained for eight years: active two years after termination or rejection of grant and dormant six years. They are then transferred to the National Archives of Canada for selective retention.

**RDA Number:** 95/020

**Related PR#:** CIHR CIHR 010, 015, 020, 025, 030, 045, 160, 240, 245, 320, 325, 330, 335, 340, 345, 350, 355, 360, 370, 375, 385, 390, 395, 400, 405, 425, 435

**TBS Registration:** 000525

**Bank Number:** CIHR PPU 005

### Awards Applicants and Committee Records

**Description:** This bank contains records of individual applications for funding under one of several personnel support programs sponsored by the CIHR. It contains applications, third-party appraisals, committee assessments, training, travel and financial administration details on the support of successful applicants. Individuals identified are those applicants meeting the criteria for each program as amended from time to time and published in the Canadian Institutes of Health Research Grants and Awards Guide.

**Class of Individuals:** Research trainees with BSc, MD, DDS, DVM, MSc, PhD, and D. Pharmacy professors holding an appointment at

Canadian institutions engaged in health research.

**Purpose:** Information in this data bank is used to assess the education and other requirements necessary to meet the criteria of the applicable program, and to evaluate the merits of the application for funding.

**Consistent Uses:** Information in the bank provides the basis for planning and budgeting of health sciences research activities by CIHR, and is useful in the monitoring of the peer review system. Information is shared with the Natural Sciences and Engineering Research Council (SER PPU 015) and the Social Sciences and Humanities Research Council (SHR PPU 010). The social insurance number is required from the recipients of certain awards to comply with the Income Tax Act. The results of competitions are forwarded to university research administration officers and Dean's Offices who are responsible for processing application from their institutions before sending them to CIHR, for administering the grants and for informing the candidates of the outcome of their applications.

**Retention and Disposal Standards:** Files in this bank are retained for eight years: active two years after termination or rejection of award and dormant six years. They are then transferred to the National Archives of Canada for selective retention.

**RDA Number:** 95/020

**Related PR#:** CIHR CIHR 055, 060, 065, 070, 075, 080, 085, 100, 105, 110, 145, 150, 155, 165, 250, 255, 260, 270, 300, 335, 365, 380

**TBS Registration:** 000526

**Bank Number:** CIHR PPU 010

#### **Lists of External Referees**

**Description:** This bank contains names, affiliation and mailing address of individuals, in Canada and abroad, who are asked by CIHR to review proposals for grants and awards. The information is used to select external referees for research proposals. Persons requesting access should provide field of research, name and affiliation.

**Class of Individuals:** Members of the health science community in Canada and abroad.

**Purpose:** The information is used to select external referees for research proposals.

**Consistent Uses:** This bank is used to maintain and renew membership for the peer review process.

**Retention and Disposal Standards:** The information is retained until superseded by updates or withdrawals of individuals. Withdrawn referee names are kept for two years (active) and six years dormant for reference purposes and

then transferred to National Archives of Canada for selective retention.

**RDA Number:** 95/020

**Related PR#:** 010, 015, 020, 025, 030, 045, 160, 240, 245, 320, 325, 330, 335, 340, 345, 350, 355, 360, 370, 375, 385, 390, 395, 400, 405, 425 and 435

**TBS Registration:** 000668

**Bank Number:** CIHR PPU 025

#### **Special Programs Application, Assessment Records and Other Programs**

**Description:** The purpose of this file is to provide supporting documentation of proposed projects for funding by the Canadian Institutes of Health Research. It contains applications, third-party assessments, and administrative correspondence in the funding of successful projects. Some files identify individuals of the health services scientific community making proposals to CIHR.

**Class of Individuals:** Investigators holding an appointment at a Canadian institution engaged in health research.

**Purpose:** Information in the bank is used to evaluate the relative merits of the proposals with the purpose of funding or not funding and for observing the progress of those that are funded.

**Consistent Uses:** Information in the bank provides the basis for planning and budgeting of health sciences research activities by CIHR, and is useful in the monitoring of the peer review system. Information is shared with the Social Sciences and Humanities Research Council (SHR PPU 025) and Health Canada (HCan PPU 105). The results of competitions are forwarded to university research administration officers and Dean's Offices who are responsible for processing application from their institutions before sending them to CIHR, for administering the grants and for informing the candidates of the outcome of their applications.

**Retention and Disposal Standards:** Files in this bank are retained for eight years: active two years after termination or rejection of special program and dormant six years. They are then transferred to the National Archives of Canada for selective retention.

**RDA Number:** 95/020

**Related PR#:** CIHR CIHR 045, 111, 112, 113, 305, 310, 315

**TBS Registration:** 000527

**Bank Number:** CIHR PPU 015

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Documents, Records, Information Management Systems

Business Continuity Planning (BCP)

Electronic Network Monitoring Logs Hospitality

Relocation

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel

## Manuals

- Background Legal Research and Analysis in Support of CIHR's Recommendations with Respect to the Personal Information Protection and Electronic Documents Act (PIPEDA)
- Blueprint 2007
- CIHR Menu of Rural Health Research Themes
- CIHR – Report on Plans and Priorities 2003-2004
- CIHR: Transforming Health Research in Canada
- Compendium of Canadian Legislation respecting the Protection of Personal Information in Health Research, 2000
- Draft Case Studies Involving Secondary Use of Personal Information in Health Research
- Ethics Office Report of Activities, September 2001 – February 2003
- Final Report of the Working Group on Partnership
- Grants and Awards Guide
- Health Research – The Foundation of a Sustainable Canadian Health Care System
- Human Pluripotent Stem Cell Research: Guidelines for CIHR-Funded Research
- Human Pluripotent Stem Cell Research: Recommendations for CIHR-Funded Research
- Human Stem Cell Research: Opportunities for Health and Ethical Perspectives

- Identification of a research agenda for the diagnosis, care and prevention of Hepatitis C in Canada
- Innovate
- Integrity in Research and Scholarship
- Joint CIHR-NSERC Written Submission on Bill C-15: Proposed Amendments to Provisions of Criminal Code Pertaining to Cruelty to Animals
- Laboratory Biosafety Guidelines
- National Forum to Identify Research Priorities for the Environmental Influences on Health
- Ontario Bill 159: An Act Respecting Personal Health Information and Related Matters
- Personal Health Information: Balancing Access and Privacy in Health Research, June 2000 Workshop Report
- Personal Information Protection and Electronic Documents Act: Questions and Answers for Health Researchers
- Policies and Procedures - Finance and Administration
- Recommendations for the Interpretation and Application of the Personal Information Protection and Electronic Documents Act in the Health Research Context
- Revolution – CIHR: Towards a National Health Research Agenda
- Secondary Use of Personal Information in Health Research: Case Studies, November 2002
- Selected International Legal Norms on the Protection of Personal Information in Health Research
- St. John's Rural Health Research Forum – Summary Notes
- Strategic Initiative in Rural and Northern Health Research
- Submission to Canada's Innovation Strategy
- Tri-Council Policy Statement - Ethical Conduct for Research Involving Humans

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about CIHR (Canadian Institutes of Health Research) and its various programs and functions may be directed to:

Director of Communication and Marketing  
Canadian Institutes of Health Research  
Room 97, 160 Elgin Street  
Address Locator 4809A  
Ottawa ON K1A 0W9  
Tel.: (613) 954-1812  
Fax: (613) 954-6653  
E-mail: [info@cihr-irsc.gc.ca](mailto:info@cihr-irsc.gc.ca)  
Web Site: [www.cihr-irsc.gc.ca](http://www.cihr-irsc.gc.ca)

## **Reading Room**

In accordance with the Access to Information Act, an area on the premises of Canadian Institutes of Health Research has been designated as a reading room. This reading room is located at the following address:

160 Elgin Street,  
Address Locator 4809A  
Ottawa ON K1A 0W9

# Canadian International Development Agency

## Chapter 37

### General Information

#### Background

The Canadian International Development Agency (CIDA) supports the sustainable development in developing countries in order to reduce poverty and to contribute to a more secure, equitable and prosperous world.

#### Responsibilities

CIDA is the federal agency responsible for implementing Canada's Official Development Assistance (ODA) program and for administering most of the ODA budget. CIDA's aid program is administered through a number of aid delivery channels: bilateral (government-to-government) assistance, multilateral development institutions, and supports the development activities of non-governmental organizations (NGOs) and the private sector.

#### Legislation

- Department of Foreign Affairs and International Trade
- Financial Administration Act
- International Development (Financial Institutions) Continuing Assistance Act

#### Organization

The Agency is headed by the President who reports directly to the Minister for International Cooperation. The Senior Vice-President, the Secretary General, eight Vice-Presidents, two Directors General, and one Chief Information Officer assist the President. These branches are: Africa and Middle East; Americas; Asia; Canadian Partnership; Central and Eastern Europe; Communications; Human Resources and Corporate Services; Information Management and Technology; Multilateral Programs; Performance and Knowledge Management; and Policy.

The President is the Chair of the Executive Committee, which also meets a second time, on a weekly basis for an operational meeting. The Executive Committee is supported by three key committees which have decision-making powers. These are: the Audit and Evaluation Committee; the Policy Committee; and the Corporate

Resources Committee. Seven sub-committees, in turn, support the three key committees.

The Corporate Secretariat is responsible for the coordination and the support of the Executive Committee. The Corporate Secretary is also responsible for ministerial correspondence, executive briefings, Access to Information and Privacy requests, Parliamentary Relations, Cabinet Liaison, as well as for providing administrative support to the Minister's office.

In addition, the President is supported by the Business Operations Group whose role is to rationalize the Agency's business processes and practices; foster innovation in programming; provide a forum to address cross-cutting /multi-branch issues; and to resolve operational branches issues.

The Ombudsman is also housed in the President's Office. The Ombudsman provides CIDA staff with a confidential, neutral, independent and informal process which facilitates fair and equitable resolution of workplace related issues

#### Policy Branch

Policy Branch formulates and maintains the ODA policy framework in support of the Agency's mandate and program priorities in the context of the Government of Canada's international policy objectives and interests. It monitors issues and trends in development assistance and provides strategic advice and information to the Minister, the Agency and other government departments on a wide range of long- and short-term development policy and strategic issues. The Branch also provides specialized expertise on scientific and technical matters and, in certain cases - e.g. environmental assessment - verifies Agency compliance with legislation.

Policy Branch takes the lead on strategic planning and management of the International Assistance Envelope. At the domestic level, the Branch works closely with other departments and agencies on policy research and development, as well as on issues management, to ensure that government policy reflects the full diversity of Canada's relationships with developing countries.

At the international level, the Branch focuses on improving the co-ordination of Canadian development policies with those of other donor countries - e.g., through the Development Assistance Committee of the OECD. Policy



Branch also helps to represent Canada's interests in international fora and verifies that relevant international commitments undertaken by Canada are reflected in the government's international development policies. Policy Branch includes three Directorates: (1) Policy Analysis and Development Directorate; (2) Governance and Social Development Directorate and (3) Corporate Planning and Co-ordination Directorate.

### **Performance and Knowledge Management Branch**

The Performance and Knowledge Management Branch helps improve CIDA's management performance and development effectiveness, through its internal audit, evaluation, results-based management and knowledge management activities. The Branch provides assurance, independent and objective information and advice to management on the continued relevance, success and cost-effectiveness of key CIDA policies, programs and projects, and on the effectiveness of the management systems, processes and practices. It gives methodological support to branches on performance measurement as well as on the development and implementation of performance measurement frameworks. The Branch also supports the Agency in its transition into a knowledge-based learning organization.

### **Multilateral Programmes Branch**

CIDA funds for multilateral programs are channelled through United Nations agencies and other international development organizations. In addition, CIDA and the Department of Finance provide funds to international financial institutions (IFIs) such as the Regional Development Banks and the World Bank. While the organizations are responsible for the administration of projects, Canada participates in their governing bodies to ensure that the organizations operate within the policy guidelines established by the Government of Canada, and that they advance Canada's development objectives in terms of their contribution to meeting the Millennium Development Goals. The Multilateral Branch is composed of five divisions.

### **Canadian Partnership Branch**

Within the Canadian International Development Agency (CIDA), the Canadian Partnership Branch (CPB) is responsible for international cooperation programs with colleges, universities, companies, non-governmental organizations, cooperatives, unions and associations.

CPB's programs are carried out in partnership with those organizations. The Branch's main objective is to help the Agency carry out its mandate of supporting sustainable development and reducing poverty in some of the poorest developing countries in the world.

Partner organizations design and carry out projects aimed at improving quality of life and building the capacities of local private sector and civil society. The resulting partnerships promote knowledge and development in the voluntary and private sectors, both in Canada and in the developing country.

CPB is providing strategic advice, knowledge sharing and financial support to 1,300 international cooperation programs and projects being carried out by almost 850 partners.

CPB is divided into five divisions: the Private Sector Division; the Voluntary Sector Division; the Agency Services and Canadian Relations Division; the Knowledge, Policy and Planning Division; and the Management and Operational Support Division.

### **Central and Eastern Europe Branch**

The Central and Eastern Europe Branch focuses on supporting democratic development and economic liberalization in Central and Eastern Europe and the former Soviet Union, by building mutually beneficial partnerships. Within this overall framework of promoting Canadian global interests and security, including nuclear safety, the Central and Eastern Europe Program aims to assist the transition to market-based economies; to facilitate Canadian trade and investment links with the region; and to encourage good governance, democracy and adherence to international norms.

The program works through partnerships, which transfer knowledge, skills and technology between Canadian organizations and those in the recipient country. In this way, Canada is helping the countries of Central and Eastern Europe reorient their human resources, build and adapt key institutions, and develop the policies needed to run a stable market economy and modern democracy - and, ultimately, to attract more foreign trade and investment. The program also aims to improve the safety of Soviet-designed nuclear power stations and continues to provide humanitarian assistance in countries such as Tajikistan.

Canada has funded a program in Central and Eastern Europe since 1989, but it is only since 1995 that CIDA has delivered this assistance on

behalf of Canadians. The special budget for helping countries in transition is in addition to, and separate from, the official development assistance (ODA) budget.

### **Africa and Middle East Branch**

CIDA's Africa and Middle East Branch is headed by a Vice-president and is subdivided into ten divisions: Policy, Strategic Planning and Technical Services; Management Services and Employee Development; North Africa and Middle East; Sahel and Ivory Coast; Atlantic West Africa; Gulf of Guinea Region; Southern Africa; Eastern Africa and the Horn of Africa; Central Africa and Great Lakes; and Panafrican Program and Francophonie.

As well, the Canada Fund for Africa is administered by a separate Secretariat within the Branch.

The policies and strategies developed for cooperation with Africa and the Middle East complement Canada's foreign policy objectives and are in line with the specific mandate of CIDA. The Branch has two principle objectives: poverty reduction and the promotion of Peace and security.

### **Americas Branch**

The Americas Region is composed of the following six geographic divisions: the Caribbean; Haiti, Cuba and the Dominican Republic; Central America; Andes, Brazil and Southern Cone and the Inter-American programme. In addition, for programme management and policy co-ordination purposes, the Branch has a Policy, Planning and Management Division.

The Americas Region is highly diverse geographically, developmentally, and with respect to resource distribution. CIDA supports development activities that promote social, political, economic and environmental sustainability through a strategy of promoting a more equitable economic growth and poverty reduction. Sectors of involvement include: health, water and sanitation, education, child protection, agriculture, economic development, environment, forestry, fisheries, transport, energy, telecommunications, and mining.

Activities in the area of social development, institutional support, and industrial co-operation can be funded through Bilateral, Multilateral, and Partnership channels and implemented by Non-Governmental Organizations (NGOs), Non-Governmental Institutions (NGIs), and private sector enterprises. CIDA also supports small

development projects in almost all countries through the Canada Fund for Local Initiatives. CIDA promotes equality between women and men through all of its activities as well as through regional gender equality funds.

### **Asia Branch**

The principal role of Asia Branch is to plan, develop and implement Canada's bilateral development cooperation program in Asia by matching Canadian capabilities and resources with the needs of recipient countries.

Under the direction of a Vice-president, Asia Branch comprises six geographic program divisions as well as a strategic planning and policy division and a strategic management division. Each geographic program is responsible for the identification, development and management of development cooperation activities with one or several recipient countries.

The goal of Asia Branch is to promote growth with equity in Asia including strengthening the basis for its prosperity and promoting security within the region. It has adapted its programs and projects to meet the changing realities of the diverse economies of the region and therefore undertakes a wide range of specific development initiatives, from direct grassroots poverty reduction to helping local governments improve economic and social policy frameworks, as well as helping Asian private sectors access expertise and technology from the Canadian private sector. Special attention is given to reinforcing national and regional security through support to better governance, democratic development and human rights activities.

There are approximately 410 ongoing projects, including 26 Canada Funds, across the range of CIDA's priorities. Programming in the areas of basic human needs (including education and health) and human rights, good governance and democratic development account for approximately 60% of the Branch's aid budget of approximately \$320 million in 2003/04. Other development priorities receiving strong support are gender equality, environment and private sector development. The Branch implements projects across Asia by using contractors, consultants, non-governmental organizations (NGOs) and individual cooperants. Some projects, such as Canada Funds, are managed in Asia by High Commission or Embassy staff.

## Human Resources and Corporate Services Branch

The Human Resources and Corporate Services Branch's role is to promote a qualified, productive and sustainable workforce as well as an enabling environment which encourages organizational effectiveness, service delivery improvement and continuous learning in order to support the Agency in the pursuit of its mandate. It develops, implements, and encourages the use of corporate tools, mechanisms and practices in the sectors of human resources, finance, contracting management, administrative and security services and facilitates the adoption by the Agency of exemplary practices in these areas.

The Branch is responsible for the delivery of an array of user-driven programs and services for the Agency in the sectors of: human resources, administrative and security services, finance, and contracting management, according to CIDA's plans and priorities. Constant provision of advice and level of service in these sectors must be assured while, at the same time, new and improved services and government-wide initiatives are implemented using new technology to facilitate the rapid access to services, information and tools.

## Information Management and Technology Branch

The Information Management and Technology Branch (IMTB) provides CIDA with corporate informatics support associated with information management, information technology and office automation. The Branch also helps CIDA identify valuable emerging technologies and information management techniques, and integrate them with our own strategies.

The major strategic thrusts outlined in the Information Management / Information Technology (IM / IT) Strategy define IMTB's role: to help the Agency use technology to deliver projects and programs efficiently, effectively and through collaboration; to use technology to support CIDA's need to manage and capitalize on its relationships; to support CIDA's ability to leverage the Agency's investments, knowledge and experience to achieve greater impact; this must be done by facilitating the strategic implementation of subject and sector portals with technology-based environments that support collaboration and sharing with other stakeholders; to improve the capture, management of and access to CIDA's paper and electronic documents and records in order to make effective and efficient use of the information they hold; and to

provide technological tools to enable all CIDA staff, regardless of location, to access, capture, retrieve and reuse Agency information.

These strategic thrusts complement the Agency's business objectives. The Branch currently has six divisions.

## Communications Branch

Communications Branch works with broadcasters, independent producers and educators to produce television and radio programs about international development projects, issues and policies. It publishes brochures on programs, information kits on new initiatives. It makes available its collection of 100,000 photographic images that document Canada's role in international development.

The Branch also responds to calls from the media for information, and responds to thousands of inquiries from Canadians—from schoolchildren, university students and business people. Through the Branch's Speakers' Program, senior CIDA staff meet with community leaders across the country. Communications Branch organizes media events with local partners in the regions to highlight their involvement in development projects.

Telling Canadians about the results of our aid program does make a difference.

## Information Holdings

### Program Records

#### Policy Branch

#### Policy Analysis and Development Directorate

**Description:** The Policy Analysis and Development Directorate is responsible for developing and managing an integrated strategic policy analysis, research and development capacity for the Agency. The Directorate provides leadership in the articulation of a strategic vision for the Agency, formulation of Agency policies across a wide-range of environmental and economic sectors, and a solid foundation of research and analysis for the Agency. The Directorate plays a leading role in representing the Agency in international fora and in the interdepartmental policy development process.

**Topics:** strategic policy analysis, research and development capacity

**Program Record Number:** CIDA YAD 1035

### Strategic Policy Division

**Description:** Strategic Policy Division is responsible for providing strategic policy advice regarding the overall direction of the Agency to the Minister, President and Executive Committee. It is responsible for monitoring and analysing the changing context for international assistance, including the geopolitical context, trends in development thinking and the domestic environment with a view to articulating the implications for CIDA's approach to development assistance. In this capacity, the Division takes a lead role in coordinating the preparation of major Agency policy documents, environmental scanning and in positioning CIDA within the Government's overall priorities (including reviews of international policy).

**Topics:** - strategic policy, International Policy Review

**Program Record Number:** CIDA YSP 1036

### Economic Policies Division

**Description:** The Division is responsible for contributing to the Agency's policy base in three general areas: trade and development, international finance for development, and other areas pertaining to economic development, including micro-finance, infrastructure services, and natural resources. It has corporate policy responsibilities on tied aid, and for Agency policies on private-sector development, agriculture and rural development and poverty reduction. It provides advice to the Minister, President, senior management and the various branches on these subjects and economic development issues in general. It provides input into Canadian positions at various international fora including the World Bank and the IMF, OECD-DAC, UNCTAD, WTO, and G7/8 meetings. In concert with other divisions and government departments, the Division monitors and advises the Agency on emerging issues in economic development.

**Topics:** -trade, international finance, economic development, micro-finance, infrastructure services, tied aid, private sector development, agriculture, rural development, Information and Communication Technologies (ICT), UNCTAD, WTO, OECD-DAC, G7/8, biotechnology

**Program Record Number:** CIDA YDA 1008

### Environment Division

**Description:** The Environment Division is primarily responsible for corporate leadership on environment and natural resource issues. The Environment Division provides policy analysis and advice and seeks strategic opportunities, domestically and internationally, to influence

policies and programmes of CIDA and its partners, including other government departments to ensure that development cooperation is environmentally sustainable. For example, the Division works with other branches of CIDA and other government departments to build Canadian policy positions for international negotiations on multilateral environmental agreement (MEAs) such as persistent organic pollutants, climate change, biodiversity and desertification.

In collaboration with CIDA's Continuous Learning section, the Environment Division leads in designing and delivering environmental learning and training initiatives for Agency staff. As well, the Division coordinates EnviroNet, the Agency's knowledge network for environment and provides support for other knowledge sharing networks concerned with climate change and natural resources.

CIDA, through the Environment Division, is the lead agency for Canada, both as a donor and domestically, as an affected party, for the implementation of the UN Convention to Combat Desertification in countries experiencing serious drought and desertification (UNCCD). The Division also houses the Canada Climate Change Development Fund Secretariat which administers the special \$100M fund for climate change in support of Canada's International Strategy on Climate Change.

The Division also includes the Environmental Assessment and Compliance Unit which provides technical and scientific expertise to support the implementation of CIDA policies, directives, guidelines and capacity-building programs with regard to the application of environmental assessment, as embodied in domestic and international instruments including the Canadian Environmental Assessment Act and the Cabinet Directive on the Environmental Assessment of Policy, Plan and Program Proposals (otherwise known as Strategic Environmental Assessment). The Unit also provides corporate technical and procedural guidance on the conduct of environmental assessment as required by CIDA's Policy for Environmental Sustainability and the Sustainable Development Strategy. In support of public access to information on environmental assessment, the Unit also administers the Public Registry under the Canadian Environmental Assessment Act.

**Topics:** environment, natural resources, environmental learning, water, forests, energy, land degradation, climate change, desertification,

environmental assessments

**Program Record Number:** CIDA YEN 1010

### **Analysis and Research Division**

**Description:** The Division is responsible for undertaking a program of analysis and research to support the development of Agency policy positions and programming. The Division works on both country-specific and broader thematic issues. It works closely with other analysts throughout the Agency, and maintains close relationships with other development-related research organizations such as the World Bank and the Canadian academic community.

**Topics:** analysis, research

**Program Record Number:** CIDA YAR 1013

### **Governance and Social Development**

#### **Directorate**

**Description:** The Governance and Social Development Directorate is responsible for policy analysis, policy development and corporate policy stewardship for a wide array of social sector issues in international development. These include the Agency's social development priorities (health and nutrition, basic education, HIV/AIDS, child protection), governance, gender equality, human rights, as well as emerging security issues. As a consequence of its leadership role, the Directorate represents the Agency in the interdepartmental social policy development process, and at domestic and international fora related to governance and social sector issues.

**Topics:** health, education, HIV/AIDS, child protection, gender equality, human rights, peace and security, governance

**Program Record Number:** CIDA YGS 1075

### **Democratic Institutions and Conflict Division**

**Description:** The Division is responsible for articulating CIDA's policy and contributing to Agency practice in regard to governance, peace and security. The Division's governance mandate includes the institutions and practices related to democracy, rule of law, public sector and services, and security system reform -- based in principles of human rights. Governance pertains not only to the guiding role of the State, but also to how civil society and private sector contribute to poverty reduction and sustainable development. It also includes a focus on Indigenous populations in developing countries. With respect to peace and security, the Division is responsible for policy development in the areas of conflict prevention, peacebuilding and security.

**Topics:** conflict, corruption, governance

**Program Record Number:** CIDA YDI 1012

### **Gender Equality Division**

**Description:** The Gender Equality Division works to promote the integration of equality between men and women and the empowerment of women into all of CIDA's policies and processes. The Gender Equality Division provides advice but not funding. The Division supports the Minister for International Co-operation, CIDA's President and the Vice-President of Policy in strengthening and building on CIDA's leadership in the integration of gender equality in development co-operation. The Division's work is strengthened by its networks with international and donor groups, NGOs, academics, and experts to facilitate the incorporation of new learning within CIDA. The Division, in partnership with other corporate groups, regularly provides analysis and advice on CIDA policy documents and procedural guidelines to ensure these continue to promote gender equality; coordinates related professional training at CIDA; and facilitates internal and external communications on gender equality at CIDA. The Gender Equality Division serves on committees and panels to represent CIDA's perspective on gender equality, including: Interdepartmental committees and working groups such as the Interdepartmental Committee on Gender Based Analysis and the Interdepartmental Committee on the Status of Women; Seminars with universities and NGOs; and international bodies like the Organization for Economic Co-operation - Development Assistance Committee (DAC), the Gender Equality Network and the United Nations Commission on the Status of Women.

**Topics:** gender equality

**Program Record Number:** CIDA YWD 1015

### **Human Rights and Participation Division**

**Description:** The Division is responsible for policy analysis and advice in the areas of human rights, children's rights and participatory development. The Division works with other Agency Branches and interdepartmentally to develop and support international policy positions on human rights and development in multilateral fora. The Division includes the Children's Rights Unit, which was created by the Minister in 2000, to support the development and implementation of the Action Plan on Child Protection, one of the four components of CIDA's Social Development Agenda. The Unit also manages a Child Protection Research Fund.

**Topics:** human rights, children's rights, child protection

**Program Record Number:** CIDA YHR 1037

### **Social Development Policies Division**

**Description:** The Social Development Policies Division has as its major role, the sectoral corporate stewardship of three of the four Social Development Priorities (SDPs) of the Agency - Health & Nutrition; Education; and HIV/AIDS. As such, the Division focuses on the Agency's strategic directions / policies in these areas, as articulated in CIDA's Action Plans, under the general umbrella of the Social Development Framework. The Division works closely with other parts of Policy Branch to ensure that the policy stewardship function is coherent with and supportive of the broad policy agenda of the Agency. In addition, the Division maintains close links with other Branches of the Agency in order to: assist in the translation of SDP-related policy into programming through the development of appropriate implementation tools; review the degree of policy implementation through monitoring and analysis of investments in SDP sub-sectors; recommend changes to investment strategies in the SDP sectors and sub-sectors, or to the goals or themes currently defined in the Action Plans. In its role as corporate steward, the Division acts as the primary point of contact for interdepartmental activities in these sectors, and represents the Agency at domestic and international fora.

**Topics:** health, nutrition, education, HIV/AIDS

**Program Record Number:** CIDA YSD 1052

### **Corporate Planning and Co-ordination Directorate**

#### **Corporate Planning Division**

**Description:** Corporate Planning is responsible for directing the development of the strategic corporate planning, budgeting and reporting framework and process to ensure the effective alignment of Agency programs with its corporate mandate, priorities and policies. Corporate Planning has a number of core functions: develops and oversees the strategic corporate planning, budgeting and reporting framework and process, which is linked to the achievement of global development goals (the Millennium Development Goals); leads the strategic management of the International Assistance Envelope; prepares corporate reports to Parliament, and the public on the Agency's direction and performance; and develops the Agency's Sustainable Development Strategy and monitors its implementation.

**Topics:** Millennium Development Goals, International Assistance Envelope, Sustainable Development Strategy

**Program Record Number:** CIDA YDG 1003

### **Policy Co-ordination Division**

**Description:** The Policy Co-ordination Division supports the Agency's Minister and executives in the co-ordination of Agency positions on current, critical and horizontal public policy issues and promotes consistency and coherence. It also coordinates Agency relations with other government departments involved in Official Development Assistance (ODA) and with the International Development Research Centre (IDRC). In particular, the Division coordinates CIDA's strategic involvement in international summits and conferences, such as the G8 and the UNGA to ensure the coherence of Canada's policy position and develop messaging strategies for key issues. Furthermore, the Division is responsible for the Agency's relations with other donor countries and, through the Development Assistance Committee (DAC) of the OECD, works to enhance the coordination, coherence and effectiveness of development policies through active monitoring, analysis, and discussion of donor trends.

**Topics:** OECD, donor & policy coordination

**Program Record Number:** CIDA YDC 1014

### **Branch Management Services Division**

**Description:** Responsible for the development and co-ordination of all mechanisms and systems for human, financial and information resources management and planning in Policy Branch. Also responsible for delivering internal contract and administration services, and for advising the Branch senior management on resources utilization, corporate exercises and on the achievement of branch objectives and results.

**Topics:** human resources, financial resources, management, planning

**Program Record Number:** CIDA YMP 1001

### **Strategic Information Division**

**Description:** The Division provides strategic corporate information reports, business intelligence and trend analysis to help the Branch strengthen its capacity to use Agency information for policy development and to support senior management decisions. The Division also coordinates, in collaboration with CIDA's Information Management and Technology Branch and other branches, the identification of the Agency's needs for information to support an integrated corporate planning, budgeting, programming, monitoring and reporting system..

**Topics:** strategic information, business intelligence

**Program Record Number:** CIDA YIM 1034

## Multilateral Branch

### Policy, Planning and Management Division

**Description:** The Division is responsible for developing, coordinating and representing the Branch's strategic framework, and for monitoring implementation of that framework. The Division coordinates the preparation of the Branch Performance Review and other accountability instruments, as part of a mandate to assess and enhance multilateral effectiveness. The Division is responsible for managing Branch-wide operations, including work planning, human resource and budgetary allocations, information management and administrative services. The Branch ensures synergy, coherence and consistency within the Branch and with other CIDA Branches on these matters. It provides policy advice and support to the other divisions in the Branch and policy advice to the Vice-President on corporate issues.

**Topics:** Developing/ coordinating /representing/monitoring implementation of the framework, Branch Performance Review, accountability instruments, work planning, human resources, budgetary allocations, information management, administrative services, ensures synergy/coherence/ consistency, policy advice

**Program Record Number:** CIDA MPM 5102

### The Program Against Hunger, Malnutrition and Disease

**Description:** The function of CIDA's Program Against Hunger, Malnutrition and Disease is to respond to emergencies and foster development. The overriding goal is to reduce hunger and malnutrition and disease as obstacles to sustainable development. The link between nutrition, health and poverty is at the core of the PAHMD's activities: malnutrition weakens the immune system leading to increased disease; disease decreases nutritional intake and prevents people from working; the loss of income results in increased hunger. To break this cycle, the Division is implementing complementary initiatives in the areas of health, food and nutrition support, income generation and institutional strengthening. These include micro-nutrient deficiencies (vitamin A, iron and iodine), which cause serious health problems and reduce the benefits of food intake; targeted food aid to improve the nutritional status of women and children; and the delivery of cost-effective health interventions such as the expansion of tuberculosis control measures and immunization of children against measles.

A maximum of 10 percent of the Division's budget can be utilized for purchases of food aid outside Canada. All remaining food aid procurement is tied to the purchase of Canadian commodities and

services. Wheat, pulses and vegetable oils are the main food commodities purchased, with wheat flour, corn and canned fish provided to a lesser extent. Local customs, end-use and the ratio of price-to-nutritional value are determining factors in the selection of products. The bulk of CIDA's food aid assistance is provided through the United Nations' World Food Program, through bilateral channels (country-to-country) and through Canadian NGOs such as the Canadian Foodgrains Bank.

**Topics:** -reduce hunger/malnutrition/disease, micronutrients, food aid

**Program Record Number:** CIDA PAHMD 5107

### International Financial Institutions Division

**Description:** The division represents Canada's interests as a shareholder in the international financial institutions, advancing policies by these institutions which support the developmental principles of Canadian foreign policy, particularly with a focus on poverty reduction. It provides investments (paid in capital) and guarantees (callable capital) to facilitate recycling of private capital resources for development financing, and in so doing significantly multiplies the availability of such financing. It also provides funding to the concessional windows of the Regional Development Banks, which lend resources to the poorer developing countries at very low rates of interest. The Division participates with other departments in managing the development dimensions of Canada's relationship with the World Bank Group, where the funding is provided by through the Department of Finance, and in managing Canada's relationship with the IMF. It is also responsible for managing Canada's assistance provided to the Global Environment Facility, the Multilateral Fund for the Implementation of the Montreal Protocol, and the International Fund for Agricultural Development. The Division also promotes policies to improve the developmental effectiveness of these institutions. Moreover, it manages a portfolio of Trust Funds to support project preparation work and policy analysis by Canadian firms and institutions at the IFIs, and contributes to special thematic funds at these institutions.

**Topics:** Trust Funds, policy analysis, International Financial Institutions

**Program Record Number:** CIDA MFD 5401

### International Humanitarian Assistance Program

**Description:** The Division provides financial support for efforts to alleviate human suffering caused by natural and human-caused disasters abroad. This assistance is normally channelled

through international institutions and Canadian and international non-governmental organizations involved in such work. Core funding is given in support of the programs of the United Nations High Commissioner for Refugees, the United Nations Relief and Work Agency for Palestinian Refugees, the International Committee of the Red Cross and the UN Office for the Coordination of Humanitarian Affairs. Grants are also given in support of special appeals launched by these and other humanitarian institutions, including Canadian NGOs specialising in relief work. To ensure the flexibility needed by an emergency response mechanism, a policy of providing largely untied international human assistance program grants is maintained. The Division also has a unit dealing with rapid assessment and response to disasters. The Peace and Security Unit manages the Peacebuilding Fund which provides grants for peacebuilding support to conflict-affected countries, CIDA's corporate relationships with the UN University for Peace and the Pearson Peacekeeping Centre, and the Canadian Policing Arrangement. The Mine Action Unit provides policy leadership and coordination for CIDA programming in support of humanitarian demining, victim assistance and mine awareness, with funds from the Canadian Landmine Fund.

**Topics:** alleviation of human suffering, natural/human-caused disasters abroad

**Program Record Number:** CIDA MHA 5301

#### **United Nations and Commonwealth Programs Division**

**Description:** The division seeks to improve the efficiency, effectiveness and impacts of the UN and Commonwealth development institutions. These organizations and programs include UN bodies such as the UN Development Program, UNICEF, the World Health Organization, the UN Population Fund and UNAIDS, as well as institutions of the Commonwealth.

**Topics:** Improve efficiency/ effectiveness/ impacts of the UN and Commonwealth development institutions

**Program Record Number:** CIDA MUN 5501

#### **Canadian Partnership Branch**

##### **Private Sector Division**

**Description:** The Private Sector Division contributes to poverty reduction through private sector development in developing and transition countries. The Division's Industrial Cooperation Program (CIDA-INC) supports private Sector initiatives that help build the local private sector in developing and transition countries through investment, access to new markets, and the transfer of knowledge, skills and technology, or

that improve local infrastructure through professional services. Eligible initiatives have specific, measurable social or environmental benefits for the host country, and offer a sound technical approach with an acceptable level of risk. CIDA-INC's Investment Mechanism supports enterprises that seek to invest in, and establish a long-term business relationship with a local partner to produce goods or services. CIDA-INC's Professional Services Mechanism supports consulting firms that seek to participate in infrastructure projects with positive developmental impacts in the host country. The Division also supports institutional capacity-building through specialized training institutes.

**Topics:** Poverty reduction through private sector, support to private sector initiatives, investments, access to new markets, transfer of knowledge/skills/ technology, local infrastructure

**Program Record Number:** CIDA SEL 6201

##### **Voluntary Sector Division**

**Description:** This Division supports the development work of approximately 120 program-funded Canadian voluntary-sector organizations, including non-governmental organizations (NGOs), universities and colleges, cooperatives, unions and professional associations. It also supports the work of more than 150 project-funded organizations. Contributions to NGO programs are organized according to the sector in which they carry out most of their activities. Contributions to Canadian university and college initiatives are managed through a variety of mechanisms according to merit-based competitions. The Projects and Innovation Unit funds short-term projects carried out by Canadian NGOs in partnership with local organizations.

**Topics:** voluntary sector

**Program Record Number:** CIDA SNG 6139

##### **Agency Services and Canadian Relations Division**

**Description:** This division manages core services for the Agency. These services include: CIDA's national network of regional offices; a consultation unit for discussing new policy directions with partners and the Canadian public. It manages the Conference Secretariat, which supports the participation of representatives from developing countries and countries in transition, in international and regional conferences with themes of interest to CIDA; the selection of overseas election observers; and manages the partnership with the Centre for Intercultural Learning. It is also responsible for managing contributions to a wide range of partner initiatives targeted to Canadians and youth. These



initiatives include: scholarships and awards; internships and exchanges for young Canadians; the placement of Canadian volunteers abroad; and public engagement activities.

**Topics:** scholarships and awards, internships and exchanges, placement of Canadian volunteers abroad, public engagement activities

**Program Record Number:** CIDA YAD 6134

### **Knowledge, Policy and Planning Division**

**Description:** The Knowledge, Policy and Planning Division plays a key role in improving CPB's policy and planning capacity. It works closely with other Branch Divisions and the rest of the Agency in the following areas: strategic planning and policy development; knowledge management; and co-ordinating CPB's involvement in geographic and multilateral issues. Through the Knowledge Partners Unit, it supports the research work of Canadian organisations such as the Canadian Council for International Co-operation, the North-South Institute and the International Institute for Sustainable Development and more than 30 international non-governmental institutions.

**Topics:** Strategic planning, policy development, knowledge management, involvement in geographic and multilateral issues, support research work of Canadian organizations

**Program Record Number:** CIDA SPE 6143

### **Management and Operational Support Division**

**Description:** Provides the Canadian Partnership Branch with a full-range of branch-level support services on all matters pertaining to human and financial services, procurement, administration, contracting, correspondence services and information management.

**Topics:** human/financial services, procurement, administration, contracting, correspondence, information management.

**Program Record Number:** CIDA SPE 6149

### **Central and Eastern Europe Branch**

#### **Russia, Ukraine, and Nuclear Programs**

**Description:** This Division administers Canada's technical cooperation programme with Russia and Ukraine, and the nuclear safety program.

**Topics:** Russia, Ukraine, nuclear safety

**Program Record Number:** CIDA RZF 3119

#### **Eastern Europe and Central Asia Divisions**

**Description:** This Division is responsible for programming in the Balkans, the South Caucasus, the Central Asian Republics, as well as in Central and Northern Europe. It also administers a regional programme for these countries, plus multilateral projects for the branch with organizations such as the Organization for

Security and Cooperation in Europe (OSCE), the European Bank for Reconstruction and Development (EBRD) and others. It also administers the Branch's humanitarian assistance program.

**Topics:** Balkans, South Caucasus, Central Asian Republics, Central and Northern Europe

**Program Record Number:** CIDA RZD 3120

### **Policy, Planning, and Financial Services**

**Description:** This Division is responsible for Branch policy, for liaison with other CIDA Branches, for financial and administrative services, including contracts, for personnel management and staffing, for training, and for program and project performance assessment.

**Topics:** financial/administrative services, program/project performance

**Program Record Number:** CIDA RZP 3101

### **Africa and Middle East Branch**

#### **The Policy, Strategic and Technical Services Division**

**Description:** The Policy, Strategic Planning and Technical Services Division supports the Vice-president and the Branch Managerial Group on Branch strategic decisions and related day-to-day operations. It provides leadership on Branch policy development, strategic planning, development of sector/thematic frameworks and aid resource allocation. The Division manages the Branch overall programming function and contributes to the programming initiatives of regional divisions. The Division co-ordinates the Branch performance review function as well as communication, information and knowledge management. BFP also serves as an innovation centre for the Branch and is the leading division for representing and advocating AMEB interests. AMEB Technical Services comprises 21 specialists whose areas of competence cover the key aspect of our development cooperation Programme. Their scientific and technical advice contributes to the planning, implementation, monitoring and evaluation cycle of programmes and projects. These scientific and technical specialists (S & T) also contribute to strategic planning exercises in the Branch and the Agency. In addition, they play an important role in ensuring the quality of S & T services provided to the Branch by external consultants. The Information and Technology Management unit (ITM) supports the strategic activities of the Branch by facilitating access to relevant information to support decision-making processes. With respect to operational activities, the unit contributes to the availability of technical tools, systems and effective information management processes, encourages electronic

collaboration and facilitates interaction between headquarters and the field.

**Topics:** Policy development, strategic planning, development of sector/thematic frameworks, aid resource allocation

**Program Record Number:** CIDA BFP 4202

### **Management Services and Employee Development Division**

**Description:** The Management Services and Employee Development Division plans and directs financial administration, contracting, administration and human resources development services. In this context, the Management Services and Employee Development Division is responsible for a team of specialists in administrative, financial and contracting services who contribute a wide-ranging background of knowledge and experience. The team gives professional and impartial financial management advice to program managers and project officers to support them in the management of their programs and projects. This Division is also responsible for the management of the administration and salary budget for the Branch as a whole. Additionally, they staff all vacancies and plan training programs tailored to the needs of the Branch's employees.

**Topics:** Financial planning and administration, contracting services, management advice, human resources development, management of administration and salary budget and staffing.

**Program Record Number:** CIDA BFX 4205

### **Central Africa and the Great Lakes Division**

**Description:** The region is composed of: (i) two core programming countries, Cameroon and Rwanda; (ii) one country in transition: the Democratic Republic of Congo; (iii) one country from which CIDA is planning to withdraw its bilateral programming in 2006: Gabon; (iv) six countries where Canadian bilateral support is limited to the Canada Fund: Burundi, Chad, Central African Republic, Republic of Congo, Sao Tome and Principe, and Equatorial Guinea; and (v) sub-regional initiatives supporting peace and security in the Great Lakes Region of Africa. The focus of the Cameroon program under the Cooperation Strategy updated and approved in 2003 is on issues linked to good governance on three levels: central government, sectorial governance and civil society; and the forest sector in the wider context of rural development. As well, some projects within the area of development of human resources are being implemented. The focus of the Rwanda program is on supporting poverty reduction through rural development and governance/decentralization initiatives, with

gender equality and HIV/AIDS as crosscutting themes. CIDA's interim DRC program is currently being adjusted to respond to the encouraging recent developments in the DRC through programming focusing on support for good governance within the context of the transition to democracy. In addition, some projects in the area of rehabilitating basic social and economic services are currently being implemented, with the promotion of gender equality and the participation of Congolese women as a crosscutting theme. The Central Africa and Great Lakes Division is also involved in several regional initiatives that are aimed at promoting durable peace and security in the Great Lakes region, and it is currently working with other Government departments in the establishment of an integrated "3 D +" (Diplomacy, Defence, Development) vision to support the DRC's transition. CIDA's bilateral initiatives in the DRC and the Great Lakes region are complemented by important disbursements in humanitarian assistance, provided by CIDA's Multilateral Branch.

**Topics:** Cameroon, Rwanda, Democratic Republic of Congo, Gabon, Burundi, Chad, Central African Republic, Republic of Congo, Sao Tome, Equatorial Guinea, Great Lakes Region of Africa, Good governance, rural development, development of human resources, poverty reduction, gender equality, HIV/AIDS, rehabilitating basic social and economic services, durable peace and security

**Program Record Number:** CIDA BFG 4287

### **East Africa and the Horn of Africa Division**

**Description:** East Africa and the Horn of Africa Division is responsible for government-to-government programming for two of CIDA's nine countries of focus: Ethiopia and Tanzania. Additionally, it manages bilateral programming in the following countries throughout East Africa and the Horn sub-region: Comoros, Djibouti, Eritrea, Kenya, Madagascar, Seychelles, Somalia, Sudan, and Uganda. The Tanzania and Ethiopia programs support a few key priorities identified in each country's own national poverty reduction plans - in Tanzania basic education, private sector development, HIV/AIDS, and good governance; in Ethiopia food security/agriculture & water, and governance/capacity building. The general objectives of the bilateral programming in the remaining countries of the sub-region are: 1) to promote regional peace and security; 2) to improve democratic development, good governance and human rights; 3) to support national Education for All efforts; 4) to reduce HIV/AIDS prevalence; and 5) to promote gender

equity. A Canada Fund for Local Initiatives is active in most countries to help support small-scale projects.

**Topics:** Ethiopia, Tanzania, Comoros, Djibouti, Eritrea, Kenya, Madagascar, Seychelles, Somalia, Sudan, Uganda, Peace and security, democratic development, education, HIV/AIDS, gender equity  
**Program Record Number:** CIDA BFK 4218

### **Gulf of Guinea Division**

**Description:** The Gulf of Guinea Division is responsible for managing CIDA's bilateral development assistance programs in Ghana Togo and Nigeria. The Nigeria Program is new and growing rapidly because Nigeria is a country of regional significance. There are very limited activities in Togo. The Ghana program has been one of CIDA's largest assistance programs, in which CIDA is continuing over 40 years of support to the country's development. Ghana is one of CIDA's countries of concentration in Africa so its aid budget has been substantially increased this year. Its current focus is on improving food security, establishment of sustainable potable water systems, strengthening central and local governments as well as supporting the efforts of the Government of Ghana with the implementation of its poverty reduction strategy. CIDA reopened the Nigeria program in 1999 with short term initiatives that reinforced the emergence of democracy and respect for human rights, immunization against polio and anti-corruption efforts. The current and longer term program focus is on agriculture, health and the environment. Togo is the beneficiary of a small embassy-managed Canada Fund for Local Initiatives which finances non-government activities aimed at reducing poverty and encouraging democracy.

**Topics:** Ghana, Togo, Nigeria - Food security, potable water systems, poverty reduction, democracy, immunization against polio, anti-corruption, agriculture, health and environment  
**Program Record Number:** CIDA BFW 4249

### **North Africa and Middle East Division**

**Description:** This program includes North Africa (Morocco, Algeria, Tunisia), Middle East (Jordan, West Bank/Gaza, Lebanon, Yemen), Egypt and Iraq. CIDA's programming supports three themes: the search for peace, development of democratic institutions, and achievement of equality through poverty reduction and capacity building. Sustainable development vitally complements efforts made to reach a lasting peace in the Middle East. The Canadian aid program pursues the following objectives: supporting the transition to economies based on market forces as well as

equitable distribution of wealth; strengthening public institutions; promoting the establishment of quality basic education systems, open to both girls and boys; helping civil society to meet new social, political and economic challenges; fostering employment and human resource development, and favouring the emergence and consolidation of mutually beneficial partnerships between Canada and the region.

**Topics:** Morocco, Algeria, Tunisia, Jordan, West Bank/Gaza, Lebanon, Yemen, Egypt, Iraq - Peace, development of democratic institutions, poverty reduction, capacity building, education.  
**Program Record Number:** CIDA BFM 4256

### **Pan Africa and la Francophonie Division**

**Description:** The main objectives of the Pan-African Program are to build Africa's capacity to take responsibility for development tools and promote the emergence and building of a network of institutions capable of action on Africa's wide challenges, to build inter-regional cooperation in seeking innovative solutions to continental and/or inter regional problems, especially in the areas of social development (health, nutrition, education), governance (peace and security trans-boundary environmental issues, gender equality) and economic development (regional and pan-African integration, micro-finance and co-operatives). The program works in close collaboration with a number of African institutions in a multi-donor approach. The Francophonie Program supports the Government of Canada's goals to strengthen solidarity and cooperation among the countries of La Francophonie through the multilateral institutions and development programs of this international organization. The program also supports a limited number of multi-country projects derived from the key themes of recent Francophonie summits.

**Topics:** inter-regional cooperation, social development, governance, economic development, solidarity and cooperation among the countries of la Francophonie.  
**Program Record Number:** CIDA BFT 4244

### **Southern Africa Division**

**Description:** Southern Africa is composed of 11 countries, of which Mozambique is considered for CIDA programming a country of focus, and South Africa a country of regional significance. Malawi, Zambia and Zimbabwe are benefiting from a multi-year bilateral program. Botswana, Lesotho, Swaziland, Namibia and Angola are eligible for Canada Fund for local Initiatives (CFLI) and occasionally humanitarian assistance and food aid. Mauritius is not receiving aid support from CIDA. Many of the region's major development

challenges correspond to CIDA's priorities and include: HIV-AIDS devastating effects and disproportionate challenges, food security, poverty reduction, education, health gender equity. To a less extent but also important, CIDA's activities in the region are concerned by the status of women, governance and democratic development, human rights, population migration, regional cooperation, economic development, natural resources management, and the environment. The regional dimension is taking a special importance in the region mainly due to the imbalance in poverty acuity and wealth distribution. Relatively rich and well organized South Africa is neighbouring countries of either extreme poverty, dealing with an actual democracy and governance crisis or just coming out long lasting internal conflicts, all of them having to face the HIV-AIDS dramatic social and economic consequences. CIDA, as other donors is looking at supporting regional institutions in their initiatives toward regional consultation, synergy and cooperation.

**Topics:** Mozambique, Malawi, Zambia, Zimbabwe, Botswana, Lesotho, Swaziland, Namibia, Angola, South Africa, HIV/AIDS - Food security, poverty reduction, education, health, gender equity, governance and democratic development, human rights, population migration, regional cooperation, economic development, natural resources management, environment  
**Program Record Number:** CIDA BFO 4270

#### **Sahel and Ivory Coast Program**

**Description:** We find two countries of concentration in this region, Mali and Senegal, five program-countries, Benin, Burkina Faso, Ivory Coast, Guinea, Niger, and five countries, Cape Verde, Gambia, Guinea-Bissau, Mauritania and Sierra Leone, where most of bilateral co-operation takes place as a Canada Fund for Local Initiatives. Program modulation of those countries takes all of the following into account: the level of development, our co-operation background, their political bond with Canada and mostly, the country needs in term of poverty reduction. Inside Core program countries and program-countries, bilateral programming of Canada responds to priorities expressed in the countries' poverty reduction strategies. In Senegal as well as in Mali, the programs are designed to considerably and effectively contribute to poverty reduction. In Senegal, the program is focused on increased access to basic education, literacy, skilled training and on local economic development. In Mali, the program is contributing to: increasing access to basic social services (health and education); growth of household income and its securement;

good governance and state of law. In the five program-countries, programs centre around: the satisfaction of basic human needs (mostly education); accelerated and equitable economic development, especially through micro finance and economic operator support; good governance and public management improvement; and sound natural resource management. A focused attention is given to women as a designated group. On the regional level, strategy consists of supporting economic and co-operation integration inside ECOWAS zone. Risks of loss of control are relatively high in that region, because of the high level of poverty, some fragile political systems and external vulnerability of economies.

**Topics:** Mali, Senegal, Benin, Burkina Faso, Ivory Coast, Guinea, Niger, Cape Verde, Gambia, Guinea-Bissau, Mauritania, Sierra Leone - Poverty reduction, basic education, social services, growth of household income, good governance, state of law, basic human needs.

**Program Record Number:** CIDA BFN 4200

#### **The Canada Fund for Africa**

**Description:** The \$500 million Canada Fund for Africa, launched at the G8 Summit in Kananaskis in June 2002, was established to support the New Partnership for Africa's Development (NEPAD), a visionary made-in-Africa plan to lift the continent out of poverty, and the G8 Africa Action Plan. The Fund is designed to support bold new initiatives and predominantly large-scale programs that have a major impact on sustainable development in Africa. Its objectives are to foster innovation and economic growth, strengthen African institutions, improve the well-being of future generations of Africans, and help Africans build their capacity to achieve their own development goals. The initiatives of the Fund support African development in such areas as governance and peace and security; health; agriculture, environment, and water; economic growth through trade and investment; and information and communication technologies.

**Topics:** NEPAD; agriculture; digital divide; economic growth; environment; Canada Fund for Africa; food security; governance; G8; health; HIV/AIDS; trade; water; youth.

**Program Record Number:** CIDA BFF 4315

#### **Americas Branch Caribbean Programme**

**Description:** The Commonwealth Caribbean Programme assists Caribbean countries to strengthen their governance systems, to remain competitive in an increasingly liberalized global economy, to strengthen their environmental management capabilities and to address social

issues such as HIV/AIDS and basic education. The Programme also emphasizes support to projects which promote regional co-operation and integration to increase self-reliance. The Programme is organized around two country-specific programmes (Jamaica and Guyana), a sub-region programme in the Eastern Caribbean (focuses mainly on Grenada, St. Vincent and the Grenadines, Dominica, St. Lucia, Antigua/Barbuda, St. Kitts/Nevis), and a Caribbean Regional programme (taking in Trinidad and Tobago, Barbados, Montserrat, Belize, the British Virgin Islands, Anguilla and Suriname, along with the remaining Commonwealth Caribbean states).

**Topics:** Jamaica, Guyana, Grenada, St. Vincent, Grenadines, Dominica, St. Lucia, Antigua/Barbuda, St. Kitts/Nevis, Trinidad, Tobago, Barbados, Montserrat, Belize, the British Virgin Islands, Anguilla, Suriname - Governance, global economy, environment, HIV/AIDS, education.

**Program Record Number:** CIDA BMB 4429

#### **Haiti, Cuba and the Dominican Republic**

**Description:** The Haiti Programme aims to address basic human needs, (education and health) and support economic growth (eg. by improving electricity availability) as well as to consolidate democracy and strengthen civil society. The Cuba Programme aims to provide assistance to the ongoing modernization of the state which covers economic, industrial and environmental sub sectors; promote civil society and participatory development; and remain active in the health sector. CIDA's role in the Dominican Republic is limited to the Canada Fund for Local Initiatives and to mechanisms of the Canadian Partnership Branch. In addition, Haiti and the Dominican Republic benefit from CIDA regional programs.

**Topics:** Haiti, Cuba, Dominican Republic Basic human needs, economic growth, democracy, civil society, health sector

**Program Record Number:** CIDA BMH 4449

#### **Central America Programme**

**Description:** CIDA's bilateral programme covers Honduras, Nicaragua, Costa Rica, Guatemala and El Salvador. Panama receives some support through regional programming. Panama and Mexico also receive assistance through the Canada Fund for Local Initiatives. The Central America Programme is targeted toward the poorest countries of the region. Programming themes include basic human needs, basic health, primary education, natural resource management, human rights, democratic development and

economic modernization.

**Topics:** Honduras, Nicaragua, Costa Rica, Guatemala, El Salvador, Panama, Mexico. Basic human needs, basic health, primary education, natural resource management, human rights, democratic development, economic modernization  
**Program Record Number:** CIDA BML 4403

#### **Andean Countries Programme**

**Description:** The main objectives are: to assist in the reduction of poverty, to support reform processes, to help strengthen the capacities of key institutions, and to support partnerships between Canadian and Andean institutions. The Programme concentrates its bilateral activities in the poorest countries of Bolivia and Peru. Bilateral activities are also underway in Colombia and Ecuador

**Topics:** Bolivia, Peru, Colombia, Ecuador, reduction of poverty, reform processes, institutional strengthening.

**Program Record Number:** CIDA BMA 4413

#### **Brazil and Southern Cone Programmes**

**Description:** In Brazil and the four countries of the Southern Cone (Argentina, Chile, Uruguay and Paraguay), CIDA contributes to the achievement of greater equity through the sharing of Canadian models or practices with strong and competent partner organizations that can adapt the know-how to resolve their country's pressing development challenges. Programming themes include health, governance and labour. Our Programmes contribute to make social policies more participatory, equitable, effective and efficient.

**Topics:** Argentina, Chile, Uruguay, Paraguay, health, governance, labour, social policies

**Program Record Number:** CIDA BBC 4414

#### **Inter-American Programme**

**Description:** The Inter-American Programme is responsible for programming which benefits countries jointly in at least two of the three main sub-regions of South America, Central America and the Caribbean. It aims to strengthen the institutional capacities of inter-American organizations, to support the enhanced participation of civil society groups, to promote hemispheric cooperation and to facilitate the transfer of Canadian expertise. Support is provided to the Organization of American States (OAS); to the Inter-American Organization of Higher Education (IOHE), an international NGO based in Quebec City whose membership comprises over 350 universities and colleges from the Americas; to the Canadian Foundation for the Americas (FOCAL), a Canadian knowledge-based

policy centre; to civil society groups involved in promoting dialogue on policy issues; to the Pan-American Health Organization (PAHO) for health programming on a hemisphere-wide level; and to other inter-American agencies responsible for promoting human rights, child rights, and gender equality. Important new initiatives include the Indigenous Peoples Partnership Programme and trade-related technical assistance to support small economies in Latin America and the Caribbean to prepare for trade negotiations and to implement trade agreements.

**Topics:** South America, Central America, Caribbean civil society, hemispheric cooperation, education, health, human rights, child rights, gender equality

**Program Record Number:** CIDA BMI 4454

### **Policy, Strategic Planning and Management**

**Description:** The Policy, Strategic Planning and Management Division provides advice and managerial support to the Branch in the identification, planning and implementation of programmes and projects; and co-ordinates corporate studies and exercises on behalf of the Branch. The Division also provides technical expertise in certain sectors. The Strategic Planning Unit elaborates and evaluates the policies, programmes and systems that allow the Branch to fulfill its mandate and provides advice and support to the Branch in regard to the Agency's development priorities. The unit is responsible for performance review, result-based management, knowledge development and learning. It also undertakes strategic planning functions for some technical sectors. Strategic management responsibilities and services include: support for programming through the development of current programme and project delivery processes, procedures and tools; advice on programme delivery issues; financial, contractual, human resources and administrative issues; information management within the Branch, including influencing corporate systems, development and their implementation to ensure that they meet Treasury Board requirements.

**Topics:** Managerial support, identification/planning/ implementation of projects, corporate studies, technical expertise, policies/ programmes/ systems evaluations, performance review, result based management, knowledge, learning

**Program Record Number:** CIDA BMM 4401

### **Asia Branch**

#### **Geographic Program Divisions**

**Description:** Program Divisions are responsible for the management of development co-operation

activities with one or more recipient countries. The Program Divisions are: Mainland Southeast Asia (Vietnam, Cambodia, Thailand, Malaysia and Lao PDR), Indonesia, Philippines and the South Pacific Division, Southeast Asia Regional Program, India, Sri Lanka and Nepal Division, Bangladesh Division, Pakistan and Afghanistan Division, and China Division. Afghanistan Division, Bangladesh, Cambodia, China, India, Indonesia, Malaysia and Laos PDR, Nepal, Pakistan, Philippines, Southeast Asia Regional, South Pacific Division, Sri Lanka, Thailand, Vietnam

**Program Record Number:** For the Country/Region — Afghanistan: CIDA BSK 4125; Bangladesh: CIDA BSB 4122; Cambodia: CIDA BSW 4108; China: CIDA BSC 4130; India: CIDA BSI 4116; Indonesia: CIDA BSE 4127; Malaysia: CIDA BSW 4110; Laos: CIDA BSW 4109; Nepal: CIDA BSI 4117; Pakistan: CIDA BSK 4124; Philippines: CIDA BSG 4128; Southeast Asia Regional Program: CIDA BSY 4105; South Pacific Division: CIDA BSE/G 4124; Sri Lanka: CIDA BSI 4118; Thailand: CIDA BSW 4111; Vietnam: CIDA BSW 4112;

#### **Strategic Planning and Policy Division**

**Description:** The main activities of the Strategic Planning and Policy Division include regional and sectoral analysis, policy development, coordination with other CIDA branches, and the provision of scientific and technical support to project activities undertaken by the program divisions. Country and sectoral analysis, leading to the identification of issues and development of policy, is the basis for the formulation of coherent branch strategic plans and divisional programming initiatives and is linked to the corporate planning system. The Division acts in concert with Agency corporate functions to maintain broad coherence between Branch and Agency priorities and direction.

**Topics:** Regional and sectoral analysis, policy development, scientific and technical support

**Program Record Number:** CIDA BSP 4101

#### **Strategic Management Division**

**Description:** The division provides training, technical expertise and managerial support to the branch in the identification, planning and implementation of programs and projects as well as performance review and reporting. Technical expertise is provided in the areas of financial management, contracting and contracting management, management systems and practices, results-based management and information technology and management.

**Topics:** Training, technical expertise, managerial

support

**Program Record Number:** CIDA BSR 4102

## Human Resources and Corporate Services Branch

### Human Resources Division

**Description:** This division seeks to make it easier to introduce major changes within CIDA, as described in CIDA's Sustainable Development Strategy and Corporate Strategy for Managing its People. It manages the development, implementation, monitoring and reporting of strategies, plans, policies, programs, initiatives and services related to the human resources sector, such as staffing, classification, organizational development, official languages, labour relations and employment equity; supports CIDA's new vision by establishing a continuous learning system based on innovative ways of sharing and managing knowledge which includes supporting knowledge networks and building the capacities of employees; conducts recruitment campaigns to bring new employees to CIDA and to build their capacities; and also advises management to meet CIDA's human resources requirements. It comprises four sections: Labour Relations, Compensation and HR Systems; Continuous Learning; Human Resources Operations; and Organizational Development Services.

**Topics:** Human resources strategy; staffing; classification; organizational development; official languages; labour relations; compensation; employment equity; continuous learning.

**Program Record Number:** CIDA NDG 1505

### Finance Division

**Description:** This Division provides financial services to the Agency. It develops, interprets, and maintains Agency financial management practices and systems; provides specialized contract and contribution audit services; operates a financial risk assessment unit; and provides a number of other services: resource management, corporate planning, financial reporting, budgetary control, financial training, accounting operations, accounts verification services and information support; coordinates Treasury Board submissions; negotiates and liaises, as required, with the of Foreign Affairs Canada (FAC) on cost sharing administrative arrangements related to CIDA's field operations. It comprises three sections: Resources Management; Financial Policies and Systems; and, Financial Services.

**Topics:** contract and contribution audit services; financial risk assessment; resource management; corporate planning; budgetary control; financial

reporting; financial training; accounting operations and verification services; and, Treasury Board submissions.

**Program Record Number:** CIDA GFD 1518

### Contracting Management Division

**Description:** This Division develops appropriate contracting policies, processes, reporting mechanisms, quality assurance systems and guidelines on logistics and transportation necessary to ensure the integrity and transparency of contracting activities within the Agency. It makes presentations and explains the contracting process and business opportunities to CIDA's Canadian partners. It comprises three sections: Contracting Policy; Corporate Contracting Operations and Technical Assistance; and External Business Relations.

**Topics:** contracting policies; agency contracts; logistics and transportation; external business relations; business opportunities with partners.

**Program Record Number:** CIDA CMD 1525

### Administrative and Security Services Division

**Description:** This division provides the Agency with full service in the following areas: telecommunications, office and workplace organization and accommodation, storage, maintenance and repair of physical property materiel, audio-visual services, mail services, procurement, the room reservations system, security services, including personnel security, physical security, and building security (including fire and emergencies) and information technology security. It is also responsible for the greening of CIDA's internal operations program. It comprises two sections: Accommodations and Facilities; and Security Services.

**Topics:** Telecommunications; office accommodations; audio-visual services; mail services; room reservations system; security services.

**Program Record Number:** CIDA NAS 1513

### Information Management and Technology Branch

#### Office of the Chief Information Officer

**Description:** The Office of the Chief Information Officer (CIO) is responsible for providing direction for the Branch, for managing Branch resources and for building alliances both within and outside the Agency to further CIDA's mandate and Government of Canada / Agency policies and priorities.

**Topics:** CIO, managing resources, building alliances

**Program Record Number:** CIDA CIO 1530

### **Strategic Planning Division**

**Description:** This Division leads the development of the Branch's medium and long-term strategic plan to ensure that Branch priorities are aligned with Agency/government priorities. It operates at the strategic level and coordinates with the tactical planning role of Client Services and Business Solutions. As Branch Programme Management Office, it coordinates and monitors the Branch plan and performance and is responsible for quality management and risk assessment. It also acts as a focal point for the Agency in the area of Information Communication Technologies for development. The Change Management Unit within the Strategic Planning Division helps facilitate the transformation in CIDA's way of doing business brought about by the introduction of new technology.

**Topics:** Strategic plan for priorities, tactical planning for Client Services and Business Solutions, coordinates plan/performance, quality management, risk assessment, Information Communication Technologies (ICT)

**Program Record Number:** CIDA CSPR 1530

### **Client Services and Business Solutions Division**

**Description:** Client Services and Business Solutions acts as the interface with the business side of CIDA (both at headquarters and in the field) to identify and prioritize a medium-term work program that will electronically enable CIDA's business and management processes. The Division manages the planning and delivery of major projects that make up that program. In delivering that program, the Division defines the functional specifications needed to meet the Agency's business requirements, and supports staff who use the resulting applications.

**Topics:** Business solutions, management of planning/delivery of major projects

**Program Record Number:** CIDA IBS 1530

### **Information Management and Corporate Reporting Division**

**Description:** This Division develops and directs the corporate information management function to ensure information is properly managed throughout its life cycle (e.g., developing policies, standards and guidelines, specifying information and reporting requirements and designing information architecture). It also provides specific corporate services including library services and specific corporate reports.

**Topics:** information management, library services, corporate reports

**Program Record Number:** CIDA ISMD 1530

### **Information Technology Division**

**Description:** This Division is responsible for architecting, developing, implementing and maintaining a secure, robust, sustainable and cost-effective technology infrastructure. This consists of hardware, software and applications solutions based on the Agency's current and evolving business needs - as defined by the business community, and in line with IM policies and standards.

**Topics:** technology infrastructure

**Program Record Number:** CIDA ITD 1530

### **Management Services Division**

**Description:** This Division is responsible for overall management of the financial, human, physical and information resources of the branch, for procurement of IT goods for the Agency and coordination of procurement of IM/IT services.

**Topics:** Financial, human, physical, information resources

**Program Record Number:** CIDA MSD 1530

### **Communications Branch Public Environment**

**Description:** This Division analyses the public environment, including public opinion research, and evaluates communications products, vehicles and activities; it is also responsible for liaison in the area of communications between CIDA and other government departments, agencies and NGOs, including international organizations.

**Topics:** public opinion, evaluation of communications products/vehicles/activities

**Program Record Number:** CIDA PE 2218

### **Planning Services**

**Description:** This Division supports the communications planning process for the Agency; provides strategic communications advice to the Minister and the President, as well as to Communications Branch and to the managers and officers of the assigned client branches; develops and maintains working relationships on communications with key partners from the public and private sectors.

**Topics:** Communications planning process, strategic communications advice

**Program Record Number:** CIDA PS 2208

### **Corporate Communications**

**Description:** This Division is responsible for media relations, speech writing, media monitoring, ministerial briefings, regional events and parliamentary programs.

**Topics:** Media relations

**Program Record Number:** CIDA CCD 2209



### Internal Communications

**Description:** This Division is responsible for the creation, management and dissemination of corporate information within CIDA.

**Topics:** Internal communications

**Program Record Number:** CIDA IC 2207

### Creative Services

**Description:** This Division is responsible for publications, the photo library and exhibits.

**Topics:** publications, photo library, exhibits

**Program Record Number:** CIDA CSD 2214

### Web and New Media

**Description:** This Division manages the publishing of content on CIDA's public Internet site, as well as the internal news service on the Agency's Intranet. The Division is also responsible for managing online consultations, and providing web content to Government of Canada portals and international partners, such as the World Bank.

**Topics:** Public internet site, intranet, online consultations, web

**Program Record Number:** IDI WNM 2215

### Public Information Service

**Description:** The mandate of the Public Information Service is to inform and sensitize the Agency's various audiences about CIDA, official development assistance, and international development.

**Topics:** Inform/sensitize Agency's various audiences

**Program Record Number:** IDI PI 2204

### Development Information Program

**Description:** The Development Information Program (DIP) supports the development of mass media and educational initiatives aimed at increasing awareness and understanding of international development and cooperation issues among Canadians. Applicants to the program include Canadian private sector firms, non-government organizations and institutions, schools and school boards, teachers' associations, individual teachers, filmmakers and journalists. The DIP has three main components: the Mass Media, Global Classroom and Journalism and Development initiatives.

**Topics:** Mass Media, Global Classroom, journalism

**Program Record Number:** CIDA DIP 2217

### Speakers Program

**Description:** The Speakers Program receives requests from all over the country from people who would like to know more about international development. Based on the Agency's staff

availability, the Speakers Program sets up speaking tours to visit youth, community organizations, and private sector groups across Canada.

**Topics:** speakers

**Program Record Number:** IDI SP 2216

### Public Engagement

**Description:** This division is responsible for reviewing the communications aspect of CIDA's public engagement strategy and to implement outreach activities.

**Topics:** public engagement, outreach

**Program Record Number:** CIDA PE 2216

### Management Services

**Description:** This division is responsible for providing the Branch with services in the areas of finance, administration, and contracting.

**Topics:** finance, administration, contracting

**Program Record Number:** CIDA MS 2202

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Administration and Management Services

Audits

Automated Document, Records and Information Management Systems

Budgets

Classification of Positions

Employment and Staffing

Executive Correspondence Management Systems

Finance

Furniture and Furnishings

Hospitality Expenses

Human Resources

Occupational Health, Safety and Welfare

Official Languages

Personnel

Proactive Disclosure

Procurement

Relocation Expenses

Salaries and Wages

Staff Relations

Travel Expenses

Training and Development

Vehicles

## Personal Information Banks

### Human Resources and Corporate Services Branch

#### Accounts Payable and Receivable

**Description:** Accounting data on commitments, payments and accounts receivable are available from the information system maintained by the Agency. The purpose of this data bank is to monitor and control all payments as well as accounts receivable.

**Class of Individuals:** Employees, suppliers, companies, consultants, etc.

**Purpose:** Information needed to initiate and control payments and monitor accounts receivable.

**Consistent Uses:** These files are used to pay the invoices from suppliers.

**Retention and Disposal Standards:** Payment files are kept for six years, after which they are destroyed, with the authorization of the Archivist. The data from the Agency Information System is available since its creation.

**RDA Number:** 2000/008

**Related PR#:** CIDA GFD 1518

**TBS Registration:** 003422

**Bank Number:** CIDA PPU 0150

### The Human Resources Inventory of Individuals Interested to be Assigned Overseas as Cooperants

**Description:** The databank consists of personal data, academic qualifications and experience of individuals who have registered for an overseas assignment, as a cooperant. This data bank is used to select candidates having the appropriate skills and experience to work on CIDA projects as cooperants. It may also be used to assist international development organizations in identifying suitable candidates. The registration forms and files of these individuals are updated annually and are kept for ten years after the last correspondence.

**Class of Individuals:** Cooperants.

**Purpose:** Data bank used as a current inventory to respond to needs of developing countries.

**Consistent Uses:** These files are used for the selection of cooperants for overseas assignments.

**Retention and Disposal Standards:** The forms and the files are kept for ten years, after which they are destroyed, with the authorization of the Archivist. The inscriptions in the computer inventory are updated on request.

**RDA Number:** 2000/008

**Related PR#:** CIDA CMD 1525

**TBS Registration:** 003421

**Bank Number:** CIDA PPU 0150

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems

Business Continuity Planning (BCP)

Electronic Network Monitoring Logs

Executive Correspondence Management Systems

Hospitality

Internal Disclosure of Wrong Doing in the Work-Place

Relocation

Travel

Security Video Surveillance & Temporary Visitor Access Control Logs & Building Passes

## Manuals

- Chart Illustrating the Mandate, Objectives and Key Corporate-level Expected Results
- Educating Girls - A Handbook
- Handbook on the Integration of Environmental Considerations for Proposals Submitted to INC
- List of Countries and Territories Eligible for Canadian Official Development Assistance
- Manual on the Canadian Environmental Assessment Act: The Canada Fund and Mission-Administered Funds
- ODA Priorities: CIDA Operational Definitions
- Knowledge Sharing Handbook - Methods, Meetings and Tools
- Contracting Guide for Managers in CIDA
- Determination of fees non competitive CIDA Service Contracts - A Practical Guide
- Guide for Procurement Risk Assessment and Mitigation
- Manager's Guide to Contribution Agreements

- Procurement Handbook for Goods and Related Services
- Guide to Communications Branch
- Framework of Results & Key Success Factors / March 2000
- How to perform evaluations / Getting started / March 2000
- How to perform evaluations / Model TOR / April 2000
- How to perform evaluations / Participatory evaluations / March 2001
- How to perform evaluations / Gender equality / May 2001
- How to perform evaluations / Evaluation workplan / Nov. 2000
- How to perform evaluations / Model evaluation wokplan / Jan. 2004
- How to perform evaluations / Information collection and analysis / Oct. 2001
- How to perform evaluations / Evaluation reports / Jan. 2002
- How to perform evaluations / Model executive summaries / March 2002
- How to perform evaluations / Model abstracts / April 2002
- How to perform evaluations / Sharing results / August 2002
- The Logical Framework: Making it Results-Oriented (1997)
- Lessons Learned From Implementing Results-Based Management (RBM) in CIDA (1998)
- Results-Based Management in CIDA: An Introductory Guide To The Concepts and Principles (1999)
- RMB Handbook On Developing Results Chains (2000)
- A Results Approach To Developing The Implementation Plan (2001)

## Additional Information

Most of CIDA Manuals and Policies are now available on CIDA's Web site at [www.acdi-cida.ca](http://www.acdi-cida.ca).

Please see the INTRODUCTION to this publication for information on access procedures

under the provisions of the Access to Information Act and the Privacy Act.

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## Reading Room

In accordance with the Access to Information Act, representatives from the Access to Information Unit may arrange for a reading room for requesters who may wish to examine records on CIDA premises. Arrangements will be done keeping in mind all physical security measures in place. Requesters may contact an advisor at (819) 997-0846.

# Canadian International Trade Tribunal

## Chapter 38

### General Information

#### Background

Bill C-110, which established the Canadian International Trade Tribunal (the Tribunal) and dissolved the Canadian Import Tribunal, the Tariff Board and the Textile and Clothing Board, received Royal Assent on September 13, 1988. Sections of the Canadian International Trade Tribunal Act (CITT Act) establishing the corporate structure of the Tribunal were proclaimed on September 15, 1988. Sections of the CITT Act giving the Tribunal operational responsibilities and dissolving the Canadian Import Tribunal, the Tariff Board and the Textile and Clothing Board came into force on December 31, 1988. Pursuant to the NAFTA Implementation Act, on January 1, 1994, the Tribunal became Canada's bid challenge authority in respect of federal government procurement, as contemplated under Article 1017 of the North American Free Trade Agreement (NAFTA). The Tribunal succeeds the Procurement Review Board of Canada in this capacity. The Tribunal also acts as the bid challenge authority under the Agreement on Internal Trade (AIT) and the Agreement on Government Procurement (AGP).

#### Responsibilities

The Tribunal is a quasi-judicial tribunal responsible for conducting dumping and countervailing injury inquiries, making inquiries and carrying out recommendations as directed and considering import safeguard complaints by domestic producers. It is empowered to deal with appeals from decisions of the Minister of National Revenue or the President of the Canada Border Services Agency (CBSA) involving mainly customs and excise matters. The Tribunal receives and decides complaints from Canadian, U.S. and Mexican suppliers that believe that the procurement process conducted by the Canadian federal government was not carried out in accordance with NAFTA, as well as complaints under the AIT and the AGP. The Tribunal also conducts investigations into requests from Canadian producers for tariff relief on imported textile inputs used in their production operations.

#### Legislation

- Canadian International Trade Tribunal Act, R.S.C. 1985 (4th Supp.), c. 47
- Customs Act, R.S.C. 1985 (2d Supp.), c. 1
- Excise Tax Act, R.S.C. 1985, c. E-15
- Special Import Measures Act, R.S.C. 1985, c. S-15

#### Organization

The Tribunal consists of a chairperson, two vice-chairpersons and not more than six other permanent members appointed by the Governor in Council. The Governor in Council may also appoint up to five temporary members, as required. The Tribunal is supported by the Research Branch, the Legal Services Branch, the Management Services Branch and the Secretariat.

### Information Holdings

#### Program Records

##### Appeals

**Description:** Case files concerning appeals of decisions of the CBSA involving mainly customs and excise matters. Documents may include case briefs filed by parties and transcripts of hearings.

**Topics:** Appeals of an assessment or re-determination for federal sales tax or excise tax; appeals of whether imported goods are of the same description as goods subject to an injury finding or order issued by the Tribunal; appeals of tariff classification; value for duty; origin of goods imported from the United States and Mexico or Chile; extensions of time.

**Access:** File number.

**Program Record Number:** CITT TCCE 6205

##### Inquiries under the Special Import Measures Act (SIMA)

**Description:** Case files concerning inquiries into whether dumped or subsidized imports have caused, or are threatening to cause, material injury to a domestic industry and reviews of the Tribunal's findings and orders in respect of these inquiries. Documents may include questionnaire replies, the Tribunal staff report, submissions of parties and the transcript of hearings.

**Topics:** Preliminary injury inquiries; final injury

inquiries; public interest inquiries; requests for importer ruling; expiries; expiry reviews; interim reviews.

**Access:** File number or by subject goods.

**Program Record Number:** CITT TCCE 6255

### Legal Research and Advice

**Description:** Information relating to legal advice, interpretation, research on legislation, legal precedents and international agreements relevant to the responsibilities of the Tribunal.

**Topics:** Rules and regulations; legal advice and opinions; legal precedents; agreements and Acts and Legislation.

**Access:** Subject.

**Program Record Number:** CITT TCCE 9000

### Procurement Complaints

**Description:** Case information on inquiries into complaints by potential suppliers concerning federal government procurement covered by the various trade agreements. Documents include the complaint, the Government Institution Report and submissions from parties.

**Topics:** Complaints against solicitations and awards or proposed awards on a designated contract.

**Access:** File number or name of complainant.

**Program Record Number:** CITT TCCE 6249

### References

**Description:** Case information concerning inquiries on economic, trade and tariff issues as referred to the Tribunal by the Governor in Council or the Minister of Finance. Documents may include questionnaire replies, the Tribunal staff report, submissions from parties and the transcript of hearings.

**Topics:** Inquiries into economic, trade or commercial matters.

**Access:** File number.

**Program Record Number:** CITT TCCE 6245

### Requests for Tariff Relief (Textiles)

**Description:** Case information on investigations into requests from Canadian producers for tariff relief on imported textile inputs that they use in production operations. Documents include the request, questionnaire replies, the Tribunal staff report and submissions from parties.

**Topics:** Investigations; expiries; requests for review; reviews.

**Access:** File number or by name of requestor.

**Program Record Number:** CITT TCCE 6247

### Research on International Trade Issues

**Description:** Information relating to the design, management, direction, implementation and timeliness of research and investigations

undertaken in connection with Tribunal responsibilities.

**Topics:** Statistical research; statistical database design and systems; economic research, economic models and project management.

**Access:** Subject.

**Program Record Number:** CITT TCCE 8000

### Safeguard Inquiries

**Description:** Case information concerning inquiries into complaints by domestic producers that increased imports are causing or threatening to cause serious injury to domestic producers. Documents may include questionnaire replies, the Tribunal staff report, submissions from parties and the transcript of hearings.

**Topics:** Global safeguard inquiries; safeguard inquiries, market disruption, imports from China; safeguard inquiries, trade diversion imports from China.

**Access:** File Number.

**Program Record Number:** CITT TCCE 6225

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Administration

Budgets

Buildings

Buildings and Properties

Classification of Positions

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health Safety and Welfare

Office Appliances

Official languages

Pensions and Insurance

Personnel

Proactive Disclosure

Procurement  
Relocation  
Salaries and Wages  
Staff Relations  
Training and Development  
Travel

## Personal Information Banks

### Personal Services Contracts

**Description:** This bank contains a copy of each personal services contract, amendments and relevant correspondence. It may include personal résumés.

**Class of Individuals:** Persons employed by the Tribunal under a personal services contract.

**Purpose:** The purpose of this bank is to maintain a record of personal services contracts.

**Consistent Uses:** This bank is also used to back up financial records and invoices.

**Retention and Disposal Standards:** The records are retained for six years after comprehensive audit and then destroyed.

**RDA Number:** 99/003

**Related PR#:** CITT PRN 914

**TBS Registration:** 002553

**Bank Number:** CITT PPU 010

### Temporary Help Agencies

**Description:** This bank contains a list of calls made for temporary help services. It includes the names of the agencies contacted, the name of the person referred, the hourly salary charged by the agency, the approximate duration of employment, the name of a contact person at the agency and a description of the selection criteria. It also includes correspondence concerning individual terms of employment of a duration greater than eight weeks.

**Class of Individuals:** Personnel referred by the agencies.

**Purpose:** The purpose of this bank is to maintain a record of temporary help personnel.

**Consistent Uses:** This bank is also used to back up financial records and invoices.

**Retention and Disposal Standards:** The records are retained for one year after comprehensive audit and then destroyed.

**RDA Number:** 99/003

**Related PR#:** CITT PRN 920

**TBS Registration:** 002552

**Bank Number:** CITT PPU 005

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Electronic Network Monitoring Logs

Hospitality

Relocation

Travel

## Manuals

- Guide to Making Requests for Product Exclusions
- Procurement Review Process - A Descriptive Guide
- Safeguard Inquiry - Market Disruption - Imports from China - Guide for Complainants
- Safeguard Inquiry - Trade Diversion - Imports from China - Guide for Complainants
- Textile Reference Guide

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Tribunal and its functions may be directed to:

The Secretary  
Canadian International Trade Tribunal  
333 Laurier Avenue West  
Ottawa ON K1A 0G7  
Tel.: (613) 993-3595

## Reading Room

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:

Standard Life Centre  
333 Laurier Avenue West, 15th Floor  
Ottawa, Ontario

# Canadian Museum of Civilization Corporation

## Chapter 39

### General Information

#### Background

The Canadian Museum of Civilization Corporation (CMCC), a Crown Corporation, was established in 1990 by the Museums Act.

The CMCC comprises the Canadian Museum of Civilization (CMC) and its affiliate: The Canadian War Museum (CWM).

The Corporation has two public facilities: The CMC located at 100 Laurier Street, Gatineau, Quebec and the CWM at 330 Sussex Drive, Ottawa, Ontario.

#### Responsibilities

The purpose of the Corporation, as defined in the Act, is: "to increase, throughout Canada and internationally, interest in, knowledge and critical understanding of and appreciation and respect for human cultural achievements and human behaviour by establishing, maintaining and developing for research and posterity a collection of objects of historical or cultural interest, with special but not exclusive reference to Canada, and by demonstrating those achievements and behaviour, the knowledge derived from them and the understanding they represent."

#### Legislation

- The Museums Act (Statutes of Canada 1990, Chapter 3)

#### Organization

##### Directorate

The Directorate is responsible for the direction of the CMCC and the management of all its activities, resources and outputs. The Directorate comprises: Office of the President and Chief Executive Officer, Corporate Secretariat and Strategic Planning, Audit and Evaluation and Office of the Chief Operating Officer.

##### Research and Collections Branch

This Branch undertakes research programmes designed to add to the collections of the CMC and to the level of knowledge relating to the analysis of regional cultural entities that make up our heritage and through investigation of the processes that

have served to define the Canadian cultural experience. This Branch also maintains, preserves and makes accessible to users the collections of the CMC and related information. The Branch comprises: Ethnology and Cultural Studies, Archaeology and History, Aboriginal Training Programme, Conservation and Display Services, Collections Management and Planning, and Library, Archives and Documentation Services.

##### Public Relations and Publishing Branch

This Branch is responsible for the CMCC's public image, media and public relations, promotional activities and material, advertising, internal communications, official ceremonial events, liaison between the CMCC, government and the community at large.

##### Exhibitions and Programmes Branch

This Branch plans, develops, manages and evaluates a balanced programme of permanent, temporary and travelling exhibitions and interpretive programmes (live interpretation, special events and education) in support of the CMCC's purpose and objectives. The Branch comprises: Exhibitions, Canadian Postal Museum, Exhibitions Design, Interpretive Planning, A.V. Production and Photo Services, Public Programmes and Canadian Children's Museum.

##### Museum Services Branch

This Branch is responsible for the provision of management and financial services. These include materiel and facilities management, as well as, protection, informatics and personnel services. The Branch comprises: Human Resources, Volunteer Services, Finance and Administration, Property Management, Security and Client Services, and Marketing and Business Operations.

##### Development Branch

This Branch is responsible for establishing and maintaining relationships with the business world and for carrying out fundraising and development activities.

##### Canadian War Museum (CWM)

The CWM is an affiliate of the CMC. The purpose of the CWM is "to share in the remembrance of, and serve as a memorial to, those Canadians lost in, or as a result of, war; to examine the war and war-related history of Canada and its effect upon

Canada and Canadians; and to document Canada's continuing commitment to peacekeeping and the maintenance of international security".

The CWM comprises: Office of the Director and Chief Executive Officer, Historical Research and Archives, Exhibition and Programmes, Collections Management and Planning.

## Information Holdings

### Program Records

#### Directorate

**Description:** Information pertaining to the Office of the President and Chief Executive Officer, and of the Corporate Secretariat and Strategic Planning, Audits and Evaluation.

**Topics:** Policy; planning of programmes; internal audits and evaluations of programmes.

**Program Record Number:** CMCC-1000

#### Governance and Management

**Description:** Information pertaining to the Board of Trustees and of the CMCC Executive Committee, internal audits and evaluation, and Strategic Planning.

**Topics:** Policy; planning of programmes; internal audits and evaluations of programmes.

**Program Record Number:** CMCC-1000

#### Exhibitions and Programmes Branch

##### Exhibitions

**Description:** Information on permanent, travelling, special and temporary exhibitions.

**Topics:** Policy; exhibit planning; insurance; publicity; films, texts, labels; travelling exhibitions; special and temporary exhibitions.

**Program Record Number:** CMCC-5000/5500

#### Canadian Children's Museum – Exhibitions

**Description:** Information on permanent, travelling and special exhibitions.

**Topics:** Policy; exhibit planning; proposed exhibitions.

**Program Record Number:** CMCC-CCM-6000

#### Canadian Postal Museum – Exhibitions

**Description:** Information on permanent, travelling and special exhibitions.

**Topics:** Policy; exhibit planning; proposed exhibitions.

**Program Record Number:** CMCC-CPM-5000

#### Public Programmes – Research

**Description:** Research on artifacts and collections for the benefit of government and the general public.

**Topics:** Research policy.

**Program Record Number:** CMCC-6000

#### Research and Collections Branch

##### Archaeology and History – Research-Exhibitions

**Description:** Information on permanent, travelling and special exhibitions.

**Topics:** Policy; exhibit planning; proposed exhibitions; travelling exhibitions.

**Program Record Number:** CMCC-6500

##### Ethnology and Cultural Studies – Research-Exhibitions

**Description:** Information on permanent, travelling and special exhibitions.

**Topics:** Policy; exhibit planning; proposed exhibitions; permanent exhibitions; temporary exhibitions; musical instruments.

**Program Record Number:** CMCC-6500

##### Collection, Conservation and Display Services - Exhibitions

**Description:** Information pertaining to condition of artifacts; design of spaces and modules for exhibitions; storage facilities requirements for collections.

**Topics:** Policy; condition reports.

**Program Record Number:** CMCC-7000

##### Library, Archives and Documentation Services – Research- Exhibitions

**Description:** Documentation of collections and materials; loans and reproductions.

**Topics:** Policy, books and periodicals, microfiche; microfilm; photographic collection; AV collection; manuscripts; field notes and reports; artifact documentation; licensing; digitization.

**Program Record Number:** CMCC-7500

##### Collections and Acquisitions

**Description:** Information on artifacts and their acquisition through purchases, gifts, donations and exchanges.

**Topics:** Policy; procedures; gifts and donations; plans and reports; purchases; disposition; offer to museum to purchase; enquiries about artifacts; inventories; statistics.

**Program Record Number:** CMCC-7000

##### Conservation

**Description:** Information on the conservation of artifacts to ensure their preservation for future use and research.

**Topics:** Policy; casts and replicas; condition reports; storage; research on deterioration of artifacts due to poor environmental conditions of buildings.

**Program Record Number:** CMCC-7000



## Loans

**Description:** Information on incoming and outgoing loans for exhibitions.

**Topics:** Policy; requests for loans; lists of forthcoming loans; approvals or rejections; condition reports; insurance; loans to other museums.

**Program Record Number:** CMCC-7000

## Publications

**Description:** Research publications and manuscripts, photographic and audio-visual material and other miscellaneous publications, unpublished documents.

**Topics:** Policy; permission to publish; Canadian Museum of Civilization publications; Canadian War Museum publications; exhibition catalogues; licensing and copyright; Bulletins; Mercury series.

**Program Record Number:** CMCC-7500

## Research

**Description:** Research on artifacts or the collection of artifacts for the benefit of government and the general public as well as historical research for the preparation of exhibition storylines, educational programming and publications.

**Topics:** Policy; material research; research proposals; reports of completed research projects; anthropology; ethnology; archaeology; folklore; material culture; history; Canadian Postal Museum; Canadian Children's Museum; Canadian War Museum.

**Program Record Number:** CMC-6500

## Canadian War Museum (CWM)

### Exhibitions

**Description:** Information on permanent, special and travelling exhibitions.

**Topics:** Policy; planning and openings; texts; security; permanent galleries; proposed exhibitions; special and travelling exhibitions and five history presentations.

**Program Record Number:** CMCC-CWM-5000

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Hospitality

Travel

Proactive Disclosure

## Personal Information Banks

### Directorate

#### Individual Requests Under the Privacy Act

**Description:** This bank contains formal requests made by individuals under the Privacy Act for access to personal information about them, the replies to such requests and all records relating to their processing. If applicable, includes information on exemptions claimed, complaints received, reports and recommendations of the Privacy Commissioner and litigation in the Federal and Supreme Courts.

**Class of Individuals:** Individuals requesting information under the Privacy Act.

**Purpose:** For processing such requests and for compiling statistics relating to them.

**Consistent Uses:** Compiling statistics relating to requests from federal investigative bodies.

**Retention and Disposal Standards:** Records are retained for a period of two years after the last administrative action has been taken, after which records are destroyed.

**RDA Number:** 98/001

**Related PR#:** CMCC-1000

**TBS Registration:** 003457

**Bank Number:** CMC PPU 030

#### Requests Under the Access to Information Act

**Description:** This banks contains formal requests made under the Access to Information Act by individuals for access to records, the replies to such requests and all records relating to their processing. If applicable, includes information on exemptions claimed, interventions of third parties, complaints received, reports and recommendations of the Information Commissioner and litigation in the Federal and Supreme Courts.

**Class of Individuals:** Individuals requesting information under the Access to Information Act.

**Purpose:** To process requests.

**Consistent Uses:** Compiling statistics relating to the administration of the Act.

**Retention and Disposal Standards:** Records are retained for a period of two years after the last administrative action has been taken, after which records are destroyed.

**RDA Number:** 98/001

**Related PR#:** CMCC-1000

**TBS Registration:** 003454

**Bank Number:** CMC PPU 020

### Museum Services

#### Contract Files

**Description:** This bank contains a record of all personal and professional service contracts

entered into by the CMCC. It contains information such as the request for service by the manager, the original contractual document, and reasons for not authorizing payment if the terms of the contract have not been met. Active files are kept within the Contracts Management Section.

**Class of Individuals:** Information relates to individuals from the private sector under contract for services to CMCC.

**Purpose:** For contracting services.

**Consistent Uses:** Maintaining information on all service contracts entered into by CMCC.

**Retention and Disposal Standards:** Files are destroyed 6 years after completion and non-renewal of contracts. Contracts with a copyright clause are kept for the length of copyright.

**RDA Number :** 99/004

**Related PR#:** CMCC-2500

**TBS Registration:** 000377

**Bank Number:** CMCC PPU 010

### Requests from Federal Investigative Bodies

**Description:** This bank contains requests for personal information made pursuant to paragraph 8(2)e) of the Privacy Act by federal investigative bodies, the replies to such requests, the records of information disclosed, any correspondence with Privacy Commissioner and all records relating to the processing of the requests.

**Class of Individuals:** Individuals being investigated by federal investigative bodies.

**Purpose:** To meet the requirements of the Act.

**Consistent Uses:** Compiling statistics relating to requests from federal investigative bodies.

**Retention and Disposal Standards:** Documents destroyed after last action. copyright.

**Related PR#:** CMCC-1000

**TBS Registration:** 003456

**Bank Number:** CMCC PPU 025

### Research and Collections Branch

#### Collections

**Description:** This bank contains complete information pertaining to the collection of objects by the CMCC. It may contain information such as name, address, correspondence, evaluation report, income tax and insurance forms, contract and all pertinent information involving an individual who is selling or giving an object to the CMCC for inclusion in its collections.

**Class of Individuals:** Individuals with which the CMCC deals, in relation to collecting.

**Purpose:** To maintain complete information about objects collected or collectable by the CMCC. The information is classified by objects or names.

**Consistent Uses:** Determination of value of

objects for income tax or insurance purposes.

**Retention and Disposal Standards:** Retained indefinitely.

**RDA Number:** Exclusion 98/001

**Related PR#:** CMCC-7000

**TBS Registration:** 003453

**Bank Number:** CMCC PPU 005

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Travel

## Classes of Personal Information

Some CMCC files summarized in the program records contain personal information which is not used in a decision-making process directly affecting the individual to whom it relates.

Examples are inquiries about CMC and CWM collections, programmes and services, information and advice given to individuals by CMC and CWM employees about museums and museum objects, and information about individuals in documents relating to grants or proposed grants to institutions.

These classes of personal information are kept on the relevant subject files and are not identifiable by name of the individual or other personal identifier. To retrieve these classes of personal information, the CMCC would need as much detail as possible about the subject matter, the geographic location and the time the information would have come to the CMC or the CWM.

The retention periods for these classes of personal information are the same as those for the subject files containing the information.

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Canadian Museum of Civilization under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canadian Museum of Civilization.

Requests for further information about the Canadian Museum of Civilization Corporation and its various programmes and functions may be directed to:

Public Relations and Publishing Branch  
Canadian Museum of Civilization  
100 Laurier Street  
P.O. Box 3100, Station B  
Gatineau QC J8X 4H2  
Tel.: (819) 776-8499  
Fax: (819) 776-7187

## **Reading Room**

Canadian War Museum  
Vimy House  
221 Champagne Avenue North  
Ottawa ON K1A 0M8  
Tel.: (819) 776-8652

### Library

Canadian Museum of Civilization  
100 Laurier Street  
P.O. Box 3100, Station B  
Gatineau QC J8X 4H2  
Tel.: (819) 776-7173  
[library@civilization.ca](mailto:library@civilization.ca)

# Canadian Museum of Nature

## Chapter 40

### General Information

#### Background

The Canadian Museum of Nature (CMN), a Crown Corporation, was established in 1990 by the Museums Act, and reports to parliament through the Minister of Canadian Heritage. It is administered by its own directorate under the authority of a Board of Trustees. The President is the Chief Executive Officer of the CMN.

#### Responsibilities

The purposes of the Corporation, as defined in the Act, are to establish and maintain for research and posterity a collection of natural history objects, with special but not exclusive reference to Canada, and to use the collection, the knowledge derived from it and the understanding it represents, to increase throughout Canada and internationally, interest, knowledge, appreciation and respect for the natural world.

#### Legislation

- The Museums Act, 1990

#### Organization

##### Directorate

The Directorate is responsible for the overall planning, management and direction of the CMN with regards to its programmes, resources and products. The Directorate includes the Office of the President (Chief Executive Officer), the Vice-President (Chief Operating Officer), and the Secretary to the Board of Trustees.

##### Corporate Services Divisions

These divisions perform the CMN's administrative support functions and include the following: Financial Services, Human Resource Services, Facility Management Services, Communications Services, IT & Library Services, Information Services, Development and Fundraising Services.

##### Collections Division

This division develops, manages and preserves the CMN's collection of natural history objects, and provides collection-based services and products.

##### Research Division

This division plans and conducts research projects, coordinates collection-based research throughout Canada, and creates nature-based scientific expertise and knowledge.

##### Exhibition Services Division

This division plans, designs, builds and maintains the CMN's various permanent, temporary and travelling exhibitions.

##### Community Services Division

This division plans, implements and evaluates the CMN's Education programming (Community and School Programs, Interpretation, Special Events, etc.) and operates the CMN's Victoria Memorial Museum Building (VMMB).

##### Development and Fundraising Services

This division establishes, develops and maintains relationships with the business world and implements the CMN's fundraising and development activities and campaigns.

### Information Holdings

#### Program Records

##### Corporate Services

**Description:** Information pertaining to the CMN's administrative support functions.

**Topics:** Financial Services, Human Resources Services, Facility Management Services, Communication Services, IT & Library Services, Information Services, Development and Fundraising Services.

**Access:** The information is classified by division.

**Program Record Number:** CMN NSA 040

##### Acquisitions and Collections

**Description:** Information on the acquisition, collection, care and loan of artifacts and specimens.

**Topics:** Collections Management Policy, Collection Care and Conservation, Collection Loans records, key correspondence, tax receipt information for gifts and donations; Canadian Cultural Property Review Board recommendations and examination reports; Nature Art Collection, various collections of plant, mineral, zoological and paleobiological specimens.

**Access:** The information is classified by topic title, taxonomic classification and/or acquisition number.

**Program Record Number:** CMN NSA 050

### **Educational and Community Programming**

**Description:** Information on educational and interpretive programming and events offered by the Museum to the general public, schools and other specific audiences.

**Topics:** Programmes and events organized by title and year.

**Access:** The information is classified by programme title and year.

**Program Record Number:** CMN NSA 055

### **Exhibitions**

**Description:** Information on Museum permanent, travelling, and temporary exhibitions including exhibit plans, presentations and proposals.

**Topics:** Project files on permanent, travelling, and temporary exhibits

**Access:** The information is classified by Exhibition title and year.

**Program Record Number:** CMN NSA 060

### **Research**

**Description:** Information on scientific research projects in various natural sciences fields such as Earth Sciences, Paleobiology, Mineralogy, Vertebrate and Invertebrate Zoology, Botany, Biodiversity, etc. Includes information on field expeditions and notes.

**Topics:** Research proposals, projects and key correspondence.

**Access:** The information is classified by project title and Researcher name.

**Program Record Number:** CMN NSA 065

## **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Hospitality

Proactive Disclosure

Relocation

Travel

## **Personal Information Banks**

### **Collections**

**Description:** This bank has complete information on names and addresses of individuals pertaining to the collection of objects by the Canadian Museum of Nature.

**Class of Individuals:** Individuals with which the Canadian Museum of Nature deals, in relation to

collecting.

**Purpose:** To maintain complete information about objects collected or collectable by the Canadian Museum of Nature.

**Consistent Uses:** Determination of the value of objects for income tax or insurance purposes.

**Retention and Disposal Standards:** Operational records; no disposal schedules have been applied, records are kept indefinitely.

**RDA Number:** Not available

**Related PR#:** CMN NSA 050

**TBS Registration:** 003412

**Bank Number:** CMN PPU 005

### **Contract Files**

**Description:** This bank contains records of all personal and professional service contracts entered into by the Canadian Museum of Nature.

The records contain information such as the request for proposal, the original contract documents and amendments, and reasons for not authorizing payments if the terms of the contract have not been met. Active files are kept within the Contracts section.

**Class of Individuals:** Information relates to individuals from the private sector under contract for services to CMN.

**Purpose:** For contracting services legal and financial references.

**Consistent Uses:** To maintain information on all service contracts entered into by CMN.

**Retention and Disposal Standards:** Six fiscal years after termination or cancellation of contract, then destroyed.

**RDA Number:** 98/001

**Related PR#:** CMN NSA 040

**TBS Registration:** 000377

**Bank Number:** CMN PPU 010

### **Donations and Contributions**

**Description:** This bank contains personal information such as names and addresses of donors as well as financial information on donations of museological objects or financial contributions towards the acquisition of museological collections.

**Class of Individuals:** General public and private sector businesses and corporations.

**Purpose:** To maintain financial information dealing with the issuance of income tax receipts.

**Consistent Uses:** Pursuant to the Income Tax Act, documentation is used to support annual individual or corporate tax returns.

**Retention and Disposal Standards:** Records are retained for statistical purposes for six years and then destroyed.

**RDA Number:** Not available

**Related PR#:** CMN NSA 040

**TBS Registration:** 003413

**Bank Number:** CMN PPU 015

### Individual Requests under the Access to Information Act

**Description:** Contains formal requests made under the Access to Information Act by individuals for access to records, the replies to such requests, and all records relating to their processing. If applicable, includes information on exemptions claimed, interventions of third parties, complaints received, reports and recommendations of the Information Commissioner and litigation in the Federal and Supreme Courts.

**Class of Individuals:** Individuals requesting information under the ATI Act.

**Purpose:** To process such requests.

**Consistent Uses:** Compiling statistics relating to the administration of the Act.

**Retention and Disposal Standards:** Two years after last administrative use or request action completed, then destroyed.

**RDA Number:** 98/001

**Related PR#:** CMN NAS 040

**TBS Registration:** 001680

**Bank Number:** CMN PPU 020

### Individual Requests under the Privacy Act

**Description:** Contains formal requests made under the Privacy Act by individuals for access to personal information about themselves, the replies to such requests, and all records relating to their processing. If applicable, includes information on exemptions claimed, complaints received, reports and recommendation of the Privacy Commissioner and litigation in the Federal and Supreme Courts.

**Class of Individuals:** Individuals requesting information under the Privacy Act.

**Purpose:** To process such requests.

**Consistent Uses:** Compiling statistics relating to the administration of the Act.

**Retention and Disposal Standards:** Two years after last administrative use or request action completed, then destroyed.

**RDA Number:** 98/001

**Related PR#:** CMN NAS 040

**TBS Registration:** 001680

**Bank Number:** CMN PPU 030

### Requests from Federal Investigative Bodies

**Description:** Contains requests for personal information made pursuant to paragraph 8(2)(e) of the Privacy Act by federal investigative bodies, the replies to such requests, the records of information disclosed, any correspondence with the Privacy Commissioner and all records relating to the processing of the requests.

**Class of Individuals:** Individuals being investigated by federal investigative bodies.

**Purpose:** To meet the requirements of the Privacy Act.

**Consistent Uses:** Compiling statistics relating to requests from federal investigative bodies.

**Retention and Disposal Standards:** Two years after last administrative use or request action completed, then destroyed.

**RDA Number:** 98/001

**Related PR#:** CMN NAS 040

**TBS Registration:** 000379

**Bank Number:** CMN PPU 025

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Classes of Personal Information

Some CMN files summarized in the program records contain personal information which is not used in a decision-making process directly affecting the individual to whom it relates. Examples are inquiries about CMN and its collections, programmes and services, information and advice given to individuals by CMN employees about museums and museum objects, and information about individuals in documents relating to grants or proposed grants to institutions.

These classes of personal information are kept on the relevant subject files and are not identifiable by name of the individual or other personal identifier. To retrieve these classes of personal information, the CMN needs as much detail as possible about the subject matter, the geographic location and the time the information would have come to the Museum.

The retention periods for these classes of personal information are the same as those for the subject files containing the information.

## Manuals

- Corporate Policy Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Museum, its branches, and its various programs and functions may be directed to the Manager, Communications, at the museum's mailing address:

### **National Capital Region**

Communication Services  
Canadian Museum of Nature  
P.O. Box 3443, Station D  
Ottawa ON K1P 6P4  
Tel.: (613) 566-4700

### **Reading Room**

The Museum's Library and Central Records office have been designated, under the Access to Information Act, as public reading rooms. Their address is:

Canadian Museum of Nature  
National Heritage Building  
1740 Pink Road  
Gatineau, Quebec

# Canadian Nuclear Safety Commission

## Chapter 41

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

The Nuclear Safety and Control Act was passed by Parliament in 1997 to better reflect the current regulatory mandate and priorities. The legislation replaced the Atomic Energy Control Act and paved the way for the creation of the Canadian Nuclear Safety Commission (CNSC). The strengthened regulations and new authorities given to the Commission represent the first major overhaul of Canada's nuclear regulatory regime since the creation of the Atomic Energy Control Board (AECB) more than 50 years ago. The Commission's creation follows the coming into force of the Nuclear Safety and Control Act on May 31, 2000. It is a departmental corporation, named in Schedule II of the Financial Administration Act. The CNSC reports to Parliament through a designated Minister, currently the Minister of Natural Resources Canada.

#### Responsibilities

Our mandate is to ensure that the use of nuclear energy in Canada does not pose an unreasonable risk to health, safety, the environment and national security. This mandate extends to the control of import and export of nuclear materials and other prescribed substances, equipment and technology, and to fulfilling Canada's obligations under the Canada-International Atomic Energy Agency Safeguards Agreement, pursuant to the Treaty on the Non-Proliferation of Nuclear Weapons. We achieve our mandate through regulations that establish a comprehensive licensing system which covers nuclear facilities, nuclear materials and other prescribed substances and equipment, including the certification of domestic and foreign transport package designs. This licensing system, which operates on a cost recovery basis, is administered to take into account the concerns and responsibilities of federal and provincial government departments in such areas as health, environment, transport, and labour. We also

contribute to international agencies and, through cooperation agreements, assist other countries in improving their regulatory controls of nuclear materials and facilities.

#### Legislation

- Nuclear Safety & Control Act, S.C. 1997, chapter 9
- Nuclear Liability Act, R.S.C., 1985, chapter N-28

#### Organization

The Commission is constituted as a corporate body of up to seven members, one of whom is President and Chief Executive Officer appointed by the Governor in Council. Through the President, the Commission receives advice from a Legal Services Unit, composed of legal experts provided from the Department of Justice and a medical liaison officer, who represents the Group of Medical Advisors. Our officers and employees implement the policies of the Commission and make recommendations to the Commission on regulatory matters. Staff is organized into four directorates and one secretariat as described below.

##### Directorate of Reactor Regulation

The Directorate of Reactor Regulation is responsible for regulating the operation of all nuclear power plants in Canada. It is responsible for the development of safety standards and licensing conditions, for assessment of licence applications, for preparing licensing recommendations to the Commission, and for compliance activities.

##### Directorate of Fuel Cycle and Materials Regulation

The Directorate of Fuel Cycle and Materials Regulation is responsible for the regulation of uranium mining and processing, research facilities, particle accelerators, nuclear substances and devices, decommissioning and waste management, and the packaging and transportation of radioactive materials.

##### Directorate of Environmental and Human Performance Assessment

The Directorate of Environmental and Human Performance Assessment (DEHPA) assesses licensee performance in the areas of radiation and environmental protection, quality assurance,



training and human factors. This directorate is also responsible for technical training of CNSC and foreign staff; CNSC obligations related to the Canadian Environmental Assessment Act; and for investigation of accidents and significant events.

### **Directorate of Corporate Services**

Corporate Services is responsible for the CNSC's programs and policies for the management of its financial and human resources and for its information, physical and information technology assets. In addition, Corporate Services is responsible for the organization's communications, external relations, strategic planning and emergency preparedness programs.

### **Office of Regulatory Affairs**

The Office of Regulatory Affairs is responsible for organization-wide programs, initiatives and actions that enhance the CNSC's regulatory effectiveness, efficiency and overall operation.

### **Office of International Affairs**

The Office of International Affairs (OIA) licenses the export and import of controlled nuclear items. It implements Canada's bilateral nuclear cooperation agreements, international safeguards agreements, domestic nuclear security and international physical protection requirements. The OIA manages a safeguards research and development program, advises on multilateral nuclear non-proliferation issues and coordinates the CNSC's participation in other international activities.

### **Secretariat**

The Secretariat plans the business of the Commission and gives technical and administrative support to the President and to the other Commission members. This involves related communications with the Minister's Office and all other stakeholders, including government departments, intervenors, licensees, media and the public. The Secretariat is also the official registrar in relation to Commission documentation and manages the hearing process.

## **Information Holdings**

### **Program Records**

#### **Accelerator Facilities**

**Description:** Information on licensed accelerator and particle accelerator facilities in Canada.

**Topics:** Main facility; neutron generator; drawings; safety reports; cyclotron; Tandem and

Van de Graaff; Linac; Betatron.

**Program Record Number:** AEB DFC 080

#### **Associations, Societies and Institutions**

**Description:** Information on professional organizations with which the CNSC consults on matters related to nuclear energy.

**Topics:** Standards-writing organizations – Canadian Standards Association, Canadian Nuclear Association, International Atomic Energy Agency.

**Program Record Number:** AEB DRR 115

#### **Canadian Nuclear Safety and Control Regulations**

**Description:** The regulations pursuant to the Nuclear Safety and Control Act as they apply to prescribed substances and items, nuclear facilities, the appointment of inspectors and inspections of licensees, security of nuclear material and information related to the nuclear fuel cycle, radiological occupational health and safety of nuclear energy workers, the appointment of medical advisers, and protection of the public and the environment.

**Program Record Number:** AEB SEC 235

#### **Nuclear Safety Legislation**

**Description:** Information on the Nuclear Safety & Control Act and amendments.

**Program Record Number:** AEB SEC 230

#### **Atomic Energy of Canada Limited (AECL) – Licensing**

**Description:** General licensing information on nuclear facilities operated by Atomic Energy of Canada Limited.

**Topics:** Reactors – NRX, ZEEP, NRU, ZED 2, Whiteshell, Slowpoke.

**Program Record Number:** AEB DRR 060

#### **Canadian Uranium Policy**

**Description:** The Canadian uranium policy on exports, anti-trust matters and nuclear energy.

**Program Record Number:** AEB DRS 130

#### **Committees**

**Description:** Information on actions, proposals and recommendations of the Advisory Committee on Radiological Protection (ACRP) and the Advisory Committee on Nuclear Safety (ACNS). Information on committees in which CNSC staff are active.

**Program Record Number:** AEB SEC 025

#### **Computer Codes**

**Description:** Information on computer codes used in reactor operations.

**Topics:** Atmospheric dispersion; reactor physics;

thermal hydraulics; fuel behaviour; containment.

**Program Record Number:** AEB DAA 100

### Coordination and Planning

**Description:** Information on the Commission's internal and external coordination and planning.

**Program Record Number:** AEB SEC 205

### Domestic Reactors

**Description:** Information on the reactors currently in use in Canada.

**Topics:** Licence of the facility; fuel; operation; reactor operators; accountability and operational procedures; CNSC officers; significant events and incident reports; systems and equipment, proposed changes approved; proposed changes for information; radiological protection; emergency procedures; safeguards; in-service inspections and quality assurance.

**Program Record Number:** AEB DRR 055

### Emergency Planning Activities

**Description:** Information on emergency planning activities.

**Topics:** Federal procedures; coordination of federal, provincial and international procedures.

**Program Record Number:** AEB SEC 210

### Federal Departments

**Description:** General information on liaison with other federal departments and agencies.

**Program Record Number:** AEB SEC 225

### Foreign and Marine Reactors

**Description:** Reactors in the U.S.; marine reactors; foreign reactors outside the U.S.

**Program Record Number:** AEB DRR 065

### Foreign Governments

**Description:** Information on all foreign governments with which Canada has been or is involved in the nuclear field.

**Topics:** International nuclear safeguards; export-import controls; various reports dealing with the preceding subjects from foreign countries.

**Program Record Number:** AEB DRS 120

### Fuel Processing Facilities

**Description:** Information on fuel processing facilities in Canada.

**Topics:** Operation; licensing; compliance inspections; radiation exposure data.

**Program Record Number:** AEB DFC 200

### Health Physics

**Description:** Information on health physics and radiation protection, as well as radiation dose limits, personal dosimetry and instrumentation, protective clothing, radiation protection training and laboratory facilities and equipment.

**Program Record Number:** AEB DAA 245

### Heavy Water Plants

**Description:** Information on heavy water plants in Canada.

**Topics:** Operations; licensing; compliance inspections; emergency procedures; quality assurance; standards and guides; safety assessments; new processes.

**Program Record Number:** AEB DRR 195

### Heavy Water Plants

**Description:** Information on the safety assessment of design and operation of heavy water plants.

**Program Record Number:** AEB DRR 105

### Inspections

**Description:** Information on inspections, field instrumentation and special investigations.

**Program Record Number:** AEB DFC 180

### Inspections

**Description:** Information on regular inspections of reactors in service, scheduling of up and down time and computer codes used in operation.

**Topics:** Reactor-in-service inspections; materials; ferrous and non-ferrous metals, corrosion; wear and welding.

**Program Record Number:** AEB DRR 045

### International Organizations

**Description:** Information on international organizations in the nuclear energy field.

**Topics:** International safeguards; export-import control; technical reports and reviews on nuclear reactors; safeguards; quality assurance; radioactive waste management; nuclear fuel development; international organizations – Organization for Economic Cooperation and Development, International Energy Agency, European Economic Community, International Atomic Energy Agency, Nuclear Energy Agency, and the Scientific Advisory Committee of the International Atomic Energy Agency.

**Program Record Number:** AEB SEC 215

### Licensing

**Description:** Information on licensing of reactors and sites by the CNSC.

**Program Record Number:** AEB DRR 035

### Mining, Exploration and Prospecting

**Description:** Information on every uranium mining and milling facility in Canada.

**Topics:** Operation; licensing; requirements; health and safety - personal, environmental and workplace monitoring, personnel exposure data; compliance inspections; mining and milling.

**Program Record Number:** AEB DFC 185

### **Nuclear Devices**

**Description:** Information on manufacturers of nuclear devices.

**Topics:** Luminous devices; watches; exit signs; cardiac pacemakers; smoke detectors; therapy units; static eliminators.

**Program Record Number:** AEB DFC 165

### **Nuclear Liability**

**Description:** Information on the Nuclear Liability Act and its association with the Canadian nuclear program; also insurance aspects of nuclear liability.

**Program Record Number:** AEB SEC 220

### **Organization and Functions**

**Description:** Information on CNSC activities.

**Topics:** Organization of the Commission; appointments; significant development reports; meetings of internal heads of directorates or sections; annual reports; Policy and Practices Manual; Administrative Policy and Procedures Manual; and Minister's briefings.

**Program Record Number:** AEB SEC 005

### **Orientation Facilities**

**Description:** Information on foreign countries interested in purchasing CANDU reactors or technology.

**Program Record Number:** AEB DOA 260

### **Particle Accelerators**

**Description:** General information on particle accelerators.

**Topics:** Courses and seminars; standards and guidelines; technical information; and relations with Health Canada.

**Program Record Number:** AEB DFC 075

### **Prescribed Equipment**

**Description:** Information on general export control of prescribed equipment, such as nuclear reactors, fuel processing facilities, heavy water plants and nuclear accelerators.

**Program Record Number:** AEB DRS 125

### **Prescribed Substances**

**Description:** Information on prescribed substances, which are defined as radioactive isotopes of all elements and any substances containing such isotopes which are designated as capable of releasing atomic energy. The CNSC maintains files on all licensed users and producers of radioisotopes in Canada.

**Topics:** Use; exports; policies; health precautions.

**Program Record Number:** AEB DFC 155

### **Prescribed Substances – Accidents, Unauthorized Uses**

**Description:** Information on situations where possible risk to workers and the public is caused by radioactive contamination and exposure.

**Topics:** Contamination of jewellery and pottery; improper safeguards for radioisotopes use - hospitals, pharmaceutical labs, research labs; transportation accidents; unauthorized uses of radioactive materials; contamination.

**Program Record Number:** AEB DFC 175

### **Provincial Governments**

**Description:** Information on dealings with the provincial governments and two territories.

**Program Record Number:** AEB SEC 240

### **Public Information**

**Description:** Information requests; Federal Identity Program; programs; policies and procedures; projects and publications; public opinion projects; editorial services; translation and revision.

**Program Record Number:** AEB SEC 020

### **Quality Assurance**

**Description:** Information on the overall design quality of nuclear facilities.

**Topics:** Standards; manufacturers; manufacturer quality assurance programs.

**Program Record Number:** AEB DAA 110

### **Radiation Protection**

**Description:** Information on radiation protection for workers, public and environment affected by reactor facilities.

**Program Record Number:** AEB DRR 040

### **Radioactive Waste Management Facilities**

**Description:** Information on every radioactive waste management facility in Canada.

**Topics:** Low-level storage; high-level storage; reactor wastes; uranium tailings; chemical treatment; licensing; maintenance; compliance.

**Program Record Number:** AEB DFC 190

### **Reactor Codes and Standards**

**Description:** Quality assurance codes and standards used in the design of nuclear facilities.

**Topics:** Components; inspections; quality control; reliability and maintainability of concrete containment structures; protective systems and instrumentation; and seismic design requirements for CANDU.

**Program Record Number:** AEB DAA 095

### **Reactor Operating Training**

**Description:** Information retained to help in the preparation of the evaluation of training programs and the examination of reactor operators

according to CNSC standards.

**Topics:** Ontario Power Generation, Hydro-Québec, New Brunswick Electric Power; Bruce Power; AECL.

**Program Record Number:** AEB DRR 070

### Reactor Safety

**Description:** Information on the development of safety requirements for nuclear facilities.

**Topics:** Siting guides; reactor safety criteria.

**Program Record Number:** AEB DRR 090

### Reactors – General

**Description:** General information on the operation of reactor facilities.

**Program Record Number:** AEB DRR 030

### Regulatory Documents

**Description:** Information on the development of CNSC regulatory documents excluding nuclear safety legislation and Canadian nuclear safety and control regulations. Documents are developed using public consultation and used for the guidance of licensees and other regulated persons involved with the nuclear energy field and prescribed substances.

**Topics:** Regulatory documents, public consultation.

**Program Record Number:** CNS ORA 255

### Safeguards

**Description:** Policies and measures for the non-proliferation of nuclear energy.

**Topics:** Domestic and international safeguards; costs; reference documents; instrumentation; inspection procedures; accountability; visits and inventories of nuclear facilities in Canada; safeguards inspectors; special studies on accountability for highly enriched uranium and non-destructive measurement devices.

**Program Record Number:** AEB DRS 150

### Safeguards Support Program

**Description:** Research and development contract reports and Safeguard Support Program Reports.

**Program Record Number:** AEB DRS 250

### Security

**Description:** Information on the physical security of nuclear facilities and personnel.

**Program Record Number:** AEB DRS 140

### Steam Rebuild Programs

**Description:** Information on improvements of original deficient steam generators in some of the reactors.

**Topics:** 600MW, 500MW, and 850MW steam generator rebuild programs.

**Program Record Number:** AEB DRR 050

### Transportation

**Description:** Policies, regulations and practices for the safe handling and transportation of radioactive materials in Canada and abroad.

**Topics:** Shipping regulations; labelling requirements for radioisotopes; transportation of radioactive waste; liability insurance; regulations for all modes of transportation - air, road, rail and marine; certificates; Canada Post Corporation; emergency procedures; accidents and standards; transportation of nuclear materials to and from foreign countries; endorsements from foreign countries for shipping containers; technical aspects of shipping, containers and testing programs.

**Program Record Number:** AEB DFC 160

### United Nations Disarmament Commission

**Description:** Information on the United Nations Non-Proliferation Treaty on Nuclear Weapons, international safeguards, international agreements and various United Nations committees on nuclear energy.

**Program Record Number:** AEB DRS 145

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Human Resources

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Procurement  
 Salaries and Wages  
 Staff Relations  
 Training and Development  
 Vehicles

## Personal Information Banks

### Access Request Data Bank

**Description:** This bank contains the access request forms sent by individuals requesting access to files, the replies to such requests and information related to their processing.

**Class of Individuals:** Canadian citizens, permanent residents of Canada and individuals present in Canada.

**Purpose:** It is used for processing access requests only, and to report on the number of access requests received annually.

**Retention and Disposal Standards:** These files will be kept for five years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004128

**Bank Number:** AEB PPU 045

### Applications for Employment

**Description:** This bank exists to maintain an inventory of applicants from the general public or the federal government for employment with the CNSC. It includes correspondence, applications for employment, curricula vitae and other personal information.

**Class of Individuals:** Individuals seeking employment.

**Purpose:** This bank is used to identify applicants for possible future appointments to the Commission staff.

**Retention and Disposal Standards:** Records are retained in the bank for six months and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004126

**Bank Number:** AEB PPU 035

### Examinations and Results

**Description:** This bank maintains a record of the examinations given to personnel at nuclear reactor facilities. Data includes names of individuals, titles of examinations written and results in terms of success or failure.

**Class of Individuals:** Employees at Class I facilities (nuclear generating stations and non-power facilities).

**Purpose:** The CNSC sets these examinations to ensure that the requirements for operating personnel are met.

**Retention and Disposal Standards:** Records

are retained indefinitely. Paper and electronic copies of the information which is stored as a subset of this bank are retained for two years before they are transferred to classified waste.

**RDA Number:** 91/024

**TBS Registration:** 004123

**Bank Number:** AEB PPU 015

### Exposure Device Operator

**Description:** This bank maintains a record of the personal information and certification results for all candidates certified or seeking certification as exposure device operators, and those previously certified as Qualified Operators. Data includes names and addresses of individuals, titles of examinations written and results in terms of success or failure.

**Class of Individuals:** Individuals employed or seeking employment as Exposure Device Operators.

**Purpose:** The CNSC certifies exposure device operators based on education, training and experience. This database tracks all candidates information in relation to certification.

**Retention and Disposal Standards:** Records are retained for as long as the individual is certified. When the individual is no longer certified, the records are retained for 2 years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 005095

**Bank Number:** CNS PPU 060

### Health and Safety Regulations: Inspection Officers

**Description:** This bank may contain data on nationality, age, sex, education and special training, and employment history, as well as correspondence with provinces leading to appointments. There may be sensitive material relating to federal-provincial negotiations for service.

**Class of Individuals:** Canadian citizens and residents of Canada.

**Purpose:** The purpose of this bank is to record information relating to the appointment of employees of provincial government departments or health institutes, to act as inspectors under the Nuclear Safety and Control Regulations. The bank provides an up-to-date identification of individuals appointed as inspectors.

**Retention and Disposal Standards:** Records are kept for five years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004122

**Bank Number:** AEB PPU 010

### **Health and Safety Regulations: Medical Advisers**

**Description:** The bank contains names and details concerning present employment and area of jurisdiction, and communications between the CNSC and parent agencies or the individuals prior to appointment. The bank provides an up-to-date status of individual appointments by name. Individuals this bank relates to are all qualified medical officers, who may be from provincial government departments, hospitals, institutions, or the federal service.

**Class of Individuals:** Canadian citizens, medical officers.

**Purpose:** The purpose of the bank is to record information on the appointment of medical advisers to the CNSC.

**Retention and Disposal Standards:** Records are retained during the tenure of appointment and for five years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004121

**Bank Number:** AEB PPU 005

### **Personal Service Contract Files**

**Description:** The bank includes basic personal data, subject matter and terms of contract.

**Class of Individuals:** Information on organizations and individuals from the private sector under contract for services.

**Purpose:** The purpose of the bank is to maintain an accurate account of all contracts. The primary use of the bank is to record negotiations between the CNSC and the individuals concerned.

**Retention and Disposal Standards:** Records are retained for six years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004127

**Bank Number:** AEB PPU 040

### **Reactor Operators and Training**

**Description:** Data in this bank include a record of correspondence, details of education and experience, and basic personal information.

**Class of Individuals:** Employees at reactor sites.

**Purpose:** The purpose of the bank is to provide an accurate and up-to-date record of all information on authorizations and appointments of individuals to designated positions at nuclear generating stations and research reactor sites.

**Retention and Disposal Standards:** Records are retained for sixty years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004124

**Bank Number:** AEB PPU 020

### **Certified Personnel**

**Description:** Data includes summaries of the individual's examination results, copies of all certifications issued for the appointment of the individual to designated positions, and correspondence specifically relating to the individual.

**Class of Individuals:** Employees who work at Class I facilities (nuclear generating stations and non-power facilities) and individuals employed or seeking employment as Exposure Device Operators.

**Purpose:** The purpose of the bank is to maintain a record of each individual's examination and certification for designated appointments at Class I facilities and individuals employed or seeking employment as Exposure Device Operators.

**Retention and Disposal Standards:** Records are retained sixty years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004125

**Bank Number:** AEB PPU 025

### **Miner Exposure Database**

**Description:** This bank contains basic personal information collected from the personnel files of all miners who worked at the Rio Algom and Denison Mines in Elliott Lake from the early 1950's to the mid-1980's.

**Class of Individuals:** Miners exposed to radioactive dust and radon progeny in the course of their work.

**Purpose:** This bank will be used for research and statistical analysis purposes, including linking individuals to cancer registries. These analyses will help determine a more accurate risk of lung cancer and other health effects from exposure to radon progeny.

**Retention and Disposal Standards:** Records are retained for seventy-five years and then destroyed.

**RDA Number:** 91/024

**TBS Registration:** 004129

**Bank Number:** AEB PPU 050

## **Classes of Personal Information**

### **Reports and Surveys**

This class of information contains personal information based on a dietary survey performed by a consultant on behalf of the CNSC. Personal information may include particulars such as dietary interests, remuneration, age, gender, health, marital status and educational background of individuals. Such personal information is stored as part of the general subject files where records are not normally retrieved by name or individual or other personal identifier. The retention periods for

these classes of personal information are controlled by the record schedules of the general subject files in which they are stored.

## Manuals

- CNSC File Index
- CNSC Information Classification and Designation Guide.
- CNSC Official Languages Policies – Compendium
- CNSC Policy Statements Manual
- EDP Operations Manual (version anglaise seulement)
- New Employee Information Booklet
- Nuclear Liability Operations Manual
- Operational Plan Framework
- Personnel Manual
- Style Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for technical information and enquiries concerning the CNSC's role, programs and services may be directed to:

Communications Division  
Canadian Nuclear Safety Commission  
P.O. Box 1046, Station B  
Ottawa ON K1P 5S9  
Tel.: (613) 995-5894

## Reading Room

In accordance with the Access to Information Act, the CNSC's library and public documents room have been designated as reading rooms. They are located at:

280 Slater Street  
4th floor  
Ottawa, Ontario

# Canadian Polar Commission

## Chapter 42

### General Information

#### Background

In September 1985 the Minister of Indian Affairs and Northern Development commissioned a study group to investigate the state of Canadian polar science. Based on extensive consultations with Canada's northern research community, government departments, and non-government organizations, the study group produced its report, *Canada and Polar Science*, in March 1987. Among its recommendations was a call for the creation of "a national body to provide ongoing contact, at a senior level, between the federal government and those concerned with Canadian polar science and research".

Professor Thomas Symon's report *The Shield of Achilles*, which became the draft of a mandate for the Canadian Polar Commission, expressed concern that a new commission not duplicate the efforts of other institutions, but "build upon, complement and support the work of the many diverse existing Canadian institutions, programmes, and organizations that are dedicated to the development of polar knowledge".

The Canadian Polar Commission was established by Parliament in 1991 as Canada's national advisory agency on polar affairs. It supports Canada's polar research community by developing new information resources and technologies, and by helping bring a fresh and vital perspective to bear on Canadian policy making with respect to the Arctic and Antarctic. The Commission encourages the growth of new partnerships between the science community and Northern Canadians, and seeks actively to raise the profile of polar research at the national level.

#### Responsibilities

The Polar Commission's mandate requires it to: Monitor polar knowledge in Canada and around the world; work with Canadian and international institutions to determine scientific and other priorities; encourage support for Canadian polar research; communicate polar research information to Canadians; and foster international co-operation in the advancement of polar knowledge.

The Commission can: initiate, sponsor and support conferences, seminars, and meetings;

undertake and support studies on matters relating to the polar regions, and publish and disseminate relevant studies and reports; recognize relevant achievements and contributions and give prominence to Canadian polar scientific research and its application; support and encourage organizations, institutions, and individuals involved in polar research.

#### Legislation

- Canadian Polar Commission Act (February 1991)

#### Organization

The Canadian Polar Commission Board members are selected for their northern expertise, and to reflect the ethnic, linguistic, and regional diversity of Canada's polar regions. Full-time employees in the Public Service of Canada are not eligible. Members hold office for three years, and may be appointed for a second term.

### Information Holdings

#### Program Records

##### Polar Science Materials

**Description:** The Commission's files contain reports and studies relative to polar science; and the Commission's regular publications (*Meridian* and *Newsletter of the Canadian Antarctic Research Network*.)

**Topics:** Arctic research in Canada, Antarctic research by Canadians: various topics related to physical and social sciences

**Program Record Number:** CPC PUB 001

#### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Budgets

Buildings and Properties

Classification of Positions



Employment and Staffing  
 Equipment and Supplies  
 Finance  
 Furniture and Furnishings  
 Hospitality  
 Human Resources  
 Official Languages  
 Pensions and Insurance  
 Personnel  
 Proactive Disclosure  
 Procurement  
 Relocation  
 Salaries and Wages  
 Staff Relations  
 Training and Development  
 Travel

## Personal Information Banks

### Applications for Employment

**Description:** The records related to this bank contain information on individuals who have submitted applications for employment and related correspondence. The records may contain letters, completed application forms, résumés, letters of reference and letters from the Commission acknowledging receipt of applications. The types of personal information collected include: applicant's name, mailing address, telephone number, e-mail address, employment status and history, marital status, age, sex, country of birth, citizenship, social insurance number, educational background and letters of recommendation.

**Class of Individuals:** Individuals seeking employment with the institution.

**Purpose:** To maintain an inventory of potential candidates that may be considered for use in a staffing purpose when vacancies arise within the Canadian Polar Commission.

**Consistent Uses:** Relevant information may be transferred to an employee personnel record if the individual is offered and accepts employment. This information may also be used for planning and evaluation purposes.

**Retention and Disposal Standards:** Individual applications that are not considered during a staffing process are retained for six months after receipt of the application and then destroyed. Applications considered during a staffing process are retained for 3 years following the expiry of the

eligibility list or after the last administrative use and then destroyed.

**RDA Number:** 98/005

**Related PR#:** PCP PRN 921

**TBS Registration:** 005600

**Bank Number:** CPC PPU 001

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Canadian Polar Commission under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Canadian Polar Commission.

Requests for further information about the Commission may be directed to:

Canadian Polar Commission  
 Suite 1710, Constitution Square  
 360 Albert Street  
 Ottawa ON K1R 7X7  
 Tel.: (613) 943-8605  
 Fax: (613) 943-8607

## Reading Room

The reading room, at the above address, is open during office hours.

# Canadian Radio-television and Telecommunications Commission

## Chapter 43

### General Information

#### Background

The Canadian Radio-television and Telecommunications Commission (CRTC) was established by Parliament in 1968. It is an independent public authority constituted under the Canadian Radio-television and Telecommunications Commission Act (R.S.C. 1985, c. C-22, as amended) and reports to Parliament through the Minister of Canadian Heritage.

The CRTC is vested with the authority to regulate and supervise all aspects of the Canadian broadcasting system, as well as to regulate telecommunications common carriers and service providers that fall under federal jurisdiction. The CRTC derives its regulatory authority over broadcasting from the Broadcasting Act (S.C. 1991, c. 11, as amended). Its telecommunications regulatory powers are derived from the Telecommunications Act (S.C. 1993, c. 38, as amended) and the Bell Canada Act (S.C. 1987, c.19 as amended).

#### Responsibilities

In broadcasting matters, the CRTC regulates and supervises the public, community and private sectors with a view to implementing the broadcasting policy for Canada set out in section 3 of the Broadcasting Act. It has the power, inter alia, to issue, renew and amend licences and to set any conditions of licence it deems appropriate. With respect to federally-regulated telecommunications carriers, the CRTC has the power to ensure that the rates charged by the carriers are just and reasonable, and that Canadian carriers do not unjustly discriminate in relation to the provision of telecommunication services. The Commission's approval is also required for traffic and certain other types of agreements. The Commission also has powers to forbear from the regulation of services of Canadian carriers. In order to fulfil its mandate, the CRTC collects a variety of information pertaining to applicants and existing licensees of programming, distribution or network undertakings across the country. Financial and operating

information is collected on a yearly basis in Annual Returns. Programming on radio and television is monitored: television stations, including pay television and specialty services, must submit detailed program logs monthly and radio stations must submit their program logs upon request. In the course of the public hearing process, information concerning the applications being heard is made available for public examination, as outlined in the CRTC Rules of Procedure. These public files include interventions made by anyone wishing to express his/her views with respect to particular applications or issues raised in public hearings. In telecommunications hearings, interrogatories and other more formal practices may be carried out, as outlined in the CRTC Telecommunications Rules of Procedure. The Commission receives complaints and inquiries from specific individuals or corporations, or interest groups regarding both broadcasting and telecommunications. Copies of complaints relating to broadcasting matters are forwarded to the licensee concerned for comment and placed on a file available for examination by the public. As appropriate, they may be forwarded to the Canadian Broadcast Standards Council (the CBSC), which administers industry standards and codes of conduct or to the Cable Television Standards Council (CTSC) which administers Cable Service Standards.

#### Legislation

- Broadcasting Act
- Broadcasting Distribution Regulations
- Broadcasting Information Regulations, 1993
- Broadcasting Licence Fee Regulations, 1997
- Canadian Radio-television and Telecommunications Commission Act
- Canadian Telecommunications Common Carrier Ownership and Control Regulations
- CRTC Broadcasting Rules of Procedures
- CRTC Telecommunications Rules of Procedure
- Direction to the CRTC: Direct-to-Home (DTH) Pay-per-View Television Programming Undertakings

- Direction to the CRTC: Direct-to-Home (DTH) Satellite Distribution Undertakings
- Direction to the CRTC: Ineligibility of Non-Canadians
- Direction to the CRTC: Ineligibility to Hold Broadcasting Licences
- Direction to the CRTC: Reservation of Cable Channels
- Pay Television Regulations, 1990
- Radio Regulations, 1986
- Specialty Services Regulations, 1990
- CRTC Tariff Regulations
- Telecommunications Act
- Telecommunications Fees Regulations, 1995
- Television Broadcasting Regulations, 1987

## Organization

### The Secretary General

The Office of the Secretary General is the formal point of contact for the general public and industry with the Commission and communicates decisions and notices on behalf of the Commission. In addition, the Office of the Secretary General is responsible for the administrative activities of the Commission and oversees the following directorates: Finance and Corporate Services, Human Resources, Secretariat and Client Services, Informatics Services and Information Management.

### Finance and Administrative Services

This Branch provides financial, management and administrative services to ensure the efficient and cost effective operation of the Commission. It is responsible for corporate resource-based issues including cost recovery, policy issues dealing with CRTC Broadcasting Licence Fees and Telecommunications Fees, collection of fees, financial operations, budget management and control, and the preparation of departmental financial statements and Public Accounts; for administrative services including accommodation, telecommunications services, fleet management, and departmental security, public hearings logistics and special projects.

### Informatics Services

The Informatics Division is accountable for the co-ordination, administration, development, production and support of all information technology infrastructure and projects to support

the collection, organization, maintenance, management and transmission of electronic information. This accountability extends to the long term planning, implementation and evaluation of all processes related to the management of information technology as a corporate resource.

### Information Management

The Information Management Division is responsible for document and records management as well as for Information Management tools and services. It is also in charge of the mail services to guarantee the collection, organization, maintenance, management and transmission of information. The Division is responsible for maintaining a collection of information resources relevant to the communications industries in Canada as well as for managing the web site and other Commission publications. Also, the division coordinates the ATIP functions (Access to Information and Privacy) and the headquarters examination room.

### Human Resources

Human Resources assists the Commission in carrying out its mandate by ensuring sufficient numbers of staff members who are competent, trained, deployed where needed, appropriately compensated and representative of the Canadian population. To accomplish this, Human Resources provides advice and guidance on the design of the organization and its positions, recruitment and selection of employees, investment in learning and development, maintenance of a positive work environment within the CRTC and administers the administration of pay and employee benefits. Much of this is governed by Acts of Parliament that apply to human resource management across the Public Service.

### Secretariat and Client Services

Secretariat provides secretariat support to committee activities of the Commission and coordinates the CRTC's agenda management, and public hearing schedule.

Client Services responds to inquiries and complaints on broadcasting, telecommunications and corporate issues received by telephone, e-mail and letter from the general public as well as from industry, special interest groups and government representatives. This group explains the Commission's mandate, policies and decisions; reviews complaints against regulated companies; provides liaison with self-regulatory councils; and directs the Commission's regional offices as well as their Documentation Centres.

### **Broadcasting Directorate**

The Broadcasting Directorate is responsible for providing the Commission with all information needed to regulate those broadcasting undertakings subject to the CRTC's jurisdiction and for developing general broadcasting regulatory policy for adoption by the Commission. The Directorate develops advice and recommendations to the Commission in order to implement the Broadcasting Policy for Canada set out in section 3 of the Broadcasting Act as well as the regulatory policy set out in section 5. The Broadcasting Directorate is headed by the Executive Director, Broadcasting. The responsibilities of the Directorate are carried out by four divisions reporting to the Executive Director, Broadcasting.

### **Broadcasting Operations Group**

This group is responsible for the analysis of the majority of broadcasting applications from the initial submission through to the issuance of a decision, licence or a licence amendment as well as the public process of all broadcasting applications. It also keeps track and monitors the reporting requirements and programming activities of broadcast undertakings, including radio, television, specialty, pay and pay-per-view services, and the community channels of broadcasting distribution undertakings.

### **Competitive Disputes Group**

Competitive Disputes is responsible for the timely and efficient review and disposition of competitive disputes in a rapidly evolving competitive communications environment. These include disputes of complaints that arise between programming undertakings (pay, pay-per-view, video-on-demand, and specialty services) and broadcasting distribution undertakings (cable, DTH, MDS) which are attempting to negotiate the terms, including wholesale rates, for affiliation agreements; that involve allegations of undue preference conduct by programming undertakings or broadcasting distribution undertakings; and that arise from allegations of inappropriate dealings with respect to exclusive or preferential programming rights. It conducts alternative dispute resolution processes ("ADR") including staff mediation or arbitration where appropriate. Whether proceeding by way of ADR or traditional decision-making process, it ensures that complaints and disputes are resolved in a manner consistent with public policy objectives established by the Broadcasting Act, and Commission policies and regulations made thereunder.

### **Broadcasting Policy Group**

The Broadcasting Policy Group is accountable for planning, organizing and leading the provision of timely and competent analysis and recommendations regarding the economic, social, cultural, competitive and technical implications of proposed regulatory policies, applications or decisions with respect to conventional radio and television services, discretionary services, broadcasting distribution undertakings and social policy, recognizing the distinctions and special needs of Canada's English- and French-language markets. The Group determines and directs research and analysis and makes recommendations on the formulation, definition and enhancement of regulatory frameworks, strategies and policies that address social, cultural, economic, distribution and competitive issues. The group also has responsibility for policy issues related to cable, satellite and other distribution undertakings, as well as for mergers, acquisitions and ownership policy in the broadcasting sector.

### **Economic Analysis and Research Group**

The Economic Analysis and Research Group plans, organizes, coordinates and leads environmental scanning, tracking, research and analysis related to the identification, recognition, monitoring and assessment of critical issues, trends and developments affecting Canada's broadcasting and related industries in both the domestic and global marketplaces; monitors and assesses the impact of government strategies, regulatory and policy decisions and of international regulatory and market forces on the economic performance and the structure of the broadcasting sector; provides strategic information and recommendations on the application of research and analysis findings to the elaboration or review of broadcasting regulatory frameworks and Commission strategies and policy decisions; directs the diffusion of policy and market research to the public and the broadcast industry to assist intervenors in their participation in public hearings and other consultative processes and facilitates transparency in all Commission processes.

### **Communications Branch**

The Communications Branch develops and carries out all communications strategies to inform the public, media, and regulated industries; elaborates on our messages and puts in place strategies and initiates public forums to better engage open discussions with the general public; works towards ensuring that the Commission's views and decisions are transmitted in

user-friendly language and distributed in areas accessible to all Canadians; and ensures that the Commission's role, mandate and vision are clear.

### **Legal Directorate**

The Legal Directorate is responsible for providing the Commission and its Chairperson with legal services and advice respecting the implementation and interpretation of broadcasting, telecommunications and other related legislation. The Legal Directorate advises the Commission and its Chairman on the CRTC Act, the Broadcasting Act and Telecommunications Act, as well as statutory instruments such as regulations and rules of procedure made pursuant to these Acts, related federal and provincial legislation, and conflict of interest rules and guidelines.

It conducts questioning at public hearings and represents the CRTC during legal proceedings; provides advice on applications, procedural matters and associated questions on administrative law and policies formulated to further the Commission legislative objectives.

The Legal Directorate also deals with complaints received by the Commission alleging violations of statutes or regulations and drafts regulations and associated amendments.

### **Telecommunications Directorate**

The Telecommunications Directorate develops advice and recommendations to the Commission to ensure the implementation of Canadian telecommunications objectives set out in the Telecommunications Act and to ensure that Canadian carriers provide telecommunications services and charge rates on terms that are just and reasonable, and do not unjustly discriminate or provide an unreasonable preference toward any person. The responsibilities of the Telecommunications Directorate are carried out by seven branches reporting to two Director Generals and to the Executive Director.

### **Industry Analysis and Regulation**

The Industry Analysis and Regulation group provides analysis and advice on all aspects of the Canadian telecommunications industry. It is also responsible for preparing the annual report to the Governor in Council concerning the status of competition in the industry. The group manages the contribution regime that governs the subsidy to telecommunications service in high cost serving areas, the collection of Telecom Fees, and is responsible for the issuance of international telecommunications licences. It also monitors foreign ownership regulation relating to Canadian

telecommunications common carriers. Lastly, it is responsible for all regulatory aspects of telephone numbering in Canada including participation in the North American numbering plan. In supporting these activities, the group has developed and operates a large data warehouse that permits data to be collected directly from industry sources, stored, and analyzed.

### **Consumer Affairs**

The Consumer Affairs group's mandate is to ensure the advancement of consumer interests and of consumer access to telecommunications in the context of the continued transition from a monopoly to a competitive telecommunications market. This group is responsible for ensuring the Commission's policies and determinations will result in a consumer friendly marketplace. It oversees the quality of service provided by the telephone companies to subscribers, consumer issues, privacy, disabled access and consumer literacy issues. Goals in this regard include protecting consumers and promoting access to telecommunications for all consumers

### **Telecom Policy Decisions**

The Telecom Policy group's mandate is to review and interpret, where necessary, the policies of the Commission. The group is responsible for policy framework research, imputation test and mark-up policies, promotion and bundling policies, forbearance policy and for regulatory framework proceedings. In addition, this group assists other groups in their review or development of regulatory frameworks. Finally, it is responsible for ensuring the Commission's policies and determinations include supporting competition, and protecting consumer interests.

### **Competition Implementation and Technology**

The Competition Implementation and Technology group is responsible for dealing with implementation issues related to the Commission's regulatory frameworks which facilitate the introduction and evolution of competition in the various telecommunication markets. This group is responsible for industry negotiated processes such as: the Canadian Interconnection Steering Committee (CISC) that resolves operational and administrative matters among service providers and affected parties; the expedited procedure that addresses competitive disputes; and the Alternate Dispute Resolution (ADR) procedure that resolves conflicts between affected parties. The group also provides support and leadership regarding issues

that involve technical matters. This group takes into account the technological evolution that is taking place in the telecommunications industry and puts in place the regulatory frameworks that reflect this evolution both in Canada and globally.

### **Competitor Services and Costing**

The Competitor Services and Costing group is responsible for the review and the development of competitor service rates and costs. The group provides analysis and advice on aspects of rate regulation, competitor service tariffs and the appropriate regulatory framework, including Phase II costing methodology and procedures. It is also responsible for costing compliance and the costing analysis required to determine the subsidy requirements.

### **Tariffs**

The Tariffs group assesses the rates, terms and conditions of tariffed services offered by the regulated telecommunications companies. The group provides analysis and advice pertaining to tariff applications for services provided to residential customers, business customers and to providers of telecommunications services. This group contributes to the review of complex policy issues, that cross a number of sectors/programs, including matters of competition, economics and technology respecting telecommunications carriers under the Commission's jurisdiction.

### **Decisions, Planning and Operations**

The Decisions, Planning and Operations group directs the overall strategic planning and operations of the Telecommunications Directorate, as well as, the editing, co-ordination and publication of Telecom decisions. The group is the main interface with the other Directorates of the CRTC and ensures that the Telecommunications Directorate contributes to the efficient functioning of the entire CRTC. It is also responsible for the development and management of systems and processes to track and report on Telecommunications action plans, as well as, the status of items on an ongoing basis. The group also oversees Government initiatives such as Government on line (GOL) and other parliamentary reporting requirements, as required.

## **Information Holdings**

### **Program Records**

#### **Applications (Existing Licences) - Broadcasting**

**Description:** Information contained in applications for the amendment or renewal of AM, FM (Campus, Community, Native and Ethnic Radio), TV, Cable, Pay and Specialty Services licences, as well as information contained in any other applications requiring Commission authorization in respect of broadcasting licences.

**Topics:** Ownership, financial, programming, annual reports and other operational information

**Access:** by type; AM, FM (Campus, Community, Native and Ethnic Radio), TV by call sign, cable in numerical order and other systems in alphanumeric order.

**Program Record Number:** CRT BRO 185

#### **Applications (New Licences) - Broadcasting**

**Description:** Information contained in new applications for obtaining a broadcasting licence and any other information required by the Commission for authorization of broadcasting licences.

**Topics:** Ownership, financial, programming and other operational information.

**Access:** Files arranged in numeric order.

**Program Record Number:** CRT BRO 190

#### **Application Support System (APP)**

**Description:** The APP system is used to register applications filed by the Broadcasting and Telecommunications industries. It also provides the ability to disseminate the application to the team, schedule the process, monitor the progress and report activities and statistics for all broadcasting and telecommunications applications, decisions, licences and undertakings. It also provide the calendar of activities for the CRTC.

**Topics:** Broadcasting applications.

Telecommunications agreements, tariff applications by federally-regulated carriers (rates, new tariff items and revisions), Part III applications (no longer used), Part VII applications, statistical reports and tariff committee agendas.

**Access:** 1) Broadcasting: radio by type: AM, FM (campus, community, ethnic, native, religious, etc.); television by type and call sign, specialty programming services, pay television; cable television and all other systems (e.g. multipoint distribution systems (MDS), and video-on-demand (VOD)) in alphanumeric order; 2)

Telecommunications: by applicant, subject, tariff number, and Public Notice or final Decision

numbers, respectively and include interventions received from interested parties.

**Program Record Number:** CRT APP 085

#### **Audience Data**

**Description:** Comprehensive audience information containing: 1) the Bureau of Broadcast Measurement's (BBM) Fall (four week) and Spring (three week) diary-based surveys for all television viewing in Canada and; 2) the Bureau of Broadcast Measurement's (BBM) Fall and Spring multi-week diary-based surveys for all Radio listening in Canada and; 3) Nielsen Media Research's weekly metered data of all television viewing in Canada.

**Topics:** For 1 and 2) above (BBM) Audience and programming information by licensee. Computerized Stand Alone Database.

**Access:** restricted internally. Contractual agreement permits dissemination of data and analysis only to federal departments and regulatory agencies (no Crown Corporations). For 3) above (Nielsen) - Audience and programming information by licensee. Computerized weekly data and weekly reports. Contract is for one year and does not permit dissemination of data to any outside sources.

**Program Record Number:** CRT AUD 210

#### **Broadcasting Policy**

**Description:** Information on a range of broadcasting policy matters, including correspondence, documents, studies, etc. involving the Commission, individuals, industry organizations, interest groups, governments and licensees.

**Topics:** Advertising to children, gender portrayal, Canadian content, Canadian talent development, French vocal music, open line shows, political broadcasting, religious broadcasting, satellite services, violence on television and others.

**Access:** by subject

**Program Record Number:** CRT BRO 215

#### **Broadcasting Profile**

**Description:** General information relating to individuals and type of undertaking (AM, FM, TV, Specialty) or companies authorized to operate broadcasting undertakings in Canada.

**Topics:** Call sign; licensee name; band; format; address and telephone number; region; language; frequency; power of transmission; system number; licensee number; origination; affiliation; market; class; expiry date.

**Access:** by service.

**Program Record Number:** CRT BRO 165

#### **Canadian Program Certification**

**Description:** Information on programs that have been certified as Canadian content.

**Topics:** Program title, duration, production data, type of certification (Canadian, special recognition, dubbing of a foreign production done in Canada), and program logs submitted by undertakings.

**Access:** in alphanumeric order by company name or applicant name. Computerized database accessible by title or by Canadian Program Certification number. An updated list of Canadian Program Certification Numbers produced by the Industry Analysis Directorate is also available on our Web site.

**Program Record Number:** CRT PGM 180

#### **Commission Proceedings**

**Description:** Information on Commission proceedings dealing with broadcasting and telecommunications matters.

**Topics:** Public notices; decisions; circular letters; telecommunications orders; and public hearing transcripts.

**Access:** by date and location of public hearing.

**Format:** Public hearing transcripts available on microfilm (1968-1981), compact disk, (2-year retention period), and hardcopy, as well as on the website since 1998.

**Program Record Number:** CRT SEC 080

#### **Interventions**

**Description:** Information necessary to register, code and track all interventions and comments filed with the Commission for the purpose of supporting or opposing or commenting on a broadcasting application, or in response to a broadcasting policy public notice.

**Topics:** Name, address and telephone number of intervenor and related correspondence.

**Access:** Computerized database can be accessed by Public Hearing number/Public Notice number. Restricted prior to publication of a Notice of Public Hearing or Call for Comments in the Canada Gazette. After publication, all broadcasting interventions are available for viewing at the Documentation Centres and on our Web site.

**Format:** Files prior to 1996 are arranged by call sign in alphanumeric order for each broadcasting undertaking. Books with copies of interventions are arranged by date and location of public hearing and applicant name.

**Program Record Number:** CRT CIN 220

### **Correspondence - Broadcasting, Telecommunications, General Complaints and Inquiries**

**Description:** Correspondence from the public, licensees and other interested parties on any matter under the Commission's jurisdiction, not including interventions and comments related to applications or policy proceedings. Computerized database registers, tracks and reports on correspondence from receipt to completion.

**Topics:** Complaints and inquiries concerning program content and scheduling, advertising, channel line-ups, cable rates, telephone tariffs and agreements, quality of service, terms of service.

**Access:** Computerized database allows extensive search and reporting capabilities.

**Program Record Number:** CRT CCM 100

### **Financial Data (Broadcasting)**

**Description:** Information gathered from the Statistics Canada Annual Return for Television and Radio Programming Undertaking(s), including networks, and for Broadcasting Distribution Undertakings. It is augmented by the CRTC Annual Return Supplement (pay television and specialty services annual returns) for Pay Television and Specialty Programming Services; a CRTC Employment Equity Supplement for Television and Radio licensees, Broadcasting licensees and Pay Television and Specialty licensees; a CRTC Fixed Asset Supplement for rate-regulated cable systems; a CRTC Canadian Talent Development (CTD) Initiatives Supplement for radio systems and a CRTC Alcohol Advertising Supplement for radio systems. The Annual Return and CRTC Supplement are filed by November 30 of each year in compliance with CRTC Regulations.

**Topics:** 1) Financial Returns, of which (i) Cable Annual Returns for rate-regulated class 1 systems are available to the public and non-regulated class 1 and all class 2 and 3 systems are protected information and not available to the public; (ii) Radio and Television Annual Returns are protected information and not available to the public and (iii) most of the data fields on Pay Television and Specialty Programming Service Annual Returns are available to the public; 2) CRTC Fixed Asset Schedules, which provide a history - in summary form - of a cable licensee's fixed assets, for rate-regulated class 1 systems are available to the public and for class 2 and 3 systems are protected information and not available to the public; 3) Corporate Returns, of which (i) Cable Financial Statements are available to the public if there is only rate-regulated class 1 systems under the licensee; licensee including

class 2 and 3 systems are protected information and not available to the public; (ii) Radio and Television Financial Statements are protected information and not available to the public and (iii) most of the data fields on Pay Television and Specialty Programming Services Financial Statements are available to the public.

**Access:** Protected information is restricted to the CRTC, Heritage Canada and Statistics Canada.

**Program Record Number:** CRT FDB 225

### **Legal Correspondence and Advice**

**Description:** Information prepared and/or received by the Legal Directorate with respect to broadcasting, telecommunications and general matters of a legal nature.

**Topics:** Correspondence and legal opinions with respect to legal advice given to the Commission.

**Access:** Limited internally

**Program Record Number:** CRT IML 105

### **Mapping Data**

**Description:** Information that permits the computerized (geographical) mapping of service areas of all broadcasting undertakings in Canada.

**Topics:** Service areas, demographics, cable signal carriage, cable rates and number of subscribers.

**Access:** Limited internally. Contractual agreement with data providers prohibits dissemination of some data and analysis.

**Program Record Number:** CRT MAP 235

### **Ownership System**

**Description:** Information on the ownership and control structure for each Canadian broadcast undertaking (radio, television, cable television, specialty services, pay television, video-on-demand, etc.) and for all entities involved in the control chain; together with available information on related entities involved in distribution, production, film, publication, print, multimedia and communications ventures.

**Topics:** Principal shareholders and holdings, administrators, citizenship, residence and executive functions including control; details of multiple ownership holdings; and securities.

**Access:** Files arranged by company name.

**Program Record Number:** CRT OWN 025

### **Radio - Canadian Talent Development Contribution**

**Description:** Canadian talent development contribution for radio broadcasters in Canada.

**Topics:** Amounts of contribution required by condition of licence and the amount spent on an annual basis.

**Access:** By licensee, call sign, location and



province.

**Program Record Number:** CRT BRO 170

### Radio Assessment of Programming

**Description:** Information relating to the review of the logger tapes created by Canadian radio stations for the purpose of monitoring compliance.

**Topics:** Canadian radio station logger tapes.

**Access:** limited internally.

**Program Record Number:** CRT RAP 240

### Signal Carriage/Mediastats

**Description:** Information regarding cable television undertakings in Canada and the signals they are authorized to distribute.

**Topics:** Demographics, signals carried, rates, subscribers.

**Access:** Limited internally. Contractual agreement prohibits dissemination of either data or analysis.

**Program Record Number:** CRT CBL 195

### Technical Data

**Description:** Information concerning the operations and technical parameters of Canadian radio and television undertakings, including border area, United States FM radio and television operations, and listings of unused Canadian frequency allotments.

**Topics:** Call signs, power and location of transmitters, signal interference, frequency allotments and other relevant engineering information.

**Access:** By location, licensee or applicant name.

**Program Record Number:** CRT TEC 245

### Television Programming

**Description:** Information bank that allows the CRTC to monitor the compliance and performance of Canadian television undertakings over the course of their licence term.

**Topics:** TV, pay television and specialty services logs, Canadian content, conditions of licence and expectations.

**Access:** Limited internally.

**Program Record Number:** CRT BRO 250

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Audits

Automated Document, Records, Information Management Systems

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Proactive Disclosure

Procurement

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

Vehicles

## Personal Information Banks

### Annual Returns - Broadcasting

**Description:** This bank contains financial information on individuals and/or companies authorized under the Broadcasting Act to own and operate broadcasting undertakings in Canada.

**Class of Individuals:** Members of the public who have a financial or ownership interest in a broadcasting undertaking.

**Purpose:** used in the preparation of financial analysis comments for the various public hearings with respect to the granting of licences for broadcasting undertakings; compiling and analyzing data on the broadcasting industry such as growth trends and industry performance; the assessment of annual licence fees to be paid by the licensees.

**Consistent Uses:** None

**Retention and Disposal Standards:** Records are retained for seven years and then destroyed.

**RDA Number:** 2002/002

**Related PR#:** CRT FDB 225

**TBS Registration:** 003716

**Bank Number:** CRT PPU 015

#### **Applicants File - Broadcasting**

**Description:** This bank contains information on the identification of applicants for broadcasting licences, investment (equity and/or securities) held by an applicant in a broadcasting undertaking and any other holdings, as well as explanations of the organization, service information, capital costs and facilities and financial operations information.

**Class of Individuals:** Members of the public who are part of an application filed for a broadcasting licence.

**Purpose:** To provide information on individuals and/or companies, partnerships, and individuals doing business under a registered name, relative to obtaining, renewing and amending a licence for a broadcasting undertaking in order to process the application.

**Consistent Uses:** None

**Retention and Disposal Standards:** Records are retained for twenty-one years and then destroyed.

**RDA Number:** 2002/002

**Related PR#:** CRT BRO 185 and CRT BRO 190

**TBS Registration:** 003718

**Bank Number:** CRT PPU 035

#### **Broadcast Correspondence Files**

**Description:** This bank contains comments, inquiries and complaints covering a wide range of topics, most of which are related to the Broadcasting Act and regulations under the Act.

**Class of Individuals:** Members of the general public who wish to submit complaints, comments, enquiries to the Commission and broadcasting licensees.

**Purpose:** The purpose of this bank is to maintain a record of correspondence with licensees, including AM and FM radio, television, cable, specialty services and pay television concerning programming matters such as logs, tape recordings of programs, commercials and Canadian content issues.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Records are retained for twenty-one years and then destroyed.

**RDA Number:** 2002/002

**Related PR#:** CRT BRO 165, CRT BRO 185, CRT BRO 190, CRT BRO 215, CRT CIN 220 and CRT PGM 180

**TBS Registration:** 003723

**Bank Number:** CRT PPU 020

#### **Complaints and Representation File**

**Description:** This bank contains the name, address, as well as other personal details provided, of the person or agent, if any, lodging a complaint or wishing to make a representation to the Commission on any matter within its jurisdiction, as well as details on the nature of the complaint or representation.

**Class of Individuals:** Members of the general public who file a complaint or make inquiries to the Commission and broadcasting licensees.

**Purpose:** To maintain a record of any person who wishes to lodge a complaint with or make any representation to the Commission with respect to any matter that is not directed to any application before the Commission. Copies of many of the complaints are placed on a file available for examination by the public.

**Consistent Uses:** None

**Retention and Disposal Standards:** Records are retained for twenty-one years and then destroyed.

**RDA Number:** 2002/002

**Related PR#:** CRT CCM 100

**TBS Registration:** 003722

**Bank Number:** CRT PPU 005

#### **Complaints, Inquiries and Briefs - Telecommunications**

**Description:** This bank contains all information relevant to the submission, processing, investigation and disposition of complaints and inquiries from customers or users of telecommunications services furnished by the telecommunications companies under the Commission's jurisdiction. The bank contains all correspondence between the Commission and the telecommunications company against which the complaint or inquiry is directed on such matters as quality of service, rates and charges, credit and collection practices.

**Class of Individuals:** Members of the general public who submit complaints or inquiries to the Commission.

**Purpose:** To maintain a depository for case files on telecommunications complaints and inquiries for the purpose of resolving disputes or responding to inquiries.

**Consistent Uses:** None.

**Retention and Disposal Standards:** In reviewing process

**RDA Number:** 2002/002

**Related PR#:** CRT APP 085 and CRT CCM 100

**TBS Registration:** 003717

**Bank Number:** CRT PPU 025

## Legal Directorate

**Description:** A record of prosecutions and investigations conducted by the Legal Directorate, as well as some of the material upon which such prosecutions and investigations were contemplated or carried out. It also provides a record of cases in which the Commission is involved and some other material relevant to such cases.

**Class of Individuals:** Persons who may have breached the Broadcasting or Telecommunications Acts or their regulations.

**Purpose:** To provide a record of legal opinions and advice given to the Commission by the Legal Directorate and other sources and to retain some of the material upon which such advice was given.

**Consistent Uses:** None.

**Retention and Disposal Standards:** In reviewing process.

**RDA Number:** 2002/002

**Related PR#:** CRT IML 105

**TBS Registration:** 003720

**Bank Number:** CRT PPU 045

## Master Address Database

**Description:** The Master Address Database (MAD) is an internal, computerized contact list and address book. The database contains the contact and address information for organizations and individuals with which the Commission conducts its business. The Master Address Database stores information in a standardized and consistent manner to ensure data integrity and to reduce the effort to maintain client information in different areas within the Commission. The personal information collected includes the individual's name, title, mailing address, alternative addresses, telephone number, fax number, e-mail address, Canadian citizenship and company contact name.

**Class of Individuals:** Members of the public and individuals representing organizations with which the Commission conducts business.

**Purpose:** The MAD application is used within the Commission to capture and manage the contact information relating to those organizations and individuals with which the Commission interacts.

**Consistent Uses:** None

**Retention and Disposal Standards:** In progress

**RDA Number:** 2002/002

**Related PR#:** CRT OWN 025, CRT CIN 020, CRT FDB 225, CRT CCM 100, CRT APP 085, CRT PGM 180

**TBS Registration:** 006209

**Bank Number:** CRT PPU 065

## Ownership Profiles - Broadcasting

**Description:** This file contains the name of the individual ownership shareholding, together with the location and type of undertaking (cable, AM, FM or TV) of those individuals authorized under the Broadcasting Act to own and operate broadcasting undertakings in Canada.

**Class of Individuals:** Members of the public who have shares in a broadcasting undertaking.

**Purpose:** For use in the monitoring and preparation of ownership comments for the various public hearings held across the country with respect to the granting and renewal of licences for broadcasting undertakings. The information is also used to assess the impact of any ownership transfer and to assert the Canadian ownership and control.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Files are maintained until an administrative decision from the program instructs the Documentation Centre to destroy the file. Disposal date is the last instruction on file. Final disposition is one year after the disposal date.

**RDA Number:** 2002/002

**Related PR#:** CRT OWN 025

**TBS Registration:** 003715

**Bank Number:** CRT PPU 010

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records and Information Management Systems

Hospitality

Travel

## Manuals

- Financial Manuals
- Security Policy

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for information under these Acts may be directed to the CRTC's Access to Information and

Privacy Coordinator at (819) 997-4274.  
Comments, complaints and general inquiries may be directed to CRTC Headquarters or to any of the Regional Offices, in person, by telephone or in writing, at:

### Headquarters

CRTC Client Services  
Ottawa ON K1A 0N2

Complaints and Inquiries:

Tel.: (819) 997-0313  
Toll-free: 1-877-249-CRTC (2782)  
TDD - Toll-free: 1-877-909-2782  
Fax: (819) 994-0218  
E-mail: [info@crtc.gc.ca](mailto:info@crtc.gc.ca)

### Atlantic Region

Metropolitan Place  
99 Wyse Road, Suite 1410  
Dartmouth NS B3A 4S5  
Tel.: (902) 426-7997  
Fax: (902) 426-2721

### Midwest Region

Kensington Building  
275 Portage Avenue, Suite 1810  
Winnipeg MB R3B 2B3  
Tel.: (204) 983-6306  
TDD: (204) 983-8274  
Fax: (204) 983-6317

Cornwall Professional Building  
2125 11th Avenue, Suite 103  
Regina SK S4P 3K3  
Tel.: (306) 780-3422  
TDD - Toll-free: 1-877-909-2782

Standard Life Center  
10405 Jasper Avenue, Suite 520  
Edmonton AB T5J 3N4  
Tel.: (780) 495-3224  
TDD - Toll-free: 1-877-909-2782

### Ontario Region

55 St. Clair Avenue East  
6th Floor, Suite 624  
Toronto ON M4T 1M2  
Tel.: (416) 952-9096  
TDD - Toll-free: 1-877-909-2782

### Pacific Region

580 Hornby Street, Suite 530  
Vancouver BC V6C 3B6  
Tel.: (604) 666-2111  
TDD: (604) 666-0778  
Fax: (604) 666-8322

### Quebec Region

405 de Maisonneuve Boulevard East  
Suite B2300  
Montréal QC H2L 4J5  
Tel.: (514) 283-6607  
TDD: (514) 283-8316

General information on the CRTC, including daily releases, governing legislation and regulations, fact sheets on various topics and speeches, may be accessed on the web site at [www.crtc.gc.ca](http://www.crtc.gc.ca)

If you wish to file interventions on specific applications or proposed policies issued by the CRTC, you may contact us by writing to the Secretary General, CRTC, Ottawa ON K1A 0N2, , by sending a e-mail at [procedure@crtc.gc.ca](mailto:procedure@crtc.gc.ca) or a fax at: (819) 994-0218.

Other information services:

Library, 2nd Floor  
1 Promenade du Portage  
Central Building  
Terrasses de la Chaudière  
Hull, Quebec  
Tel.: (819) 997-4484  
Fax: (819) 994-6337  
E-mail: [library@crtc.gc.ca](mailto:library@crtc.gc.ca)

Business Hours: Monday - Friday 08:30 - 16:30

### Reading Room

The following have been designated under the Access to Information Act as public reading rooms.

They have also been designated for examination of applications, public hearing documentation, interventions and complaints files:

Documentation Centre, 2nd floor  
1 Promenade du Portage  
Central Building  
Terrasses de la Chaudière  
Hull, Quebec  
Tel.: (819) 996-2429

### Atlantic Region

Metropolitan Place  
99 Wyse Road, Suite 1410  
Dartmouth NS B3A 4S5  
Tel.: (902) 426-7997

### Midwest Region

Kensington Building  
275 Portage Avenue, Suite 1810  
Winnipeg AB R3B 2B3  
Tel.: (204) 983-6806

Cornwall Professional Building  
2125, 11th Avenue, Suite 103  
Regina SK S4P 3K3  
Tel.: (306) 780-3422

Standard Life Center  
10405 Jasper Avenue, Suite 520  
Edmonton AB T5J 3N4  
Tel: (780) 495-3224

**Ontario Region**

55 St. Clair Avenue East, Suite 624  
Toronto ON M4T 1M2  
Tel.: (416) 952-9096

**Pacific Region**

580 Hornby Street, Suite 530  
Vancouver BC V6C 3B6  
Tel.: (604) 666-2111

**Quebec Region**

405 de Maisonneuve Boulevard East, Suite B2300  
Montréal QC H2L 4J5  
Tel: (514) 283-6607

# Canadian Security Intelligence Service

## Chapter 44

### General Information

#### Background

The Canadian Security Intelligence Service (CSIS) has operated pursuant to the Canadian Security Intelligence Service Act, since its inception in 1984.

#### Responsibilities

CSIS collects, analyzes and retains information and intelligence respecting activities that may on reasonable grounds be suspected of constituting threats to the security of Canada, and reports to and advises the Government of Canada in relation to these matters.

The Service also plays a role in providing security assessments to departments of the Government of Canada (in accordance with section 13 of the CSIS Act and government security policy) and may provide security assessments to the government of a province or any department thereof, any police force in a province, and to the government of a foreign state or institution thereof or an international organization of states or institutions thereof when a security clearance is a required condition of employment. As well, CSIS may advise any Minister of the Crown on matters relating to the security of Canada, or provide any Minister of the Crown with information relating to security matters or criminal activities that is relevant to the exercise of any power or the performance of any duty or function by that Minister under the Citizenship Act or the Immigration Act. It may also conduct such investigations as are necessary in order to provide security assessments or advice to Ministers. Further, CSIS may, in relation to the defence of Canada or the conduct of international affairs, assist the Minister of National Defence or the Minister of Foreign Affairs and International Trade, within Canada, in the collection of information or intelligence relating to the capabilities, intentions or activities of any foreign state or group of foreign states or any person other than a Canadian citizen or permanent resident, or corporation.

#### Legislation

- Canadian Security Intelligence Service Act

#### Organization

The Director, under the direction of the Minister, has the control and management of CSIS and all matters connected therewith. The Assistant Director, Secretariat has the responsibility to support the activities of the Director and senior management. The Assistant Director Corporate has general responsibility for information management, internal security, management services, technical and scientific services. The Deputy Director Operations has responsibility for foreign liaison, human sources, operational support and the regional offices. The Assistant Director Operations reports to the Deputy Director Operations regarding the counter-terrorism, counter-intelligence, counter-proliferation, security screening, analysis and production programs. The Assistant Director Human Resources has overall responsibility for human resource programs.

### Information Holdings

#### Program Records

##### Corporate

**Description:** Information relating to information management, internal security, management services, technical and scientific services.

**Topics:** Activities relating to policy, planning and coordination of matters prepared for the Director and senior management, including the development and maintenance of CSIS policy manuals, directives and external agreements; activities related to the management of information holdings; activities related to the security of information, personnel, facilities and other classified assets; and activities related to the development of security related equipment.

**Access:** By subject matter.

**Format:** Hardcopy and/or EDP systems.

**Program Record Number:** SIS DDS 040

##### Human Resources

**Description:** Information relating to planning, organizing and coordination of the personnel services program.

**Topics:** Activities relating to recruiting, staffing, classification, training and development, compensation and benefits, staff relations, official languages, employment equity and multiculturalism, career management, health

services, employee assistance, occupational safety and health, and the employees' association.

**Access:** By subject matter.

**Format:** Hardcopy, EDP and/or microfiche.

**Program Record Number:** SIS DDS 050

### Operations

**Description:** Information relating to counter-terrorism and counter-intelligence programs, counter-proliferation and regional operational activities in respect to these programs; information relating to the identification and development of the government's operational requirements, the results and evaluations; information relating to intelligence analysis, production and threat assessment, operational support, human sources and the security screening programs. Public safety is the primary requirement.

**Topics:** Activities relating to organizations and groups engaged in past, current and projected threats to the security of Canada as defined in the CSIS Act; briefly, activities relating to espionage or sabotage that is against or is detrimental to the interests of Canada; or, activities directed toward or in support of such activity; foreign influenced activities within or relating to Canada that are detrimental to the interests of Canada, and are clandestine or deceptive, or involve a threat to any person; activities within or relating to Canada directed toward or in support of the threat or use of acts of serious violence against persons or property for the purpose of achieving a political, religious or ideological objective within Canada or a foreign state; and, activities directed toward undermining by covert unlawful acts, or directed toward or intended ultimately to lead to the destruction or overthrow by violence of the constitutionally established system of government in Canada. Information relating to disclosures of information to authorized recipients under Section 19 of the CSIS Act, including the coordination of CSIS responses to government institutions requesting assistance in preparing threat or risk assessments; activities relating to the maintenance of overall control and accountability for special operations involving the execution of powers under a federal court warrant; activities relating to the management of human sources; activities supporting the government's security clearance program, and activities supporting the government's citizenship and immigration programs and various security programs of provincial governments and agencies.

**Access:** By subject matter.

**Format:** Hardcopy, microfiche and/or EDP systems.

**Program Record Number:** SIS DDS 010

### Secretariat

**Description:** Information relating to legislative affairs, ministerial relations and Parliamentary liaison, internal review committees, communications, and the Access to Information and Privacy Act (ATIP) program.

**Topics:** Activities relating to liaison with the Security Intelligence Review Committee, the Office of the Inspector General, Parliamentary committees or commissions, the target authority and warrant review committee; CSIS meetings held internally, interdepartmentally and internationally; ministerial correspondence, including housebook cards; media and public relations; disclosures/policy related to the administration of the ATIP program

**Access:** By subject matter.

**Format:** Hardcopy and/or EDP systems.

**Program Record Number:** SIS DDS 045

## Personal Information Banks

### Access Request Records

**Description:** This bank contains personal information on individuals who have submitted a formal request under the Privacy Act or Access to Information Act for access to information originally obtained or prepared by CSIS. Documents include access and correction requests, notations, consultations with other government institutions, third party notices, exemptions, exclusions, disclosures, complaints, documents prepared for Court, and other documents pertaining to the processing of the request.

**Class of Individuals:** Individuals or authorized agents who have submitted a "Personal Information Request Form" or an "Access to Information Request Form" to a federal or provincial institution.

**Purpose:** To process Personal Information Request Forms and requests under the Access to Information Act.

**Consistent Uses:** Personal information may be used for the management of CSIS, research, audit, planning, evaluation and statistical purposes and to meet its legal reporting requirements.

**Retention and Disposal Standards:** As a requirement of the Privacy Act Regulations, information is retained until all avenues of legal appeal have been exhausted with a minimum retention of two years.

**RDA Number:** 2003/007, 2001/026.

**Related PR#:** SIS DDS 045

**TBS Registration:** 001681

**Bank Number:** SIS PPU 020

### **Canadian Security Intelligence Service Investigational Records**

**Description:** This bank contains personal information on identifiable individuals whose activities are suspected of constituting threats to the security of Canada; on identifiable individuals who are or were being managed as confidential sources of information; on identifiable individuals no longer investigated by CSIS but whose activities did constitute threats to the security of Canada and which still meet the collection criteria stipulated in section 12 of the CSIS Act, and on identifiable individuals the investigation of whom relate to the conduct of international affairs, the defence of Canada or any state allied or associated with Canada or the detection, prevention or suppression of subversive or hostile activities. Exempt Bank Status: This bank has been designated as an exempt bank by Order-in-Council No.14 (CSIS) dated 26 November 1992.

**Class of Individuals:** Individuals suspected of espionage or sabotage against Canada or the interests of Canada; individuals involved in foreign influenced activities within or relating to Canada that are clandestine or deceptive or involve a threat to any person; individuals involved in activities within or related to Canada directed toward the use of serious acts of violence to achieve a political, religious or ideological objective within Canada or a foreign state; or individuals whose activities are directed toward the unlawful covert undermining, or the overthrow by violence, of the constitutionally established government system in Canada; or any other activities described in the definition of "threats to the security of Canada" at section 2 of the CSIS Act; individuals identified relating to a national security concern, the defence of Canada or the conduct of the international affairs of Canada; and individuals who are confidential sources of information.

**Purpose:** Collected under section 12 of the CSIS Act with respect to threats to the security of Canada; under section 15 concerning the collection of information for the purpose of providing advice pursuant to section 14; and under section 16 concerning the collection of information or intelligence relating to the capabilities, intentions or activities of foreign states and certain persons.

**Consistent Uses:** CSIS may only disclose information it obtains if it does so in accordance with the controls of subsection 19(2) of the CSIS Act. First, it may disclose information for the purposes of the performance of its duties and functions under the CSIS Act or the administration or enforcement of that Act, or as required by any other law. The Service may thus disclose personal information to the Government of Canada, for example, as part of its duty to report, and give advice, thereto in relation to activities suspected of constituting threats to the security of Canada. Secondly, where the information in its possession may be used in the investigation or prosecution of an alleged contravention of the law, or where it relates to the conduct of Canada's international affairs or to the defence of Canada, then it may be disclosed to the appropriate police officials and Attorney General, to the Minister of Foreign Affairs and International Trade and to the Minister of National Defence, respectively. Thirdly, information may be disclosed where, in the opinion of the Minister, disclosure to any Minister of the Crown or person in the Public Service of Canada is essential in the public interest and that interest clearly outweighs any invasion of privacy that could result from the disclosure. Pursuant to section 13 and 14 of the CSIS Act, CSIS may also disclose information in the preparation of a domestic or foreign security assessment, or in providing advice under the Citizenship Act or Immigration Act. Personal information may also be disclosed to the Inspector General and the Security Intelligence Review Committee. Information in this bank may also be used for audit, research, planning, evaluation and statistical purposes.

### **Retention and Disposal Standards:**

Information in this bank may be retained from two years to twenty years after the last action, subject to the retention and disposal schedules approved by the National Archivist. When files have been designated as historical, they may be transferred to the custody and control of the National Archives of Canada.

**RDA Number:** 2001/026, 91/013

**Related PR#:** SIS DDS 010

**TBS Registration:** 002872

**Bank Number:** SIS PPU 045

### **Canadian Security Intelligence Service Records**

**Description:** This bank consists of information on individuals who came to the attention of the former RCMP Security Service while carrying



out its responsibilities pertaining to informing the government of national security concerns. This bank may also contain information on individuals who incidentally came to the attention of CSIS as a result of carrying out its mandate under section 12 and/or section 16 of the CSIS Act. This bank may contain information on individuals mentioned in reports related to probable unauthorized disclosure of, or unauthorized access to, classified information or assets.

**Class of Individuals:** Defectors, human sources or individuals, the nature of whose actions or activities caught the attention of CSIS or of its predecessor, the former RCMP Security Service; individuals suspected of espionage or sabotage against Canada or the interests of Canada; individuals involved in foreign influenced activities within or relating to Canada that were clandestine or deceptive or involved a threat to any person; individuals involved in activities within Canada that were directed toward the use of serious acts of violence to achieve a political, religious or ideological objective within Canada or a foreign state; or individuals whose activities that were directed toward the unlawful covert undermining, or the overthrow by violence, of the constitutionally established government system in Canada; individuals, other than Canadians or permanent residents, whose capabilities, intentions or activities regarding the defence of Canada or the conduct of international affairs are inimical to the interests of Canada.

**Purpose:** Collected or obtained by CSIS or the former RCMP Security Service and retained by CSIS under section 12 concerning threats to the security of Canada or under sections 15 or 16 concerning the collection of information relating to the capabilities, intentions or activities of foreign states and certain persons.

**Consistent Uses:** CSIS may only disclose information if it does so in accordance with the controls of subsection 19(2) of the CSIS Act. First, it may disclose information for the purposes of the performance of its duties and functions under the CSIS Act or the administration or enforcement of that Act, or as required by any other law. The Service may thus disclose personal information to the Government of Canada, for example, as part of its duty to report and give advice to the government regarding activities suspected of constituting threats to the security of Canada. Secondly, where the information in the Service's possession may be used in the investigation or prosecution of an alleged contravention of the

law, or where it relates to the conduct of Canada's international affairs or to the defence of Canada, then the information may be disclosed to the appropriate police officials and to the Attorney General, the Minister of Foreign Affairs and International Trade, and the Minister of National Defence, respectively. Thirdly, information may be disclosed where, in the opinion of the Minister, disclosure to any Minister of the Crown or person in the Public Service of Canada is essential to the public interest, and that interest clearly outweighs any invasion of privacy that could result from the disclosure. Pursuant to sections 13 and 14 of the CSIS Act, CSIS may also disclose information in the preparation of a domestic or foreign security assessment, or in providing advice under the Citizenship Act or the Immigration Act. Information in this bank may also be used to assist provincial governments, foreign and domestic agencies, on request, through agreements established under section 17 of the CSIS Act. (See Classes of Personal Information at the end of this Chapter) Personal information may also be disclosed to the Inspector General and to the Security Intelligence Review Committee. This bank may be used as a source of information or for linking with other information sources for the purposes of fulfilling CSIS's legislated mandate. This information may also be used for audit, research, planning, evaluation and statistical purposes.

**Retention and Disposal Standards:**

Information in this bank is under continuous review and files are disposed of in accordance with the retention and disposal schedules approved by the National Archivist. When files have been designated as historical, they may be transferred to the custody and control of the National Archives of Canada.

**RDA Number:** 2001/026, 91/013

**Related PR#:** SIS DDS 010

**TBS Registration:** 000837

**Bank Number:** SIS PPU 015

**Complaints Against CSIS or Its Employees**

**Description:** This bank contains complaints communicated to CSIS, the Security Intelligence Review Committee (SIRC) or the Office of the Solicitor General of Canada against CSIS or its employees, and any record generated to resolve such complaints that is under CSIS control. In addition to the requirements indicated on the Personal Information Request form, individuals must provide the location where the complaint was

reported and the nature of the complaint to retrieve the information of interest for processing.

**Class of Individuals:** Individuals involved in complaints against CSIS or its employees.

**Purpose:** To determine the validity of complaints and to record any corrective measures taken, including recommendations for disciplinary or misconduct proceedings.

**Consistent Uses:** Used in disciplinary and misconduct processes under the CSIS Act. The SIRC or the Inspector General may also use information in this bank to conduct investigations of CSIS. Information in this bank may also be used for the management of CSIS, research, audit, planning, evaluation and statistical purposes.

**Retention and Disposal Standards:** A minimum of twelve years after the last documentation on the individual complaint file, then transferred to the National Archives of Canada.

**RDA Number:** 2003/007

**Related PR#:** SIS DDS 045

**TBS Registration:** 002762

**Bank Number:** SIS PPU 035

#### **CSIS Candidates**

**Description:** This personal information bank contains recruitment documents or applications for employment with CSIS and any related correspondence. This bank may also contain personnel or staffing interviews, polygraph tests, psychological tests, test results, analysts' reports and security assessment advice. Please note that disclosure of psychological and polygraph tests are achieved through your personal examination of the test(s) in the presence of a designated practitioner. Instructions on how to contact the designated practitioner will be issued during the access request process, unless you specify that you do not want access to one or either of the tests.

**Class of Individuals:** Potential CSIS candidates.

**Purpose:** To meet the administrative and/or operational needs of CSIS.

**Consistent Uses:** Information may be transferred to an employee bank if the individual is offered and accepts employment. The candidate's skills may be assessed and, if deemed suitable, may be invited to serve in a capacity other than the position or level of initial interest. Some information in this bank may be used to verify attempts to infiltrate CSIS. This information may also be used for research, audit, planning, evaluation and statistical

purposes.

**Retention and Disposal Standards:** Retained a minimum of two years. However, unsolicited applications are destroyed after six months.

**RDA Number:** 95/005, 2001/026.

**Related PR#:** SIS DDS 050

**TBS Registration:** 000839

**Bank Number:** SIS PPU 025

#### **Post Contract Evaluation**

**Description:** This bank contains information relating to suppliers providing a variety of goods and services including EDP hardware, software and consulting support; technical equipment; general property management. This bank contains names, addresses, telephone numbers, supplier capabilities, and post contract evaluations that include quality of goods and services, timeliness, management, security and safety in contract performance.

**Class of Individuals:** Suppliers of goods and services.

**Purpose:** To determine whether or not to consider suppliers of goods and services for a potential contract.

**Consistent Uses:** This information is used to evaluate supplier's contract performance for the purpose of determining whether or not to consider certain suppliers for the provision of goods and/or services. Information in this bank may also be used as a source of information in respect to the CSIS 'Self Protection Activity' bank or the 'Security and Integrity of Government Property, Personnel and Assets' bank.

**Retention and Disposal Standards:** The records in this bank are retained for a period of six years, and then disposed of in accordance with the schedule approved by the National Archivist.

**RDA Number:** 2003/007, 2001/026.

**Related PR#:** SIS DDS 040.

**TBS Registration:** 004036

**Bank Number:** SIS PPU 060

#### **Security and Integrity of Government Property, Personnel and Assets**

**Description:** This bank contains personal information on individuals in contact with CSIS whose actions have raised concern about the security and integrity of government property, personnel or assets. This bank may contain letters, notes, facsimile copies, contact reports and related correspondence, and access control data or examination results of telephone use that has been used in a decision-making process.

**Class of Individuals:** Individuals of concern

regarding the security and integrity of government property, personnel or assets and CSIS employees who were the object of such actions.

**Purpose:** This information was compiled as an aid to internal security investigations of alleged breaches of security or in relation to the safety and integrity of government property, personnel and assets.

**Consistent Uses:** Information may be disclosed to the accredited police agency having local jurisdiction of an incident. Information in this bank may be matched with information from other CSIS personal information banks for the purpose of preserving the security of Canada or CSIS internal security.

**Retention and Disposal Standards:** The records in this bank are retained for a period of five years, ten years for access control data, and then disposed of in accordance with the schedule approved by the National Archivist.

**RDA Number:** 2003/007, 2001/026

**Related PR#:** SIS DDS 040.

**TBS Registration:** 003632

**Bank Number:** SIS PPU 055

#### **Security Assessments/Advice**

**Description:** This bank contains personal information on individuals who are or have been the subject of a request for a security assessment for pre-employment/employment with federal or provincial government departments and agencies and the private sector working under federal government contracts, when a security clearance is a required condition of employment. This includes information obtained during internal quality control investigations. Similar records are held in respect to security assessments required by a provincial government, a foreign state, or an international organization of states. This bank may also contain criminal records, credit bureau results, security analyses, security assessments and investigative reports, related correspondence and a notation of the level of security clearance granted. In addition, this bank may hold information on persons subject to security assessment or advice relative to the Citizenship Act or Immigration Act.

**Class of Individuals:** Persons for whom CSIS was asked to provide a security assessment or advice for pre-employment/employment, including contract and company personnel working under federal or provincial government or agency contracts; CSIS and CF/DND employees; individuals requiring access to internationally protected persons, VIPs and

special events; the Parliamentary Precinct and the restricted areas of airports; seaports; individuals requiring a Canada/US border pass under the Free and Secure Trade (FAST) program; designated provincial government employees; individuals who would seek admittance or to remain lawfully in Canada; and individuals seeking citizenship. By virtue of the screening process, personal information may be held on individuals who are not themselves the subject of the security assessment.

**Purpose:** Collected under section 15 of the CSIS Act to provide security assessments pursuant to section 13 or advice pursuant to section 14 of the Act.

**Consistent Uses:** Pursuant to sections 19(2), 13 and 14 of the CSIS Act, CSIS may disclose information or may match information in the preparation of a domestic or foreign security assessment or in providing advice pertinent to the Citizenship Act or Immigration Act or where the information relates to the conduct of the international affairs of Canada, to the Secretary of State for External Affairs, or where the information is relevant to the defence of Canada, to the Minister of National Defence. It may also be used for data matching, or for the purposes of conducting lawful investigations in matters which may on reasonable grounds, be suspected of constituting threats to the security of Canada and in other lawful investigations. In addition, information may be provided to the Inspector General and the Security Intelligence Review Committee, the Federal Court and the Supreme Court. This information may also be used for research, audit, planning, evaluation and statistical purposes.

#### **Retention and Disposal Standards:**

Information in this bank may be retained from two years to twelve years from the last updating, and then disposed of subject to the Retention and Disposal schedules approved by the National Archivist. When files have been designated as historical, they may be transferred to the custody and control of the National Archives of Canada.

**RDA Number:** 2001/026, 91/013

**Related PR#:** SIS DDS 010

**TBS Registration:** 000835

**Bank Number:** SIS PPU 005

#### **Security of Information Act Records**

**Description:** This bank describes information about individuals that fall within the "Permanently Bound to Secrecy" provisions of the Security of Information Act (SOIA). The information includes surname, full given names,

maiden name, nickname(s), gender and date of birth.

**Class of Individuals:** Current or former members or employees (including former members or employees as of December 24, 2001) of particular departments set out in the Schedule of the SOIA (such as the Canadian Security Intelligence Service, Communications Security Establishment, and certain branches of other departments), or those individuals (who by reason of office, position, duties, contract or arrangement) that have been identified by a deputy head as having, will have, or has had, authorized access to special operational information, and it is in the interest of national security to permanently bind that person to secrecy.

**Purpose:** To retain and maintain a record of indoctrination and identity of individuals who were or are employees of departments listed in the Schedule of the SOiA, or individuals designated by a deputy head under subsection 10(1) of the SOIA.

**Consistent Uses:** CSIS will manage this bank's information and, when requested, confirm to a Departmental Security Official that the name of an individual is or is not stored therein. The majority of Government of Canada departments and agencies will have the potential to query this storage bank and/or provide information which will be stored there. The identification of the individual is confirmed by three pieces of personal data, such as full name, date of birth, and gender. Employees of a "scheduled department" are automatically bound by nature of their employment. Employees defined within the SOIA as being "designated" by the deputy head, are notified and are provided with documentation advising them of this designation. A copy of applicable documentation will be retained within an individual's departmental security screening file in accordance with PSE 924, except for DND and the RCMP which will store this information within DND PPE 834 and CMP PPU 065 respectively.

**Retention and Disposal Standards:** Records of individuals defined as being "permanently bound to secrecy" will be retained until the individual reaches age 90.

**RDA Number:** To be determined.

**Related PR#:** SIS DDS 010

**TBS Registration:** 005572

**Bank Number:** SIS PPU 065

### Self Protection Activity

**Description:** This bank contains personal information on individuals in contact with CSIS with a view of providing services directly or through contract to CSIS. The information may include the individual's name, any aliases and other personal identifiers. Under subsection 16(2) of the Privacy Act, CSIS consistently responds to all applicants in a manner that neither confirms nor denies the existence of personal information in this bank, regardless of whether or not personal information about the applicant exists in this bank.

**Class of Individuals:** Individuals in contact with the Service.

**Purpose:** The purpose for which the information in this bank was recorded is in support of CSIS's counter intelligence program. The information will allow CSIS to better protect itself from infiltration by hostile foreign services and others whose interests are inimical to the interests of Canada.

**Consistent Uses:** Information in this bank may be used in support of CSIS's counter intelligence program. Information in this bank may also be used for audit purposes.

**Retention and Disposal Standards:**

Information in this bank will be retained for a minimum of ten years, and destroyed when considered to be of no further value.

**RDA Number:** 2001/026

**Related PR#:** SIS DDS 010

**TBS Registration:** 003297

**Bank Number:** SIS PPU 050

### Classes of Personal Information

In the course of carrying out the daily investigative activities and functions of the Canadian Security Intelligence Service, personal information may be accumulated such as in the security assessments and crisis management programs which are not described in the specific personal information banks. This information is not used for an administrative purpose affecting an individual, and can include names, addresses and other identifying data in a record. Such information is only retrievable if full specifics are provided concerning the subject matter. The retention period for this form of information is in accordance with the retention and disposal schedules approved by the National Archivist.

Unsolicited opinions or requests for information are received by the Service. This information is not used for an administrative purpose, other than to respond in some instances to the

originator. This correspondence is stored in a file associated with the subject matter, and is disposed of in a manner authorized by the National Archivist.

Some interview clips on video cassettes purchased from the Public Service Commission are being used to help English and French speaking CSIS employees to prepare for oral interaction tests conducted as an administrative measure in support of the CSIS official languages program. The personal information in the cassettes is not being used for an administrative purpose respecting any of the individuals presented in the videos.

Under the National Archives Act, index cards, registers and automated ledgers and indices are required to be created on all files opened by the Service since its inception. They contain general information such as the file numbers, titles, file creation and disposition dates. These personal information holdings serve as an information management tool that is created and used to account for the opening and disposition of each file. The index cards and registers are retained for a period of time after the disposition of the information holdings itself. An individual wishing access to the general information about them self that may be contained in the index cards and registers is required to provide the file number or sufficiently specific information as to render it reasonably retrievable.

## Manuals

- Administration Manual
- Human Resources Manual
- Immigration Screening Profiles Manual
- Operational Manual
- Security Policy Manual
- Security Screening Procedures Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Date and place of birth must be included in any request made under the Privacy Act to verify that it is you, and not someone else, asking for the information.

## Reading Room

The Solicitor General's reading room contains records supplied by CSIS under the Access to Information Act. The address is:

Access to Information and Privacy Co-ordinator

Solicitor General Canada  
Sir Wilfrid Laurier Building  
1st Floor, 340 Laurier Avenue West  
Ottawa ON K1A 0P8

# Canadian Space Agency

## Chapter 45

### General Information

#### Background

The Act of Parliament establishing the Canadian Space Agency was proclaimed into force on December 14, 1990. The Canadian Space Agency was created from divisions of the former Ministry of State for Science and Technology (MOSST), the National Research Council of Canada (NRC), the Department of Communications (DOC) and Energy Mines and Resources (EMR).

#### Responsibilities

The mandate of the Agency is to promote the peaceful use and development of space, to advance the knowledge of space through science and to ensure that space science and technology provide social and economic benefits for Canadians.

#### The Agency

assists the Minister to coordinate the space policies and programs of the Government of Canada;

plans, directs, manages and implements programs and projects relating to scientific or industrial space research and development and the application of space technology;

promotes the transfer and diffusion of space technology to and throughout Canadian industry and;

encourages commercial exploitation of space capabilities, technology, facilities and systems.

#### Legislation

- The Canadian Space Agency Act

#### Organization

##### Executive Office

##### President's Office

The mandate of the President's Office is to ensure that the Agency is effective in meeting the Government's objectives for the Canadian Space Program, particularly in the use of space science and technology to meet the needs of Canadians and the development of a capable space industry; and that the Programs of the Agency are delivered

efficiently. The office provides Executive Secretariat services (PCO type).

##### Senior Vice-President's Office

The mandate of the Senior Vice-President's Office is to support the President in meeting the Government's objectives for the Canadian Space Program, particularly in the use of space science and technology to meet the need of Canadians and the development of a capable space industry; and that the Programs of the Agency are delivered efficiently.

##### Vice-President, Science, Technology and Programs

The Vice-President, Science, Technology and Programs advises the President on all technical matters concerning the delivery of the CSA programs. He provides professional and executive leadership in the delivery of programs which includes design, development and testing functions that are central to the achievement of the Agency's mandate. He is accountable for delivering Canada's space hardware and services on time and within cost and specifications; supporting and advancing the development and implementation of an overarching vision and integrated strategic and operational policies, strategies and processes for the sustaining management of the Agency's science and technology programs to ensure the maximum return on the government's investment and to support the Canadian space sector.

##### Core Functions

##### Canadian Astronaut Office

The mandate of CAO is to:

develop and maintain human space flight expertise to meet the needs of the Canadian Space Program; participate in Canadian Space Program activities that rely upon or benefit from knowledge, skills, and attitudes of trained astronauts; increase public awareness of the Canadian Space Program and its benefits; and advocate a Canadian economy based upon innovation and advanced education.

##### Space Operations

Provide an environmental test facility capable of meeting current and emerging needs of Canada's space community and the nation's space related objectives and operates the space and ground segments of the space-related assets of the CSA.

## Space Science

The mandate of this Directorate is to advance the knowledge of space through science and to ensure that the space science and related technology supported by the Agency provides social and economic benefits to Canada.

## Space Systems

The Space Programs Directorate is accountable for delivering CSA's space systems (hardware and software) from preliminary design to commissioning on time, within cost and to specifications within the Agency's strategic and operational framework, and ensuring that safety and quality standards are met in the execution of the Agency's programs.

## Space Technologies

The Space Technologies Directorate is the functional center for technical expertise within the Agency. It manages the internal R&D activities, ensures the development by the industry and the diffusion of space technologies, the management of Intellectual Property, the utilization and commercialization of Earth Observation data, to enhance Canadian industrial competitiveness and to support Canadian space programs.

## Executive Functions

### Audit, Evaluation and Review

Assist Senior Management to improve the performance of, and enhance accountability for, the Agency's mission and objectives.

### Corporate Management

Conduct financial planning and analysis, budget preparation, financial control, accounting & reporting, develop and manage financial policies, systems, procedures and controls, act as official Spokesperson with Treasury board, manage the Business Planning cycle, provide regular, integrated comprehensive status on Agency performance against Business Plans.

### Communications

Provides communications support and advice to the Canadian Space Agency, its programs and sectors by:

Identifying and addressing communication needs and issues in the development, implementation and evaluation of policies, programs, services and initiatives.

Providing the public with timely, accurate, clear, objective and complete information about the Agency's programs, services and initiatives.

Consulting the public and taking account of interests and concerns when establishing priorities and planning programs and services.

Working collaboratively with other government departments and agencies to achieve coherent and effective communications with the public.

Coordinating all matters of communications with the Industry Minister's Office.

## Strategic Development

Develop, update, communicate and ensure the effective use of the Canadian Space Strategy as well as of the Thrust strategies: Earth Observation, Satellite Communications and Space Science and Exploration.

## External Relations

The External Relations Directorate manages the strategic relationships between the Canadian Space Agency and its domestic and international partners. Key mandates include the development and implementation of policies and strategies relating to cooperation partnerships with domestic stakeholders (Federal and Provincial Governments, industry and academia) and international agencies and industries, as well as support to the commercial initiatives of Canadian space companies on world markets. In connection with the latter, the Directorate provides strategic and timely information to industry and other stakeholders.

## Government Liaison

Responsible for relations with Government elements in the National Capital: Office of the Minister of Industry, Departments & Agencies in the Industry Portfolio, and Central agencies of the Government of Canada and other government departments. Government Liaison ensures that the CSA is a valuable contributing member of the Portfolio, ensures appropriate CSA involvement in Government policy development, and assists in gaining Government support for CSA initiatives. It also represents an administrative link to the Industry Minister's Office and central agencies, and provides support to CSA staff visiting the National Capital.

## Corporate Functions

### Administration

Manage the Agency's facilities and telecommunications, ensure the physical security of the Agency's facilities and assets, manage the Agency's procurement and contract management activities, manage and maintain government information holdings and the library services as

well as the Agency's information management framework and manage the information technology infrastructure for the Agency.

### Human Resources

Guide and support the overall management of the Human Resources required to implement the mission of the CSA.

### Legal Services

Provide CSA with legal expertise on all aspects of its operations.

## Information Holdings

### Program Records

#### Executive Office

##### President's Office

**Description:** Working papers, memoranda, correspondence and reports on the administration and operation of the Agency, Information on visits, lectures, gifts, interviews, correspondence with the Minister. Agenda, minutes, decisions and documents pertaining to CSA Advisory Council, Executive Committee and Managers' meetings, policies and procedures and corporate secretariat  
**Topics:** General Administration, speeches, audit.  
**Program Record Number:** ASC PRE 005

##### Executive Vice-President

**Description:** Working papers, memoranda, correspondence and reports on the administration and operation of the Agency, Information on visits, lectures, gifts, interviews, correspondence with the Minister, agenda, minutes and documents pertaining to executive committee and managers' meetings.

**Topics:** General Administration, speeches, audits.

**Program Record Number:** ASC PRE 010

##### Vice-President, Science, Technology and Programs

**Description:** Working papers, memoranda, correspondence and reports on the operations of the Science, Technology and Programs (STP) Sectors. Information on visits, lectures, correspondence with the President and the stakeholders, agenda, minutes and documents pertaining to various committees and manager's meetings.

**Topics:** General operation, technical matters pertaining to STP Sectors.

**Program Record Number:** ASC PRE 015

### Core Functions

#### Canadian Astronaut Office

**Description:** Correspondence, memoranda of understanding, letters of agreement, policies and procedures, financial records, technical material, presentations/speaking engagements.

**Topics:** Astronaut support, shuttle/International Space Station flights, training, assignments/activities, logistics support for Canadian astronauts flights, operational space medicine, medical operations, research and development projects, aerospace medicine training.

**Program Record Number:** ASC CAO 005

#### Space Operations

##### David Florida Laboratory

**Description:** Correspondence; reports and memoranda pertaining to policies, contracts, test programs, program forecasts, and other administrative matters as they pertain to the overall operation of the laboratory.

**Topics:** Policy; general correspondence; inquiries; test facilities (thermal, structural, radio frequency); visits/tours; facility use and loan agreements; co-operation and liaison with industry, federal departments, universities, associations, international organizations, and countries; technical support; resource documents; conferences and seminars; buildings and properties; equipment and supplies; quality assurance (ISO 9001:2000) and facility documents.

**Program Record Number:** ASC OPE 005

##### Satellite Operations – Generic

**Description:** Information on Satellite Control, Telemetry, Tracking and Commanding (TT&C) and mission planning and exploitation for Canadian missions and support to international missions, and on the management of Canadian participation in International Charter, Space and Major Disasters.

**Topics:** Configuration management, ground control facilities, operations development and management, simulation facility, mission policies, plans and procedures, Charter Board and Secretariat meetings.

**Program Record Number:** ASC OPE 010

##### RADARSAT 1

**Description:** Information on the management of Canadian participation in the RADARSAT Program; the provision of international and national agreements and all technical research and development within the RADARSAT Program.

**Topics:** Configuration management, equipment – ground systems and antennas – operations and



maintenance, simulation facility, tests and integration, mission planning and systems operations, mission data base, working groups, committee meetings and document reviews, commercialization.

**Program Record Number:** ASC OPE 015

### Space Station Program

**Description:** Information on the management of Canadian participation in the Space Station Program; the provision of the Mobile Servicing System, including international and national agreements, technical research and development within the Space Station Program.

**Topics:** Configuration management, space robotics, Space Station studies, space station assembly and maintenance systems, simulation, ground control facilities, NASA working groups, panel meetings and document reviews.

**Program Record Number:** ASC OPE 020

### Space Science Program

**Description:** Information, correspondence, memoranda and reports related to project planning, program forecasts, the management of the Space Science Program, international and national agreements and all technical research and development within individual projects.

**Topics:** Policy; general correspondence inquiries; administration and operation of the Division; visits; lectures; papers and talks; publicity; financial records; agreements and memoranda of understanding; co-operation and liaison with associations, international organizations and countries; speaking engagements; seminars; committees; finance, shuttle operational flights, equipment, training, technical definitions; engineering studies; satellite projects; space science program development.

**Program Record Number:** ASC SCI 005

### Space Programs

#### Central Function

**Description:** Information on Policies, Procedures and Practices (PPPs), and financial and human resources.

**Topics:** Project Management, Safety and Mission Assurance Management, and International Space Station Commercialization.

**Program Record Number:** ASC SPS 005

#### ISS/Canadian Space Station Program.

**Description:** Information on the Program Strategic level integration and development, Canadian participation in the Space Station Program; the provision of the Mobile Servicing System, including international and national agreements.

**Topics:** Space Station agreements, NASA working groups and panel meetings.

**Program Record Number:** ASC SPS 010

### RADARSAT – 2 Program

**Description:** Information on the management of Canadian RADARSAT-2 Program; provision of national agreements and all technical research and development within the RADARSAT-2 Program.

**Topics:** Program Management, System Engineering, Configuration management, Data Access Control Policy & associated legislation, RADARSAT-2 Feasibility Studies, ground systems, simulation facility, tests and integration, SAR antenna development & technology, working groups, panel meetings and document reviews, industrial & regional development and technology exploitation.

**Program Record Number:** ASC SPS 015

### Project Management (Phases B, C, D)

**Description:** Information on project planning and project execution of various CSA projects starting from preliminary design through on orbit commissioning.

**Topics:** PADs, project plans, specifications, interface control documents.

**Program Record Number:** ASC SPS 020

### Space Technologies

**Description:** Information, correspondence, memoranda and reports related to project planning, program forecasts, the R&D program, the management of Space Technologies, international and national agreements and all technical research and development within individual projects. The holdings of the branch office include administration, personnel and finance for the Branch. There are also general files on committees, international cooperation and agreements, contracts, inter-departmental coordination and ESA programs.

**Topics:** R&D, technologies, research, development, technical, Intellectual Property, commercialization, utilization.

**Program Record Number:** ASC TEC 005

### Spacecraft Engineering

**Description:** Correspondence, memoranda, and working papers: general directorate correspondence.

**Topics:** Current research activities include: Spacecraft dynamics and control, celestial mechanics, navigation and guidance, knowledge based systems, knowledge based systems, control of large space structures, robot dynamics and control, sensor technology, advanced materials, thermal control technology, advanced

space structures, dynamics/test of space structures, MEMS technology.

**Program Record Number:** ASC TEC 010

### Spacecraft Payloads

**Description:** Correspondence, memoranda, working papers and reports related to projects.

**Topics:** General directorate correspondence concerning current research activities: laser detectors, laser range finder, optical data processing techniques, optical sensors for remote sensing, selective optical coatings, 3D-vision systems, object recognition systems, RF technology group, digital technology group, high-temperature superconductive multiplexer, power transistor development, solid-state power amplifier (X-band), digital modular (X-band), passive intermodulation (PIM), radiation damage to gallium arsenide, space qualification of GaAs devices, satellite system modeling, remote sensing microwave instruments, dual-polarization antenna, smallsat cost reductions.

**Program Record Number:** ASC TEC 015

### Technology Management and applications

**Description:** Information, correspondence, Memoranda, reports, Working Papers and contracts related to programs managed by the Directorate.

**Topics:** Programs managed by the Directorate including the Space Technology Development Program; the Canada-European Space Agency program; Grants and Contributions programs related to training and research in space technologies; satellite communications programs; earth observation applications development program; government-related initiatives program; technology diffusion program; Intellectual Property management program.

**Program Record Number:** ASC TEC 020

### Commercialization

**Description:** Correspondence, memoranda, working documents: general office correspondence; correspondence and files related to intellectual property (inventions, patents, licenses, agreements for equipment loans, technology transfers and partnerships with governments, industry and universities). Correspondence and files related to the Technology Diffusion Program; correspondence and files related to Earth Observation application development, including the EOADP and GRIP programs, and CSA's participation in various international forum on Earth Observation.

**Topics:** contracts, assessment, project reports, finances, co-operation agreements with other

departments.

**Program Record Number:** ASC TEC 025

### Systems Engineering

**Description:** Information related to the policy, practice and process of modern systems engineering for CSA.

**Topics:** Policy, methods and practices, training courseware, computer-based tools for requirements management, analysis, ocst models and risk management. Reference database. Service agreements. Information related to space projects including technical agreements with industrial and other agency partners including specifications, interface control documents, data from working groups, panels and reviews, data relating to integration, verification, certification and deployment of space and ground segments and elements.

**Program Record Number:** ASC TEC 030

### Missions Software & Simulation

**Description:** Correspondence, memoranda, and working papers, general correspondence.

**Topics:** Current research activities include: software engineering and simulation, mission operation automation.

**Program Record Number:** ASC TEC 035

### Executive functions

#### Audit, Evaluation and review

**Description:** Correspondence, reports, studies, memoranda.

**Topics:** Internal audit, evaluation studies, review matters, performance measures.

**Program Record Number:** ASC EXE 005

#### Corporate Management

**Description:** Correspondence, reports, studies, memoranda, Treasury Board submissions and Records of Decisions, financial information and reports, information relating to all aspects of finance.

**Topics:** Finance, accounting, financial management, financial planning, financial statements and reports, multi-year operational plans, travel claims.

**Program Record Number:** ASC EXE 010

#### Communications

**Description:** Correspondence, reports, memoranda, general inquiries and requests from individuals and organizations.

**Topics:** General correspondence; Annual Reports; Industry directories; mailing lists; communications strategies; publications; A/V documents; speeches; exhibitions.

**Program Record Number:** ASC EXE 015

### **Strategic Development**

**Description:** Correspondence, Feasibility and market studies, program proposals, project documentation.

**Topics:** Information relating to new Canadian space activities/programs and applications.

**Program Record Number:** ASC EXE 020

### **External Relations**

#### **Research and Analysis**

**Description:** Studies, reports, analysis.

**Topics:** Potential economic spin-offs of major space-related projects.

**Program Record Number:** ASC EXE 025

#### **European Space Agency**

**Description:** Correspondence, reports, memoranda, general inquiries and requests from industries relevant to Canada's membership in the European Space Agency.

**Topics:** General correspondence, Statutes, Annual reports, Council deliberations; ESRIN; financial data, reports of committees, progress reports on projects, contracts to Canadian firms, etc.

**Program Record Number:** ASC EXE 030

#### **Industrial Policy and Relations with Stakeholders**

**Description:** Correspondence, reports, memoranda, general inquiries and requests from industries and scientific organizations pertaining to economic and financial aspects of private organizations.

**Topics:** General correspondence, Annual Reports; Industry directories; regional conferences.

**Program Record Number:** ASC EXE 035

#### **International Relations**

**Description:** Correspondence, reports, memoranda, general inquiries and requests from industries and foreign organizations relevant to Canada's space cooperation activities with foreign countries and organizations.

**Topics:** Foreign Agencies Annual Reports, documents on foreign space activities and programs; NASA; NASDA; (etc); Cooperation arrangements and MOU's; minutes of steering committees, Panels, working and ad hoc groups meetings.

**Program Record Number:** ASC EXE 040

#### **International Space University**

**Description:** Correspondence, reports, course catalogues, memoranda, general inquiries and requests from individuals, relevant to Canada's contribution to the International Space University activities.

**Topics:** General correspondence, Annual reports, Canada's contributions, Canadian ISU foundation; ISU permanent campus; ISU summer sessions.

**Program Record Number:** ASC EXE 045

#### **Regional Distribution**

**Description:** Correspondence, reports, memoranda, and data on the regional distribution of Canadian Space Program expenditures.

**Topics:** General correspondence, regional distribution of space and space-related contracts and expenditures; industry team; Government team; database.

**Program Record Number:** ASC EXE 050

#### **Space Agency Forum**

**Description:** Correspondence, reports, memoranda, general inquiries and requests from individuals, national and international organizations relevant to the Space Agency Forum activities.

**Topics:** General correspondence, reports of the Space Agency Forum, Hand-out for distribution; preparation and organization of meetings, participation in working groups.

**Program Record Number:** ASC EXE 055

#### **Federal-Provincial Relations**

**Description:** Correspondence, reports, memoranda, general inquiries and requests from provinces.

**Topics:** General correspondence, annual reports from provincial organizations, documents on provincial space programs; feasibility studies.

**Program Record Number:** ASC EXE 060

#### **Government Liaison (Ottawa)**

**Description:** The files contain ministerial and parliamentary relations' information.

**Topics:** Ministerial memoranda, Memoranda to Cabinet, Treasury Board Submission, Written and Oral Anticipated Questions, Correspondence.

**Program Record Number:** ASC EXE 065

#### **Corporate Functions**

##### **Human Resources**

**Description:** Correspondence, reports, memoranda, general inquiries, files on general and or specific human resources matter of a corporate nature.

**Topics:** Organization charts, job descriptions, position classifications, staffing, planning, training, development, equity, redeployment, competition posters, labour relations, compensation and benefits, performance management.

**Program Record Number:** ASC COR 005

## Administration

### Contracts Administration

**Description:** The files contain general correspondence, proposals and evaluations, contracts and purchase orders with industry.

**Topics:** Correspondence contracts for professional services and purchase orders for materials, equipment and supplies.

**Program Record Number:** ASC COR 010

### Inventory Control, Customs and Excises

**Description:** Coordination and steering of programs for Life Cycle Material Management of assets throughout the Agency.

**Topics:** Statistics on Agency assets, movement of material on international level, recording and documenting capital acquisitions through crown research projects and grants establishing up to date information on equipment used throughout the Agency.

**Program Record Number:** ASC COR 015

### Information Management

**Description:** Information on the planning, development and implementation of records and of information systems and programs and the management of government information.

**Topics:** Records classification scheme, records retention schedules, equipment relating to records, retrieval, reference and loan services and mail and messenger services.

**Program Record Number:** ASC COR 020

### Information Technology

**Description:** Information on the operation of the Division.

**Topics:** Administration and Scientists requirements; strategies, standards, policies, computer hardware/software, data communication, office automation, database management, EDP training, computer maintenance, technical support, computer needs, system development, internal and external EDP Professional consultants, future planning.

**Program Record Number:** ASC COR 025

### Facilities Management and Telecommunications

**Description:** In accordance with Treasury Board and CSA policies, provide suitable facilities and telecommunications service to all CSA employees.

**Topics:** Management of the Space Centre, processing requests regarding office disposition services, telephone system services, vehicle fleet management, parking management and forms management.

**Program Record Number:** ASC COR 030

## Security

**Description:** The security Division is responsible for administering the Canadian Government Security Policy for the various programs of the Canadian Space Agency. It has responsibility to develop policies and procedures in the areas of access control, physical security, security of personnel, security of material, security of information technology, security of informatics and communications security.

**Topics:** Data files are kept on the following topics; PROTECTED personnel information in support of the security clearance program, general investigation reports and general correspondence documents.

**Program Record Number:** ASC COR 035

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Administration

Audits

Budget

Buildings and Properties

Classification of Positions

Employment and Staffing

Equipment and Supplies

Finance

Human Resources

Hospitality

Lands

Official Languages

Pensions and Insurance

Personnel

Proactive Disclosure

Relocation

Salaries and Wages

Staff relations

Training and Development

Travel

Utilities

Vehicles

## Personal Information Banks

### Space Science

**Description:** This bank contains information on Committee Membership, information regarding names, affiliations, and primary disciplines of all individuals nominated for service on Advisory Committee.

**Class of Individuals:** Employees of the Institution and members of its Advisory Committee.

**Purpose:** The purpose of this bank is to maintain general information on individuals who are not employed by the institution but who serve on its Advisory Committee.

**Consistent Uses:** None.

**Retention and Disposal Standards:** 5 years and are then destroyed.

**RDA Number:** 98/001

**Related PR#:** ASC SCI 005

**TBS Registration:** 003060

**Bank Number:** SPA PPU 010

### Reliability/Security Investigation File

**Description:** This bank contains personal data, such as criminal records, investigative report, credit check reports, related correspondence, notations of the level of security clearance and reliability check granted, and Security Clearance Review Board documentation.

**Class of Individuals:** Members of the general public and some members of other government departments who have applied for a pre-employment/ employment security clearance or reliability check.

**Purpose:** The purpose of this bank is to maintain investigative documentation necessary to assess an individual's loyalty and reliability to Canada from a departmental security clearance viewpoint in order to grant access to classified material and to assess reliability as a condition of employment and for permitting access to designated information or valuable assets.

**Consistent Uses:** The information in this bank may be used in matters which, on reasonable grounds, may be suspected of constituting threats to the security of Canada or the Canadian Space Agency; information may also be used in other lawful investigations.

**Retention and Disposal Standards:** 5 years and are then destroyed.

**RDA Number:** 99/001

**Related PR#:** ASC COR 035

**TBS Registration:** 003064

**Bank Number:** SPA PPU 030

### Contracts between CSA and individuals

**Description:** The files contain correspondence, proposals, contracts, financial transactions and interim and final reports.

**Class of Individuals:** Members of the general public who submit proposals for work to be performed for the Canadian Space Agency.

**Purpose:** To negotiate and award contracts, to provide information on payments of contracts and to administer contracts.

**Consistent Uses:** None.

**Retention and Disposal Standards:** 6 years and are then destroyed.

**RDA Number:** 99/003

**Related PR#:** ASC COR 010

**TBS Registration:** 003062

**Bank Number:** SPA PPU 015

### Human Resources

**Description:** This bank contains information on persons interested in working at the Canadian Space Agency. Records may be solicited (i.e., in response to an advertised vacancy) or unsolicited (résumés received at random from persons seeking employment). Records contain letters, résumés, completed application forms, comments of interviewers, and letters of reference.

**Class of Individuals:** Members of the general public and public servants who apply for employment at the Canadian Space Agency.

**Purpose:** To select candidates for vacancies at the Canadian Space Agency.

**Consistent Uses:** None.

**Retention and Disposal Standards:** 2 years if considered, 6 months if not considered. and are then destroyed.

**RDA Number:** 98/005

**Related PR#:** ASC COR 005

**TBS Registration:** 003063

**Bank Number:** SPA PPU 025

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Hospitality

Relocation

Travel

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Agency and its various programs and functions may be directed to the following address:

Canadian Space Agency  
Director of Communications  
6767 route de l'Aéroport  
Saint-Hubert, Quebec J3Y 8Y9

Tel.: (450) 926-4342

Media Inquiries

Saint-Hubert: (450) 926-4343

The Agency's library is part of our Administration Directorate. It contains a wide variety of documents including reference books, monographs, technical and annual reports, standards, periodicals and government documents. This facility is located at:

6767 route de l'Aéroport  
Saint-Hubert QC J3Y 8Y9  
Tel.: (450) 926-4903

## Reading Room

The Canadian Space Agency has designated an area as public reading room under the Access to Information Act. This room is situated in Saint-Hubert, Québec.

Canadian Space Agency  
Headquarters  
Larkin-Kerwin Library  
6767 route de l'Aéroport  
Saint-Hubert QC J3Y 8Y9

# Canadian Tourism Commission

## Chapter 46

### General Information

#### Background

The Canadian Tourism Commission (CTC) became a Crown corporation on January 2001 with the coming into force of the Canadian Tourism Commission Act. It is a unique public/private sector partnership that provides an innovative approach to tourism: one that is industry-led, research-based and market-driven.

#### Responsibilities

According to Section 5 of the CTC Act, the objects of the Commission are to: Sustain a vibrant and profitable Canadian tourism industry; Market Canada as a desirable tourist destination; Support a cooperative relationship between the private sector and the governments of Canada, the provinces and the territories with respect to Canadian tourism; and Provide information about Canadian tourism to the private sector and to the governments of Canada, the provinces and the territories.

In pursuit of its objectives, and working with its public- and private-sector partners, the Commission undertakes: Joint advertising and promotional activities in markets across the globe; Macroeconomic, market and industry research; and Industry Relations and Product Innovation and Enhancement activities to remove barriers to growth and foster development of tourism products that meet international demand.

The CTC continuously seeks to create new partnership opportunities for its activities in marketing, research and other programs. The CTC has two Web sites: [www.canadatourism.com](http://www.canadatourism.com), the business Web site; and, [www.travelcanada.ca](http://www.travelcanada.ca), the consumer-orientated Web site.

#### Legislation

- The Canadian Tourism Commission Act

#### Organization

##### Marketing and Sales

The CTC currently has five marketing programs which focus on travel originating in four major geographical markets - Canada, United States

(Leisure and Meetings, Conventions and Incentive Travel (MC&IT)), Asia-Pacific and Europe/Latin America. An important element of these marketing programs is the CTC's internationally-based sales staff.

##### Information and Corporate Secretary

Providing strategic information is the CTC's second business line, complementing and supporting marketing and sales, and contributing equally to industry success. The goal of Information Services is to improve tourism-industry performance by helping the industry identify opportunities, address issues affecting its growth, understand costs, and measure its health and performance. Information Services is responsible for the following programs:

##### Research

The research group works in partnership with major research and statistical organizations in Canada and the world to develop and organize data that could support strategic business decisions in tourism. A priority for this group is to track the impact of marketing initiatives. Research helps the tourism sector develop an understanding of its own size, structure and industry trends, including trends in major economic conditions that affect it.

##### Industry Relations

The Industry Relations group works with industry associations, government regulators, and financial and other institutions that service the tourism industry, to promote supportive policies and remove barriers to growth. The Industry Relations group meets these needs by prioritizing, researching and sharing information on a range of issues important to fostering a healthy business climate.

##### Communications

The Communications unit is responsible for promoting the CTC as the primary source of knowledge and information on the tourism industry; strengthening the capacity of government partners and industry associations to provide their constituents with information about the industry and the CTC..

##### Planning and Product Innovation and Enhancement

Planning is responsible for analyzing, identifying and planning the CTC's future opportunities,

challenges, requirements and strategic priorities, including the development and production of CTC's Strategic and Corporate Plans. Planning is also responsible for an evaluation and tracking unit that will conduct evaluations annually of some marketing campaigns and activities in each of the CTC's program areas.

As the global tourism market expands, consumers have become more demanding and more sophisticated. In order to meet changing market requirements, the Canadian tourism sector strives to improve the quality and increase the quantity of its product offerings. In this regard, the CTC's Product Innovation and Enhancement group works with partners to enhance their products by offering information and intelligence on the supply side, especially in the areas singled out in the CTC's vision and mission statements: the experience of diverse cultures and communities and the connection with nature.

### Finance and Administration

Finance and Administration is responsible for the CTC's financial policies, systems and reporting, procurement, and information technology.

### Human Resources

This branch is responsible for programs, policies, and services related to staffing, training and career development, staff relations, organization, classification, human resources planning, employee assistance, and pay and benefits.

## Information Holdings

### Program Records

#### Tourism

**Description:** Information on the advertising, marketing plans, research and analysis, industry relations and product innovation and enhancement.

**Topics:** Research, Industry Relations and Product Innovation and Enhancement: aboriginal; accommodation; adventure; attractions; cities; culture; distribution; food services; leisure & sport; parks; speciality tourism; touring; transportation. Issues: environment; human resources; taxation; technology. Marketing: advertising; media relations; partnerships.

**Access:** By topic

**Format:** Paper and Electronic

**Program Record Number:** CTC CCT 600

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration and Management Services

Audits

Budgets

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health, Safety and Welfare

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

### Personal Information Banks

#### Market Data Base

**Description:** Information is gathered through the CTC's two web sites: the business web site, [www.canadatourism.com](http://www.canadatourism.com), which allows for business-to-business communication, and the consumer-oriented web site: [www.travelcanada.ca](http://www.travelcanada.ca). CanadaTourism.com contains research and marketing program information, member profiles, and business connection groups. The consumer



web site contains locational travel and socio-demographic information of residents of various countries who have requested travel information from the Canadian Tourism Commission or its industry partners. First and foremost, the bank contains the name and address (and perhaps the e-mail address) of the enquirers. Other information including past travel history to Canada, future plans, and lifecycle information may be collected as part of this program. Countries involved in the program include: Canada, the United States, the United Kingdom, France, Germany and Japan. The database is continually being updated.

**Class of Individuals:** Residents of Canada's principle tourism markets and members of Canada's tourism industry.

**Purpose:** The information is initially collected to permit the distribution of tourist information, following a request by an enquirer. Subsequent uses of the data base include marketing implications including additional information gathering, market segmentation and partnering.

**Consistent Uses:** The creation and development of a data base is consistent with the marketing objectives of a national tourism organization.

**Retention and Disposal Standards:** Retained for three years and then destroyed.

**RDA Number:** 69/103

**Related PR#:** CTC CCT 600

**TBS Registration:** 005133

**Bank Number:** CTC PPU 015

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Electronic Network Monitoring Logs

Hospitality

Relocation

Travel

## Classes of Personal Information

### Mailing Lists

This class of personal information contains the names and addresses of individuals who are on a mailing list to receive the CTC's monthly publication, and other documentation on the CTC's activities. The lists are updated continuously and the information is kept until superseded.

## Public Opinion Research

This is a class of records generated through public opinion research studies on a vast spectrum of topics related to the mandate and mission of the CTC. Retrievable records consist of data gathering instruments, such as, but not exclusively, questionnaires which may contain personal information that reveals the identification of the research subject. Data contained in this class of records are not used for administrative purposes. Individuals seeking access to these records must provide the title of the research project in which they participated, the location and the date of the research, and any other data that may help to identify and locate the personal information they are seeking.

## Manuals

- CTC Policy Manual
- Human Resources Handbook
- Orientation Manual for Board members

## Additional Information

Please note: Requests made to the Canadian Tourism Commission under the Access to Information Act must be accompanied by a \$5.00 cheque or money order made payable to the Canadian Tourism Commission.

Requests for further information about the Canadian Tourism Commission and its various programs may be directed to:

Senior Vice-President, Information and Corporate Secretary

The Canadian Tourism Commission

55 Metcalfe Street, Suite 600

Ottawa ON K1P 6L5

Tel: (613) 946-1000

Web Site: [www.canadatourism.ca](http://www.canadatourism.ca)

## Reading Room

In accordance with the Access to Information Act, an area will be made available within this institution as a public reading room where documents can be reviewed. The address is:

55 Metcalfe Street, Suite 600

Ottawa ON K1P 6L5

To schedule an appointment, please contact the Access to Information Coordinator at:

Tel: (613) 946-1369

Fax: (613) 941-0523

# Canadian Transportation Agency

## Chapter 47

### General Information

#### Background

The Agency is an independent, quasi-judicial tribunal that makes decisions on a wide range of economic matters involving federally-regulated modes of transportation (air, rail and marine), and has the powers, rights and privileges of a superior court to exercise its authority. Along with its roles as an economic regulator and an aeronautical authority, the Agency works to facilitate accessible transportation, and serves as a dispute resolution authority over certain transportation rate and service complaints.

The Canada Transportation Act is the Agency's enabling statute to implement the federal government's transportation policy. The Agency also shares responsibility for administering other Acts and their related regulations, including the Canada Marine Act, the Pilotage Act, the Coasting Trade Act and the Railway Safety Act.

#### Responsibilities

Among its varied responsibilities, the Agency has a mandate to: license air and rail carriers; approve proposed construction of railways; and protect the interests of Canadian marine vessel operators when authorizing foreign vessels to operate in Canadian waters.

It resolves complaints concerning rail rates, service and other matters within its jurisdiction and has the authority to remove undue obstacles to persons with disabilities who travel on the federally regulated air, rail and marine network. In addition, the Agency participates in international bilateral negotiations and administers bilateral agreements as the Canadian aeronautical authority.

On July 5, 2000, the Agency was conveyed expanded responsibilities over air transportation and the position of Air Travel Complaints Commissioner was created.

#### Legislation

The Agency has primary responsibility for the following legislation:

- Canada Transportation Act, S.C. 1996, c. 10

- The Agency shares responsibility to Parliament for the following legislation:
- Canada Marine Act, S.C. 1998, c. 10
- Canadian Environmental Assessment Act, S.C. 1992, c. 37
- Civil Air Navigation Services Commercialization Act, S.C. 1996, c. 20
- Coasting Trade Act, S.C. 1992, c. 31
- Energy Supplies Emergency Act, R.S.C. 1985, c. E-9
- Pilotage Act, R.S.C. 1985, c. P-14
- Railway Relocation and Crossing Act, R.S.C. 1985, c. R-4
- Railway Safety Act, R.S.C. 1985, c. 32 (4<sup>th</sup> Supp.)
- Shipping Conferences Exemption Act, 1987, R.S.C. 1985, c. 17 1987 (3<sup>rd</sup> Supp.)

The Agency has sole responsibility for the administration of the following regulations, rules and other statutory instruments:

- Air Transportation Regulations (SOR/88-58)
- Canadian Transportation Agency Designated Provisions Regulations (SOR/99-244)
- National Transportation Agency General Rules (SOR/88-23)
- Personnel Training for the Assistance of Persons with Disabilities Regulations (SOR/94-42)
- Railway Costing Regulations (SOR/80-310)
- Railway Interswitching Regulations (SOR/88-41)
- Railway Third Party Liability Insurance Coverage Regulations (SOR/96-337)
- Railway Traffic Liability Regulations (SOR/91-488)
- Railway Traffic Passenger Tariffs Regulations (SOR/96-338)
- Uniform Classification of Accounts and Related Railway Records

#### Organization

The Agency is made up of a maximum of seven Members, including the Chairman, who is also the Chief Executive Officer, and the Vice-Chairman,

as well as up to three temporary Members. There are currently eight Members, including the Air Travel Complaints Commissioner. A staff of about 280 employees assists the Members in their decision-making process.

Since complaints drive many of the Agency's processes, it has developed ways of handling complaints quickly, effectively and fairly. A panel of at least two Members must hear all complaints and issue decisions.

The Agency is divided, administratively, into five branches: the Chairman's Office; the

Air and Accessible Transportation Branch; the Rail and Marine Branch; the Legal Services and Secretariat Branch; and the Corporate Management Branch.

### **Chairman's Office**

The Chairman's Office includes the Internal Auditor and the Communications directorate. The Internal Auditor is responsible for providing management with objective assessments about the design and operation of management practices, control systems, and information, in keeping with modern comptrollership principles. The Communications directorate is a proactive partner with the branches in ensuring that Canadians interested in transportation understand their rights, their obligations and the Agency's role under the Canada Transportation Act. The Communications directorate publishes brochures and booklets; it sends out news releases, responds to information requests and operates a Web site; it participates at events and trade shows with Members and staff to meet Canadians face-to-face to answer their questions directly. Because the Agency has diverse audiences with varying needs, it provides its information in many formats, including paper, electronic, braille and audio cassette.

### **Air and Accessible Transportation Branch**

The Air and Accessible Transportation Branch processes license and charter permit applications from Canadian and foreign air carriers, and is involved in enforcing Agency licensing requirements. It helps negotiate and implement international air agreements, administers and receives complaints concerning international air tariffs, and rules on appeals of NAV CANADA user charges. The Office of the Air Travel Complaints Commissioner, established in 2000, handles air travel complaints. The branch also helps to ensure that all modes of federally-regulated transportation are accessible to persons

with disabilities, and deals with their complaints related to air, rail and marine transportation.

### **Rail and Marine Branch**

The Rail and Marine Branch deals with rate and service complaints in the rail and marine industries, as well as disputes between railway companies and third parties in railway infrastructure matters. The branch offers mediation services as an alternate dispute resolution mechanism to the hearing process. It processes applications for certificates of fitness for the proposed construction and operation of railways, and provides technical advice and recommendations to Members concerning railway interswitching rates. Railways' revenue caps for the movement of western grain, the development of railway costing standards and related regulations, and the audit of railway companies' accounting and statistics-generating systems (as required), are also the responsibility of the branch. It also protects the interests of Canadian vessel operators when dealing with applications to use foreign vessels in Canada, while making recommendations to the Canada Customs and Revenue Agency to allow the use of foreign vessels when suitable Canadian vessels are not available.

### **Legal Services and Secretariat Branch**

The Legal Services and Secretariat Branch provides legal advice and counsel in all matters brought before the Agency and ensures that the rules of fairness are followed in the process leading to a decision or an order. The Branch also plays a major role in developing and applying the Agency's procedures and regulations.

The Branch provides legal advice and counsel in enforcement cases and in cases of complaints that are brought to the attention of the Air Travel Complaints Commissioner. It represents the Agency before the Courts, including the Federal Court of Appeal and the Supreme Court of Canada, when Agency decisions are submitted to the appeal process. Branch staff also assist the conduct of Agency meetings and hearings. The Secretary has the duty, under the Canada Transportation Act, of maintaining a record of any rule, order, decision and regulation of the Agency.

### **Corporate Branch**

The Corporate Management Branch supports the overall function of the Agency by providing corporate services related to human resources, strategic planning, finance, electronic information systems, records management and the library.

## Information Holdings

### Program Records

#### Accessible Transportation

**Description:** Information relating to the regulation of, and resolution of complaints related to transportation facilities, equipment and services provided in the federal transportation network to travelers with disabilities.

**Topics:** Co-operation and liaison with associations and various levels of government; committee and conference participation; complaints with respect to undue obstacles; mediation and facilitation of complaints; regulations on conditions of carriage; accessibility standards; aircraft accessibility data; public awareness and education programs; procedural and attitudinal training program and records; monitoring programs; and various studies, surveys and projects.

**Program Record Number:** CTA AIR 061

#### Atlantic Region Freight Assistance Program

**Description:** Information relating to the administration of freight subsidy programs applicable to the Atlantic Region. Note that since July 1, 1996, the Agency has no further responsibility for the Atlantic Region Freight Assistance Program, and these program records will be disposed of in accordance with their Retention and Disposal Standards.

**Topics:** Subsidy claims, including waybills and other supporting documentation; desk and field audits; and payments pursuant to the Maritime Freight Rates Act and the Atlantic Region Freight Assistance Act and Regulations.

**Program Record Number:** CTA MAR 183

#### Audits

**Description:** Information relating to audits and analyses for the determination of rates, railway costs, rail freight movements and rail networks.

**Topics:** Railway annual reports; railway audit manuals; comprehensive system review; special costing; schedule "A" directives; specific costs; and western grain railway revenue cap verification.

**Program Record Number:** CTA RAI 156

#### Licensing, Charters and Agreements

**Description:** Information relating to the administration of the licensing system for Canadian and foreign air carriers, international air agreements, commercial agreements between airlines and appeals to changes to Nav Canada charges for air navigation services.

**Topics:** Applications for licenses or modifications

to licenses; applications for international charter flight permits; Canadian ownership; financial evaluation; notices, announcements and appeals of changes to Nav Canada charges; terms and conditions on licenses; liability insurance; air operator certificates; suspension or cancellations; discontinuance or reduction of domestic services; and investigations of service complaints on discontinuance of domestic services; bilateral and multilateral agreements and negotiations; commercial agreements; conventions and protocols; foreign air transport regulations; and air relations between Canada and foreign countries.

**Program Record Number:** CTA AIR 080

#### Marine Complaints

**Description:** Information relating to the administration and enforcement of legislation governing marine activities under federal jurisdiction.

**Topics:** Shipper and carrier complaints; coasting trade licenses; pilotage tariffs; Port and St. Lawrence Seaway Management Corporation fees; Canadian ship database; marine associations data bank; operations and rates investigations; and Shipping Conferences Exemption Act tariffs and service contracts. Note that since February 1, 2001 the Agency has no further responsibility to retain shipping conferences tariffs and these records will be disposed of in accordance with their Retention and Disposal Standards.

**Program Record Number:** CTA RAI 081

#### Rail Complaints

**Description:** Information relating to economic disputes between rail carriers and users; competitive access provisions; tariffs; and mediation services and arbitration support.

**Topics:** Dispute investigations; competitive line rates; interswitching; rates and conditions of carriage; track usage; rail freight traffic data; level of service; rail connections; rail liability; and arbitration cases.

**Program Record Number:** CTA RAI 021

#### Rail Infrastructure

**Description:** Information relating to applications and complaints concerning the construction and modification of rail lines, highway/railway crossings, private farm crossings, and other rail infrastructure; to railway licensing; to rail line transfers or discontinuance; and to track determinations.

**Topics:** Crossing files; modification of subdivision name/mileage; noise, vibration and pollution complaints; connections and interchange; drainage; fencing; relocation of railway lines; right of way; spurs, sidings and lead tracks;

environmental issues; and railway licensing and certificates of fitness.

**Program Record Number:** CTA RAI 062

### **Rail Economics**

**Description:** Information relating to the administration of legislation governing railway revenue caps for the movement of western grain and railway costing.

**Topics:** Railway unit costs and service units; rates costing; railway costing manuals; historical railway input price indices; western grain railway revenue caps and compliance; traffic workloads; cost of capital rates; depreciation rates; uniform classification of accounts; and net salvage value determinations.

**Program Record Number:** CTA RAI 121

### **Rail Rationalization**

**Description:** Information relating to the evaluation of proposals to rationalize rail networks prior to July 1, 1996. Since then, the Agency has no approval responsibility for Rail Rationalization and these program records will be disposed of in accordance with their Retention and Disposal Standards.

**Topics:** Railway costs and revenues; applications for abandonment of rail lines and removal of stations; branch line and passenger subsidy programs; branch line rehabilitation; conveyance of railway lines; and track determinations.

**Program Record Number:** CTA RAI 176

### **Secretariat Services**

**Description:** Information relating to Agency decisions, orders, reports and notices; the administration of Agency meetings, public hearings, inquiries and ministerial correspondence; and the coordination of translation services.

**Topics:** Agency orders, decisions, applications for review of orders and decisions; minutes of Agency meetings; and transcripts and exhibits of Agency public hearings and inquiries.

**Program Record Number:** CTA SEC 006

### **Tariffs, Complaints and Enforcement**

**Description:** Information relating to the regulation of air tariffs and resolution of complaints concerning the reasonableness of terms and condition of carriage; the enforcement of Agency regulations; the investigation of illegal operations by air carriers; the regulation of and resolution of consumer complaints relating to air travel; and the resolution of complaints relating to the pricing of passenger and freight transportation services provided within Canada on monopoly routes.

**Topics:** Compliance; scheduled and

non-scheduled tariffs; special permissions; industry complaints; consumer complaints; airline prices; general schedules; computer reservation systems; charter contracts; investigation reports on possible illegal activities by air carriers; referrals to RCMP for investigations; and administrative monetary penalties.

**Program Record Number:** CTA AIR 096

## **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Automated Document, Records, Information Management Systems

Budgets

Buildings

Buildings and Properties

Business Continuity Plans (BCP)

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation  
 Salaries and Wages  
 Staff Relations  
 Training and Development  
 Travel  
 Utilities  
 Vehicules

## Personal Information Banks

### Air Service License Applications

**Description:** This bank contains a record of air service license applications for use in granting or denying license authorities under the Canada Transportation Act. The bank contains applications and interventions in support or opposition thereto. The bank may contain personal information relating to the applicant or other parties of record in the form of an individual's name; his or her home, business, mailing or email address or telephone number; nationality; age; identifying numbers; and financial information. Note that since July 1, 1996 interventions are no longer a part of the air service license application process.

**Class of Individuals:** Applicants and intervenors in the licensing process.

**Purpose:** For granting or denying licenses under the Canada Transportation Act.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Files are destroyed twenty years following the cancellation of the license.

**RDA Number:** 95/023

**Related PR#:** CTA AIR 080, 096

**TBS Registration:** 000320

**Bank Number:** CTA PPU 015

### Air Travel Complaints

**Description:** This bank contains a record of air travel complaints regarding such incidents as delayed flights, lost or damaged baggage, ticketing, quality of service, cargo, reservations, denied boarding, smoking, unruly passengers, discontinuance or reduction of service to a community, and fares. This bank contains personal information in the form of individuals' names, addresses and contact numbers.

**Class of Individuals:** Members of the general public who lodge air travel complaints.

**Purpose:** The purpose is to resolve air travel complaints. If a complaint relates to an air carrier or other responsible body, a copy of the complaint is forwarded to them for comments or for their resolution as appropriate.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Records are retained for 10 years and then destroyed.

**RDA Number:** 95/023

**Related PR#:** CTA AIR 096

**TBS Registration:** 004442

**Bank Number:** CTA PPU 014

### Canadian Ship Database System

**Description:** This bank contains information relating to the characteristics and use of Canadian registered vessels including unique content on operations and geographic analysis. It contains personal information in the form of individuals' names, addresses and contact numbers.

**Class of Individuals:** Owners, operators and contacts for Canadian registered vessels.

**Purpose:** The purpose of this bank is to provide information to process coasting trade licence applications to use foreign vessels in the Canadian coasting trade and identify suitable Canadian vessels which can provide the service or perform the activity described in the application. Operator's names, addresses and vessel information are published in the Canadian Merchant Fleet Annual Lists.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Personal information is retained in database until superseded or destroyed two years after individuals are no longer owners, operators or contacts of Canadian registered vessels.

**RDA Number:** 97/031

**Related PR#:** CTA RAI 081

**TBS Registration:** 004453

**Bank Number:** CTA PPU 016

### Complaints Regarding Services Provided to Persons with Disabilities

**Description:** This bank contains a record of investigations of complaints concerning the possible existence of undue obstacles to the mobility of persons with disabilities under the Canada Transportation Act. This bank may contain personal information in the form of an individual's name; his or her home, business, mailing or email address or telephone number; medical condition; disability; age; and marital status.

**Class of Individuals:** Individuals who have filed complaints.

**Purpose:** To determine whether or not undue obstacles to the travel of passengers with disabilities exist and, if so, to determine the appropriate corrective measure. Information that is provided is used to investigate complaints and copies are forwarded to transportation service providers for comments. Complaints on similar

issues are sometimes processed together and information is shared with the involved applicants. Agency decisions are issued on complaints and posted on our website.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Records are destroyed ten years after the complaint is resolved.

**RDA Number:** 95/023

**Related PR#:** CTA AIR 061

**TBS Registration:** 002154

**Bank Number:** CTA PPU 033

### Enforcement

**Description:** This bank contains information relating to the enforcement of Agency regulations, and investigation of possible infractions or alleged illegal operations by air carriers. Enforcement activities may involve communication with other government departments, including the RCMP and the Department of Justice. This bank may contain, depending on the nature of the investigation, personal information in the form of an individual's name; his or her home, business, mailing or email address or telephone number; investigation details; and views or opinions of another individual about the individual.

**Class of Individuals:** Individuals involved in possible infractions and occasionally information relating to the plaintiffs.

**Purpose:** To determine whether or not there have been infractions and, if so, to determine the appropriate action. The results of warnings and notices of violation issued pursuant to the Designated Provisions Regulations are published on the Agency's website. This information includes the name of the carrier or individual, whether there was an application for review of the warning, whether or not the penalty was paid and whether or not the case was referred to the Transportation Appeal Tribunal of Canada.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Files are destroyed ten years following the completion of the investigation.

**RDA Number:** 95/023

**Related PR#:** CTA AIR 096

**TBS Registration:** 000319

**Bank Number:** CTA PPU 010

### Mailing Lists

**Description:** This bank contains mailing lists which may contain personal information in the form of an individual's name and his or her home, business, mailing or email address.

**Class of Individuals:** Individuals in the general public and business community with an interest in transportation.

**Purpose:** To notify interested parties of applications made to the Agency, changes in regulations, policies or other matters relating to Agency programs; to solicit comments; mailing of surveys and data forms; and the distribution of orders and decisions, the Annual Report, press releases, and other information of interest.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Mailing lists are destroyed when superseded or obsolete.

**RDA Number:** 98/001

**Related PR#:** CTA ADM 903

**TBS Registration:** 002926

**Bank Number:** CTA PPU 046

### Mergers and Acquisitions

**Description:** This bank contains information on air and rail modes of transportation regarding proposed mergers and acquisitions of Canadian transportation undertakings up to July 1, 1996. This bank may contain personal information in the form of an individual's name; his or her home, business, mailing or email address or telephone number; nationality; and financial information. The records in this bank will be disposed of in accordance with the Retention and Disposal Standards outlined below.

**Class of Individuals:** Individuals submitting applications regarding proposed mergers or acquisitions.

**Purpose:** To review proposed acquisitions.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Records are destroyed ten years after merger or acquisition is completed.

**RDA Number:** 95/023, 96/044

**Related PR#:** CTA AIR 080, CTA RAI 156

**TBS Registration:** 003734

**Bank Number:** CTA PPU 030

### Classes of Personal Information

The general subject files of the Canadian Transportation Agency contain a certain amount of personal information relating to general correspondence, complaints and enquiries. The personal information contained in this class may include the name; home, business, mailing or email address or telephone number; and personal opinions or views of the individual, but is not arranged by personal identifiers. This form of personal information is normally retrievable only if specifics are provided concerning the subject and the date of the correspondence. The purpose of this bank is to maintain information relating to general correspondence, complaints and enquiries concerning the various functions of the Agency. The retention period for this class of

personal information is controlled by the records schedules of the general subject files in which they are stored.

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems

Business Continuity Planning (BCP)

Electronic Network Monitoring Logs

Executive Correspondence Management Systems

Hospitality

Relocation

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel

## Manuals

- A Practical Guide for New Canadian Entrants for Prospective Air Carriers
- Accessibility (disability-related) Complaint Guide
- Activities Manual for International Agreements
- Air Travel Accessibility Regulations
- Air Travel Accessibility Survey Report
- AMPS and You
- Application Guide for a Licence or for an Amendment to a Licence to Operate a Domestic Air Service
- Application Guide for Canadian Applicants for a Licence or for an Amendment to a Licence to Operate a Non-scheduled International Service
- Application Guide for Canadian Applicants for a Licence or for an Amendment to a Licence to Operate a Scheduled International Service between Canada and any other country
- Application Guide for Foreign Applicants for a Licence to Operate a Non-scheduled International Service on a charter basis between points in the Applicant's home country and points in Canada
- Application Guide for Foreign Applicants for a Licence to Operate a Scheduled International Service
- Application Guide for U.S. Applicants for a Licence to Operate a Non-scheduled International Service on a charter basis between points in the U.S.A. and points in Canada pursuant to the Air Transport Agreement between the Government of the United States of America and the Government of Canada signed on February 24, 1995
- Application Guide for U.S. Applicants for a Licence to Operate a Scheduled International Service pursuant to the Air Transport Agreement between the Government of the United States of America and the Government of Canada signed on February 24, 1995
- Bilateral Air Relations between Canada and other Countries
- Charter Application Guide for Charter Flights originating in a Foreign Country (other than the United States)
- Charter Application Guide for U.S. originating Transborder United States Charters (TUSC)
- Charter Authorization Guide
- Charter Permit Application Guide for Canadian originating International Advance Booking Charters (ABC)
- Charter Permit Application Guide for Canadian originating International Advance Booking Charters/Inclusive Tour Charters (ABC/ITC)
- Charter Permit Application Guide for Canadian originating International Entity Charters
- Charter Permit Application Guide for Canadian originating International Inclusive Tour Charters (ITC)
- Charter Permit Application Guide for Canadian originating Transborder Goods Charters (TGC)
- Charter Permit Application Guide for Canadian originating Transborder Passenger Charters (TPC)
- Charter Permit Application Guide for Canadian originating Transborder Passenger Non-Resaleable Charters (TPNC)
- CN and CP Costing Manuals
- Code of Practice - Aircraft Accessibility for Persons with Disabilities
- Code of Practice – Communication Barriers for Travellers with Disabilities



- Code of Practice - Ferry Accessibility for Persons with Disabilities
- Code of Practice - Passenger Rail Car Accessibility and Terms and Conditions of Carriage by Rail of Persons with Disabilities
- Communication Barriers: A Look at Barriers to Communication Facing Persons with Disabilities
- Enforcement Manual
- Financial Requirements Guide - Information and Instructions
- Guide to Certificates of Fitness
- Guide to Railway charges for Crossing Maintenance and Construction
- Guideline for implementation of the Communications Code of Practice
- Guidelines for meeting the Filing Requirements of SCEA
- Guidelines for processing Coasting Trade applications
- Guidelines on Apportionment of Costs of Grade Separations
- Is Your Air Carrier Licensed?
- Manual of Procedures on the Processing of International Charter Permit Applications
- Orientation Manual for the Air Travel Complaints Commissioner
- Principal Provisions of Part VII of the Air Transportation Regulations, Terms and Conditions of Carriage of Persons with Disabilities
- Principal Provisions of the Personnel Training for the Assistance of Persons with Disabilities Regulations
- Rail Infrastructure Procedures Manual
- Reservation Check-List - Air Travel
- Standard Point Location Code
- Taking Charge of the Air Travel Experience - A Guide for Persons with Disabilities
- Uniform Classification of Accounts Manual

Requests for further information on the Agency's publications, major decisions and rulings, and on its various programs and functions may be directed to:

Communications Directorate  
 Canadian Transportation Agency  
 Jules-Léger Building  
 15 Eddy Street, 19th Floor  
 Gatineau QC K1A 0N9  
 Toll free: 1-888-222-2592  
 Tel.: (819) 997-0344  
 TTY: 1-800-669-5575  
 Fax: (819) 953-8353  
 Web Site: [www.cta.gc.ca](http://www.cta.gc.ca)

## Reading Room

The Agency's library has been designated under the Access to Information Act as a public reading room. The address is:

Library  
 Canadian Transportation Agency  
 Jules-Léger Building  
 15 Eddy Street, 17th Floor  
 Gatineau QC K1A 0N9

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

# Canadian Wheat Board

## Chapter 48

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

**Note:** This institution is not subject to the Access to Information Act.

### General Information

#### Background

The Canadian Wheat Board (CWB) was established by the Canadian Wheat Board Act in 1935 to provide for the orderly marketing of wheat produced in the area designated by the Act. Barley and oats were added to the mandate in 1949. The marketing of oats was removed from the CWB in 1989.

#### Responsibilities

The CWB is obliged to purchase wheat and barley offered to it for sale by farmers in accordance with established delivery calls and to pay an initial payment for same in accordance with the Act. The CWB then markets this grain in interprovincial and international markets. The surplus proceeds received upon sale and available for distribution are divided equitably among the farmers delivering grain to the CWB after the initial payment is made to the farmers and the CWB's operating costs are deducted. The CWB is also responsible for administering a delivery system which is designed to maximize marketing opportunities, as well as allocate delivery opportunity among farmers wishing to deliver grain for sale in interprovincial and international markets. The CWB administers the Agricultural Marketing Programs Act pursuant to which advance payments are made to farmers undertaking to deliver wheat and barley as delivery opportunities are available. The CWB administers the Spring Credit Advance Program (SCAP) for wheat and barley pursuant to which advance payments are made to farmers to assist with seeding costs.

#### Legislation

- Canadian Wheat Board Act
- Canadian Wheat Board Act Regulations
- Canadian Wheat Board Election Regulations

#### Organization

The Canadian Wheat Board is led by a 15-member Board of Directors, including 10 elected farmers and five directors appointed by Governor-In-Council based on their business expertise. The Board is responsible for the overall governance of the corporation and its strategic direction.

The CEO and President is also a member of the Board of Directors. The CEO/President is responsible for operations at the CWB. Reporting to the CEO/President are the three Executive Vice-Presidents, the Vice-President of Farmer Relations, the Vice-President of Human Resources, the Corporate Secretary, the General Counsel and the Internal Auditor.

### Information Holdings

#### Personal Information Banks

##### Grain Growers Advance Payment Records

**Description:** This bank is used to record the value of cash advances issued and refunds received from grain growers under the Agricultural Marketing Programs Act and the Spring Credit Advance Program.

**Class of Individuals:** Grain growers who have taken cash advances under the Agricultural Marketing Programs Act.

**Purpose:** The information gathered is used to monitor the grower's repayment of monies advanced. Repayment is conditional on the grower's delivery and sale of grain as soon as he or she is able to do so. The information is summarized and controlled as required by the federal government.

**Consistent Uses:** The information is shared with grain companies that act as agents of the CWB in making and collecting cash advances. It is also shared with the Canada Customs and Revenue Agency, provincial crop insurance organizations, lending institutions and secured parties (secured parties are any person or business organization with a lien on the grain pledged by the grain grower on the advance payment application) when requested. Information would be shared for the purposes of completing the advance payment application. The grain grower agrees to permit the CWB to share this information with these other parties to protect their security interest in the grain.

**Retention and Disposal Standards:** Files are retained for three years following the retirement of the advance payment and then destroyed.

**RDA Number:** 74/008

**TBS Registration:** 004082

**Bank Number:** CWB PPU 010

#### **Grain Growers Delivery Records**

**Description:** This bank contains a record of each producer certificate issued to a grower by a grain company in payment for the grower's delivery of wheat and barley to the CWB account.

**Class of Individuals:** Grain growers who deliver to the CWB.

**Purpose:** The growers' delivery records are the basis for equitable distribution of profits realized from the sale of wheat and barley by the CWB. These records also include farmers who participate in the CWB fixed price or basis contracts and are receiving a payment separate from the CWB price pooling system. The information produces statistical statements by district(s), grain company and type of wheat and barley.

**Consistent Uses:** The information is shared with the Canada Customs and Revenue Agency, Human Resources Development, Agriculture and Agri-Food Canada's farm safety net programs, provincial crop insurance organizations and grain companies that are agents of the CWB.

**Retention and Disposal Standards:** Files are retained for seven years and then destroyed.

**RDA Number:** 74/008

**TBS Registration:** 004083

**Bank Number:** CWB PPU 015

#### **Grain Growers Payment Records**

**Description:** This bank contains a record of each payment made to wheat and barley growers which resulted from an increase in the price paid for wheat and barley or from the profits realized from the sale of wheat and barley by the CWB. It also contains payment records for farmers participating in the fixed or basis contracts who are receiving a payment separate from the CWB price pooling system.

**Class of Individuals:** Wheat and barley growers who deliver to the CWB.

**Purpose:** The information is maintained to control the value of payments and monitor bank cashings, lost cheques, uncashed cheques, etc. Statements are produced to show the value of payments by district(s), kind of wheat and barley, dates of issuance and bank clearance and for other control purposes (verification of rates and tonnes; verification of accounting transactions, stale-dated cheques; cancelled/re-issued cheques).

**Consistent Uses:** Information in this bank is shared with the Canada Customs and Revenue Agency, Human Resources Development, Agriculture and Agri-Food Canada's farm safety net programs and, in the case of non-resident farmers, with their representatives in Canada and the Bank of Montreal.

**Retention and Disposal Standards:** Files are retained for seven years and then destroyed.

**RDA Number:** 74/008

**TBS Registration:** 004081

**Bank Number:** CWB PPU 005

#### **Grain Growers Permit Records**

**Description:** This bank is used to establish and maintain a record of each wheat and barley grower's entitlement to market wheat and barley. Under the authority of the Canadian Wheat Board Act, this bank may contain the Social Insurance Numbers of those farmers who choose to supply them.

**Class of Individuals:** Wheat and barley growers who have obtained a CWB permit book.

**Purpose:** The permit book application information is used to monitor and record each grower's delivery and sale of wheat and barley to CWB account and to verify entitlement for cash advances under the Agricultural Marketing Programs Act. The grower's name and address are used to distribute profits realized from the sale of wheat and barley. Summary statements for planning purposes are produced by district(s) and type of wheat and barley. Information in this bank is used to prepare voters' lists for Canadian Wheat Board elections.

**Consistent Uses:** Various components of the information are shared with Agriculture and Agri-Food Canada, the Canada Customs and Revenue Agency for inter-provincial and export licenses, provincial crop insurance organizations, various other provincial institutions, departments and related commodity groups, universities for consistent use and statistical research purposes and the grain companies that are agents of the CWB.

**Retention and Disposal Standards:** Files are retained for seven years and then destroyed.

**RDA Number:** 74/008

**TBS Registration:** 004084

**Bank Number:** CWB PPU 020

### **Additional Information**

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Privacy Act.

For further information about the policies and activities of the CWB, please contact:

Communications & Public Relations  
The Canadian Wheat Board  
P.O. Box 816, Station Main  
Winnipeg MB R3C 2P5  
Tel.: (204) 983-3421

# Citizenship and Immigration Canada

## Chapter 49

### General Information

#### Background

The Government of Canada has administered immigration services since Confederation and citizenship registration since 1947. The Department of Citizenship and Immigration Canada (CIC) was created by an Act of Parliament, which received Royal Assent on June 23, 1994. This Act brought together immigration services and citizenship registration, operations and corporate functions from various departments. CIC reports to Parliament through its Minister, who is also responsible for the Immigration and Refugee Board of Canada (IRB), an independent tribunal established by the Parliament of Canada. The IRB's functions are separate from those of the Department. CIC is governed by the Department of Citizenship and Immigration Act, the Immigration and Refugee Protection Act, the Citizenship Act and the supporting regulations. These provide the Governor in Council, the Minister and the Deputy Minister with the discretionary authority required for developing and implementing responsive and flexible policies, programs, services and initiatives.

#### Responsibilities

The Department of Citizenship and Immigration Act establishes a specific federal mandate for the Minister of Citizenship and Immigration Canada. This mandate includes all matters relating to the administration of the programs and policies of immigration and citizenship that are not assigned by law to other departments, branches or agencies of government.

CIC brings together a broad range of activities: the selection of immigrants and refugees and the issuance of temporary resident visas abroad; the examination of persons seeking entry to Canada at ports of entry; the facilitation and control of immigrants and foreign visitors in Canada; the settlement and integration of immigrants and refugees; and the processing of applications for Canadian citizenship and proof of citizenship.

The government reorganization of December 12, 2003, launched important changes at CIC. Responsibility for enforcement, intelligence and interdiction operations were transferred from CIC to the Canada Border Services Agency.

The Deputy Minister sets departmental priorities in conjunction with the Minister of CIC and develops strategies to meet these goals. Five senior departmental executives report to the Deputy Minister: the Assistant Deputy Ministers (ADMs) of Policy and Program Development; Operations; Centralized Services Delivery and Corporate Services; Strategic Directions and Communications; and the Director General of Human Resources. The department operates through its national and five regional headquarters, through three centralized processing offices in Canada and through 148 local offices across Canada and abroad.

The Assistant Deputy Minister (ADM) of Policy and Program Development is responsible for policy and program development in the areas of Admissibility, Integration (including citizenship), Business Solutions, Refugees, Selection, as well as legislative and regulatory reform.

The ADM of Operations coordinates the work of CIC's five domestic regions, the International Region, Medical Services, Case Management, and Strategic Operations Planning.

The ADM of Centralized Services Delivery and Corporate Services is responsible for Finance, Administration & Security, the Departmental Delivery Network, Information Management and Technologies and the Modern Management Office.

The ADM of Strategic Directions and Communications is responsible for Communications, Executive Services, Internal Audit and Disclosure, Priorities, Planning and Research, Strategic Policy and Partnerships, Metropolis Project, and the Task Force on Document Integrity.

The Director General, Human Resources, is responsible for planning and managing all of CIC's human resources activities, programs and services, including Workplace Effectiveness, Client Services, Learning and Development, and Strategic Resourcing.

#### Legislation

- Citizenship Act, R. S. C. 1985, c. 29
- Citizenship Regulations, 1993, SOR/93-246
- Department of Citizenship and Immigration Act, S. C. 1994, c. 31

- Foreign Ownership of Land Regulations, SOR/79-416
- Immigration and Refugee Protection Act, S.C. 2001, c. 27
- Immigration and Refugee Protection Regulations, SOR/2002-227
- Immigration Division Rules, SOR/2002-229
- Immigration Appeal Division Rules, SOR/2002-230
- Order Designating the Minister of Citizenship and Immigration as Minister for Purposes of the Act, (Citizenship Act) SI/94-86
- Order Designating the Minister of Citizenship and Immigration as the Minister Responsible for the Administration of that Act (Immigration and Refugee Protection Act), SI/2001-120
- Refugee Protection Division Rules, SOR/2002-228
- Oath or Solemn Affirmation of Office Rules (Immigration and Refugee Protection Board), SOR/2002-231
- Federal Court Immigration Rules, SOR/93-22

## Organization

### Policy and Program Development

#### Admissibility (SED)

The Admissibility Branch is responsible for developing and coordinating policy and procedures designed to maintain and protect the health, safety and good order of Canadian society.

The Branch performs a number of policy functions in support of its mandate including regulatory and legislative amendments, research, quality control, and the fostering of domestic and international partnerships.

In executing its functions, the Branch provides leadership, advice and functional direction in support of departmental and government objectives on such admissibility issues as visitor visa policy, inadmissibility criteria, and anti-fraud.

The Admissibility Branch is composed of five divisions and two groups: Legislative and Regulatory Policy; Ports and Border Management; International Partnerships and Liaison; Visa Policy, Special Projects and Research Analysis; Management Services; Quality Assurance / Anti-fraud group; and Document Policy group.

The Legislative and Regulatory Policy Division is responsible for development of policies, guidelines

and functional direction relating to the application of the several of the inadmissibility provisions of the Immigration and Refugee Protection Act (IRPA). This includes misrepresentation, criminality and rehabilitation as well as non-compliance, including non-compliance with the residency obligation for permanent residents. The Division is also responsible for policies for the right to appeal of permanent residents and protected persons. Finally, it liaises with the Canada Border Services Agency (CBSA) on inadmissibility and other enforcement issues.

The Ports and Border Management Division oversees, monitors and evaluates port of entry operations across Canada. It develops and implements national policies, strategic directions, operational priorities and service standards applicable in the examination of all persons seeking entry at land borders, airports and marine ports of entry.

The International Partnerships and Liaison Division is responsible for ensuring that Branch interests and positions are represented in international fora and documents (e.g., conventions, treaties, resolutions) and for the related domestic liaison. The Division is also responsible for agreements with international partners which permit information sharing on matters pertaining to the administration and enforcement of each party's immigration legislation.

The Visa Policy, Special Projects and Research Analysis Division is responsible for the coordination and development of short-term, cross cutting policy projects relating to admissibility issues. The Division also offers research support to members of the Admissibility Branch in support of policy development. Lastly, the division has the policy mandate lead for the Temporary Resident Visa Program, which includes the visa review process.

The Management Services Division leads the Branch's participation in budget forecasting and provides internal services to managers in the areas of human resources (training, succession planning), access to information and privacy, expenditure control, and other administrative matters.

The Quality Assurance / Anti-fraud group plays a major role in establishing strategies, policies and guidelines on quality assurance and anti-fraud in order to ensure program integrity. The Division coordinates quality assurance and anti-fraud activities at a departmental level. It serves as a

focus for reporting on quality assurance and anti-fraud projects and initiatives within the Department and disseminates information on best practices. The Division also works in collaboration with the Canada Border Services Agency (CBSA), the Royal Canadian Mounted Police (RCMP), the Canadian Security Intelligence Service (CSIS) on issues related to quality assurance and anti-fraud.

The Document Policy Group is responsible for providing policy guidelines for administration of the permanent resident (PR) card. These guidelines are published in the CIC Enforcement Manual Chapter 27. This directorate also coordinates the regulatory amendment process for issues related to travel documents and PR cards. Document Policy is also responsible for the assessment of travel documents issued outside of Canada and for providing policy guidelines with respect to acceptability of various documents for purposes of travel to Canada.

### **Business Solutions Branch (BSB)**

Business Solutions is the departmental focus for business requirements. The Branch provides leadership to the business community by formulating strategies and plans for the design and integration of business processes through the use of enterprise-wide models. Business Solutions Branch champions the high-level business architecture that is the foundation for the future integrated departmental business processes that deliver program and corporate services.

The business strategy of the Branch is to actively support business process owners in their business process design initiatives across the Department, through the provision of expertise on work process design techniques and coordinating between the various business process initiatives. The Branch is concerned with the development of the corporate climate and infrastructure for business process renewal, to be achieved through planning, organizing, leading and monitoring the business process design effort across the whole of the CIC organization. This process infrastructure is characterized by consistent standards for the Department's business solutions and their related information systems. It supports the evolution of client-centered services that respond to the strategic and operational imperatives of the Department.

A principal priority for Business Solutions for the next several years is to provide the business leadership for the Global Case Management System (GCMS). This will be done within the strategic framework of the Department that

focuses increasingly on ongoing program renewal and effective allocation of resources.

### **Enforcement (SED)**

As of December 12, 2003, responsibility for enforcement activities has been transferred to the Canada Border Services Agency (CBSA). Please refer to the CBSA's Chapter in Info Source.

### **Integration (SID)**

The Integration Branch is responsible for the development of policy and programs that define membership in Canadian society, enhance the role of Canadian citizenship, and support the settlement, adaptation and integration of newcomers. The Branch develops policies and programs that promote integration and Canadian citizenship; ensures that the federal government meets its responsibilities towards the immigrants it accepts for permanent residence; educates potential new Canadians about the rights and responsibilities of Canadian citizenship; promotes the value of Canadian citizenship to newcomers; and administers and interprets the Citizenship Act. The Integration Branch oversees the delivery of programs under its jurisdiction through a network of national partnerships, as required. The Integration Branch is composed of five divisions: Citizenship Division (SIC); Settlement Division (SIE); Integration Promotion Division (SIP); Service Line Support Division (SIS) and Special Initiatives and Outreach (SIO).

The Citizenship Division (SIC) manages the overall administration of the Citizenship Act and Regulations. The main activities are developing and revising the regulations and policies for the administration of the Act, maintaining legislative compliance, providing functional guidance on citizenship matters, ensuring quality assurance, implementing new Citizenship Legislation and maintaining an historical body of knowledge on past and present nationality legislation.

The Settlement Division (SIE) provides functional guidance; develops policies, operational procedures and work instruments; designs program terms and conditions for the settlement programs and services provided to newcomers; manages national settlement realignment agreements with the provincial governments; manages the orientation abroad initiative; manages contribution program allocations and expenditures and is responsible for the implementation of the Official Languages Act for programs administered by the Integration Branch.

The Integration Promotion Division (SIP) is responsible for the development of activities and

programs which promote citizenship and settlement programs and initiatives. This Division is also responsible for administering the Citation for Citizenship Program and the 'Canada: We All Belong!' campaign; as well as for the development, production and distribution of promotional material in support of its mandate.

The Service Line Support Division (SIS) provides the Branch with the capacity to plan, analyze and coordinate activities and to provide an efficient infrastructure to support the other divisions in the Branch, corporate initiatives and CIC priorities. It is also responsible for cross-cutting policy development.

The Special Initiatives and Outreach Division (SIO) provides policy and developmental assistance on new integration initiatives as well as outreach activities with other departments and stakeholders. Activities include the management of the Enhanced Language Training (ELT) initiative, working with stakeholders on immigrant labour market integration issues including foreign credential recognition, CIC's Voluntary Sector Initiative, implementation and evaluation of pilot or demonstration projects, the coordination of the CIC Francophone Community Steering Committee, and the implementation of the Official Languages Act for programs administered by the Integration Branch.

### **Refugees (SRD)**

Refugees Branch is composed of the Asylum, Resettlement, Policy Development and International Protection, and Refugee Program Support Divisions. They are responsible for the management of refugee policy, programs and targets; liaison with the Immigration and Refugee Board of Canada (IRB); representing the interests of CIC and the Government on refugee issues; and coordinating reporting and liaison activities.

### **Selection (SSD)**

Selection Branch is responsible for the development of policy, program design and procedural guidance affecting the selection of people to Canada, both immigrants and non-immigrants. The goal is to develop policy with an operational perspective, provide procedural guidance to the field both nationally and internationally, and feedback field perspectives into the policy-making process.

Social Policy and Programs Division (SSG) – This division is responsible for all policy and program development related to maximizing the social benefit of immigration to Canada, with the exception of refugee and integration policies and

programs. The scope of SSG's policy and program responsibilities includes all matters related to family reunification from overseas and within Canada, discretionary decision making for humanitarian reasons or public interest, the Live-in Caregiver Program, Temporary Resident Permits and the Permit Holder Class and migration to Official Language Minority Communities.

Economic Policy and Programs Division (SSE) – This group is responsible for all policies and programs supporting the department's economic objectives, with the exception of business immigration programs. SSE's responsibilities include policies and programs related to both permanent and temporary immigration. These include: visitors, students, temporary workers, skilled workers, provincial nominees, foreign credential recognition, skills and innovation agenda, permanent resident obligations, regionalization, third party language testing, trade agreements affecting the movement of people.

Secretariat on Regulating Immigration Consultants (SSC) – This division is responsible for implementing the recommendations of the Advisory Committee on Regulating Immigration Consultants which reported to the Minister in May 2003. This involves working with the Canadian Society of Immigration Consultants (the new independent self-regulating body) to develop a financial, regulatory and operational framework to improve client protection and enhance the professionalism of immigration consultants.

The Business Immigration Division (SSM) is responsible for policy formulation, program development and procedural compliance for self-employed, investor and entrepreneurial programs.

The Service Line Support Division (SSS) is responsible for the coordination and management of branch administrative functions, for setting program performance standards, objectives, priorities and goals in the context of the planning and accountability process, and for evaluating and reporting on program performance.

Levels Management Division (SSL) – This division has lead responsibility for translating strategic goals into annual delivery strategies and operational plans to ensure the department meets the level and mix of immigrant landings announced in the Minister's Annual Report to Parliament. This involves on-going monitoring of current year levels, developing and consulting on operational plans for following years and



continuous refinement of the levels management tools.

## **Operations**

### **Atlantic Region**

The Atlantic Region of Citizenship and Immigration Canada is responsible for the delivery of Canada's immigration programs and program activities in the four Atlantic Provinces: Nova Scotia, New Brunswick, Newfoundland and Prince Edward Island. This includes immigrant selection, non-immigrant processing, immigration medical services, reporting and liaison, immigration, visitor and refugee programs, Citizenship, Settlement, Admissibility, Selection, Inland Control, and Ports of Entry.

The Atlantic Region is also responsible for ensuring a consistent approach across the four provinces; as well as for coordination and liaison with other departments and agencies such as the Canada Revenue Agency (CRA), the Canadian Security Intelligence Service (CSIS), Health Canada and the Royal Canadian Mounted Police (RCMP). The Atlantic Region ensures that the delivery of these programs is consistent with Canadian law and policy.

The Atlantic Region consists of 12 local offices and the Atlantic Regional Headquarters. Inland and port of entry officers are responsible for facilitating the admission of bona fide visitors, temporary workers, students, immigrants and refugees while ensuring that those inadmissible to Canada are refused entry and those subject to enforcement action are referred to the Canada Border Services Agency (CBSA). These officers are also responsible for hearings in order to take action against violations of the Immigration and Refugee Protection Act. In addition to providing immigrant and temporary admissions services, inland offices also grant citizenship and work with the provinces, municipalities and community groups to help newcomers integrate and promote understanding of the rights and responsibilities of Canadian citizenship.

### **Quebec Region**

The role of Citizenship and Immigration Canada's Quebec Region is to apply federal programs and offer citizenship and immigration services for the Quebec Region in collaboration with Quebec's ministère des Relations avec les citoyens et de l'Immigration (MRCI), which exercises a shared jurisdiction with the federal department in the area of immigration.

CIC Quebec Region's mandate is carried out by a regional office with seven regional branches: Programs, Ports of Entry and Local Operations, Client Service and Facilitation, Human Resources, Information Technologies and Telecommunications, Communications, Finance and Administration, in addition to five local immigration offices, three of which also provide citizenship services.

For the Citizenship Program, the Quebec Region provides Canadian citizenship granting services to candidates who apply for citizenship, and also has a mandate to promote citizenship and the values associated with it.

For the Immigration Program, the Region's network of airport, land and maritime ports of entry manages the admission of visitors, immigrants and refugee protection claimants to Canada. The network of inland offices offers services to clients.

To ensure the integrity of the Citizenship and Immigration programs, staff at ports of entry and inland offices apply enforcement measures to individuals who violate the Immigration and Refugee Protection Act and Regulations.

The Client Services Unit in the Quebec Region has been set up to offer services that complement those of the call centre. Staff in the unit provide services relating to complaints, and respond to complex requests that cannot be handled by the call centre. Staff also respond to information requests coming from federal riding offices.

The Quebec Region plays an active role in the Our Missing Children program. The aim of this program is to identify children who have been abducted or are runaways and who appear at our borders. In this area, great vigilance is exercised by immigration officers, who are regularly briefed on the profile of the runaways, kidnappers and smugglers who might be implicated in this traffic of children. This program is administered in partnership with the Canada Border Services Agency (CBSA), the Royal Canadian Mounted Police (RCMP), and Foreign Affairs Canada (FAC).

### **Ontario Region**

This region is comprised of directorates and regional management areas which report to the office of the Director General.

Strategic Planning and Executive Services (SPEXS) leads the Planning and Accountability Cycle for Ontario Region. SPEXS facilitates the development of Regional Priorities, publishes

them, and develops templates for Regional Management Area Workplans.

The Settlement Directorate assists newcomers to integrate into Canadian society by funding community-based delivery partners under CIC settlement and resettlement programs

The Selection, Integration and Refugees (SIR) Directorate is responsible for partnerships, all aspects of processing in-Canada applications referred by central processing centres, the Citizenship program, in person refugee claims, coordination of continuous process improvement, quality assurance and some enforcement activity. SIR is also responsible for the coordination and delivery of the permanent resident card initiative.

The Refugee Processing Units have been established at Pearson International Airport, Fort Erie, Etobicoke and Windsor Ambassador Bridge Port of Entry.

The Port of Entry Directorate provides advice and guidance on port of entry issues to the Director General and field staff. The Directorate liaises with the Canada Border Services Agency (CBSA) – Customs Border Services at a regional level.

Communications provides communications products and services for both internal and external clients and designs communications strategies and action plans to achieve departmental and regional objectives. It provides advisory, editorial, media and community relations services to the Director General, the regional management team and managers. The Communications Directorate responds to media inquiries pertaining to program, operational and case issues.

Finance, Administration and IT Informatics Services (FAIS) responds to the operational needs of CIC staff and programs through the provision of integrated corporate services in the areas of Finance, Administration, and IT Services. In addition, FAIS includes Access to Information and Privacy, which provides service to departmental staff and the public at large.

Human Resources provides advice and services to the Region in the areas of Compensation and Benefits, Staffing, Official Languages, Diversity, Health and Safety, Staff Relations, Classification, Learning and Development, and Awards and Recognition.

### **Prairies and Northern Territories Region**

The Prairies and Northern Territories Region is responsible for the delivery of Canada's immigration, visitor, citizenship, and settlement

programs for the Department through port of entry and inland offices in Alberta, Saskatchewan, Manitoba, the Northwest Territories and Nunavut.

The Region consists of:

Regional Headquarters located in Winnipeg, five full service (inland) citizenship and immigration centres located in Calgary, Edmonton, Saskatoon, Regina, and Winnipeg, three international airport ports of entry at Winnipeg, Calgary, and Edmonton, five land border ports of entry located at Coutts, Carway and Chief Mountain in Alberta, North Portal in Saskatchewan, and Emerson in Manitoba, two airport offices receiving cross-border flights in Regina and Saskatoon; and two 'satellite' offices in Lethbridge and Yellowknife.

The ports of entry are additionally responsible for 31 customs outposts along the Canada-US border.

### **British Columbia and Yukon Region**

The British Columbia and Yukon Territory Region coordinates the delivery of citizenship and immigration services to residents and visitors throughout British Columbia and the Yukon Territory. Core service activities include the immigration and temporary resident programs, citizenship, and settlement programs of the Department through ports of entry and inland offices. The region consists of 3 international airports, 5 land border ports, 4 marine ports, 1 passenger rail port, 15 customs outposts, and 5 inland offices. Officers at the ports of entry as well as inland are responsible for facilitating the admission of bona fide temporary residents, temporary workers, students, as well as immigrants, refugees and refugee claimants while ensuring that those inadmissible to Canada are refused entry. In addition to providing immigrant and temporary admissions services, inland offices also grant citizenship and promote understanding of the rights and responsibilities of Canadian citizenship. In the Yukon Territory, the department, in concert with service providing organizations, administers the full range of settlement services under the immigrant settlement program. In British Columbia, however, because the responsibility for design and delivery of other settlement programs devolved to the Province of British Columbia under the terms of the Canada-British Columbia Agreement for Co-operation on Immigration, the department administers only the resettlement assistance program for government-assisted refugees and an airport reception program for new immigrants arriving from abroad. The region is also home to the marine response team which was developed to meet the challenge of large-

scale marine smuggling operations off the West Coast of British Columbia. The Marine Response Team is responsible for the interdiction, containment and transportation of irregular marine arrivals off Canada's West Coast.

### **International Region (RID)**

The International Region is responsible for the delivery of Canada's immigration programs at Canadian missions abroad. This includes immigrant selection, non-immigrant processing, immigration medical services, program integrity and reporting and liaison. The International Region plays a lead role in international migration, and in the coordination of the Department's international activities, particularly with respect to relations with Foreign Affairs Canada (FAC), other countries, and multilateral organizations. The International Region comprises eight divisions – Asia and the Pacific (RIA), Africa and the Middle-East (RIF), Western Hemisphere (RIW), Europe (RIU), Resource Management (RIG), Personnel (RIR), Operational Coordination (RIM) and Management Services (RIS).

The International Region is responsible for the delivery of all program activities at Canadian diplomatic missions around the world. This includes all operational aspects of immigration programs such as delivery of annual immigration levels; management of immigration, visitor and refugee programs abroad; ensuring a consistent approach across geographic regions; and coordination and liaison with other departments and agencies such as the Canada Border Services Agency (CBSA), the Canadian Security Intelligence Service (CSIS), Health Canada and the Royal Canadian Mounted Police (RCMP). The International Region ensures that the delivery of the program is consistent with Canadian law and policy and with Canada's bilateral and multilateral foreign policy interests.

The four geographic branches are responsible for managing the delivery of immigration, temporary resident and refugee programs at missions within the following territories: Asia-Pacific, Europe, Western Hemisphere, and Africa and the Middle-East.

Resource Management (RIG) is responsible for the maintenance of an operational structure through the allocation of financial and human resources to ensure global immigration is consistent with levels established by Cabinet. This includes those resources in the Foreign Affairs Canada (FAC) financial base that support the immigration program. Resource Management includes Resource Allocation and Administrative

Services (RIGS) and Overseas Resources Management (RIGR).

Operational Coordination (RIM) is responsible for the development and dissemination of statistical information relevant to international operations, communications policies and activities with missions abroad, managing overseas mission reconfiguration, promotion and recruitment, and issues of global interest within the International Region.

In close co-operation with the departmental Human Resources, Finance and Administration Branches, the Personnel Division (RIR) is responsible for the management of human resources relating to the International Service. This division includes Assignments (RIRA), Personnel Services (RIRP) and Training (RIRT).

Management Services (RIS) is responsible for the provision of program support to the region for information management, visits and protocol, access to information, management of locally engaged staff and program integrity.

### **Case Management (BCD)**

The role of Case Management Branch (BCD) is to review and manage contentious, sensitive and high profile cases for both the Minister of Citizenship and Immigration Canada (CIC) and the Minister of Public Security and Emergency Preparedness (PSEP) (through liaison with the Canadian Border Services Agency [CBSA]).

In general terms, BCD cases are often directed towards the Ministers of both Departments for use in the House of Commons and include preparation of House Cards/Question Period notes, case chronologies and Ministers' Office Field Request for Assistance (MOFRAs). At the same time, some of our cases may involve seeking the Minister's special exemption from certain provisions of the Immigration and Refugee Protection Act, the Citizenship Act and the attendant regulations.

The operations of this Branch are complex involving coordination and cooperation with other CIC and CBSA offices both in Canada and abroad, other government departments, agencies and external non-governmental organizations.

This Branch is organized into two divisions which are operational in focus. In addition, the Director General's Office supports the Director General in such Branch-wide concerns such as budget management, human resources and program measurement.

### **Case Review Division:**

This division is managed by the Director, Case Review and has three principle areas of responsibility. This Division is responsible for the review, assessment and preparation of a variety of documents for use by the Ministers and senior management of CIC and Public Security and Emergency Preparedness (PSEP), as well as field staff.

1) the Danger to the Public/Rehabilitation Unit: This unit is responsible for the review of requests for Directions for Admissibility Hearings involving long-term permanent residents of Canada; Danger Opinions for persons who have been convicted of serious offences outside of Canada as it relates to eligibility before the Immigration and Refugee Board to hear a claim to be a Convention refugee and for persons who have been convicted of serious offences in Canada as it relates to refoulement; extradition requests; risk of return (PRRA) cases; requests for rehabilitation; Reciprocal Arrangement cases; the Transfer of Offenders Act; and the issuance of some temporary resident permits.

2) the Citizenship Unit: This unit is responsible for the analysis of certain cases to determine whether they should be referred to the RCMP for investigation and possible criminal charges under The Citizenship Act, due to fraud, or if revocation of citizenship should be recommended to the Minister. The unit liaises with CSIS on security cases, and reviews briefs provided by CSIS to determine if clients meet the citizenship requirements. The unit also reviews the cases of persons under the age of 60 for whom a citizenship judge has recommended a waiver of one of more of the citizenship requirements, and determines whether a waiver is warranted. The unit is the contact point for overseas offices when they discover possible fraud in the citizenship process by persons applying for permanent resident cards to return to Canada. The unit works closely with Department of Justice on complex and litigious cases. The unit also processes requests for special grants of citizenship, which require a submission to the Governor in Council. They also handle requests from the Minister's offices of Citizenship and Immigration Canada (CIC) and the Canada Border Services Agency (CBSA), including housecards, Ministers' Office Field Request for Assistance (MOFRAs), briefing notes, and correspondence.

3) the Immigration Cases Unit: This unit is responsible for the assessment of high profile, contentious or sensitive cases and preparation of

House cards/Question Period notes, case chronologies and MOFRAs and other documentation for use by the Ministers of Citizenship and Immigration Canada (CIC) and Public Security and Emergency Preparedness (PSEP), and senior staff in both Departments. This unit also handles some aspects of the extradition process and formulates responses to a variety of clientèle on a myriad of immigration-related issues. These cases often involve liaison with CBSA. Cases related to organized crime, crimes against humanity/war crimes and security are primarily managed by CBSA.

There are also three ministerial assistants who report to the Director, Case Review and act as liaison between the Ministers' staff, CIC and CBSA and are involved in the research and analysis of complex and sensitive immigration and citizenship cases. They recommend appropriate courses of action and strategy which meet the requirements of the Ministers' offices while respecting the integrity of the various Acts and regulations.

### **Litigation Management Division (BCL):**

This Division is managed by the Director, Litigation Management Division and is responsible for the management of litigation related to both citizenship and immigration issues - both in Canada and abroad. The main role of this Division is to provide a link between the Department of Justice lawyers and CIC and CBSA operational and policy areas. BCL instructs Department of Justice lawyers on case-specific immigration and citizenship matters before the Courts, provides guidance to CIC and CBSA staff on the litigation process in general and on specific cases. BCL also ensures that the appropriate action is taken in response to Court orders. The Division also responds to requests for assistance or information from the Ministers' offices and field offices (both in Canada and abroad).

BCL manages the Litigation Steering Committee, a committee composed of senior managers in both Citizenship and Immigration Canada (CIC) and the Canada Border Services Agency (CBSA) who determine the departmental response to litigation of particular significance to either department.

### **Intelligence Branch (RZD)**

As of December 12, 2003, responsibility for intelligence activities has been transferred to the Canada Border Services Agency (CBSA). Please refer to the CBSA's Chapter in Info Source.

### **Strategic Operations Planning Unit (AOB)**

The Strategic Operations Planning Unit provides support to the ADM, Operations on strategic and operational issues, contributes to the sector's planning and reporting capability, and acts as an advocate for the regions for the development of CIC policies. The unit is also responsible for managing the Situation Centre, and acts as the link between the regions and the NHQ sectors to ensure a coordinated effort in response to emergency situations, including operational readiness planning.

### **Medical Services Branch (HMD)**

The Medical Services Branch supports Canadian immigration and health systems through the provision of immigration and public health advice, service and support. The Branch develops policies and designs programs that manage the specific health issues related to immigration and resettlement from abroad, and in partnership with other departments and central agencies, plans and delivers programs that support the health of Canadian overseas staff and dependants. Medical Services supports the implementation of these programs by CIC, Health Canada (HC), Foreign Affairs Canada (FAC) and Treasury Board of Canada Secretariat (TBS), assisted when required by a network of national and international partners. The Branch also strives to increase the better understanding of health issues and concerns faced by migrants, and represents the Department in multilateral and international migration health settings. Among other things, the Medical Services Branch is responsible for spearheading the development of operations and policy for the medical program at CIC, in addition to advising senior management and the Minister on medical matters.

The Medical Services Branch (HMF) manages the interim federal health program which is designed to cover emergency and essential health care costs for refugee claimants, refugees and others under immigration control.

The Program Delivery Directorate (HPD) is responsible for managing the medical processing of immigrants, refugees, refugee claimants and certain classes of temporary residents who apply to enter Canada, developing medical assessment guidelines and, maintaining quality assurance standards. In association with HC (Occupational & Environmental Health Services) and Foreign Affairs Canada (FAC), the division also helps federal employees and dependants remain healthy while serving abroad.

The Program Elaboration Directorate (HPE) is responsible for supporting the legislation on medical inadmissibility, providing analytical support to the Branch's programs, liaison activities including government, national and international immigration health organizations, and providing statistical and qualitative medical information on immigration health issues for the Department and other agencies.

### **Centralized Services Delivery and Corporate Services**

#### **Finance (BFD)**

The Finance Branch provides services, advice and information to departmental management concerning the financial management of the Department's policies and programs. The Branch is divided into four directorates: Financial Policy and Systems (BFP), Accounting Operations (BFO), Financial Planning, Analysis and Reporting (BFM), and Cost Management. The key functions carried out by the Branch include: providing financial policies and systems; providing accounting services; managing the loan portfolio; developing cost recovery/revenue generating plans; developing fee regulations; developing resource management plans for reallocating departmental funds or securing funding approval through central agencies to fund departmental programs; developing and implementing activity based costing approaches and models; and providing financial analysis and reporting services.

#### **Administration and Security Branch (BFA)**

The Administration and Security Branch provides services, advice and information to departmental management concerning key functions: Corporate Security, Accommodation, Procurement and Contracting Services and Common Services.

The Branch is organized into three Directorates: Administration, Corporate Security and Accommodation.

Administration is responsible for the material management, assets management and procurement and contracting programs of Citizenship and Immigration Canada. We also manage the envelopes for common services such as the Acquisition Card, Crown Asset Disposal/Removal, the Fleet Management Program, Mail services, the National Uniform Program, Sustainable Development and Translation Services.

Corporate Security is responsible for the overall management of security including physical and personnel security, Business Continuity Planning,

Emergency Preparedness and Planning, Security Training and Awareness and the Controlled Assets Program for Citizenship and Immigration Canada.

Accommodation is responsible for supporting our Department's priorities by providing a safe and productive workplace within a context of modern management and responsible partnership with other government departments. We are divided in two sections; Facilities Management and Strategic Accommodation.

### **Departmental Delivery Network (DDN)**

The Departmental Delivery Network (DDN) provides integrated program management and delivery on a product line basis in Canada. It ensures that CIC's centralized points of service have access to management and program support.

The Departmental Delivery Network includes a small NHQ structure (including Support Services–SSD, Service Delivery–SDD, and Citizenship and Immigration Services–CIS), three central processing centres (Case Processing Centres (CPCs) in Vegreville, Alberta–CPC-V, Mississauga, Ontario–CPC-M, and Sydney, Nova Scotia–CPC-S), one Ottawa-based central point of service (Query Response Centre–QRC) and one call centre in Montreal.

The Support Services Division (SSD) is responsible for developing systems for information management, information technology, human resources practices, finance and administrative matters.

The Service Delivery Division (SDD) is responsible for managing CIC's call centre operation. It also develops the application kits used by clients to access the CPCs and missions outside Canada.

The Citizenship and Immigration Services Division (CIS) is the principal contact in National Headquarters for the three CPCs (Mississauga, Sydney and Vegreville). CIS provides the CPCs with advice, guidance, assistance and operational instructions on the citizenship and immigration programs.

CPC-Vegreville (CPC-V) opened for full processing on April 1, 1994 and is responsible for providing a front-end service to all in-Canada foreign nationals applying for permanent residence and extensions to temporary resident status. (Applications processed include temporary residence applications such as extensions of visitor status, new and extended work permits,

study permits and temporary resident permits; immigrant applications for permanent residence, right of permanent residence fee loan and protected person status documents)

The Mississauga Case Processing Centre (CPC-M) has been the national Processing centre for all family class sponsorships where applicants reside outside Canada since April 1994. As such, the primary responsibility for this centre is the processing of all family class sponsorship applications. In conjunction with this role, it also serves as the contact point for social services sponsorship default notification and acts as the national repository for family class sponsorship applications.

CPC-Sydney (CPC-S) has operated since 1984 and processes requests for grants, proofs and searches of Canadian Citizenship and change of address requests submitted through CIC's on-line services. CPC-S also maintains an archive of citizenship records through the Citizenship Registration System (CRS), the staff administers the Citizenship Act while serving as a citizenship card production centre. A second CPC-PRC, located in Sydney, processes applications from permanent residents for permanent resident cards.

The Query Response Centre (QRC) retains on microfilm records of entry to Canada for permanent residents and temporary residents, as well as selected enforcement documents. The Centre is responsible for requests for verification of admission and supporting documents for immigration inquiries and court proceedings. It also includes verifying landing records of those who wish to become Canadian citizens and the processing of requests to amend or replace landing records. The QRC supports the CPC-PRC for the processing of the permanent resident cards.

The call centre serves as the initial point of contact for CIC clients in Canada. The call centre agents provide general and case specific information and help clients with next steps in their cases and take publication and application kit orders. The agents have no decision making authority.

### **Information Management and Technologies (BID)**

The IM/IT function plans, builds and operates the applications, information and technology infrastructure needed to support the delivery of CIC's services and programs to Canadians, and to administer and manage the Department. The

branch ensures the integrity, accuracy and effective delivery of departmental information holdings, including departmental records (both paper and microfilm) and library holdings.

To ensure that the efforts and resources of the IM/IT function are well aligned with CIC's new departmental priorities, we have identified five main objectives for the IM/IT function in 2004-2005: 1) advancing the implementation of the Global Case Management System (GCMS) to establish a solid foundation for the future; 2) enabling business transformation by fostering innovative service delivery, and through improved process, document and identity integrity; 3) building an effective relationship with the Canada Border Services Agency (CBSA) supporting their efforts to improve the security of our borders and our citizens; 4) developing an exemplary workforce to enable us to meet the needs of GCMS and the post-POE CIC; and, 5) maximizing IM/IT value to ensure that scarce departmental resources are used in the most effective way.

The most important of our five objectives for the current year is to advance the implementation of the Global Case Management System (GCMS) and support the early efforts to bring it into production.

The Global Case Management System (GCMS) is a five-year program to replace Citizenship and Immigration Canada business systems with an integrated case management based set of applications and infrastructure components in support of all of the Department's client operations. The program will improve CIC's overall efficiency, and client service delivery, as well as facilitate communications and data sharing with our delivery partners. GCMS will also provide the technological foundation to support new business initiatives and capitalize on innovative technology.

### **Modern Management Office (Special Project) (MMO)**

CIC created its Modern Management Office (MMO) in August 2000 as an important step to implement the Modern Comptrollership Initiative of the Government of Canada.

Essential elements of modern comptrollership are strategic leadership, motivated people, shared values and ethics, integrated performance information, mature risk management, rigorous stewardship and clear accountability.

Progress has been made in several areas. In March 2001, CIC carried out a baseline

assessment of its capacity to implement modern management practices in the Department. The report of CIC's Modern Management Practices Assessment was completed and an action plan was developed.

### **Strategic Directions and Communications Communications (BPD)**

The role of the Communications Branch is to provide services which will meet the communications needs of the Minister and the Department. The Branch informs the public, in both official languages, about departmental policies, programs and services, alerts key audiences to major new departmental initiatives, and provides advice and guidance to the Minister and senior departmental officials on all communications aspects of programs, operations and activities. The Communications Branch is divided into three directorates: Corporate Communications, Public Environment and Media Relations, and Strategic Communications.

### **Priorities, Planning and Research (PPR)**

The Priorities, Planning and Research Branch is responsible for corporate strategic planning and accountability processes and for strategic research and statistics.

The Strategic Planning Division (SP) leads CIC's business lines in the development of integrated strategic planning, consistent with the Government's socio-economic agenda. The Division is accountable for reporting to Parliament, including the Report on Plans and Priorities (RPP), the Departmental Performance Report (DPR) and the Annual Report to Parliament on Immigration. The Strategic Planning Division also undertakes program evaluations to support management decision-making and supports program branch leads on the development of Results Management Accountability Frameworks (RMAFs) and Accountability, Risk and Audit Frameworks (ARAFs). Also, the Division is responsible for developing a Performance Measurement strategy and fostering its application in the department. The Division also manages the Department's regulatory process and legislative agenda, provides advice and guidance on regulatory issues and oversees the delegation and designation of authorities.

Strategic Research and Statistics (SRS) provides support to policy and program development; develops and manages the departmental research plan; and is the departmental focal point for the development, conduct and contracting of research. The Division also produces key

corporate statistical publications including Facts and Figures and The Monitor.

### **Executive Services (BMD)**

The Executive Services Branch consists of Briefings and Parliamentary Affairs (BMP), Ministerial Enquiries (BMQ) and Public Rights Administration (BMX).

The Briefings and Parliamentary Affairs Division is responsible for managing Ministerial and DM briefings, providing information to the Minister's office in preparation for Question Period, organizing and managing corporate committees, and supporting the movement of CIC items through the parliamentary process.

The Ministerial Enquiries Division provides enquiries and correspondence management services to the offices of the Minister and the Deputy Minister. Its mandate is to prepare replies to written enquiries/correspondence for the Minister; reply to telephone enquiries from Members of Parliament (MPs) and Senators; and provide reception services to the Minister's office. The division is divided into three units—Ministerial Enquiries Tracking Unit; Correspondence Unit and a Telephone Enquiry Unit.

The Public Rights Administration Division is responsible for the management of access to information, privacy and human rights activities.

### **Strategic Policy and Partnerships (BSD)**

Strategic Policy and Partnerships provides strategic policy direction for the Department, including the integration of the Department's agenda with the broader government agenda and identifying opportunities for advancing policy and program priorities through domestic and international linkages and partnerships.

Strategic Policy (BSD) provides strategic policy advice for the Minister, Deputy Minister and the Assistant Deputy Ministers on government-wide and Department-wide issues, leads on and coordinates long-term and ongoing corporate strategic policy and prepares briefings for the Minister on external cabinet documents.

The Intergovernmental and Stakeholder Relations (BSO) component establishes frameworks and acts as the Department's focal point for federal-provincial relations; supports existing immigration agreements; establishes negotiating frameworks; manages federal provincial negotiations for immigration agreements; manages negotiations of memoranda of understanding on the exchange of information with provinces; and supports other

branches in federal provincial consultation exercises.

International Policy Coordination (BSK) develops the Department's international migration strategy and coordinates departmental participation in multilateral activities and fora by: managing and enhancing Canada's participation in international organizations active in migration; supporting Canada's foreign policy objectives by working with Foreign Affairs Canada (FAC), the Canadian International Development Agency (CIDA) and other government departments, as well as with researchers and non-governmental organizations, identifying and pursuing the links between international migration and other foreign policy issues, such as sustainable development, population programs, human rights, humanitarian assistance, trade, foreign investment, conflict resolution, and peace building; managing Canada's participation in technical assistance projects in the area of migration; and providing secretariat support to the Department's Steering Committee on the International Agenda.

Gender-Based Analysis Unit (BSR) is responsible for the integration of gender and diversity considerations into the policy, program and legislative work of the Department; building capacity for gender and diversity analysis through the development and implementation of specialized training; coordinating the legislative requirement to report on gender issues.

### **Metropolis (APX)**

CIC supports the Metropolis Project Team which coordinates the Metropolis Project and its strategic directions. The Metropolis Project is a co-operative international initiative to stimulate multidisciplinary policy research on the effects of international migration and diversity, especially on cities. The key objective of the Metropolis Project is to give governments solid information to help them develop policies that can accommodate and manage social change arising from immigration. The project is structured as a partnership with both domestic and international components.

Nationally, the Metropolis Project is supported by a consortium of federal departments and agencies (Citizenship and Immigration Canada, the Social Sciences and Humanities Research Council of Canada, Canada Mortgage and Housing Corporation, Canadian Heritage, Human Resources and Skills Development Canada, Statistics Canada, Status of Women, Department of Justice Canada, Royal Canadian Mounted Police, Public Service Commission, Public Safety and Emergency Preparedness Canada and the



Atlantic Canada Opportunities Agency). The Metropolis Project Team coordinates federal activities through an interdepartmental committee structure. Five Metropolis Centres of Excellence, located in Montreal, Toronto, Edmonton, Vancouver and the Maritimes, have been created, each a partnership of major universities. Collectively the Centres involve over 20 universities and several hundred affiliated researchers and graduate students. Federal, provincial and municipal governments, NGOs and private sector representatives participate actively on the management and advisory structures of each of the Centres. In addition to receiving core federal support, the Centres draw extensive support from the universities and receive additional project resources from federal departments, provinces, NGOs and the private sector.

The international Metropolis Project involves a partnership of policy makers and researchers from over 20 countries, including the United States, most of Western Europe, Israel, Argentina and the Asia-Pacific Region, and inter-governmental and non-governmental organizations, such as the European Commission, UNESCO, the International Centre for Migration Policy Development, the Migration Policy Institute, the International Organization for Migration and the Migration Policy Group. The international project, which is managed through an International Steering Committee with the CIC Metropolis Project Team providing strategic direction and coordination, achieves significant leverage with its academic resources and its network.

### **Audit and Disclosures**

Audit and Disclosures Branch conducts audit and consulting engagements to provide assurances to senior management on the adequacy of: risk management strategies and practices, management control frameworks and practices, and information used for decision-making and reporting. The Branch also monitors that management action plans responding to internal audit observations are successfully implemented. In addition the Branch serves as the liaison office for the Office of the Auditor General and the Treasury Board Secretariat Centre of Excellence for Internal Audit. The Branch is also responsible for the implementation of the Internal Disclosure Policy within CIC (Internal Disclosure of Information Concerning Wrongdoing in the Workplace).

### **Human Resources (BHD)**

The Human Resources Branch provides a full range of human resources services such as staffing and classification, official languages, pay and benefits, training and development, labour-management relations, workplace ethics, conflict resolution, health and safety, organizational well-being (including recognition programs) and individual/organizational performance evaluation. This branch also provides departmental services in the area of planning and environmental analysis, resourcing strategies, policies and monitoring as well as supports the implementation and development of the departmental Human Resources Management system. The Human Resources branch also defines and supports departmental strategies on learning and change management and ensures learning and career management services as well as program related training.

### **Other**

#### **Office of the Senior Citizenship Judge**

The Citizenship Commission is an independent administrative tribunal reporting directly to the Minister. The Commission is administered by a Senior Judge who ensures that Citizenship Judges, who are appointed by Order-in-Council, discharge their statutory and administrative duties under the Citizenship Act, and acts as the link between Citizenship Judges, the Minister and the Department with regard to citizenship issues.

Citizenship Judges are required to conduct the following activities: determine, in accordance with the Citizenship Act, whether applicants meet the requirements to become citizens; perform the ceremonial functions associated with administering the Oath of citizenship; carry out an ambassadorial role associated with the promotion of the concept and values of Canadian citizenship in the communities where they are appointed.

#### **Ombudsman**

The Ombudsman provides an informal process for dealing with employee concerns and problems. These include, but are not limited to, unfair practices or systems, the conduct of other employees and issues of ethical behaviour, such as conflict of interest or activities that seem to be contrary to public service values and the public interest.

The services of the Ombudsman are available to all employees of the Department of Citizenship and Immigration at all levels, including managers.

Any matter of concern to the employee can be raised with the Ombudsman.

The Deputy Minister assigns the responsibilities and duties of Ombudsman as per his general authority under the Public Service Employment Act. The Ombudsman reports directly to the Deputy Minister.

The services of the Ombudsman are available to employees who wish to resolve problems informally as an alternative to more formal mechanisms, such as grievances, appeals and complaints. The Ombudsman is not intended to replace other existing policies or procedures, the roles of unions, the department's Staff Relations division, the established system of Designated Departmental Representatives, the Public Service Commission, the Public Service Staff Relations Board or the Canadian Human Rights Commission. The Ombudsman will ensure that employees are aware of these alternatives and the time limits within which they may access them, so that they may make an informed choice as to which process to follow.

## Information Holdings

### Program Records

#### Policy and Program Development

##### Admissibility (SED)

**Description:** General correspondence relating to and in support of admissibility activities, including letters, briefing notes and ministerial correspondence; policies, statistics, directives, manuals, forms, operational memoranda on inadmissibility functions; the Immigration and Refugee Protection Act and Regulations, proposed amendments thereto, historical amendments and regulatory impact analysis statements (RIAS), and other related statutory instruments.

**Topics:** Legislative and Regulatory Policy, ports and border Management, international partnerships and liaisons, document policy and program integrity, and visa policy, primary and secondary examinations; documents required by persons seeking to enter Canada; examinations of Canadian citizens, registered Indians, permanent residents and temporary resident permit holders; examination of immigrants; processing student authorizations; examinations of visitors and foreign workers; lookouts; operation of ports; preparation of section 44 reports, voluntary withdrawal, and directions to return to the United States; immigration officer functions at ports of

entry; maritime procedures; search and seizure of documents and private vehicles, fingerprinting and photographing; holding, detaining and seizing vehicles operated by transportation companies; obligations and liabilities of transportation companies; Memorandum of understanding with commercial transporters; verification of departure at ports of exit; temporary entry of business persons under the North American Free Trade Agreement (NAFTA); Reciprocal Arrangement with the United States; Memorandum of Understanding with the Canada Revenue Agency; Memorandum of Understanding with Health Canada; Canada/US Accord on our shared border; policies regarding access and grounds to appeal to the Immigration Appeal Division (removal orders, family class refusals overseas, loss of permanent resident status, determination); Memoranda of Understanding with RCMP and with CSIS; managing CIC's relationships with the RCMP and CSIS and liaison with the IRB on admissibility and appeal issues; memorandum of understanding with the Correctional Service of Canada respecting the Exchange of Information; Memorandum of Understanding with CPIC Services; Memoranda of Understanding with various police agencies; Administrative Framework Agreement with the IRB; Permanent Resident Card Project; Canada/US Border Vision; intergovernmental consultations on refugee asylum policies and migrations in Europe, North America and Australia; G8 Lyon Group Migration Experts subgroup; The negotiation of international and domestic information sharing agreements; policies and directives on quality assurance and anti-fraud; reports on quality assurance and anti-fraud activities; local statistics on fraud.

**Note:** These records are shared with the Canada Border Services Agency (CBSA).

**Program Record Number:** CIC ASB 001 (formerly EIC IMM 075)

##### Commercial Transporters

**Description:** Information on the transportation of persons to, from or within Canada.

**Topics:** Transportation by air, land or sea; companies' obligations for the provision of examination facilities; payment of detention, removal and medical costs; administration fees, deposit of security for persons conveyed in companies' vehicles; responsibilities and regulations of travel agencies, and consultations with Transport Canada.

**Program Record Number:** CIC ASB 002 (formerly EIC IMM 085)

### **Special Events – Entry to Canada**

**Description:** Information on how port of entry examining officers and overseas visa officers are to process clients seeking entry to Canada in order to participate in international sporting meets, conferences, cultural events and other government sponsored activities. Explains cost recovery procedures, required supporting documentation when clients seek visas abroad or admission at border points, and the types of control documents officers must issue when admitting clients. Provides scope of events being held in Canada, and allows regional management teams to allocate resources to posts overseas, ports of entry and inland offices in order to manage the potential increase in client volumes. Provides detailed information on the event location, agenda, qualifications of participants, and contact numbers of organizers.

**Topics:** Policies, procedures and operational memos on special events brought to the attention of port of entry management.

**Program Record Number:** CIC ASB 003 (formerly EIC IMM 090)

### **Integration (SID)**

#### **Citizenship Division**

**Description:** Information concerning the administration of past and present Citizenship legislation and policy, development of new Citizenship legislation and policies.

**Topics:** Application of citizenship legislation; claims to Canadian Citizenship; status of Canadian citizens; citizenship by naturalization; acquisition of Canadian citizenship; certificates of citizenship; residence requirements; prohibitions; violation and penalty for offence against acts or regulations; hearings; Citizenship judges; Citizenship offices; oaths and declarations; loss of citizenship and exemptions; resumption of citizenship; statelessness; dual nationality; Citizenship Act; Citizenship Regulations; authority of Governor in Council; repeal of Naturalization Act and Canadian Nationals Act; manuals and documentary evidence.

**Program Record Number:** CIC ASB 004 (formerly CIC CCP 045)

#### **Integration Promotion Division**

**Description:** Information concerning citizenship and settlement promotion, and community partnerships.

**Topics:** Educational resources which support integration of newcomers and citizenship applicants, promotional citizenship initiatives which include Citzine.ca, a youth oriented Internet site, and Integration Net; development and distribution of resources for the integration of

immigrants, preparation of the study guide for the citizenship test, provides support to local citizenship offices and ceremonial halls, community partnerships as well as development of innovative partnerships with CIC regions, national associations and local community groups.

**Program Record Number:** CIC ASB 005 (formerly CIC CCP 046)

#### **Settlement Division**

**Description:** Policy, operations and correspondence on programs designed to help immigrants become fully participating, contributing Canadians.

**Topics:** Policy development and guidelines in all provinces and territories where CIC is still responsible for the direct delivery of the settlement programs, and new or existing settlement realignment agreements. General settlement counselling and orientation assistance; language training; co-operation with and funding for service provider organizations (SPOs); reception, and counselling services in Canada and orientation sessions abroad.

**Program Record Number:** CIC ASB 006 (formerly EIC IMM 130)

#### **Service Line Support Division**

**Description:** Computerized information systems for financial, personnel, administrative and operation performance, planning and accountability process, and Branch-wide cross-cutting topics related to policy development such as barriers to integration, youth initiatives and youth at risk.

**Topics:** Correspondence; status reports; minutes of meetings, budgets, commitments and expenditures; travel advances and claims; performance information; Branch's input to the corporate planning and accountability processes; and documentation and reports on Branch related policy topics.

**Program Record Number:** CIC ASB 007 (formerly CIC CCP 047)

#### **Special Initiatives and Outreach Division**

**Description:** Policy, operations and correspondence on programs designed to help immigrants become fully participating, contributing Canadians.

**Topics:** Policy development and guidelines in all provinces and territories where CIC is still responsible for the direct delivery of the enhanced language training initiative and new or existing provincial/territorial agreements. Co-operation with and funding of service provider organizations (SPOs), labour market integration issues including foreign credential recognition, the immigration

portal initiative and orientation sessions abroad.

**Program Record Number:** CIC ASB 020

## Refugees (SRD)

### Refugee Determination

**Description:** Policies, procedures and general information on the process of making a claim for refugee status in Canada and its disposal by the competent authority.

**Topics:** Policies and procedures related to the documentation and control of persons claiming refugee status in Canada, the terms and conditions of their stay in Canada, including welfare, legal aid and employment, and the procedures for judicial review.

**Program Record Number:** CIC ASB 008 (formerly EIC IMM 151)

### Refugees and Displaced Persons

**Description:** Policies, procedures and general information on the admission of refugees and displaced persons.

**Topics:** Policies and procedures on emergency situations in which large numbers are displaced from their homes or homeland because of war, revolution or natural disaster; descriptions and policy on promises and guarantees for sponsorship, medical aid and settlement programs by churches, organizations, institutions or individuals on behalf of refugees; background on information exchange programs between CIC and Canadian, provincial or international governments and agencies, such as the International Institute of Humanitarian Law, the United Nations High Commissioner for Refugees and the Immigration and Refugee Board of Canada.

**Program Record Number:** CIC ASB 009 (formerly EIC IMM 125)

### Immigration Loans Program

**Description:** Immigration loans are designed to help foreign nationals to resettle to Canada as well as adjust to Canadian life and to gain access to the labour market.

**Topics:** Immigration loans are provided to those persons accepted as permanent residents; general settlement assistance; assistance loan, clothing, medical examinations, right of permanent residence fee, emergency assistance.

**Program Record Number:** CIC ASB 011 (formerly EIC IMM 131)

## Selection (SSD)

### Business Immigration

**Description:** General correspondence, Regulations, guidelines, policies and procedures relating to the administration of the immigrant investor, entrepreneur and self-employed

programs. Project files for proposals submitted under the immigrant investor program, including copies of private placement offerings, monitoring records and reports, correspondence, marketing materials, etc.

**Topics:** Policies and procedures relating to the admission of persons under the Entrepreneur/Investor/Self-Employed categories. Monitoring and statistical information regarding volume of persons admitted, funds invested, general use of funds, destinations of business immigrants, etc.

**Program Record Number:** CIC ASB 010 (formerly CIC IVR 002)

### Immigrant - Student and Temporary Worker Programs

**Description:** Information concerning regulatory requirements related to the extension of temporary admission to Canada and the acquisition of permanent residence in Canada as skilled workers or provincial nominees.

**Note:** These records are shared with the Canada Border Services Agency (CBSA).

**Topics:** Policies and procedures, including operations memoranda for the information and direction of immigration officers and staff in Canada, related to the determination of applications for extensions of temporary entry of students and workers to Canada; applications for permanent residence; and, the sponsorship of relatives from abroad.

**Program Record Number:** CIC ASB 012 (formerly CIC IVR 001)

### Family Class Immigration, International Adoption, Live-in Caregivers in Canada, Humanitarian Issues, and Temporary Resident Permits

**Description:** Information concerning regulatory requirements related to the sponsorship of members of the family class and the spouse or common-law partner in-Canada class, the adoption of children, the administration of the live-in caregiver program, the issuance of temporary resident permits and the administration of the permit holders class and the acquisition of permanent residence in Canada based on humanitarian grounds

**Topics:** Policies and procedures, including manuals for the information and direction of officers and staff abroad and in Canada related to the determination of applications for sponsorship of relatives and applications in Canada for permanent residence.

**Program Record Number:** CIC ASB 013 (formerly CIC IVR 010)

## **Legislative Review and Implementation (Special Project—terminated in September 2002) (DMX)**

### **Legislative Review Records**

**Description:** Information on legislation and regulatory reform and implementation of these reforms.

**Topics:** General correspondence relating to Branch activities including letters, briefing notes, and memoranda to the Minister; written requests for documents and written responses to Parliamentary Committees; policies, procedures, directives, manuals, operational memoranda on the functions of CIC; the Immigration Act and Regulations and related statutory instruments; the Immigration and Refugee Protection Act (Bill C-11), related documents, including memoranda to Cabinet; results of consultations with the general public, members of the legal profession, MPs, and NGOs as well as briefs and unsolicited comments received from the same groups on proposed legislation; records on the Branch's human resources and budgetary/financial issues; Minutes of the Steering Committee Meetings.

**Program Record Number:** CIC ASB 015

### **Immigration Statistics**

**Description:** Annual, quarterly and monthly reports on the number of persons who become permanent residents, by class, or who are in the process of becoming permanent residents.

**Topics:** By immigrant class, statistics on applications received, persons in process, visas issued, number of persons landed as permanent residents, source countries and province of destination.

**Program Record Number:** CIC ASB 016

### **Non-Immigration Statistics**

**Description:** Annual reporting on temporary resident permits (Minister's permits); statistics on the number of student and employment authorizations.

**Topics:** Number of temporary resident permits (Minister's permits) issued annually; number of student authorizations issued; number of employment authorizations issued to temporary foreign workers.

**Program Record Number:** CIC ASB 017

### **Business Solution Branch (BSB)**

#### **General**

**Description:** Information concerning service delivery and improvement.

**Topics:** Initiatives related to service improvement, inventory reduction, establishing service standards and quality assurance mechanisms, developing feedback mechanisms

and client satisfaction measurement tools, Government on-Line Centralization and Digital Imaging, Global Case Management System (GCMS).

**Program Record Number:** CIC ASB 018 (formerly CIC DMO 001)

### **Centralized Processing Pilot Project (BSB)**

**Description:** Information on matters relating to the Centralized Processing Pilot Project.

**Topics:** Pilot Design and evaluation, pilot procedures, reports and statistics relating to the new Global Case Management System (GCMS).

**Program Record Number:** CIC ASB 019 (formerly CIC DMO 002)

## **Operations**

### **International Region (RID)**

#### **International Service**

**Description:** Information on matters relating to Canadian immigration services.

**Topics:** Policy, plans and programs; reports and statistics; treaties and agreements; organizations and conferences; Act and regulations; visits; adoption; asylum; employment authorizations; bonds and security deposits; briefs and submissions; citizenship; complaints; cost-recovery program; data system; death certificates of immigrants; demography; education and training; enforcement; examinations; exclusion and removal; federal-provincial relations; immigration programs of foreign governments; identification and travel documents; illegal entry; immigration; international and diplomatic relations; international migration; marriage and divorce; military personnel; overseas operations—posts; temporary resident permits; recruitment and selection; convention and other refugees and designated classes; organizations including the International Organization for Migration (IOM), United Nations High Commissioner for Refugees (UNHCR) and the United Nations Relief and Works Agency (UNRWA); voluntary agencies; refugee centres and re-establishment; humanitarian assistance; religious groups and sects; settlement; special events; student authorizations; terrorism; transportation; accommodation; repatriation of immigrants; emigration; research projects.

**Program Record Number:** CIC AOB 001 (formerly EAC JFB 022)

### **Strategic Operations Planning Unit (AOB)**

#### **CIC's Operational Performance Report**

**Description:** Produced on a quarterly basis and summarizes the department's operational performance. In addition to identifying

performance measures, this report provides a focus on key operational indicators that identify and track delivery system pressure points.

**Topics:** Front-end intakes, active inventories, cycle times, and outputs in targeted areas are tracked. There is also a focus on admissions activities, including inland delivery, centralized processing, and overseas processing.

**Program Record Number:** CIC AOB 002

### **Medical Services Branch (HMD)**

#### **Immigration Health Assessments Records**

**Description:** Information on the assessment of prospective immigrants and refugees to Canada by direct medical examinations or assessments of medical examinations to ensure compliance with the Immigration and Refugee Protection Act and Regulations; provision of, or arrangement for, medical and hospital care for certain groups under the provisions of the Immigration and Refugee Protection Act, Canada Health Act and various Orders-in-Council; and provision of medical advice to the Department on all matters pertaining to the health of immigrants, refugees and certain classes of temporary residents in Canada.

**Topics:** Co-operation and liaison; medical examination of immigrants and refugees; diseases in immigrants; passed cases; Immigration Medical Advisory Board; Immigration medical records.

**Program Record Number:** CIC AOB 003 (formerly HWC MSB 235)

### **Centralized Services Delivery and Corporate Services**

#### **Finance (BFD)**

##### **Management Data**

**Description:** Computerized information systems of a financial, personnel, and operational performance measurement nature.

**Topics:** Correspondence; status reports; minutes of meetings. Information held in EDP systems is organized under the following title: Immigration Program Accounts Receivable which provides for the accounting, control, and billing of loans granted to immigrants.

**Program Record Number:** CIC APB 001 (formerly CIC FIN 060).

##### **Integrated Financial and Materiel System (IFMS)**

**Description:** Computerized information system of a financial, personnel, administrative and operational performance measurement nature.

**Topics:** Financial position of commitments, budgets, expenditures, revenues, advances, accounts receivable, overall salary costs and non-salary items within CIC, and employee information

that allows production of certain personnel reports for management and central agencies.

**Program Record Number:** CIC APB 002 (formerly CIC SYS 555)

#### **Cost Management Model (CMM)**

**Description:** Computerized information system of a process cost nature.

**Topics:** Realignment of historical departmental expenditures against business processes by office within the Department including salary, non-salary, grants and contributions and employee benefit plan costs and immigrant, non-immigrant, enforcement, citizenship and settlement volumetric.

**Program Record Number:** CIC APB 008

### **Administration and Security Branch (BFA)**

#### **Security**

**Description:** Information on policies, correspondence and protective procedures relating to implementation and administration of the Government Security Policy in the Department (except IT security and investigations).

**Topics:** Policies and procedures on personnel, physical, communications and administrative security, minutes of meetings; briefs, reports, plans.

**Program Record Number:** CIC APB 003 (formerly CIC FIN 055)

#### **Contracting Computerized**

**Description:** Information on procurement, administration and operational performance measurement.

**Topics:** Include the contract value, vendor information and purchasing trends, which allows the production of ADHOC reports, responses to Access to Information and Privacy (ATIP) requests and spending estimates.

**Program Record Number:** CIC APB 007

### **Information Management and Technologies (BID)**

#### **Electronic Data Processing (EDP) Systems**

**Description:** EDP systems are used to gather or update the information needed for the operational support of citizenship and immigration programs. Citizenship and immigration-related programs and services are delivered using integrated clerical, manual and EDP systems. The EDP component consists of the sub-systems listed below. All sub-systems are linked to each other, either by a full computer connection (interface), or by common data elements that allow comparisons of information across systems. Therefore, actions in one sub-system may affect the smooth running of others.

**Topics:** Citizenship and Immigration, CIC, Citizenship, Immigration, Visitors, Students, Foreign Workers, Computerized System and System.

**Program Record Number:** CIC APB 005 (formerly CIC IMM 110)

### **Field Operations Support System (FOSS)**

**Description:** The FOSS database is a central repository of information on all persons who have been, may be or are wanted to be seen by Immigration staff. FOSS is the main operational support system for immigration operations in Canada. The system is comprised of numerous components including query functions, status entry, document creation, refugee monitoring, case processing support, medical profiles, registry functions, client name and address, statistical functions, airport primary inspection line functions, access and security, appeals and litigation, quality assurance and records maintenance. All Immigration staff that work with the public and the staff that support these officers use FOSS. It is also used at all international airports by customs inspectors and by a number of specialized groups, such as: Case Management, Query Response Centre, Social Insurance Registry, Immigration Health, Immigration Statistics, External Affairs Protocol, Canadian consulates in various locations in the United States, as well as Joint Passenger Analysis Units in Miami. There are over 17.5 million client records and over 30 million document reference records.

**Topics:** Immigration, Visitors, Students, Foreign Workers, FOSS, Computerized System and System.

**Program Record Number:** CIC APB 005 (formerly CIC IMM 110)

### **Computer-Assisted Immigration Processing System (CAIPS)**

**Description:** CAIPS is the Department's automated system for immigration application processing outside Canada. Information is entered in the system from application forms and supporting documentation submitted by applicants for immigrant and visitor visas, returning resident permits and student and employment authorizations. This information is transferred electronically to FOSS to facilitate inland processing. In addition, CAIPS users have real-time access to FOSS via the CAIPS-FOSS Integration module.

**Topics:** Overseas, Immigration, Visitors, Students, Foreign Workers, CAIPS, Computerized System and System.

**Program Record Number:** CIC APB 005 (formerly CIC IMM 110)

### **Case Processing Centre System (CPC)**

**Description:** The CPC system supports the processing of all in-Canada applications for the following: in-Canada sponsorship of family class; extension of temporary resident visas; applications for permanent resident visas; applications based on humanitarian and compassionate grounds and applications for permanent resident cards.

**Topics:** Inland, Immigration, Visitors, Students, Foreign Workers, Immigration Sponsorship, Vegreville, Mississauga, CPC, Computerized System and System.

**Program Record Number:** CIC APB 005 (formerly CIC IMM 110)

### **Citizenship Registry System (CRS)**

**Description:** CRS supports the processing of all applications for a grant of citizenship and a proof of citizenship from within and outside Canada. The primary functions include: collect fees; obtaining RCMP and CSIS clearance; collect data; certificate preparation; decision: scheduling; log in (results) and file retention. All record scheduling and workflow data related to citizenship processes are kept in this database and there is an interface with FOSS.

**Topics:** Citizenship, Canadian Citizenship, Citizenship Certificate, Sydney, CRS, Computerized System and System.

**Program Record Number:** CIC APB 005 (formerly CIC IMM 110)

### **Client Status Query (CSQ)**

**Description:** CSQ allows query access to the Field Operations Support System (FOSS) database via the web. The application provides its users with a Windows-based view of FOSS. Because it's not restricted to a character-based screen size, the information in CSQ, while the same as that in FOSS, can be presented in a much more user-friendly manner. The information is easier to read as the screens are not restricted in size and therefore full descriptions can be shown to the users, rather than codes that the user must learn. All client information and document information that is stored on FOSS is viewable by the CSQ user. As well as containing FOSS data, CSQ also contains high level National Case Management System (NCMS) information allowing immigration officers access to enforcement tracking information. As well, CSQ is the only national system where the client's signature and photo for his permanent residence card can be viewed.

**Topics:** Permanent Resident Card, Photo, Photograph, PRC, Computerized System and FOSS.

**Program Record Number:** CIC APB 005  
(formerly CIC IMM 110)

### **National Case Management System (NCMS)**

**Description:** The NCM system has replaced several regional case tracking applications. NCMS provides functionality that supports critical immigration enforcement case tracking requirements from the regions and NHQ. It provides a facility aimed at satisfying management information needs. Key enforcement data is stored centrally to provide an integrated client case history for all domestic users. Its functions include case tracking, bring forward, scheduling, workload management, file registry, and reporting modules for all of CIC's major enforcement business lines (except port of entry examinations).

**Topics:** Enforcement, Enforcement Case Tracking, NCMS, Computerized System and System.

**Program Record Number:** CIC APB 005  
(formerly CIC IMM 110)

### **Card Control System (CCS)**

**Description:** The CCS brings together data and images from FOSS, CPC System and a scanning database held in Sydney, N.S. When all the data are complete and present, CCS sends these to the permanent Resident Card Production Facility in Canadian Bank Note (CBN) in order to produce the PR Card. CBN then returns card data, the disposition of the card and various statistics used in the management of the program. There are interfaces to the FOSS, the CPC system, the Sydney Scanning System, the CSQ and CBN.

**Topics:** Information systems generally; standard statistical coding for completing forms; information-gathering systems (employment clearance, occupation, transportation tables, native language); data systems (immigrants processed abroad and in Canada, permanent residents, monthly program reports, special information retrieval procedures, foreign nationals visiting Canada).

**Program Record Number:** CIC APB 005  
(formerly CIC IMM 110)

### **Technical Support**

**Description:** Information on the architecture, development and design of hardware, software, database, centre, administration of data, Electronic Data Processing (EDP) Policy, Training, EDP Standards, and contracts.

**Topics:** Correspondence; tenders and contracts; security of EDP installations; computer activity reports; systems and programming standards; software master control programs and utilities for all systems, EDP policy, database studies,

schedules and information, EDP standards and contracting documentation.

**Program Record Number:** CIC APB 006  
(formerly CIC SYS 560)

### **Modern Management Office (Special Project) (MMO)**

#### **Modern Management – General**

**Description:** Carried out a baseline assessment of its capacity to implement modern management practices.

**Topics:** Program record consists of CIC's modern management practices assessment and an action plan called "Building Management Capacity" which was approved by the CIC Executive Committee in December 2002.

A CIC Integrated Risk Management Framework was developed and also approved by the CIC Executive Committee in December 2002. The Framework is intended to serve as a guide for managing risks in the context of our various work environments. It provides a simple and useful mechanism to help formulate decisions, prevent problems and reduce losses. In the area of values and ethics, a manager's kit: Dialogue and Ethical Decision Making was developed and published in September 2003.

**Program Record Number:** CIC APB 009

### **Strategic Directions and Communications Communications (BPD)**

#### **Corporate Communications**

**Description:** Activity reports; departmental newsletters, including Visa and Visa Plus; messages written for the Deputy Minister and other senior managers; work plans; internal communications strategies; distribution records; mailing lists for distribution; news releases and departmental publications; printing components for all published material, printing and personal service contracts; maintenance and updating of the departmental Internet site.

**Topics:** Organizational structure; special events; strategic initiatives and programs; departmental and government-wide initiatives; the directorate's human resources and budgetary/financial issues; general correspondence; public enquiries; creative graphics; distribution of departmental products; management of the departmental Internet site.

**Program Record Number:** CIC ACB 001  
(formerly CIC SPP 618)

#### **Public Environment and Media Relations**

**Description:** Activity reports; internal memoranda; documents for training of spokespersons; daily clippings and summaries of news related to CIC; briefing notes; media lines;



questions and answers; media advisories: surveys and polls on public opinion and attitudes towards CIC policies, programs and services; survey data and related analyses as well as media analyses of both main stream and ethnic media used for the development of communications strategies.

**Topics:** Policy and program related issues; special events; events of interest to media; public opinion; status of ongoing projects; directorate's human resources and financial budgetary issues.

**Program Record Number:** CIC ACB 002 (formerly CIC SPP 622)

### **Strategic Communications**

**Description:** External communications strategies and plans; ministerial speeches and speaking notes; media lines; questions and answers; Minister's messages; scenarios; news releases; talking points; activity reports; internal and external correspondence; communication implications for memorandums to the Minister; Communications planning calendar of departmental events; personal service contracts; coordination of information requests under the Access to Information and Privacy Act legislation.

**Topics:** Departmental policy and program initiatives; public education procedures; directorate's human resources and financial/budgetary issues.

**Program Record Number:** CIC ACB 003 (formerly CIC SPP 623)

### **Priorities, Planning and Research (PPR)**

#### **Admission of Persons to Canada (PPR & BSD)**

**Description:** Information on policies and programs concerning the admission of persons to Canada.

**Note:** These records are shared with the Canada Border Services Agency (CBSA).

**Topics:** Admission data on immigrants according to component groups (economic, social and humanitarian immigrants) and of visitors including tourists, temporary workers and foreign students. Annual Report to Parliament on Immigration. Related background information including labour market and demographic data. Description of selection criteria and processing systems.

**Program Record Number:** CIC ACB 004 (formerly EIC IMM 120)

#### **Strategic Planning**

**Description:** Information of the planning, accountability, regulatory processes, and evaluation of the Immigration programs.

**Topics:** Records on departmental planning and accountability such as the Planning, Reporting and Accountability Structure (PRAS), the Departmental Performance Report (DPR), the

Report on Plans and Priorities (RPP), the Annual Report to Parliament on Immigration, Guide to the Regulatory Development Process, and program and project evaluations and Results-based Management and Accountability Frameworks (RMAFs).

**Program Record Number:** CIC ACB 009 (formerly CIC SPP 665)

### **Strategic Research and Statistics**

**Description:** Strategic Research and Statistics conducts research and provides information and advice to support policy and program development in the areas of immigration and citizenship.

**Topics:** Research reports, surveys, studies, working papers, statistical tables, data and other information related to international migration, immigration control and security concerns, the impacts of immigration on Canadian society and culture, integration of immigrants in Canada, the impacts of legal and illegal immigration on the Canadian economy, labour force, labour market and population, as well as on the adjustment and integration of immigrants in Canada.

Correspondence, specifications, contracts and other files related to the administration and the production of research.

**Program Record Number:** CIC ACB 010 (formerly CIC SPP 619)

### **Executive Services (BMD)**

#### **Briefing and Parliamentary Affairs (BMP)**

**Description:** Briefing notes/books; Question Period cards and transcripts; memoranda to the Minister; Parliamentary Returns, written questions, petitions, motions, requests for documents and written responses for Parliamentary Committees; departmental briefing system; guidelines for drafting briefing notes and memoranda to the Minister and agendas, briefing material and records of decisions for departmental committees.

**Topics:** Anticipated questions in the House of Commons and recommended responses, transcripts of Question Period proceedings, parliamentary correspondence and replies, House motions, petitions, document requests and replies and monitoring of parliamentary committee activity; requests for briefings and replies; information on upcoming events involving the CIC Minister, Deputy Ministers and officials, and departmental management committee information such as agendas, briefing material and records of decisions.

**Program Record Number:** CIC ACB 011 (formerly CIC SEC 046)

**Ministerial Enquiries Division (BMQ)**

**Description:** Guidelines on the handling of ministerial correspondence; statistical reports related to the tracking and control of ministerial correspondence and telephone enquiries.

**Topics:** Processing and routing of Minister's and Deputy Minister's correspondence; formatting and presentation of correspondence; volume of correspondence, production and average turn-around times.

**Program Record Number:** CIC ACB 012 (formerly CIC SEC 031)

**Access to Information and Privacy (BMX)**

**Description:** Policy and guidelines on access and privacy; annual reports to the Treasury Board of Canada Secretariat; statistical and other non-personal information provided by requesters in their access requests.

**Topics:** Policies and procedures for each component of the legislation; background on legal interpretations of access rights; statistical data on requests and complaints; documents concerning jurisprudence and records of policy decisions made by the Information and Privacy Commissioners; appeals and decisions; CIC policies, procedures and measures encouraging access generally; administrative costs of public rights management.

**Program Record Number:** CIC ACB 013 (formerly CIC SEC 040)

**Human Rights (BMX)**

**Description:** Information on policies, guidelines, complaints and other human rights matters.

**Topics:** Policies and procedures relating to implementation of legislation; reports on the human rights field; background information relating to complaint activities.

**Program Record Number:** CIC ACB 014 (formerly CIC SEC 045)

**Strategic Policy and Partnerships (BSD)****Cabinet Documents**

**Description:** Cabinet documents; briefing notes and Cabinet business lists and agendas.

**Topics:** Analysis of Cabinet documents and advice to the Minister, information on CIC's Cabinet activities, weekly timetables of meetings of Cabinet Committees, Cabinet Committee agendas.

**Program Record Number:** CIC ACB 006 (formerly CIC SPP 630)

**General**

**Description:** Policy documents, briefing notes and correspondence.

**Topics:** Immigration and citizenship, including suggestions and proposals for amending policies;

the Sustainable Development Strategy and Part VII of the Official Languages Act; material related to federal-provincial relations regarding immigration policies and procedures, such as reciprocal agreements, exchange of information, consultation papers or amendments to policies and procedures; internal briefing material; and gender-based analysis.

**Program Record Number:** CIC ACB 008 (formerly EIC IMM 065)

**International Migration**

**Description:** Correspondence and information on departmental and government-wide involvement in international fora related to global migration such as international organization for migration, regional conference on migration (Puebla Group)

**Topics:** Co-operation and liaison, reports and statistics, general information and reports on international organizations and conferences.

**Program Record Number:** CIC ACB 015

**Metropolis (APX)****General**

**Description:** External correspondence on general Metropolis activities; internal memoranda; mailing lists; Metropolis publications, including Dispatches from Metropolis International, the Metropolis Newsletter and Metropolis World Bulletin; Metropolis Network of Websites; printing and personal service contracts.

**Topics:** Project evaluation and renewal; Metropolis International Conferences; Metropolis National Conferences; special events, including Metropolis Conversations, Metropolis Presents and seminars; Metropolis research; and Special Projects.

**Program Record Number:** CIC ACB 016

**Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Automated Document, Records and Information Management Systems

Budgets

Buildings

Buildings and Properties  
 Business Continuity Plans (BCP)  
 Classification of Positions  
 Co-operation and Liaison  
 Employment and Staffing  
 Equipment and Supplies  
 Executive Correspondence Management Systems  
 Finance  
 Furniture and Furnishings  
 Hospitality  
 Human Resources  
 Information Technology Services  
 Occupational Health, Safety and Welfare  
 Office Appliances  
 Official Languages  
 Pensions and Insurance  
 Personnel  
 Physical Security  
 Proactive Disclosure  
 Procurement  
 Relocation  
 Salaries and Wages  
 Staff Relations  
 Training and Development  
 Travel  
 Utilities  
 Vehicles

## Personal Information Banks

### Policy and Program Development

#### Admissibility (SED)

##### Enforcement Data System

**Description:** This bank contains information from the enforcement records of persons who have come under examination at a port of entry or investigation at an inland Canada Immigration Centre. This bank is a subsystem (batch system) of the Field Operational Support System (FOSS). The bank includes a report from an immigration officer and a record of the inquiry, appeal and removal process. Records may include name, address, birth date, country of birth, enforcement action undertaken (i.e. a report, arrest, inquiry or

removal under the Immigration and Refugee Protection Act), and the date and place of each event in the process. The deportation order is available on persons subject to the removal process from January 1, 1973. The bank includes the electronic collection and use of fingerprints, digital photographs and personal histories of refugee and immigrant applicants to Canada. Some of the information may be duplicated in the Immigrant Case File—CIC PPU 042 and the Permanent Resident Data System—CIC PPU 053. Persons seeking access to this information should supply their name, date of birth, approximate date of entry to Canada and port of entry.

**Class of Individuals:** Persons who have been subject to the enforcement provisions of the Immigration and Refugee Protection Act of Canada.

**Purpose:** The purpose of this bank is to help determine the admissibility of persons to Canada or the right of persons to remain in Canada, and to produce statistical reports in support of the enforcement function.

**Consistent Uses:** Information is also used by the Department of Human Resources and Skills Development Canada (HRSDC) and by the Immigration Appeal Division of the Immigration and Refugee Board of Canada (IRB). Other uses may include sharing information with the Canadian Security Intelligence Service (CSIS), the Department of Justice, Public Safety and Emergency Preparedness Canada and other divisions of the IRB. Information may be shared between the IRB's Immigration Appeal Division—IRB PPU 110 and Adjudication Division—IRB PPU 140. Information may be shared with the Royal Canadian Mounted Police (RCMP) and the CSIS for the purpose of conducting security reviews or investigations related to immigration legislation. The bank electronically discloses fingerprints and personal histories to the RCMP for data matching and security checks with foreign government law authorities. The information is shared with the Canada Revenue Agency (CRA) to aid the officers at the Primary Inspection Line (PIL) in referring persons to Immigration for further examination as well as for the purpose of determining eligibility for the Alternate Inspection Systems (AIS). It is also shared with foreign governments under the terms of agreements/arrangements and the purpose of lawful investigations or the enforcement of any law.

**Retention and Disposal Standards:** Paper records are normally retained ten years after the last administrative action. Disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 001  
**TBS Registration:** 005218  
**Bank Number:** CIC PPU 001 (formerly EIC PPU 270)

### Integration (SID)

#### Immigration Settlement and Adaptation Program (ISAP)

**Description:** This bank may contain names, addresses and other information pertaining to individual members or representatives of Service Provider Organizations (SPOs) as well as their clients. Access to this bank may be gained by providing the name and address of the organization.

**Class of Individuals:** Members or representatives of service provider organizations that provide immigrant settlement and adaptation services for Citizenship and Immigration Canada on a contribution agreement basis and participating members of these organizations.

**Purpose:** The purpose of this bank is to provide a list of the contracted service provider organizations that CIC provides funding to. The information may be used in decisions regarding the terms of such agreements, their renewal and the evaluation of services provided to the newly arrived immigrants on a complimentary basis.

**Consistent Uses:** Information may be used for internal audit purposes. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation.

**Retention and Disposal Standards:** Information is held for six fiscal years. The retention and disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 006

**TBS Registration:** 005011

**Bank Number:** CIC PPU 003 (formerly EIC PPU 250)

#### Language Instruction for Newcomers to Canada (LINC) Program

**Description:** This bank contains names, addresses and other information pertaining to individual members or representatives of Service Provider Organizations (SPOs) as well as their clients. This bank may also contain the following information on clients: full name, date of birth, country of origin, mother tongue and other spoken and written languages, an ID number (IMM1000, Ministerial Permit or FOSS number), occupation before coming to Canada, current occupation, available days and day periods for class attendance, and access to child minding during class hours. Access to this bank may be gained by providing the name and address of the organization.

**Class of Individuals:** Members or representatives of service provider organizations that provide language training for Citizenship and Immigration Canada on a contribution agreement basis, participating members of these organizations and newcomers who are eligible for language training.

**Purpose:** This data bank helps CIC to draw a profile of LINC clientele, to assess their training needs in one of Canada's official languages and needs for child minding during class hours. Data also serves in managing programs and services, ensuring accountability and efficient allocation of LINC contributions.

**Consistent Uses:** Information in this bank may be used by CIC for purposes of planning, auditing, monitoring and evaluating programs and services for research purposes and for the collection of statistics. Information in this data bank may be shared with such partners as the Canada Revenue Agency (CRA), provincial and municipal governments and funded SPOs to whom the information relates.

**Retention and Disposal Standards:** The retention period for LINC files is six fiscal years after the end of the last contribution agreement. The retention and disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 006

**TBS Registration:** 005217

**Bank Number:** CIC PPU 004 (formerly CIC PPU 500)

### Host Program

**Description:** This bank may contain names and other information pertaining to individual members or representatives of organizations involved in the Host Program. Access to this bank may be gained by providing the name and address of the particular organization.

**Class of Individuals:** Members of service provider organizations who provide assistance to newly arrived immigrants.

**Purpose:** The purpose of this bank is to provide a list of the Host Program organizations. The information may be used in decisions regarding the effectiveness of the Program.

**Consistent Uses:** The information may be used for internal audit purposes. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation.

**Retention and Disposal Standards:** Information on members or representatives of Host Program organizations is kept for six fiscal years after termination of the contribution agreement. The retention and disposal standards are currently

under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 006

**TBS Registration:** 001973

**Bank Number:** CIC PPU 005 (formerly EIC PPU 226)

### **Immigration - Contribution Accountability Measurement System**

**Description:** This bank may contain the following information: full name, date of birth, country of origin, gender, location in Canada, month of arrival in Canada, mother tongue, immigrant category and CIC identification numbers. The bank may also contain aggregate or per client service data, such as type and hours of services received, relating to four CIC contribution programs. These programs include: 1) Immigrant Settlement and Adaptation Program (ISAP) – funds are provided to deliver direct and essential services to newcomers to Canada and include such services as reception and orientation, translation and interpretation, referral to community resources, para-professional counselling, general information and employment-related services; 2) Host Program—funds are provided to recruit, train, match and monitor volunteers (individuals and groups) who help newcomers to adapt, settle and integrate into Canadian life; 3) Language Instruction for Newcomers to Canada (LINC)—funds basic instruction in one of Canada's official languages to meet adult newcomers' integration needs; and 4) Resettlement Assistance Program (RAP)—provides income support for up to 12 months (24 months for special needs cases) after arrival in Canada or until the newcomer becomes self-sufficient, whichever comes first and immediate essential services such as port of entry reception, temporary accommodation, assistance with locating permanent accommodation, financial orientation, basic orientation and assessment and referral to broader-based services, to government-assisted refugees. Persons seeking access to this bank must supply their full name as appearing on their most recent immigration document, date of birth and an immigration ID number (IMM1000, FOSS/Permanent Resident Card, Temporary Resident Permit).

**Class of Individuals:** All clients eligible for services under ISAP, LINC, Host or RAP, including all landed immigrants, individuals approved for landing in principle, individuals working under the live-in caregiver program and government-assisted refugees.

**Purpose:** Information in this bank will be used by CIC for the purposes of program monitoring and

evaluation, activity monitoring, policy analysis and research.

**Consistent Uses:** Data which service provider organizations (that receive funding under ISAP, Host, LINC and RAP) have submitted to the bank themselves will be shared with them on an individual basis. Data from the bank may also be shared with private sector research firms and Statistics Canada.

**Retention and Disposal Standards:** The retention period will be 21 years. The retention and disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 006 and CIC ASB 009

**TBS Registration:** 005249

**Bank Number:** CIC PPU 062

### **Refugees (SRD)**

#### **Immigration Loans Programs**

**Description:** This bank may contain the following information: name, birth date, visa number, loan warrant number, undertaking to repay assistance number, address, telephone numbers at home and at work, Social Insurance Number, occupation, name and address of employer, marital status, date and port of arrival, name of spouse and number of dependants, status and amount of outstanding loan and credit reports of the individual's financial status, payee and purpose. The Social Insurance Number is used to set-off against taxation. Access to this bank may be gained by providing name and date of birth or loan warrant number.

**Class of Individuals:** Only individuals who have received transportation, admissibility or assistance loans are identified. They are: foreign nationals admitted to Canada as a permanent resident, who do not have disposable assets for themselves or their families to pay the cost of their transportation to Canada and/or from their port of arrival to their final destination in Canada; or to pay the Right of Permanent Residence fee; members of the convention refugees abroad and humanitarian-protected persons abroad classes to establish their admissibility to Canada (medical costs overseas); as well as those newcomers in need of financial assistance who are not eligible for resettlement assistance contributions.

**Purpose:** This bank serves as a record of the amount of loans issued and repaid and is used for the administration of the programs.

**Consistent Uses:** The information is used by CIC for management information purposes and for purposes of research, planning, internal audit, evaluation and statistics and may also be provided to private sector research firms for these

purposes. The information is shared with Foreign Affairs Canada (Passport).

**Retention and Disposal Standards:** The information is kept for six fiscal years after the loan has been repaid. Disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 006, CIC ASB 011

**TBS Registration:** 001986

**Bank Number:** CIC PPU 007 (formerly EIC PPU 305)

### Refugee Tracking System (RTS)

**Description:** For Government-assisted refugees, privately-sponsored refugees and joint assistance refugees. This bank contains some or all of the following information: sponsorship type, immigrant category, visa office, special program, file number, Canada Immigration Centre (CIC) file numbers, their RC code, refugee and sponsor FOSS Client IDs, date document signed, processing status, surname, given name, country of last permanent residence, date of birth, sex, family relationship, landing and temporary resident permit numbers, destination matching request (DMR) numbers, notice of arrival (NAT) numbers, arrival date, province (destination province by CIC code), Canada Immigration Centre RC code (destination), default sponsorship, sponsorship agreement holder name (SAH), contact surname (SAH), contact given name (SAH), contact address (SAH), city, province, telephone number, postal code; constituent group sponsor name, contact surname (constituent group), contact given name (constituent group), contact address (constituent group), city, province, telephone number, postal code; group of five sponsor name, contact surname/given name, address, city, province, telephone number and postal code.

**Class of Individuals:** Government and privately-sponsored refugees, including special needs cases. National organizations that have signed a sponsorship agreement with the Minister of Citizenship and Immigration Canada and their constituent groups may sponsor Convention refugees abroad and members of the humanitarian – protected persons abroad classes and special needs cases. Group of five or more individuals may sponsor Convention refugees abroad and members of the humanitarian – protected persons abroad. Community sponsors may sponsor Convention refugees abroad and members of humanitarian – protected persons abroad classes.

**Purpose:** To provide an accounting tool for Refugees Branch to manage government assisted and private sponsorship levels; for monitoring the

data integrity of Citizenship and Immigration Canada's national information management system, and the provision of processing information to our clients. To maintain a record of the applications by sponsorship agreement holders and their constituent groups, groups of five or more individuals and community sponsors.

**Consistent Uses:** The principal user group is the Resettlement Division in Refugees Branch, Citizenship and Immigration Canada. Information is then distributed to Citizenship and Immigration Canada points of service delivery, sponsorship agreement holders and other stakeholders.

**Retention and Disposal Standards:** Annual reports are produced in paper format and are kept for six years. Disposal standards are currently under review.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 008

**TBS Registration:** 002360

**Bank Number:** CIC PPU 008 (formerly EIC PPU 320)

### Refugee Claim in Canada Case File

**Description:** This bank may include the following types of information: name, date of birth, country of birth, sex, marital status, citizenship, date and place of arrival in Canada, address in Canada, telephone number as well as personal background information including but not limited to education and employment history, the length of residency in other country(ies), and reason(s) for coming to Canada. Similar information will be collected for each dependent family member. Persons seeking access to this bank must supply their name, date of birth and place of birth.

**Class of Individuals:** Individuals who arrive at any Canadian border or local Citizenship and Immigration Office in Canada who, in accordance with the Immigration and Refugee Protection Act, claim for refugee protection and request to remain in Canada for an indefinite period of time. This class also includes individuals who apply to Citizenship and Immigration for a pre-removal risk assessment.

**Purpose:** To record information that will facilitate the assessment of the individual's admissibility to Canada and the determination of the eligibility of his/her claim in order to refer the claim to the Immigration and Refugee Board (IRB). Also, to assist the individual's refugee claim to be determined by the Refugee Protection Division of the IRB. It is also to record information that will facilitate the assessment of Pre-Removal Risk Assessment applications. This information will also be used to assess the individual's application for permanent residence in Canada. The

information is used in the administration and enforcement of immigration legislation.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP), the Immigration and Refugee Board (IRB), and the Canada Border Services Agency (CBSA) for the purpose of conducting security reviews or investigations related to immigration legislation. Use of information also includes the sharing of information with Public Safety and Emergency Preparedness Canada, CSIS, Foreign Affairs Canada (FAC), the Department of Justice and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation where such sharing of information may not put the individual and/or his/her family at risk. Information may be disclosed to medical practitioners for the purpose of providing medical services to newly arrived refugee claimants. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. This information may also be disclosed to provincial authorities for assessment under the terms of an agreement or arrangement. Other uses of information may include the sharing of information with Human Resources and Skills Development Canada (HRSDC), Social Development Canada (SD), Foreign Affairs Canada (FAC), Health Canada, as well as with provincial or municipal government departments under the terms of an agreement responsible for assisting immigration settlement for the purpose of administering their programs (e.g. social welfare, education, and human resource planning) and for research purposes. Information may also be shared with Statistics Canada and FAC for statistical and planning purposes. It may also be shared with foreign governments such as the U.S. under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms, under contract with Citizenship and Immigration Canada, for the purposes of planning, statistics, research and evaluation. Information is obtained from FAC, Health Canada, IRB, CSIS, the RCMP and some provincial government departments to administer or enforce the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Information is kept for ten years after the issuance of the permanent resident document (record of landing) or two years from its last administrative use, whichever is later. Disposal standards are currently under review.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 008

**TBS Registration:** 005188

**Bank Number:** CIC PPU 009

#### **Resettlement Assistance Program (RAP)**

**Description:** This bank contains the following types of information: name, date and place of birth, mother tongue, authorization number (visa, transportation or admissibility number), address, Social Insurance Number, occupation, marital status, financial situation, date and port of arrival, name of spouse and number of dependants, date and amount of cheque, payee and purpose. Access to this bank may be gained by providing place of birth, date of birth and place and date of admission to Canada.

**Class of Individuals:** Government-assisted refugees and joint assisted refugees who require financial assistance and a range of immediate essential services after arrival in Canada.

**Purpose:** The bank serves as a record of assistance granted to government-assisted refugees in need. The information is used in the administration of financial assistance loans and contributions.

**Consistent Uses:** Information in this bank may be used by Citizenship and Immigration Canada for purposes of research, planning, evaluation, statistics, internal audit and control, and may be provided to private sector research firms for this purpose and for management information system purposes. It may also be shared with Statistics Canada for census purposes. This information may be shared with provincial welfare agencies for the purpose of determining entitlement to provincial programs. It may also be disclosed to provincial authorities for assessment under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. The social insurance number (SIN) is collected because some benefits are taxable and T-5 forms are issued each year for taxation purposes. This information is shared with the Canada Revenue Agency (CRA) and collection agencies.

**Retention and Disposal Standards:** Information is kept for six fiscal years after the last administrative action. Disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 006  
**TBS Registration:** 005309  
**Bank Number:** CIC PPU 065

### Protected Persons Status Documents

**Description:** The bank may contain information such as name, date and place of birth, sex, height, eye colour, marital status, country of last permanent residence, country of citizenship, address in Canada, date determined to be a protected person, date applied for permanent residence in Canada, whether the person is a permanent resident or Canadian citizen, and whether the person is physically present in Canada. Similar information may be collected for each dependent family member. Persons seeking access to this bank must supply their date of birth and the approximate date on which they were determined to be a protected person.

**Class of Individuals:** Protected persons, as defined under the Immigration and Refugee Protection Act, who are physically present in Canada.

**Purpose:** To record information pertaining to protected persons in Canada and to issue them a document indicating their status.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP), the Immigration and Refugee Board of Canada (IRB), and the Canada Border Services Agency (CBSA) for the purpose of investigations related to the citizenship and immigration legislation. Use of information also includes the sharing of information with Public Safety and Emergency Preparedness Canada, CSIS, Foreign Affairs Canada (FAC), the Department of Justice and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of the citizenship and immigration legislation where such sharing of information may not put the individual and/or his/her family at risk. Some information may be disclosed to transportation companies within the terms of their responsibilities under the citizenship and immigration legislation. This information may also be disclosed to provincial authorities for assessment under the terms of an agreement or arrangement. Other uses of information may include the sharing of information with Human Resources and Skills Development Canada (HRSDC), Social Development Canada (SD), Foreign Affairs Canada (FAC), Health Canada, as well as with provincial or municipal government

departments under the terms of an agreement responsible for assisting immigration settlement, for the purpose of administering their programs (e. g. social welfare, education, and human resource planning) and for research purposes. Information may also be shared with Statistics Canada and FAC for statistical and planning purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms, under contract with Citizenship and Immigration Canada, for the purposes of planning, statistics, research and evaluation. Information obtained from FAC, Health Canada, IRB, CSIS, the RCMP and some provincial government departments may be compared for the purpose of administering or enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Paper records are maintained for two years after the last administrative action at CPC Vegreville. Electronic records of files processed at CPC Vegreville and identified as records that are non computer-based (NCB) documents are kept five years after the last administrative action. Disposal standards are currently under review.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 008

**TBS Registration:** 005310

**Bank Number:** CIC PPU 066

### Selection (SSD)

#### Entrepreneur Monitoring Information System (EMIS)

**Description:** This bank contains application and permanent residence information for every entrepreneur that immigrates to Canada with conditions. Some of the information in EMIS is downloaded from the Computer Assisted Immigration Processing System (CAIPS) and the Field Operational Support System (FOSS) databases. Monitoring and business information is manually entered into EMIS by immigration staff in Citizenship and Immigration Centres and in Headquarters.

**Class of Individuals:** The bank contains information on immigrants who have been issued a conditional permanent resident document under the entrepreneur class.

**Purpose:** The bank records the entrepreneur's compliance with his/her conditions of permanent residence.



**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting security reviews or investigations related to citizenship and immigration legislation. Uses also include the sharing of information with Public Safety and Emergency Preparedness Canada, the Attorneys General of the provinces, CSIS, the Department of Justice, and the RCMP where these uses are pursuant to the law. Information is also shared with the provinces for the purpose of assisting in business counselling. Some information may be disclosed to provincial authorities for assessment under the terms of an agreement or an arrangement. Information may also be disclosed to foreign governments, various law enforcement bodies and detaining authorities with respect to the administration and enforcement of the citizenship and immigration legislation.

**Retention and Disposal Standards:** Under review. The Entrepreneur Monitoring Information System (EMIS) currently contains records of entrepreneurs who became permanent residents from January 1, 1994 to date.

**RDA Number:** Under review.

**Related PR#:** CIC ASB 010

**TBS Registration:** 005216

**Bank Number:** CIC PPU 010 (formerly EIC PPU 296)

### **Investment Monitoring and Information System (IMIS)**

**Description:** This bank contains information on proposals submitted under the immigrant investor program. Information related to the amount of money invested, the number of jobs created, and the number of investors, along with their names and birth dates is maintained. Persons seeking to access this bank must provide the full name of the approved business or fund; or, the full name and date of birth of the investor.

**Class of Individuals:** This bank contains information regarding persons seeking admission to Canada and who satisfy the criteria of an investor as detailed in the Immigration and Refugee Protection Act.

**Purpose:** To ensure compliance of offering memoranda with Regulations and Guidelines of the Immigrant Investor Program, and to ensure that the immigrant investor has satisfied the program guidelines before visa issuance.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting

security reviews or investigations related to immigration legislation. Uses also include the sharing of information with the Public Safety and Emergency Preparedness Canada, the Attorneys-General of the provinces, CSIS, the Department of Justice, and the RCMP where these uses are pursuant to the law. Information is also shared with provincial governments for the purposes of monitoring, as the program is jointly administered by provincial and federal governments. Some information may be disclosed to provincial authorities for assessment under the terms of an agreement or an arrangement. Information may also be disclosed to foreign governments, various law enforcement bodies and detaining authorities with respect to the administration and enforcement of citizenship and immigration legislation.

**Retention and Disposal Standards:** Under review.

**RDA Number:** Under review.

**Related PR#:** CIC ASB 010

**TBS Registration:** 003335

**Bank Number:** CIC PPU 011 (formerly EIC PPU 297)

### **Returning Resident Permit Case File (Program was terminated as of June 28, 2002.)**

**Description:** This bank may include the following types of information: name, date of birth, country of birth, sex, marital status, citizenship, date and place of landing in Canada, permanent address in Canada, telephone number as well as reason for and length of absence from Canada. Persons seeking access to this bank must supply their date of birth, approximate date of permit issuance and office of issue.

**Class of Individuals:** Permanent residents who, according to the Immigration Act, have valid reasons for remaining outside Canada for extended periods of time.

**Purpose:** To record information which will facilitate the return to Canada of a permanent resident. The information is used in the administration and enforcement of immigration legislation.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting security reviews or investigations related to immigration legislation. Uses also include the sharing of information with Public Safety and Emergency Preparedness Canada, CSIS, the Department of Justice and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments,

law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Information may be disclosed to medical practitioners for the purpose of providing medical services to newly arrived immigrants being held in detention centres as well as to the Canadian Council of Engineers for the assessment of engineering qualifications. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. It may also be disclosed to provincial authorities for assessment under the terms of an agreement (i.e. Canada-Quebec Accord) or arrangement. Other uses may include the sharing of information with the insurance and employment programs of Human Resources and Skills Development Canada (HRSDC), the Canada Revenue Agency (CRA), the Immigration and Refugee Board of Canada, Foreign Affairs Canada (FAC), International Trade Canada (ITCan), Health Canada, Veterans Affairs Canada as well as with provincial or municipal government departments under the terms of an agreement (i.e. Malton Neighbourhood Services) responsible for assisting immigration settlement for the purpose of administering their programs (e.g. social welfare, education, and human resource planning) and for research purposes. Information may also be shared with Statistics Canada and Foreign Affairs Canada for statistical and planning purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation. Information obtained from Foreign Affairs Canada (FAC), International Trade Canada (ITCan), Health Canada, the Immigration and Refugee Board of Canada (that contained in IRB PPU 105–Immigration Appeal Board Records, IRB PPU 110–Immigration Appeal Division Records, IRB PPU 115–Convention Refugee Determination Division Records and IRB PPU 145–Research Directives, Claim Specific Information), CSIS, the RCMP and some provincial government departments may be compared for the purpose of administering or enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration Act.

**Retention and Disposal Standards:** Information is kept for two years after the issuance of the permit. Disposal standards are currently under review.

**RDA Number:** 88/012

**Related PR#:** CIC ACB 004

**TBS Registration:** 005215

**Bank Number:** CIC PPU 012 (formerly EIC PPU 275)

### **Sponsors of Foreign Nationals**

**Description:** Data on the sponsor include name, date of birth, country of birth, sex, previous and current marital status, citizenship, status in Canada, address, telephone and fax numbers, labour force status, occupation, identification number, annual revenue, and may include information related to the eligibility assessment for sponsorship. It may contain all or some of the above information on any other individual who may support the sponsorship undertaking. Data on the foreign national being sponsored include name, relationship to sponsor, date, place, and country of birth, marital status, address, identification number and unique medical identifier. It may contain all or some of the same information regarding any family members of the immigrant who are included in the application. A copy of the information may form part of the Immigrant Case File–CIC PPU 042. Individuals may gain access to the bank by providing their complete name, date and place of birth. The information may be held at the Mississauga or Vegreville Case Processing Centre, and Canada Immigration Centre or at a post abroad, or all three.

**Class of Individuals:** Canadian citizens or permanent residents who apply to sponsor the admission to Canada of members of the family class or the spouse or common-law partner in Canada class.

**Purpose:** To record information pertaining to a Canadian citizen's or a permanent resident's application to sponsor foreign nationals coming to Canada. Information is used in the administration and enforcement of immigration legislation, including sponsorship default.

**Consistent Uses:** The information is used internally for management information system purposes and for purposes of research, planning, evaluation and statistics. It may be used in investigations by the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP), or other law enforcement bodies where these uses are pursuant to the law. Other uses may include sharing the information with Foreign Affairs Canada and International Trade Canada, or sharing information with provincial and municipal departments under the terms of a formal agreement in order to conduct a lawful investigation, to administer or enforce any law, or for the purpose of administering their programs. It

may be used for internal audit purposes. It may be provided to private sector research firms for planning, statistics, research and evaluation. The information on the immigrant may also be shared with foreign governments such as the United States immigration service pursuant to an agreement or an arrangement in order to conduct lawful investigations or administer or enforce any law. The information in this bank may be matched with that in IRB PPU 105-Immigration Appeal Board Records and IRB PPU 110-Immigration Appeal Division Records to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Paper and/or imaged records are held for two years after sponsorship application is refused. Imaged records are held for seven years after sponsorship has ended. The retention and disposal standards for electronic records are currently under review with the Library and Archives Canada.

**RDA Number:** 88/012

**Related PR#:** CIC ACB 004

**TBS Registration:** 001976

**Bank Number:** CIC PPU 013 (formerly EIC PPU 240)

### **Legislative Review and Implementation (Special Project ceased its operations in September 2002.) (DMX)**

#### **Public Consultations Logs**

**Description:** Logs of public and stakeholder comments, submissions, briefings related to public consultations on legislative review.

**Class of Individuals:** The general public, non-government organizations, members of the legal profession, members of Parliament, provincial governments.

**Purpose:** The information may be used to develop and refine legislative proposals, regulations and operational procedures for the immigration and refugee programs.

**Consistent Uses:** Information may be used to establish the key directions of and principles for legislative reform.

**Retention and Disposal Standards:** Five years. Disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 015

**TBS Registration:** 005189

**Bank Number:** CIC PPU 014

## **Operations**

### **Quebec Region**

#### **Clients Interviewed by an Officer (DOW) (This PIB is also implemented in the Atlantic Region for the same administrative purposes.)**

**Description:** This MS Access file contains information on clients encountered by immigration officers at a port of entry in the Quebec Region. This file includes such items as the client's family name, first name, the date and the office where the client presented himself/herself, and the individual's status in Canada. Persons who wish to consult this information must provide their family name, first name and date of birth.

**Class of Individuals:** Individuals who appear at a port of entry of Citizenship and Immigration Canada.

**Purpose:** This file enables the local office to obtain statistics concerning the volumes of clients encountered, the nature of the requests, the issuing of documents, and the number of clients referred by Customs.

**Consistent Uses:** None.

**Retention and Disposal Standards:** The data contained in this file is retained for a period of two years and then destroyed.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 001

**TBS Registration:** 005190

**Bank Number:** CIC PPU 016

#### **Client Service Management System (CSMS)**

**Description:** This MS Access file contains information (family name, first name and reason for request) on clients who have made a request to Client Services in the Quebec Region. Requests received are entered in the system in order to produce various reports for consultation and verification purposes, to improve the productivity of the staff concerned and to minimize errors. This system makes it possible to have immediate access to reliable information, and to make use of this accumulated data as needed. Individuals who wish to consult this information must provide their family name and first name.

**Class of Individuals:** Individuals who have filed a request with the Quebec Region's Client Services.

**Purpose:** The main function of the system is to provide follow-up to the requests received by Client Services in the Quebec Region. This system has been designed to preserve the anonymity of the clients who file a complaint. Consequently, the family name and first name fields are not mandatory.

**Consistent Uses:** None.

**Retention and Disposal Standards:** The data in this file is retained for a period of two years and then destroyed.

**RDA Number:** 90/002

**Related PR#:** CIC DMO 001

**TBS Registration:** 005195

**Bank Number:** CIC PPU 021

## Ontario Region

### Remote Area Border Crossing Permit (RABC) Program

**Description:** This bank contains the name, date of birth, citizenship or resident status, address, convictions, reason for entering Canada, and telephone numbers.

**Class of Individuals:** Any individuals who applied for RABC to facilitate entry to Canada.

**Purpose:** This personal information relates to the applicant's request for a remote area border crossing permit and will be used to determine his/her eligibility.

**Consistent Uses:** All applicants will be checked against the U.S. authorities and/or Canadian police data banks. The names and data of Canadian applicants will be checked by the Canada Border Services Agency (CBSA) to establish whether any narcotics convictions or smuggling offences exist.

**Retention and Disposal Standards:** Paper records are kept for two years after the last administrative action. In some cases which involve complex issues/proceedings, they are kept for 10 years. After the retention period, the documents are destroyed.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 016, CIC ASB 017

**TBS Registration:** 002922

**Bank Number:** CIC PPU 030 (formerly EIC PPU 115)

## Prairies and Northern Territories Region

### Remote Area Border Crossing Permit (RABC) Program

**Description:** This bank contains the name, date of birth, citizenship or resident status, address, convictions, and reason for entering Canada and telephone numbers.

**Class of Individuals:** Any individuals who have applied for RABC to facilitate entry to Canada.

**Purpose:** This personal information relates to the applicant's request for a remote area border crossing permit and will be used to determine his/her eligibility.

**Consistent Uses:** All applicants will be checked against U.S. authorities and/or Canadian police data banks. The names and data of Canadian applicants will be checked by the Canada

Revenue Agency (CRA) to establish whether any narcotics convictions or smuggling offences exist.

**Retention and Disposal Standards:** Paper records are kept two years after the last administrative action. In some cases which involve complex issues/proceedings, they are kept for 10 years. After the retention period, the documents are destroyed.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 016, CIC ASB 017

**TBS Registration:** 002922

**Bank Number:** CIC PPU 032 (formerly EIC PPU 115)

## British Columbia and Yukon Region

### Admissions Management Information System (AMIS)

**Description:** This is a file record system that tracks immigrant, temporary resident permit and refugee applications in process at the CIC Vancouver Admissions Office. This database includes name, date of birth, client identification number, security checks and status of applications.

**Class of Individuals:** Individuals applying for immigration, temporary resident permit through the Vancouver Admissions office.

**Purpose:** To allow the local office to accurately keep track of workload inventories in support of planning and resource allocations.

**Consistent Uses:** Information is used for internal (local) purposes and by local personnel only, to assist with operations management.

**Retention and Disposal Standards:** Paper records and computer data are kept for two years after the last administrative action. Disposal standards are currently under review.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 012

**TBS Registration:** 005201

**Bank Number:** CIC PPU 033

### Entrepreneur Immigration Database

**Description:** The bank contains information on entrepreneurs who have landed in the British Columbia and Yukon Territory Region with terms and conditions. Data on the entrepreneur includes: name, date landed, IMM1000 number, address, business name, business address, business phone number, business type, consultant name, site visit date, interview date, date file concluded, disposition of file, number of reports, date referred to hearing, hearing date, decision at hearing, stay decision and date.

**Class of Individuals:** The bank contains information on immigrants who have been issued a conditional visa under the entrepreneur category.

**Purpose:** The bank is used to manage local files and manage staff decision-making on entrepreneur's compliance with his/her terms and conditions.

**Consistent Uses:** Data is for internal (local) use for the management of files and staff who monitor entrepreneur immigrants.

**Retention and Disposal Standards:** Automated information is kept for 15 years, then destroyed.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 010

**TBS Registration:** 005203

**Bank Number:** CIC PPU 035

### Remote Area Border Crossing Permit (RABC) Program

**Description:** This bank contains the name, date of birth, citizenship or resident status, address, convictions, and reason for entering Canada and telephone numbers.

**Class of Individuals:** Any individuals who applied for a RABC to facilitate entry to Canada.

**Purpose:** This personal information relates to the applicant's request for a remote area border crossing permit and will be used to determine his/her eligibility.

**Consistent Uses:** All applicants will be checked against U.S. authorities and/or Canadian police data banks. The names and data of Canadian applicants will be checked by the Canada Border Services Agency (CBSA) to establish whether any narcotics convictions or smuggling offences exist.

**Retention and Disposal Standards:** Paper records are kept two years after the last administrative action. In some cases that involve complex issues/proceedings, they are kept for 10 years, then destroyed.

**RDA Number:** 90/002

**Related PR#:** CIC ASB 016, CIC ASB 017

**TBS Registration:** 002922

**Bank Number:** CIC PPU 038 (formerly EIC PPU 115)

### International Region (RID)

#### International Service: Overseas Immigration Case Files

**Description:** The bank contains information on persons who apply at posts abroad for a permanent resident visa, a temporary resident visa, a work permit, a study permit, a travel document for permanent residents, a temporary resident permit, an employment authorization, a student authorization, a returning resident permit, or on persons who attempt or are suspected of seeking to enter Canada illegally or who counsel or assist persons seeking to enter Canada. Records in the bank may contain some or all of the following: applications; certificates of birth,

death, marriage, divorce, separation, adoption, and education; employment experience and references; statements of assets and bank, trust, and brokerage statements; property holdings; business investments, and medical reports. The file may also contain details concerning criminality and availability of funds. Persons seeking access to this information bank should provide their name or names they have used, date of birth and, if possible, their visa office file number.

**Class of Individuals:** Individuals who have applied for a permanent resident visa, a temporary resident visa, a work permit, a study permit, a travel document for permanent residents, a temporary resident permit, an employment authorization, a student authorization, or returning resident permit at posts abroad. Individuals who are known to have entered Canada illegally or are suspected of participating in irregular entry activities.

**Purpose:** The information contained in this bank may be used in the administration and enforcement of the Immigration and Refugee Protection Act of Canada. The bank serves as a repository for detailed and summary documentation on those persons wishing to visit or immigrate to Canada and persons involved in the facilitation thereof.

**Consistent Uses:** Information may be disclosed to the Canada Border Services Agency (CBSA), the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting security and law-enforcement reviews or investigations related to immigration legislation, or in the detection, suppression and prevention of offences against the Immigration and the Refugee Protection Act and Regulations. Information regarding applicants that is obtained from CBSA, CSIS, the Solicitor General, the RCMP or provincial government departments will be added to the individuals' files. Information is also shared with the Canada Revenue Agency (CRA) for the purpose of ensuring and monitoring the lawful entry of persons seeking to enter Canada. Consistent uses may include sharing information with the Immigration and Refugee Board of Canada, the Department of Justice, or judicial bodies for the purpose of administering and conducting the appeals process under the Immigration and Refugee Protection Act. It also may include sharing information with departments of provincial governments, as well as the United Nations High Commissioner for Refugees, and the International Organization for Migration (IOM), where these organizations have a role in referring cases to the department or in assisting in the resettlement

process. Information may also be shared with individual sponsors and sponsoring groups, as well as with designated medical personnel who conduct medical examinations for the purpose of identifying medical conditions of immigration applicants. Information may be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. Consistent uses may also include sharing information with Foreign Affairs Canada (FAC) where issues relating to Canada's bilateral or multilateral relations are concerned. Information may be disclosed to foreign governments, to law-enforcement bodies, to detaining authorities, and to judicial and state authorities where memoranda of understandings exist circumscribing the terms of such disclosure. Consistent use may include verification of documentation with law-enforcement bodies or with judicial and state authorities of foreign governments, where verification of the documentation with the issuing authority is required in the administration and enforcement of immigration legislation. Information may be shared with foreign governments as well as with Canadian employer associations for the purpose of processing applications from seasonal agricultural workers. Information may be used internally for program management purposes, for the purposes of research, planning, evaluation and statistics, and for internal audit purposes.

**Retention and Disposal Standards:**

Applications for permanent residence (CIC form IMM8) for those persons who have received an immigrant visa and record of landing (CIC form IMM1000) since 1988 or a confirmation of permanent residence form (CIC form IMM5292) since 2002 are retained for a period of 65 years. All other paper records are normally destroyed two years after the last administrative action. Information on persons known or suspected of engaging in activities contrary to the Immigration and Refugee Protection Act is destroyed five years after the last administrative action. Information on controversial cases, such as those involving organized crime, is destroyed ten years after the last administrative action.

**RDA Number:** 88/012

**Related PR#:** CIC AOB 001

**TBS Registration:** 000344

**Bank Number:** CIC PPU 039 (formerly EAC PPU 015)

**Case Management (BCD)**

**Case Processing System (CPS)**

**Description:** The Case Processing System (CPS) is both a tracking system and a processing

system. All rehabilitation cases and temporary resident permit requests for criminally inadmissible immigrant applicants, direction for hearings on long-term permanent residents convicted of serious crimes, pre-removal risk assessments (PRRA) as well as all danger to the public cases are in this system. Reports are prepared for the Minister's delegate in each case using CPS.

**Class of Individuals:** The clients are those who are criminally inadmissible. They are seeking relief from the inadmissibility or CIC is preparing a request for a danger opinion to (a) prevent a person from claiming refugee status, or (b) allow refoulement of a Convention refugee or protected person; or where CIC is seeking a decision on a positive PRRA on cases where restrictions apply.

**Purpose:** CPS is used as a tracking system for cases within the Danger to the Public – Rehabilitation Unit. It is used for writing rehabilitation assessments, requests for Minister's opinion/reconsiderations, applications for temporary resident permits, danger opinions on removal cases, restriction assessments for positive PRRA and directions for hearings on long term permanent residents convicted of serious crimes. It is also used for writing memos, letters and faxes to CIC local offices. As well, statistics can be gathered on volumes of cases and approval rates from this system.

**Consistent Uses:** CPS is accessible only by employees of the Danger to the Public – Rehabilitation Unit. The information with respect to Danger to the Public cases and positive PRRA is disclosed to the person concerned and to his/her counsel. Information that is not related to danger to the public is not disclosed to other government agencies or members of the public.

**Retention and Disposal Standards:** Data is kept indefinitely.

**RDA Number:** 88/012

**Related PR#:** CIC ACB 004

**TBS Registration:** 005205

**Bank Number:** CIC PPU 040

**Immigration Case File**

**Description:** This file may contain some or all of the following types of information: applications for permanent resident and refugee status, assessments by immigration officers, details concerning health, past criminality, financial status, education and professional experience, removal documentation and temporary resident permit, including computer-based information (FOSS, CAIPS, e-mail). The file may contain information on an immigrant's earlier status in Canada (e.g. employment authorization

information, etc.). It may include all or part of the same information regarding any other person named in the application. It may include information on the sponsor and information from the Foreign Students Records and Case File—CIC PPU 051. It may also include the name and address of bond depositor, sum deposited, terms and conditions imposed, name of person signing bond, name of persons bonded, terms and conditions which they must meet, and acknowledgement of terms and conditions. It may also include pre-removal risk assessments. Persons seeking access to this information bank must supply their date of birth, approximate date of entry into Canada and port of entry.

**Class of Individuals:** Persons accepted or refused admission to Canada as permanent residents, Convention refugees, visitors, immigrants, permit holders; persons seeking approval of criminal rehabilitation; persons declared a danger to the public by the Minister under the Immigration and Refugee Protection Act; persons under enforcement action in Canada; persons who are the object of litigation before courts or administrative tribunals in matters relating to immigration.

**Purpose:** This personal information relates to the immigrant's applications for permanent or temporary admission to Canada and subsequent decisions for which purpose the bank was established. Information is used in the administration and enforcement of immigration legislation, as required.

**Consistent Uses:** The information may be used or disclosed in the administration and enforcement of the Immigration and Refugee Protection Act and the detection, suppression and prevention of immigration offenses. The information may be disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting security reviews or investigations related to immigration legislation. Uses also include the sharing of information with Public Safety and Emergency Preparedness Canada (PSEPC), CSIS, the Department of Justice, Canada Border Services Agency (CBSA) and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments subject to multilateral treaties or agreements, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Personal information relating to warrants and arrests for examination, admissibility hearings, removal from Canada or a proceeding that could lead to the making of a removal order

by an immigration officer, and removal orders (departure orders, deportation orders and exclusion orders) issued by immigration officers, and their execution, may be disclosed by media relations officers when it has been determined that the disclosure is necessary for the administration and enforcement of the Immigration and Refugee Protection Act and the detection, suppression and prevention of immigration offences. Information may be disclosed to medical practitioners for the purpose of providing medical services to newly arrived immigrants being held in detention centres as well as to the Canadian Council of Engineers for the assessment of engineering qualifications. Certain information may be shared with service provider organizations (SPOs) and private sponsors in Canada for the purposes of administering the refugee program. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. It may also be disclosed to provincial authorities, agencies and municipalities under the terms of an agreement or arrangement. Other uses may include the sharing of information with the insurance and employment programs of Human Resources and Skills Development Canada (HRSDC), the Immigration and Refugee Board of Canada, Foreign Affairs Canada (FAC), Health Canada, for assessment, provision of settlement assistance, administration of provincial programs and for research purposes. Information may also be shared with Statistics Canada and FAC for statistical and planning purposes. It may also be shared with foreign governments and immigration authorities under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation. Information obtained from FAC, Health Canada, the Immigration and Refugee Board of Canada (that contained in IRB PPU 105—Immigration and Refugee Board Records, IRB PPU 110—Immigration Appeal Division Records, IRB PPU 115—Convention Refugee Division Records and IRB PPU 145—Research Directives, Claim Specific Information), CSIS, the RCMP and some provincial government departments may be compared for the purpose of administering or enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Paper records are normally retained for two years after the last administrative action. Information on

persons known or suspected of engaging in activities contrary to the Immigration and Refugee Protection Act is retained for 5 years after the last administrative action. Information on controversial cases is retained for 10 years after the last administrative action. Upon expiry of the retention period, some of these records will be preserved by the Library and Archives Canada for archival purposes.

**RDA Number:** 88/012

**Related PR#:** CIC ACB 004

**TBS Registration:** 001972

**Bank Number:** CIC PPU 042 (formerly EIC PPU 225)

### **Litigation Information Management System (LIMS)**

**Description:** The Litigation Information Management System (LIMS) contains information concerning citizenship and immigration related to litigation. The information relates to finalized and/or pending litigation cases. LIMS contains personal information concerning the applicant/respondent such as the name, country of citizenship, FOSS ID number, as well as a general description of the nature and status of the litigation. As Litigation Management's principal responsibility is to provide instruction on behalf of CIC to the Department of Justice with regard to the conduct of litigation, summaries of consultation with legal counsels and other CIC officials, strategies for defending decisions and subsequent instructions to Justice are entered into LIMS.

**Class of Individuals:** Parties to immigration or citizenship litigation before the courts.

**Purpose:** LIMS is a database used to facilitate managing and monitoring immigration and citizenship related litigation. It provides quick access to information on litigation cases that may have an impact on CIC policy or program delivery.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Data is kept indefinitely.

**RDA Number:** 88/012

**Related PR#:** CIC ACB 004

**TBS Registration:** 005206

**Bank Number:** CIC PPU 043

### **Medical Services Branch (HMD)**

#### **Immigration Medical Records**

**Description:** This bank contains some or all of the following types of information: applications, medical reports, medical examination findings, medical and psychological assessments, laboratory reports or x-rays. Persons seeking access to this bank must supply their full name (including alias), date of birth and date and place

of medical examination.

**Class of Individuals:** Persons applying for permanent and/or temporary residence in Canada.

**Purpose:** The bank is used to assess the temporary residence in Canada or for refugee status. The information is used in the administration and enforcement of the Immigration and Refugee Protection Act.

**Consistent Uses:** Information may be used internally for program management purposes and for purposes of research, planning, evaluation, statistics and for internal audit purposes. Other uses may include the sharing of some information with the departments of Health Canada and Foreign Affairs Canada (FAC), as well as with provincial/territorial government departments responsible for assisting in immigration settlement and for the purposes of administering their public health program or enforcing the immigration legislation.

**Retention and Disposal Standards:** Records are retained according to the various assessment categories as described in the "Disposal of medical reports and x-rays approved by Public Archives; Auditor General; and Records Management" with a minimum retention period of two years after the last administration action, then destroyed.

**RDA Number:** 83/007-1

**Related PR#:** CIC AOB 003

**TBS Registration:** 002723

**Bank Number:** CIC PPU 052 (formerly EIC PPU 010)

### **Centralized Services Delivery and Corporate Services**

#### **Finance (BFD)**

#### **Immigration Program Accounts Receivable (IPAR)**

**Description:** This bank includes the following information: name, address, telephone number and social insurance number of individuals having received a loan, including interest and the related administrative charges, amounts paid, delinquent amounts, credit reports, tracing actions, and comments of immigrants and collecting officers and related correspondence. Information is duplicated in part on the Immigration Loans Programs bank file CIC PPU 007.

**Class of Individuals:** Qualified immigrants, under the Immigration and Refugee Protection Act to pay transportation costs, the costs associated with the medical examination, the related administrative charges and assistance to the establishment in Canada.



**Purpose:** This bank is used to record and monitor the collection of outstanding loans and related administrative fees. It is a computerized record of loans and administrative fees.

**Consistent Uses:** This bank is also shared with the Individual Income Tax Return (CCRA PPU 005) in order to trace individuals and pursue the collection of debts due the Crown. Information from this bank may be used by Citizenship and Immigration Canada for purposes of research, planning, evaluation, statistics and internal audit and may be provided to private research firms for this purpose. It may also be shared with private collection agencies for collection purposes.

**Retention and Disposal Standards:** The files are retained for six years after the fiscal year during which the loan or administrative fees were repaid or written off. Disposal standards are currently under review.

**RDA Number:** 88/012

**Related PR#:** CIC APB 001

**TBS Registration:** 005214

**Bank Number:** CIC PPU 048 (formerly EIC PPU 435)

## Administration and Security Branch (BFA)

### Service Contracts

**Description:** The bank may contain information on the qualifications and work experience of the contractor, letters of reference, details of the contract and assessments of the contractor's performance.

**Class of Individuals:** Individuals and/or companies who have signed service contracts with Citizenship and Immigration Canada.

**Purpose:** The information may be used to determine terms of payment, contract extension or renewal, and in other decisions pertaining to the contract.

**Consistent Uses:** Information may be used for internal audit purposes. It may be provided to private sector research firms for planning, statistics, research and evaluations.

**Retention and Disposal Standards:** The files are retained for six years after the fiscal year during which the contract was terminated and then sent to the Library and Archives Canada.

**RDA Number:** 99/004

**Related PR#:** CIC APB 007

**TBS Registration:** 001785

**Bank Number:** CIC PPU 049 (formerly CIC PPU 425)

## Departmental Delivery Network (RND)

### Application and Assessment for Canadian Citizenship

**Description:** This bank contains a record of persons who have been issued a certificate of Canadian citizenship or naturalization, a certificate of renunciation of Canadian citizenship or a letter reflecting the information contained in citizenship records or of persons whose birth abroad has been registered with the Canadian government. It also contains a record of persons whose Canadian citizenship has been revoked. This bank contains personal information such as the name, sex, date and place of birth and physical description of individuals on whom a record is kept. Historical records are available from 1854; however, they are incomplete prior to 1918. Those seeking access to these records must provide the name and date and place of birth and, where applicable and obtainable, the number of the Canadian citizenship or naturalization certificate which was issued.

**Class of Individuals:** Individuals who have applied for naturalization in Canada, Canadian citizenship or renunciation of Canadian citizenship, whose birth abroad has been registered with the Canadian government or who have requested a letter clarifying their Canadian citizenship status as well as individuals whose Canadian citizenship has been revoked.

**Purpose:** This bank is maintained in order to determine the Canadian citizenship status of individuals and to facilitate the processing of applications for or proofs of Canadian citizenship.

**Consistent Uses:** For the purpose of administering the Citizenship Act and Regulations and other related Acts and for the purpose of confirming the Canadian citizenship status of individuals, information may be shared with the Royal Canadian Mounted Police (RCMP) and the Canadian Security and Intelligence Service (CSIS) for the purpose of conducting security reviews or investigations related to immigration legislation, Elections Canada, Foreign Affairs Canada (FAC), the Federal Court of Canada and the Immigration Program. Lists of the names and addresses of new Canadian citizens (with written consent) may be supplied to the Prime Minister of Canada, to respective Members of Parliament for the sole purpose of sending congratulatory letters. Confirmation of Canadian citizenship status may be provided to The Chancellery in support of nominations to the Order of Canada. Confirmation of Canadian citizenship status may also be provided to the spouses, children and other relatives of naturalized Canadian Citizens in order to assist them in acquiring a benefit.

Information on individuals deceased more than 20 years may also be disclosed for genealogical research purposes. Information may be used internally for program management purposes, for purposes of research, planning, evaluation and statistics, and for internal audit purposes.

**Retention and Disposal Standards:** These records are retained on microfilm indefinitely.

**RDA Number:** Under Review.

**Related PR#:** CIC ASB 004

**TBS Registration:** 003584

**Bank Number:** CIC PPU 050 (formerly MCC PPU 050)

### Foreign Student Records and Case File

**Description:** This bank may contain information such as name, birth date, country of citizenship, sex, marital status, accompanying family members, nature and duration of studies, name and address of institution being attended and availability of funds. The file may also contain details concerning health and criminality, the name and address of bond depositor, sum deposited, terms and conditions imposed, name of person signing bond, name of persons bonded, terms and conditions which they must meet, and acknowledgement of terms and conditions. Persons seeking access to this bank must supply their name, date of birth and approximate date of temporary admission to Canada.

**Class of Individuals:** Persons temporarily in Canada who are lawfully engaged in any recognized academic, professional or training course.

**Purpose:** The purpose of this bank is to record information pertaining to persons temporarily in Canada who are lawfully engaged in any recognized academic, professional or training course. Information issued is used in the administration and enforcement of immigration legislation with respect to the length and purpose of stay in Canada.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP) for the purpose of conducting security reviews or investigations related to immigration legislation. Uses also include the sharing of information with Public Safety and Emergency Preparedness Canada, CSIS, the Department of Justice and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Information may be disclosed to medical

practitioners for the purpose of providing medical services to newly arrived immigrants being held in detention centres as well as to the Canadian Council of Engineers for the assessment of engineering qualifications. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. It may also be disclosed to provincial authorities and agencies / municipalities under the terms of an agreement or arrangement. Other uses may include the sharing for assessment, provision of settlement, assistance, administration of provincial programs and for research purposes with the Insurance and Employment programs of Human Resources and Skills Development (HRSDC), the Canada Revenue Agency (CRA), the Immigration and Refugee Board of Canada, Foreign Affairs Canada (FAC), Health Canada, Veterans Affairs Canada, and for the purpose of administering their programs. Information may also be shared with Statistics Canada and FAC for statistical and planning purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation. Information obtained from FAC, Health Canada, the Immigration and Refugee Board of Canada (that contained in IRB PPU 105–Immigration Appeal Board Records, IRB PPU 110–Immigration Appeal Division Records, IRB PPU 115–Convention Refugee Determination Division Records and IRB PPU 145–Research Directives, Claim Specific Information), CSIS, the RCMP and some provincial government departments may be compared for the purpose of administering or enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Paper records are maintained for two years after the last administrative action. Electronic records of files processed at CPC-Vegreville are retained indefinitely. At posts abroad, the period of retention is two years from last action. Machine readable records are kept for 15 years; microfilms are kept indefinitely.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 017

**TBS Registration:** 005154

**Bank Number:** CIC PPU 051 (formerly EIC PPU 290)

### **Permanent Resident Data System**

**Description:** Records in this bank contain such data as demographics, date and place of birth, citizenship, language, accompanying family members, passport number and country of issue, immigration category, country of last permanent residence, education, intended occupation, money in possession on arrival in Canada, destination address and person willing to help, assisted passage warrant number, visa or letter of pre-examination data, authorization number, date and office of issue, medical data, admission date and other information pertaining to admission. To access this bank the individual's name at entry, date of birth and year of entry are required. To access data concerning landing years 1919 to 1935, additional information is required such as country of birth, port of entry, vessel (if applicable) and names of accompanying family members. Landing records prior to 1935 are in the custody and control of the Library and Archives Canada.

**Class of Individuals:** Persons who have been granted permanent residence in Canada.

**Purpose:** The purpose of the bank is to record the legal permanent admission of immigrants to Canada. It is used to verify the right of persons to remain in Canada.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP) and the Canada Border Services Agency (CBSA) for the purpose of conducting security reviews or investigations related to immigration legislation. Uses also include the sharing of information with Public Safety and Emergency Preparedness Canada, CSIS, the Department of Justice, the RCMP and the CBSA where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Information may be disclosed to medical practitioners for the purpose of providing medical services to newly arrived immigrants being held in detention centres as well as to the Canadian Council of Engineers for the assessment of engineering qualifications. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. It may also be disclosed to provincial authorities, agencies and municipalities under the terms of an agreement or arrangement. Other uses may include the sharing for assessment, provision of settlement, assistance, administration of provincial programs and for research purposes with Human

Resources and Skills Development Canada (HRSDC), the Canada Revenue Agency (CRA), the Canada Border Services Agency (CBSA), the Immigration and Refugee Board of Canada (IRB), Foreign Affairs Canada (FAC), Health Canada, Veterans Affairs Canada for the purpose of administering their programs. Information may also be shared with Statistics Canada and FAC for statistical and planning purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation. Information obtained from FAC, Health Canada, the Immigration and Refugee Board of Canada (that contained in IRB PPU 105–Immigration Appeal Board Records, IRB PPU 110–Immigration Appeal Division Records, IRB PPU 115–Convention Refugee Determination Division Records and IRB PPU 145–Research Directives, Claim Specific Information), CSIS, the RCMP, the CBSA and some provincial government departments may be compared for the purpose of administering or enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Records are retained by the Case Processing Centre (CPC) for a period of two years after finalization, and then referred to Federal Archives in Edmonton.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 016

**TBS Registration:** 005219

**Bank Number:** CIC PPU 053 (formerly EIC PPU 230)

### **Temporary Worker Records and Case File**

**Description:** The bank may contain information such as name, birth date, country of citizenship, sex, marital status, accompanying family members, address in Canada, personal qualifications, experience, nature of work, and name and address of employer. The file may also contain details concerning health and criminality and information from Foreign Student Records and Case File–CIC PPU 051, name and address of bond depositor, sum deposited, terms and conditions imposed, name of person signing bond, name of persons bonded, terms and conditions which they must meet, and acknowledgement of terms and conditions. Persons seeking access to this bank must supply their date of birth and approximate date of temporary admission to

Canada.

**Class of Individuals:** Persons temporarily in Canada who are employed.

**Purpose:** To record information pertaining to persons temporarily in Canada who are employed. Information may be used in the administration and enforcement of immigration legislation with respect to the length and purpose of the visitor's stay in Canada as well as any conditions governing the nature and locale of their employment.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP) and the Canada Border Services Agency (CBSA) for the purpose of conducting security reviews or investigations related to immigration legislation. Uses also include the sharing of information with Public Safety and Emergency Preparedness Canada, CSIS, the Department of Justice, the RCMP and the CBSA where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Information may be disclosed to medical practitioners for the purpose of providing medical services to newly arrived immigrants being held in detention centres as well as to the Canadian Council of Engineers for the assessment of engineering qualifications. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. It may also be disclosed to provincial authorities, agencies and municipalities for assessment under the terms of an agreement or arrangement. Other uses may include the sharing for assessment, provision of settlement, assistance, administration of provincial programs and for research purposes with Human Resources and Skills Development Canada (HRSDC), the Canada Revenue Agency (CRA), the Canada Border Services Agency (CBSA), the Immigration and Refugee Board of Canada, Foreign Affairs Canada (FAC), Health Canada and Veterans Affairs Canada for the purpose of administering their programs. Information may also be shared with Statistics Canada and Foreign Affairs Canada for statistical and planning purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation. Information obtained

from FAC, Health Canada, the Immigration and Refugee Board (that contained in IRB PPU 105–Immigration Appeal Board Records, IRB PPU 110–Immigration Appeal Division Records, IRB PPU 115–Convention Refugee Determination Division Records and IRB PPU 145–Research Directives, Claim Specific Information), CSIS, the RCMP, the CBSA and some provincial government departments may be compared for the purpose of administering or enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act. The information may also be shared with worker's compensation boards or Employment Insurance. **Retention and Disposal Standards:** Paper records are maintained for two years after the last administrative action, then destroyed. Work permits, study permits, visitor records and temporary resident permits are microfilmed and retained indefinitely at Immigration Headquarters. At posts abroad, the period of retention is two years after the last administrative action. Electronic records of files processed at CPC-Vegreville are retained indefinitely.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 017

**TBS Registration:** 005009

**Bank Number:** CIC PPU 054 (formerly EIC PPU 295)

#### **Visitor Case File**

**Description:** Records in this file may include the following information: name, date and country of birth, country of citizenship, marital status, address in Canada and abroad, accompanying family members, details concerning health, past criminality, details of financial status, length of authorized stay and date of original entry, name and address of bond depositor, sum deposited, terms and conditions imposed, name of person signing bond, name of persons bonded, terms and conditions which they must meet, and acknowledgement of terms and conditions. Information is held at the Case Processing Centre, Vegreville, Alberta; Canada Immigration Centres; and at Immigration Headquarters in Ottawa for cases receiving specific further consideration. Persons seeking access to this information bank must supply their date of birth, approximate date of permit and office of issue.

**Class of Individuals:** Visitors to Canada.

**Purpose:** To record information pertaining to documented visitors to Canada, except those authorized to participate in employment or training under the Immigration and Refugee Protection Act. Information may be used in the

administration and enforcement of immigration legislation.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP) and the Canada Border Services Agency (CBSA) for the purpose of conducting security reviews or investigations related to immigration legislation. Uses also include the sharing of information with Public Safety and Emergency Preparedness Canada, CSIS, the Department of Justice and the RCMP where these uses are pursuant to the law. Information may also be disclosed to various foreign governments, law enforcement bodies and detaining authorities with respect to the administration and enforcement of immigration legislation. Information may be disclosed to medical practitioners for the purpose of providing medical services to newly arrived immigrants being held in detention centres as well as to the Canadian Council of Engineers for the assessment of engineering qualifications. Some information may also be disclosed to transportation companies within the terms of their responsibilities under immigration legislation. It may also be disclosed to provincial authorities, agencies and municipalities for assessment under the terms of an agreement or arrangement. Other uses may include the sharing of information for assessment, provision of settlement, assistance, administration of provincial programs and for research purposes with Human Resources and Skills Development Canada (HRSDC), the Canada Revenue Agency (CRA), the Canada Border Services Agency (CBSA), the Immigration and Refugee Board, Foreign Affairs Canada (FAC), Health Canada, Veterans Affairs Canada, for the purpose of administering their programs. Information may also be shared with Statistics Canada and FAC for statistical and planning purposes. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law. It may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation. Information obtained from FAC, Health Canada, the Immigration and Refugee Board of Canada (that contained in IRB PPU 105–Immigration Appeal Board Records, IRB PPU 110–Immigration Appeal Division Records, IRB PPU 115–Convention Refugee Determination Division Records and IRB PPU 145–Research Directives, Claim Specific Information), CSIS, the RCMP and some provincial government departments may be compared for the purpose of administering or

enforcing the immigration legislation and to administer and conduct the appeals process under the Immigration and Refugee Protection Act.

**Retention and Disposal Standards:** Paper records are kept normally for two years after the last administrative action. Information on persons known or suspected of engaging in activities contrary to the Immigration and Refugee Protection Act is retained five years after the last administrative action. Microfilmed records are kept indefinitely. Electronic records of files processed at CPC-Vegreville are retained indefinitely.

**RDA Number:** 88/012

**Related PR#:** CIC ACB 004

**TBS Registration:** 005010

**Bank Number:** CIC PPU 055 (formerly EIC PPU 285)

### Query Response Centre Records

**Description:** Individual records may include an index to facilitate file retrieval (depending on the year of arrival in Canada). A verification of admission form (IMM 5009) is needed to search the records available in the Centre. This form is available through your nearest Canada Immigration Centre or by contacting the CIC Call Centre. Following are the documents which are available: immigrant visa, record of landing and confirmation of permanent residence, temporary residents record (visitor record, employment authorization, student authorization), amendment to record of landing and amendment to confirmation of permanent residence, confirmation/certificate of departure, grant of status by the Minister, exclusion order, permit to come into or remain in Canada, extension of permit: certificate, confiscated or voluntarily surrendered CIC's or CIIR's record of landing or confirmation of permanent residence, notice of arrest under section 103 of the Immigration Act, voluntary departure – confirmation, departure order, certificate/no documents on file – no landing record, no student/employment authorization, no consent to return as per subsection 52(1) of the new Immigration and Refugee Protection Act or section 35 of the old Immigration Act, certificate for the purpose of subsection 36(1) of the new Immigration and Refugee Protection Act or paragraph 19(1)(c) of the old Immigration Act, no visitor record, certificate for the purpose of subsection 36(2) of the new Immigration and Refugee Protection Act or paragraph 19(2)(a) of the old Immigration Act, 27 report and 20 report.

**Class of Individuals:** Permanent and temporary residents, holders of permit to come into or remain in Canada and those persons for whom there has been enforcement action. People who have received or been denied the grant of status by the Minister and holders of certificates.

**Purpose:** The information contained in this bank is gathered by Citizenship and Immigration Canada and is used to produce copies or certified true copies of all documents listed above and serves as a record of all document holders.

**Consistent Uses:** The bank is required to store all documents listed above. The information contained in this bank may be used or disclosed in the administration and enforcement of the Immigration and Refugee Protection Act and the detection, suppression and prevention of immigration offences. The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP) and the Canada Border Services Agency (CBSA) for the purpose of conducting security reviews or investigations related to immigration legislation. It may also be disclosed to provincial authorities, agencies and municipalities for assessment under the terms of an agreement or arrangement. Other uses may include the sharing for assessment, provision of settlement, assistance, administration of provincial programs and for research purposes with the insurance and employment programs of Human Resources and Skills Development Canada (HRSDC), Health Canada, the Canada Revenue Agency (CRA), the Canada Border Services Agency (CBSA), Foreign Affairs Canada (FAC), Canada Passport Office and Veterans Affairs Canada, for the purpose of administering their programs. It may also be shared with foreign governments under the terms of an agreement or arrangement in order to conduct a lawful investigation or administer or enforce any law.

**Retention and Disposal Standards:** These records are retained on microfilm indefinitely. Records prior to January 1, 1936, are in the custody and control of the Library and Archives Canada.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 016, CIC ASB 017, CIC ASB 006, CIC ASB 008, CIC ACB 004, CIC ASB 011

**TBS Registration:** 005212

**Bank Number:** CIC PPU 056

### **Permanent Resident Card**

**Description:** The bank contains information on persons who have been granted permanent resident status and who have been issued a

permanent resident card. Records in the bank contain the information collected by overseas missions and inland CICs from all applicants for permanent residence as it is captured on the record of landing (CIC Form IMM1000) and the confirmation of permanent residence (CIC Form IMM5292). Information contained in this bank includes the following: the applicant's name, date and place of birth, signature, gender, height and eye colour, the date on which and the place where the applicant became a permanent resident, the applicant's mailing address, the address of all of the applicant's places of residence during the previous five years, the name and address of the applicant's employers and educational institutions attended during the previous five years, the periods during the previous five years that the applicant was absent from Canada, the name, address and telephone number of the applicant's guarantor, whether a report under subsection 44(1) of the Act has been made in respect of the applicant or whether a decision was made outside of Canada that they have failed to comply with the residency obligation under section 28 of the Act, and whether the applicant has lost permanent resident status or has been issued a removal order; a certified copy of a passport currently held by the applicant or held by the applicant at the time of becoming a permanent resident, the form IMM1000, entitled "Record of Landing", or the IMM5292, entitled 'Confirmation of Permanent Residence', held by the applicant, a provincial driver's license held by the applicant, a photo-identity card held by the applicant and issued by a province, a student card held by the applicant and issued by a provincially accredited college or university, or the most recent notice of assessment within the meaning of the Income Tax Act received in relation to the applicant's income tax return; and two identical photographs signed by the guarantor.

**Class of Individuals:** Persons who have been granted permanent residence in Canada.

**Purpose:** The information contained in this bank may be used in the administration and enforcement of immigration legislation. The bank serves as a repository for information on those persons who have been issued a permanent resident card in order to ensure the integrity of the card issuing process.

**Consistent Uses:** The information may be disclosed to the Canadian Security Intelligence Service (CSIS), the Royal Canadian Mounted Police (RCMP) and the Canada Border Services Agency (CBSA) for the purpose of conducting security reviews or investigations related to immigration legislation. Consistent uses may

include sharing information with Foreign Affairs Canada, the Immigration and Refugee Board of Canada, the Department of Justice, the Canada Revenue Agency, the Canada Border Services Agency, the Solicitor General and Human Resources and Skills Development Canada, as well as departments of provincial governments with an interest in providing services to immigrants under federal-provincial memoranda of understanding. Information may be compared with that contained in the personal information bank entitled "Determination of Permanent Resident Status"—CIC PPU 068.

**Retention and Disposal Standards:** Paper records are held by CPC Sydney and are destroyed two years after the last administrative action. The electronic file in FOSS relating to the particulars of the holder is retained indefinitely, in conjunction with the microfilm copy of the confirmation of permanent residence (IMM 5292). A photographic image will also be held indefinitely in an image bank for compliance and enforcement purposes. Permanent resident cards that cannot be delivered within 180 days of notifying the applicant of its availability will be destroyed as required by subsection 58(3) of the Immigration Regulations.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 001, CIC ASB 016, CIC APB 005

**TBS Registration:** 005312

**Bank Number:** CIC PPU 067

#### **Determination of Permanent Resident Status**

**Description:** The bank contains information on persons who have or who claim to have been granted permanent resident status in Canada. Records in the bank may contain information collected by overseas missions, ports of entry and inland Canada Immigration Centres (CIC's) from permanent residents and may also contain information as reflected on a permanent resident's "Record of Landing" (CIC Form IMM1000) or "Confirmation of Permanent Residence" (CIC Form IMM5292). Information contained in this bank includes the following: the permanent resident's name, gender, date and place of birth, marital status; the date on which and the place where the permanent resident became a permanent resident [and, if applicable, what terms and/or conditions were applied at the time of landing or at the time of being granted permanent residence]; the permanent resident's residential address in Canada; the permanent resident's address outside of Canada; the permanent resident's mailing address; if notated or otherwise indicated by the permanent resident on the

"Questionnaire: Determination of Permanent Resident Status" (CIC Form IMM 5511), the permanent resident's country of citizenship, passport number and date of passport expiry; the permanent resident's places and duration of residence during the previous five years; if while absent from Canada during the previous five years the permanent resident accompanied a Canadian citizen spouse, common-law partner or parent, the Canadian citizen's name, proof of Canadian citizenship and proof of relationship to the permanent resident and the periods of absence from Canada when the permanent resident was accompanying the Canadian citizen; if while absent from Canada during the previous five years the permanent resident was employed outside of Canada on a full time basis by a Canadian business, or in the public service of Canada or of a province of Canada, the name, address, duration and proof of such employment with the employer during the previous five years; if while absent from Canada during the previous five years the permanent resident accompanied a Canadian permanent resident spouse, common-law partner or parent who was or is employed outside of Canada on a full time basis by a Canadian business, or in the public service of Canada or of a province of Canada, the Canadian permanent resident's name along with proof of that Canadian permanent resident status and proof of that Canadian permanent resident's employment and proof of that Canadian permanent resident's relationship to the permanent resident and the periods of absence from Canada when the permanent resident was accompanying that Canadian permanent resident; in the case of a permanent resident with a sum total number of days less than 730 days during the previous five years in which the permanent resident was: (a) physically present in Canada, and/or (b) accompanying outside of Canada a Canadian citizen spouse, common-law partner or parent, and/or (c) employed outside of Canada on a full time basis by a Canadian business, or in the public service of Canada or of a province of Canada, and/or (d) accompanying outside of Canada a Canadian permanent resident spouse, common-law partner or parent who is or was employed outside of Canada on a full time basis by a Canadian business, or in the public service of Canada or of a province of Canada, any humanitarian and compassionate considerations relating to the best interests of any child that may be directly affected by a determination of the permanent resident's residency in Canada and/or any humanitarian and compassionate considerations that the permanent resident feels

would overcome any breach of the permanent resident's residency obligation as required under the Immigration and Refugee Protection Act.

**Class of Individuals:** Persons who have or claim to have been granted permanent residence in Canada.

**Purpose:** The information contained in this bank may be used in the administration and enforcement of immigration legislation. The bank serves as a repository for information on those persons who have been issued a permanent resident card in order to ensure the integrity of the card issuing process.

**Consistent Uses:** Information may be compared with that contained in permanent resident card application (CIC PPU 067). The information may be disclosed to the Royal Canadian Mounted Police (RCMP) and the Canada Border Services Agency (CBSA) for the purpose of investigation of an offence under the Immigration and Refugee Protection Act. Consistent uses may include sharing information with the Immigration and Refugee Board of Canada, and the Department of Justice.

**Retention and Disposal Standards:** Paper records will be held by CIC for five years. Retention periods for a photographic image [held in an image bank] and the electronic file in the Field Operational Support System (FOSS) relating to the particulars of the permanent resident's compliance with the section 28 residency obligation under the Immigration and Refugee Protection Act are under review by the Library and Archives Canada.

**RDA Number:** 88/012

**Related PR#:** CIC ASB 001, CIC ASB 016, CIC APB 005

**TBS Registration:** 005308

**Bank Number:** CIC PPU 068

## Strategic Directions and Communications

### Executive Services (BMD)

#### Human Rights Case Files (BMX)

**Description:** This bank contains copies of documents, correspondence and other forms of communication or information relating to complaints filed by individuals with the Canadian Human Rights Commission.

**Class of Individuals:** Persons who have filed complaints against CIC under the Canadian Human Rights Act.

**Purpose:** The information is collected in order to resolve human rights complaints.

**Consistent Uses:** Summary complaint data is used for management information purposes. Depersonalized individual case data is used for training purposes.

**Retention and Disposal Standards:** Records are retained for two years after the last administrative action, then destroyed.

**RDA Number:** 98/001

**Related PR#:** CIC ACB 014

**TBS Registration:** 002394

**Bank Number:** CIC PPU 059 (formerly CIC PPU 415)

### Information Disclosures to Investigative Bodies (BMX)

**Description:** This bank contains copies of requests for disclosure of personal information submitted to CIC under paragraph 8(2)(e) of the Privacy Act by investigative bodies listed in Schedule II of the Privacy Regulations. This bank also contains the replies to such requests and particulars related to their processing.

**Class of Individuals:** Persons under investigation by federal investigative bodies.

**Purpose:** This bank is used to record disclosures of personal information to federal law enforcement bodies under paragraph 8(2)(e) of the Privacy Act and to report to the Privacy Commissioner on the number of these requests.

**Retention and Disposal Standards:** These files are retained for two years after the last administrative action, then destroyed.

**RDA Number:** 98/001

**Related PR#:** CIC ACB 013

**TBS Registration:** 002373

**Bank Number:** CIC PPU 060 (formerly CIC PPU 400)

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks

Access to Information and Privacy Requests

Automated Document, Records and Information Management Systems

Business Continuity Planning

Electronic Network Monitoring Logs

Executive Correspondence Management Systems

Hospitality

Relocation

Security Video Surveillance and Temporary Visitor Access Control Logs and Building Passes

Travel



## Classes of Personal Information

### Policy and Program Development

#### Integration (SID)

#### Settlement/Citizenship/Integration Promotion/Service Line Support/Special Initiatives and Outreach

Letters written by the general public asking for information on the programs and responses to these letters are placed on CIC program files and are not retrievable by personal identifiers. They may, however, contain personal information. Any questions relating to CIC's programs and services are referred to the appropriate program group and letters from the public will be found in the relevant program files. Mailing lists may be found by consulting the Communications Branch.

#### Selection (SSD)

Selection Branch may hold letters and faxes from the general public, lawyers, consultants, MPs, private sector, other governmental departments and non-governmental organizations. This correspondence may include enquiries, requests for information, advice and opinion on CIC policies, programs, and the handling of cases by individuals employed in the immigration program, as pertains to cases where individuals have applied for permanent resident status or temporary resident status. Memos and other briefing documents may deal with the same individuals and topics. This correspondence does not constitute any part of routine administration of the immigration program.

### Strategic Directions and Communications

#### Communications (BPD)

Distribution mailing lists, both on paper and computer disks, which include individuals, as well as groups and media, who receive various departmental and branch publications, notably news releases and speeches, or who are targeted to receive promotional/educational or information materials (e.g. National Citizenship Week and other campaigns) or key documents or legislation (e.g. CIC's annual report to Parliament on immigration). This information is not retrievable by personal identifier.

#### Human Resources

The Employee departure feedback program gathers information from employees who leave the department on their reasons for leaving and their satisfaction with different aspects of their experience. The information gathered serves as an organizational health indicator and is used to

inform efforts to recruit, retain and motivate employees and make the department an exemplary and effective workplace. Information is gathered through two questionnaires (one for the departing employee and one for their manager) and an interview of the employee by a third party consultant. The information collected is in the form of background/demographic information, multiple choice and yes/no questions, ratings of satisfaction levels on a scale of 1-5, as well as comment sections and the opportunity to elaborate in the interview. The latter two forms could contain unsolicited personal information about an identifiable individual, however, information collected is not retrievable by personal identifiers.

## Manuals

Manuals that are available on the CIC web site are indicated with an asterisk (\*).

- Access to Information Manual (AM)
- Appraisal Handbook
- Basic Reference Guide to Military Organization, Rank and Classification
- CAIPS Manual
- Carrier Guide
- Casual Employment Manager's Guide
- Citizenship Policy Manual (CP)\*
- Citizenship Registration Manual
- Code of Conduct
- Coding (COD) \*
- Community Relations Handbook
- Corporate Records Management Classification List (SCS)
- Country Information Guide
- Designated Medical Practitioner Handbook\*
- Employee Guide to Security
- Enforcement (ENF)\*
- Enhanced Citizenship and Immigration Officer Training Manual
- File Retention Policy—Archiving
- Financial Accounting Manual
- Financial Coding Manual (FC)
- Financial Policy Manual (FP)
- Fleet Management Policy and Procedures

- Foreign Worker Manual \*
- Guide for the Operational Review of a Canada Immigration Centre
- Guide to Administration Services
- Guidelines for Briefing Notes for the Minister and the Deputy Minister
- Guidelines for Corporate Committees at Citizenship and Immigration Canada
- Guidelines for Memorandum to Cabinet
- Guidelines for Minister and Deputy Minister's Correspondence
- Guidelines for Processing Business Category Applications by Source Country
- Guidelines for Settlement Programs and Services (IT)
- Guide to Handling Public Money (HPM)
- Housecard Guidelines
- Human Resources Management Manual (HR)
- Human Rights Manual (RI)
- IFMS Asset Accounting Manual
- IFMS Controlling Manual
- IFMS Funds Management Reporting Manual
- IFMS Materiel Management Manual
- IFMS Payments and Travel Manual
- IFMS Point of Sale (POS) Guide
- IFMS Sales, Billing and Receipt Manual
- Immigration Cost Recovery and Key Document Management Handbook
- Immigration Data System (ID)
- Inland Processing (IP)\*
- Inland Services Procedures Manual
- Instrument of Human Resources Signing Authorities (November 2003)
- Kosovo Crisis Field Manual
- Kosovo Debriefing Guide
- Legislation (IL) \*
- Medical Officer's Guidelines for Designated Medical Practitioner
- Medical Officers Handbook
- National Headquarters Telephone Directory
- Overseas Processing (OP)\*
- Performance Measures Reference Manual
- Point of Service User Guide (POS+2000)
- Port of Entry Processing (PE)
- Privacy Manual (PM)
- Protected Persons (PP) \*
- Records Services Policy and Procedures Manual
- Reference (IL) \*
- Reporting and Liaison Handbook
- Resettlement Assistance Program
- Security Policy and Procedures Manual
- Service and Administration (SA)
- Sierra Leone Immigration Screening Aid
- Single Officer Mission Manual (SOM)
- Subject File Classification
- Telework Handbook
- Training and Education Allowance Guide
- Workforce Adjustment Guide

### Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Department and its various programs and functions may be directed to:

Communications Branch  
 Citizenship and Immigration Canada  
 Mail Room, Jean Edmonds Tower South  
 365 Laurier Avenue West  
 Ottawa ON K1A 1L1  
 Tel.: (613) 954-9019  
 Fax: (613) 954-2221  
 Web Site: [www.cic.gc.ca](http://www.cic.gc.ca)

Access to Information requests should be directed to:

Public Rights Administration  
 Citizenship and Immigration Canada  
 Naron Building  
 360 Laurier Avenue West, 10th floor  
 Ottawa ON K1A 1L1  
 Tel.: (613) 946-0953  
 Fax: (613) 957-6517

Privacy Requests should be directed to the appropriate address below.

### **Atlantic Region**

Regional Privacy Coordinator  
Atlantic Regional Office  
1875 Brunswick Street  
Halifax NS B3J 2G8  
Tel.: (902) 426-0972  
Fax: (902) 426-8346

### **British Columbia and Yukon Territory**

Regional Privacy Coordinator  
British Columbia and Yukon Territory Regional Office  
800 Burrard Street, Suite 641  
Vancouver BC V6Z 2V8  
Tel.: (604) 666-8451 or (604) 666-8485  
Fax: (604) 666-1927

### **Ontario Region**

Regional Privacy Coordinator  
Ontario Regional Office  
25 St. Clair Avenue East, Suite 200  
Toronto ON M4T 1M2  
Tel.: (416) 954-7857  
Fax: (416) 954-7837

### **Prairies and Northern Territories Region**

Regional Privacy Coordinator  
Prairies and Northern Territories Regional Office  
Johnston Terminal  
400-25 Forks Market Road  
Winnipeg MB R3C 4S9  
Tel.: (204) 983-2428  
Fax: (204) 984-7261

### **Quebec Region**

Regional Privacy Coordinator  
Quebec Regional Office  
1010 St-Antoine Street West, 2nd Floor  
Montréal QC H3C 1B2  
Tel.: (514) 496-9398  
Fax: (514) 283-2415

For Privacy Requests concerning Canadian Citizenship Records, please contact:

Privacy Coordinator  
Case Processing Centre Sydney  
P. O. Box 7000  
Sydney NS B1P 6V6  
Tel.: (902) 564-2740  
Fax: (902) 564-2781

For Privacy Requests concerning immigration sponsorships, please contact:

Privacy Coordinator  
Case Processing Centre Mississauga  
P. O. Box 6100, Station A  
Mississauga ON L5A 4H4  
Tel.: (905) 803-7904  
Fax: (905) 803-7392

For Privacy Requests concerning Visitor Extensions, Student Authorizations, Employment Authorizations, Temporary Resident's Permit Extensions, Immigrant Applications for Landing in Canada and Right of Landing Fee (ROLF) Loans, please contact:

Privacy Coordinator  
Case Processing Centre Vegreville  
6212 – 55th Avenue  
Vegreville AB T9C 1W5  
Tel.: (780) 632-8000  
Fax: (780) 632-8101

For files held by the Case Management Branch, please contact:

ATIP Coordinator  
Case Management Branch  
300 Slater Street  
Jean-Edmonds Tower North – 9th floor  
Ottawa ON K1A 1L1  
Tel.: (613) 957-3940  
Fax: (613) 941-6754

For files held by Medical Services Branch, please contact:

ATIP Coordinator  
Medical Services  
219 Laurier Avenue West  
Canadian Building – 3rd Floor  
Ottawa ON K1A 1L1  
Tel.: (613) 941-6641  
Fax: (613) 941-5043

Privacy Requests can also be made at local Canada Immigration Centres. Consult your local telephone directory for the centre nearest you.

## **Reading Room**

### **National Capital Region**

Departmental Library  
300 Slater Street  
Jean Edmonds Tower North, 3rd Floor  
Ottawa ON K1A 1L1

### **Regional Offices**

Please see addresses under "Additional Information" above.

# Commission for Public Complaints Against the RCMP

## Chapter 50

### General Information

#### Background

The Commission for Public Complaints Against the RCMP was established by Parliament in March 1986, as a result of recommendations arising from the 1976 Marin Commission of Inquiry Relating to Public Complaints, Internal Discipline and Grievance Procedure within the Royal Canadian Mounted Police, and the 1981 McDonald Commission of Inquiry Concerning Certain Activities of the Royal Canadian Mounted Police. Part VII of the Royal Canadian Mounted Police Act, which made the Commission operational, came into force on September 30, 1988.

#### Responsibilities

The Commission for Public Complaints Against the RCMP is an independent administrative tribunal empowered to conduct external and independent reviews of public complaints concerning the conduct of members of the RCMP in the course of their duties. The Chair of the Commission reviews the disposition of the complaint by the RCMP and may conduct investigations and institute public hearings of the Commission. The Chair may, as well, initiate a complaint personally if there are reasonable grounds for investigation. If the Chair considers it advisable in the public interest, the Chair may conduct an investigation of any complaint or institute a hearing regardless of whether the complaint has been investigated or otherwise dealt with by the RCMP. The findings and recommendations of the Chair are sent to the Commissioner of the RCMP and the Solicitor General of Canada. The Chair reports annually to Parliament through the Solicitor General of Canada.

#### Legislation

- Royal Canadian Mounted Police Act, Parts VI and VII

#### Organization

The Commission consists of a Chair, a Vice-Chair, a member for each contracting province and not more than three other members, to be appointed by order of the Governor in Council. The Chair is

the Chief Executive Officer of the Commission and has supervision over and direction of the work of the Commission staff. The senior staff of the Commission consists of an Executive Director, a General Counsel, a Director of Operations, Senior Reviewer/Analysts, Reviewer/Analysts, Investigators, a Senior Advisor Policy, Planning and Research, Regional Directors and an Office Manager.

### Information Holdings

#### Program Records

##### Complaints

**Description:** Information on each complaint submitted by a member of the public to the Commission is placed in a separate file. Such file contains all correspondence, records of interviews, investigations, hearings, findings, recommendations and reports concerning the complaint held by and under the control of the Commission.

**Topics:** Complaints files, analysis, findings and recommendations.

**Program Record Number:** CPC EXE 010

##### Information Access Policy/Disclosures

**Description:** Information on policy and procedures which govern the collection, retention, disposal, disclosure and formal public access to both personal and non-personal information under the Commission's control as it relates to the Access to Information Act and the Privacy Act.

**Topics:** Access to Information and Privacy – general; Info Source and Bulletins; Acts and Legislation; committees; federal information collection, directive and procedures, Personal Information Index and Bulletins; requests - formal requests, informal requests, consultations from other government departments, reports.

**Program Record Number:** CPC AIP 030

##### Legal Matters

**Description:** Information on the Commission's jurisdiction, administration of legal matters, legal opinions and decisions, practice and procedure.

**Topics:** Policy; general correspondence; cases; retrospectivity and the Commission for Public Complaints Against the RCMP; jurisdiction issues; practice and procedure; application of Part VII of Bill C-65 to off-duty members of the RCMP and the RCMP itself; opinions rendered by legal

advisors on Administrative Law and Charter Issues; aboriginal people; minority groups.

**Program Record Number:** CPC LEG 025

### Organization and Functions

**Description:** Information on the Commission for Public Complaints Against the RCMP's organization, correspondence, activities and reports.

**Topics:** General correspondence; appointments; communications plan; organization; complaints procedure; meetings; annual reports; rules of conduct; operational framework plan.

**Program Record Number:** CPC EXE 005

### Royal Canadian Mounted Police

**Description:** Information on RCMP organization, strength, policies, regulations, statistics on complaints and reports.

**Topics:** General correspondence; RCMP organization and strength; RCMP statistics – complaints against the Force and its members; RCMP operational statistics reporting system (Mayor's Report); RCMP recruiting of minorities; RCMP bulletin public complaints policy; administration and operational manuals; regulations; Commissioner's forecast; provincial and municipal policing contracts; Canadian Program of Science and Technology in Support of Law Enforcement; 1987-88 Annual Report; 1988-89 Annual Report; 1989-90 Annual Report; 1990-91 Annual Report; 1991-92 Annual Report.

**Program Record Number:** CPC EXE 015

### Security

**Description:** Information on security regulations for the handling of documents, the administration of the personnel security program involving clearance, physical security of buildings, installations and facilities.

**Topics:** General correspondence; physical security; security policy; classification of information.

**Program Record Number:** CPC EXE 020

### Staffing

**Description:** Records on employment and staffing in general, applications, casual and term employees, competitions and programs, recruitment, requests for staffing action, and summer employment for students.

**Program Record Number:** CPC EXE 040

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Hospitality

Proactive Disclosure

Relocation

Travel

## Personal Information Banks

### Complaints and Requests for Review made by the Public Against the RCMP Under the Royal Canadian Mounted Police Act, Part VII

**Description:** This bank contains the files on complaints concerning the conduct of members of the RCMP received by the Commission. These complaints are sent by the Commission to the RCMP for investigation. This bank also contains the files on reviews carried out by the Commission as a result of requests from members of the public who are not satisfied with the RCMP disposition of their complaints. The review files contain statements from individuals, correspondence with and reports about complainants, respondents and witnesses dealing with the complaint and other facts relevant to the RCMP investigations. These complaint and review files date from October 1, 1988.

**Class of Individuals:** Complainants, members of the RCMP, witnesses and other parties to the complaint.

**Purpose:** The purpose of this bank is to record, inquire into and follow up on complaints regarding the conduct of members of the RCMP.

**Consistent Uses:** The information is used by the Commission to fulfill its mandate under the Royal Canadian Mounted Police Act, as well as for research, planning, evaluation and statistical purposes.

**Retention and Disposal Standards:** All complaint and review files are retained for 50 years then transferred for destruction to the National Archives of Canada

**RDA Number:** 96/011

**Related PR#:** CPC EXE 010

**TBS Registration:** 002640

**Bank Number:** CPC PPU 005

### Contracts

**Description:** This bank contains a record of all personal and professional service contracts entered into by the Commission. It contains information such as the original contractual documents, invoices and records of payment for individual and professional services.

**Class of Individuals:** Personal information relates to individuals hired under personal service contracts by the Commission.

**Purpose:** The bank is used for accounting, reference and statistical purposes.

**Consistent Uses:** To record, retain and monitor all contracts. These records are also used during the auditing function.

**Retention and Disposal Standards:** Files are retained for six years after the contract is cancelled or terminated and then destroyed

**RDA Number:** 99/004

**Related PR#:** CPC EXE 040

**TBS Registration:** 003795

**Bank Number:** CPC PPU 025

### Requests for Access to Records Under the Access to Information Act

**Description:** This bank contains both formal and informal requests sent by individuals seeking access to information pursuant to the Access to Information Act, replies to such requests and information related to their processing.

**Class of Individuals:** Applicants under the Access to Information Act.

**Purpose:** This material is collected and used for processing access requests only, and for use in the preparation of the annual report to the Treasury Board Secretariat.

**Consistent Uses:** Compiling statistics relating to the administration of the Act; Report to Treasury Board and to Parliament on requests received under the Act; and for the purpose of consultations with other government institutions.

**Retention and Disposal Standards:** These records are retained for two years and are then destroyed

**RDA Number:** 98/001

**Related to PR#:** CPC AIP 030

**TBS Registration:** 002643

**Bank Number:** CPC PPU 020

### Requests for Access to Records under the Privacy Act

**Description:** This bank contains formal requests sent by individuals seeking access to information relating to those individuals pursuant to the Privacy Act, replies to such requests and information related to their processing.

**Class of Individuals:** Applicants under the Privacy Act.

**Purpose:** This material is collected and used for processing privacy requests only, and for use in the preparation of the annual report to the Treasury Board Secretariat.

**Consistent Uses:** Compiling statistics relating to the administration of the Act; Report to Treasury Board and to Parliament on requests received under the Act; and for the purpose of consultations with other government institutions.

**Retention and Disposal Standards:** These records are retained for two years and are then destroyed.

**RDA Number:** 98/001

**Related PR#:** CPC AIP 030

**TBS Registration:** 002642

**Bank Number:** CPC PPU 015

### Applications for Employment

**Description:** This bank contains information on individuals who have submitted a written application for employment to the Commission for Public Complaints Against the RCMP. The files contain a variety of information that might include completed application forms, résumés, letters of reference and letters acknowledging receipt of the applications.

**Class of Individuals:** Individuals interested in securing employment with the Commission.

**Purpose:** These records are consulted when employment vacancies arise.

**Consistent Uses:** To maintain a record of information relating to applications for employment received from the general public; provide documentation and information used to fill positions; store employment applications for future reference.

**Retention and Disposal Standards:** These records are kept for two years after the eligible list for a staffing action expires then destroyed

**RDA Number:** 98/005

**Related PR#:** CPC EXE 040

**TBS Registration:** 002641

**Bank Number:** CPC PPU 010

### Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

### Manuals

- Commission for Public Complaints Against the RCMP Procedures Manual (Draft)
- Commission for Public Complaints Against the RCMP Rules of Practice and Procedures for Hearings (Draft)

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information on the Commission for Public Complaints Against the RCMP may be directed to:

Executive Director  
Commission for Public Complaints Against the  
RCMP  
P.O. Box 3423, Station D  
Ottawa ON K1P 6L4

## Reading Room

In accordance with the Access to Information Act, an office has been designated as a public reading room. This room is situated at:

Third Floor  
60 Queen Street  
Ottawa, Ontario

# Copyright Board of Canada

## Chapter 51

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

The Copyright Board of Canada was created by a series of amendments to the Copyright Act which were proclaimed on February 1, 1989. It replaced the Copyright Appeal Board which had been responsible since 1935 for approving annual tariffs respecting the public performance of music. Bill C-32 (Act modifying the Copyright Act) which received Royal Assent on April 25, 1997, modifies the mandate of the Board by adding the responsibilities, among others, for the adoption of tariffs for the public performance and communication to the public by telecommunication of sound recordings of musical works, for the benefit of the performers of these works and of the makers of the sound recordings (“the neighbouring rights”) and for the adoption of tariffs for private copying of recorded musical works, for the benefit of the rights owners in the works, the recorded performances and the sound recordings (“the home-taping regime”).

#### Responsibilities

The Copyright Board of Canada is an independent administrative agency which has been conferred department status for purposes of the Financial Administration Act. Its mandate stems from the Copyright Act.

The Copyright Board of Canada plays a major role in the collective administration of copyright, particularly where the public performance and the communication to the public, by telecommunication, of musical works, as well as the retransmission of distant radio and television signals are concerned. The Board plays a surveillance role in three ways with respect to collective societies which administer very large repertoires of work created by a multitude of originators both in Canada and in other countries: as an economic regulatory body, by approving tariff proposals by the various copyright collective societies; as an arbitrator in private disputes; and as an arbitrator of the public interest.

The Board’s principal mandate is to set royalties which are fair and reasonable for both copyright owners and the users of copyright-protected works, as well as issuing non-exclusive licences authorizing the fully legal use of works when the copyright owner cannot be located.

The Board reports annually to Parliament through the Minister of Industry.

#### Legislation

- Copyright Act, R.S.C. (1985), c. C-42
- Local Signal and Distant Signal Regulations
- Retransmission Royalties Criteria Regulations
- Programming Undertaking Regulations
- Definition of Small Retransmission Systems Regulations
- Definition of “Small Cable Transmission System” Regulations
- Regulations establishing the Period of Royalty Entitlements of Non-members of Collecting Bodies
- Regulations defining “Wireless Transmission System”
- Regulations defining “Advertising Revenues”
- Exceptions for Educational Institutions, Libraries, Archives and Museums Regulations
- Regulations prescribing Networks
- Educational Program, Work and Other Subject-matter Record-keeping Regulations

#### Organization

The Board consists of a chairman, a vice-chairman and a maximum of three other members, all appointed by the Governor in Council. The Chairman, who must be a judge of a superior, county or district court, directs the work of the Board and apportions its work among the members of the Board. The Vice-Chairman, who is the Chief Executive Officer of the Board, supervises and directs the work of the Board’s staff. The Board has a staff of twelve employees, two of whom report to the Chief Executive Officer: the Secretary General and the General Counsel.



## Information Holdings

### Program Records

#### Accounts Payable Files

**Description:** These files contain records of payments, and financial details thereof; and account numbers of individuals or firms which supply goods and services.

**Topics:** Suppliers of goods and services to the Copyright Board of Canada.

**Program Record Number:** CBC SEC 040

#### Copyright Board of Canada Records

**Description:** These records contain the documentation related to the processing of a tariff proposal or licence application before the Copyright Board of Canada, including all the papers, submissions, evidence and exhibits provided by the parties and intervenors before, during and after the hearing. Decisions of the Board, the reasons for the decisions, notices of any proceedings before a higher court and decisions of the higher courts; agreements between collective societies and users filed with the Board also form part of the record.

**Topics:** Collective societies representing copyright owners. Objections by users of copyrighted works administered by collective societies. Applications for arbitration, when the parties (collective society or user) are unable to agree on the royalties or the related terms and conditions. Applications for non-exclusive licences to use published works, fixed performances, published sound recordings and fixed communication signals when the copyright owner is unlocatable.

**Program Record Number:** CBC SEC 035

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Budgets

Buildings

Classification of Positions

Employment and Staffing

Equipment and Supplies

Furniture and Furnishings

Human Resources

Occupational Health, Safety and Welfare

Official Languages

Personnel

Procurement

Salaries and Wages

Staff Relations

Training and Development

### Personal Information Banks

#### Applications for Employment

**Description:** This bank contains information on individuals who have submitted an unsolicited application for employment to the Copyright Board of Canada. The files contain information that might include applications, résumés, letters of reference and letters acknowledging receipt of the applications.

**Class of Individuals:** Individuals interested in securing employment with the Board.

**Purpose:** These records are consulted when employment vacancies arise.

**Consistent Uses:** This bank may be used for future recruitment.

**Retention and Disposal Standards:** These records are kept for two years and then destroyed.

**RDA Number:** 98/005

**TBS Registration:** 003001

**Bank Number:** CBC PPU 010

#### Copyright Appeal Board Records

**Description:** The record contains the documentation related to the processing of any action before the former Copyright Appeal Board including all the papers, submissions, evidence and exhibits provided by the parties in the action before, during and after the hearing. Decisions of the Board, the reasons for the decisions, notices of proceedings before a higher court and decisions of higher courts also form part of the record.

**Class of Individuals:** Users of copyrighted musical works who have filed objections to proposed statements of royalties for the public performance of music, collective societies representing owners of copyright in musical works, which filed proposed statements of royalties before the Copyright Appeal Board.

**Purpose:** This bank records the proceedings before the former Copyright Appeal Board.

**Consistent Uses:** The information in this bank may be used for reference purposes.

**Retention and Disposal Standards:** These records are retained for an indeterminate period.

**TBS Registration:** 003066

**Bank Number:** CBC PPU 020

#### Letters of Comment

**Description:** This bank contains the letters of comment the Board receives from the public concerning its decisions.

**Class of Individuals:** Individuals and organizations who have addressed letters of comment to the Copyright Board of Canada.

**Purpose:** These records enable the Board to measure the impact of its decisions.

**Consistent Uses:** The information in this bank may be used for reference purposes.

**Retention and Disposal Standards:** Letters are retained for a period of two years and are then destroyed.

**RDA Number:** 98/001

**TBS Registration:** 003065

**Bank Number:** CBC PPU 015

#### Privacy and Access Request Data Bank

**Description:** The bank contains both formal and informal requests sent by individuals seeking access to information pursuant to the Access to Information Act and the Privacy Act, replies to such requests and information relating to their processing.

**Class of Individuals:** Individuals who submit requests for information under the Access to Information Act and under the Privacy Act.

**Purpose:** This bank is used in the administration of the Access to Information Act and the Privacy Act.

**Consistent Uses:** This bank is used to compile statistics relating to the administration of the Acts.

**Retention and Disposal Standards:** These records are retained for two years after the last administrative action and are then destroyed.

**RDA Number:** 98/001

**TBS Registration:** 003000

**Bank Number:** CBC PPU 005

#### Professional and Personal Services Contracts

**Description:** This bank contains the contracts entered into, types of services rendered, length of contracts, money expended, the social insurance number of individuals on contract, the actual contracts and supporting documents.

**Class of Individuals:** Individuals hired under personal service contracts by the Department.

**Purpose:** The bank is used for accounting, reference and statistical purposes.

**Consistent Uses:** The bank may be used to do research for future contracts.

**Retention and Disposal Standards:** Files are retained for six years and are then destroyed.

**RDA Number:** 99/004

**TBS Registration:** 003067

**Bank Number:** CBC PPU 025

## Classes of Personal Information

### Copyright Board of Canada Information Distribution

Files are kept on individuals and organizations to whom decisions, publications and other material generated by the Copyright Board of Canada are distributed. The specific information filed comprises: name, address, telephone number and official language preference of the individual or organization, and the material that is distributed. The information pertains to individuals who have requested information and to persons involved in the field of copyright designated by the Copyright Board of Canada for receipt of decisions, publications and other material generated by the Board. This bank serves for distribution, analytical and statistical purposes. Names and records are stored electronically on permanent distribution lists which are updated as the need arises.

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Board and its various activities, programs and publications may be directed to:

Financial Officer and Administrator  
Copyright Board of Canada  
56 Sparks Street  
Suite 800  
Ottawa ON K1A 0C9  
Tel.: (613) 952-8621  
Fax: (613) 952-8630  
E-mail: [secretariat@cb-cda.gc.ca](mailto:secretariat@cb-cda.gc.ca)  
Web Site: [www.cb-cda.gc.ca](http://www.cb-cda.gc.ca)

## Reading Room

The Board's library has been designated under the Access to Information Act as a public reading room. The address is:

56 Sparks Street  
Suite 800  
Ottawa, Ontario

# Correctional Service of Canada

## Chapter 52

### General Information

#### Background

In 1977, the Correctional Service of Canada (CSC) was formed through the amalgamation of the Canadian Penitentiary Service and the National Parole Service.

#### Responsibilities

**Mission:** The Correctional Service of Canada, as part of the criminal justice system and respecting the rule of law, contributes to the protection of society by actively encouraging and assisting offenders to become law-abiding citizens, while exercising reasonable, safe, secure and humane control.

The Correctional Service of Canada provides programs for offenders from admission until the expiration of their sentence. In order to carry out its responsibilities, the Correctional Service creates files to hold information on offenders, prisons, organizations and occurrences that affect or may affect it in the carrying out of its mandate. Information must be collected from and shared with numerous sources, such as other components of the criminal justice system, as is explained in the section "General Information on Data Matching/Data Sharing", at the end of this chapter.

#### Legislation

- Corrections and Conditional Release Act, SC 1992, c. C-20
- Criminal Code RSC, 1985, c. C-46
- Criminal Law Amendment Act, 1976
- Criminal Records Act RSC, 1985, c. C-47
- Prisons and Reformatories Act RSC, 1985, c. P-20
- Transfer of Offenders Act, 1977-78, c. T-15
- Young Offenders Act RSC, 1985, c. R-1

#### Organization

##### Communications and Consultation

The Communications and Consultation Sector is responsible for raising Canadians' awareness about correctional issues. The Sector provides

communications planning and advice; handles relations with the media; and offers a variety of multimedia services to its clients, including exhibits, publications, film and video services.

##### Community Engagement

The Community Engagement Sector is responsible for engaging a wide range of communities in the reintegration of offenders and the promotion of restorative justice approach. More specifically, the Sector provides leadership in the areas of Citizen Advisory Committees, victims, restorative justice, dispute resolutions, Federation of Canadian Municipalities, volunteers, Lifeline, non-governmental agencies involved with communities and CSC national contribution Program. In addition, the Sector provides: direct support and secretariat services to the National Executive Committee of the Citizen Advisory Committees and to the National Association of Volunteers; acts as co-partner with National CSC/NPB shared Victim office; manages the CSC national Contribution program and approval process for both national and Aboriginal contributions.

##### Corporate Services

The Corporate Services Sector is responsible for information management and technology, technological and operational support, technical services, facility planning, design and construction program, real property services, finance and material management. More specifically, this Sector provides all goods and services (food, clothing and housing), technology, engineering, finance, administration, procurement, information management, maintenance and capital program management services to support correctional facilities and activities.

##### Correctional Operations and Programs

The Correctional Operations and Programs Sector is responsible for the integrity of community and institutional operations and correctional programs across the Correctional Service of Canada, and for improving the delivery of safe corrections. More specifically, this Sector is responsible for: aboriginal issues; chaplaincy; health services; offender reintegration and correctional programs (e.g. sex offender, education, substance abuse, living skills and personal development programs); operational support; operational and departmental security (e.g. personnel security screening, baseline security requirements, readiness levels, business continuity

planning, employee protection and investigations of security breaches and incidents) and CORCAN.

CORCAN is a Special Operating Agency within CSC which provides employment and employability skills to offenders incarcerated in federal penitentiaries and, for brief periods of time, after they are released into the community. The goal is to improve offenders' job readiness so they can find and keep a job when they leave prison and safely reintegrate back into society and re-entry into the labour market.

### **Executive Secretariat**

The Executive Secretariat is responsible for the daily liaison with the Office of the Solicitor General and for the coordination and preparation of executive correspondence to the Commissioner, the Minister's Office, other Members of Parliament and Legislative Assemblies.

### **Human Resource Management**

The Human Resource Management Sector is responsible for the identification, resolution and implementation of human resource activities and for providing interpretations of related policies, directives and guidelines. Overall this Sector is responsible for labour relations; learning and career development; employee assistance programs; occupational safety and health; executive services, corporate classification, recruitment and staffing; official languages and employment equity; personnel services for National Headquarters; human resource systems and strategic human resource planning.

### **Legal Services**

This Sector is responsible for providing a variety of in-house legal services to the Commissioner and staff of the Correctional Service of Canada in connection with matters relating to the operations of the Service and provides interpretations of related acts, regulations, policies, directives and guidelines.

### **Office of the Commissioner**

The Commissioner, as the Senior Executive Officer of the Correctional Service of Canada, is accountable to the Solicitor General of Canada in managing and guiding the policies and programs of the Service.

### **Office of the Deputy Commissioner for Women**

The Women Offender Sector is responsible for the effective policy and program development, implementation and ongoing program delivery for women offenders sentenced to two years or more.

### **Office of the Senior Deputy Commissioner**

The Senior Deputy Commissioner supports the Commissioner in the management and direction of the Correctional Service of Canada to achieve the Service's program objectives.

### **Performance Assurance**

The Performance Assurance Sector is responsible for audits, evaluations, investigations and the management of the accreditation process. It is also responsible for providing performance measurement tools and advice for the regions and sectors of the Correctional Service of Canada. As well, the sector is responsible for the Office of Values and Ethics which manages activities associated with the Internal Disclosure of Wrongdoing in the workplace.

### **Policy, Planning and Coordination**

The Policy, Planning and Coordination Sector is responsible for strategic and operational planning and reporting, research, policy development, knowledge management, intergovernmental affairs and rights, redress and resolution. Specific responsibilities of this Sector include the legislative agenda (e.g. Correctional and Conditional Release Act and Regulations), federal/provincial projects, international relations, and issues relating to human rights and to the Access to Information and Privacy Acts.

### **Regions**

Five regional offices, located in the Atlantic, Québec, Ontario, Prairie and Pacific Regions, are responsible for administering the operations of correctional institutions and the supervision of offenders. These offices are responsible for implementing national policies and programs; developing regional policies, plans and programs for performance measurement, human resource and financial management, federal/provincial relations, liaison with the Commissioner's Office, public consultation, and provision of information to the media, elected officials, interest groups and the public.

Each Region is comprised of correctional facilities classified as maximum, medium and minimum security; women's facilities, district offices, parole offices and community correctional centres. These facilities are responsible for the delivery of programs, secure housing and safe reintegration of offenders by implementing both national and regional policies and programs and for participating in the formulation of corporate policy and plans, and ensuring their appropriate implementation.

## Information Holdings

### Program Records

#### Communications and Consultation

##### Communication Services

**Description:** Information on all issues related to corrections through various means.

**Topics:** Mailing and distribution lists; biographies - media relations, press clippings, press releases, photographs, radio and television transcripts, slides and films, corpus, administrative index, list of coming events; advertising - newspapers, magazines, periodicals, public awareness events, articles, bulletins, guides, newsletters and manuscripts for publication; forums, exhibitions and fairs - displays and models, Speakers Bureau.

**Access:** Files are arranged by date, subject or title.

**Format:** Electronic (including digital), paper and database.

**Program Record Number:** CSC COM 010

##### Multimedia

**Description:** Information on the management of publications, including their printing, binding, editing, compilation, distribution and posting on the Internet.

**Topics:** Editing and printing, distribution and requests for publications; eg. of publications: Let's Talk, prison newspapers, Inside/Outside, Intercom.

**Access:** Files are arranged by date.

**Format:** Electronic and paper.

**Program Record Number:** CSC COM 020

##### Operations

**Description:** Information on the operations of CSC in general.

**Topics:** Publications (eg. Mission Statement, Overview of CSC, Basic Facts, Myths and Realities); videos, speakers binder.

**Access:** Files are arranged by title.

**Format:** Electronic and paper.

**Program Record Number:** CSC COM 030

#### Community Engagement

##### Citizens' Advisory Committee

**Description:** Information on policy formulation, planning, minutes and recommendations of the Citizens' Advisory Committee.

**Topics:** CD 023; memberships and appointments; national conference of Citizens' Advisory Committees (CACs) - constitution; minutes, recommendations; progress reports; annual report; National Executive Committee of CACs - minutes; newsletters; orientation program

for CAC, pamphlet.

**Access:** Files are arranged by subject matter and file number

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CES 010

##### Grants and Contributions

**Description:** Information for the general public on grants and contributions.

**Topics:** Treasury Board policy on Transfer Payments, Terms and Conditions of CSC Contribution program; requests for contributions; contribution agreements; minutes from National Contribution Committee meetings.

**Access:** Files are arranged by fiscal year and organization.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CES 020

##### LifeLine

**Description:** Information on the history and development of the LifeLine concept, present service delivery, mission statement, strategic framework, and partners.

**Topics:** Donner Report; Perron Report; Implementing the LifeLine Concept: Report of the Task Force on Long-Term Offenders; W6; Code of Ethics; Judicial Review - A Guide for People Serving Life 15-25; LifeLine info-kit.

**Access:** Files are arranged by subject matter

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CES 030

##### Volunteers

**Description:** Information on volunteers - general public and inmates.

**Topics:** National Volunteer Association; Awareness program; Hamilton volunteer project; insurance; policy development; recognition of volunteers as sponsors in temporary absence and pre-release; Family Visiting Project - accommodation, female offenders, international programs, review board, statistics, steering committee and consultation group, comments from outside organizations; handbook for volunteers, volunteer conference, federal/provincial seminar on volunteers in corrections, Ontario Ministry of Correctional Services volunteer programs.

**Access:** Files are arranged by subject matter

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CES 040

##### Victims

**Description:** Information on engagement with victims of crime and strategic coordination of victim issues.

**Topics:** Draft CD 784, Joint National CSC/NPB Victim Office, Joint National CSC/NPB Victim

Roundtable Report.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CES 050

### **Federation of Canadian Municipalities**

**Description:** Information on meetings, minutes and policy formulation, planning, recommendations of the Federation of Canadian Municipalities.

**Topics:** Memberships and appointments of the FCM/CSC/NPB Joint Committee on Community Corrections; terms of reference, minutes, objectives, recommendations; presentations, progress reports; annual report; participation at national conference of FCM.

**Access:** Files are arranged by subject matter and file number.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CES 060

### **Corporate Services**

#### **Buildings - Fire Safety**

**Description:** Information on all aspects of fire safety.

**Topics:** Fire safety awards program and fire prevention week; fire investigation reports; respiratory protection program; fire protection agreements; fire protection engineering standards; fire tests; automatic sprinklers alarm system; fire loss analysis; Fire Commissioners' inspection reports; Correctional Service of Canada fire inspection reports; Fire Safety Manual.

**Access:** Files are arranged by report numbers and by subject

**Format:** Electronic and paper case records

**Program Record Number:** CSC CSS 010

#### **Construction Projects**

**Description:** Information on CSC Capital Plan, Construction Program and construction projects.

**Topics:** Construction CSC Long Term Capital Plan, CSC Construction Program, site specific construction projects, construction costs and budgets, construction schedules, construction project management.

**Access:** Files are arranged by project number.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CSS 020

#### **Electronics and Telecommunications - General**

**Description:** Information on the provision of electronics and telecommunications services.

**Topics:** Communications - Government Telecommunications issues (GTIS), call code cards, institutional intercom and public address, automated office communications; radio and television - security control radio, inmate radio and television (departmental and personal), two-way

radio; telephone - directories, emergency directories, installations and relocations, commercial and departmental telephone system, long distance, intercity direct lines, conference telephone; facsimile and voice mail, inmate telephone systems.

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 030

#### **Electronics and Telecommunications - Security**

**Description:** Information on the acquisition, installation and operation of security electronics equipment.

**Topics:** Integrated Communication and Control System - sub-systems, acceptance test procedures, standard operation procedures (SOP), main communication and control posts (MCCPs); institutional detection and alarm call system - closed-circuit television (CCTV) switching logic, fire-smoke alarm, nurse call system, intrusion detection, motion and fence detection systems; electric-field fencing; personal portable alarm, personal alarm location systems; contraband detection systems including x-ray equipment, metal detectors, drug and alcohol detection equipment; the selection, application and use of concealed person detection equipment; access control and the application of biometric technologies; panic alarm, inmate cell call; technical surveillance - voice and telephone monitoring; .

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 040

#### **Real Property Management**

**Description:** Information on CSC properties and buildings.

**Topics:** Property and building and cell statistics, real property transactions (acquisitions, disposals, easements, leases, licenses), heritage designations, accessibility provisions, CRPI, site plans, building and site photographs, surplus properties.

**Access:** Files are arranged by Responsibility Centre Numbers and Facility Names

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CSS 050

#### **Equipment**

**Description:** Information on the acquisition of equipment.

**Topics:** Equipment on loan; photographic and video equipment; farm equipment and machinery;

kitchen equipment; laundry equipment; physical education and recreation; audio-visual; fire safety; electronic equipment inventory; security equipment; micrographic equipment products data; health care equipment; drugs and medical devices; inventory of fire fighting equipment; boiler equipment; data processing equipment - computers, computer terminals; maintenance and repairs - office appliances, electronics equipment, electronics maintenance test equipment, preventive maintenance; films, nursing equipment; office appliances - calculating machines, tape recorders, typewriters, photocopying equipment, word processors and testing and evaluating security equipment and systems.

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 060

### **Facilities Planning, Design and Standards**

**Description:** Information on the planning, design and construction of correctional facilities.

**Topics:** Accommodation and space guidelines, technical standards, institutional master plans, design requirements, design concepts, specific facility planning and design projects.

**Access:** Files are arranged by Subject Name, Project Name and Responsibility Centre Numbers.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CSS 070

### **Food Services**

**Description:** Information on the supply of foodstuffs and the administration of the Food Services Program.

**Topics:** Foods - canned goods, fruits and vegetables, meat, fish and poultry, dairy products (includes milk, butter, cheese and eggs); Food Services Program - ration scale, menu sheets, messing, Christmas bags, religious diets, Food Service Manual, Diet Manual, ration control system, food testing, recipes, approved product list, and other food service related correspondence.

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 080

### **Health Care Equipment**

**Description:** Information on the acquisition of health care equipment.

**Topics:** Dental, optical, physiotherapy, first aid kits; X-ray facilities and equipment; psychiatric and health care centres - beds (other than cell, dormitory, and household), X-ray, operating room; drugs and medical devices - narcotics and

controlled drugs, inspections by the Health Department; drug formularies; drug utilization reviews; monitored drug distribution systems; patient compliance and counselling; pharmaceutical services.

**Access:** Files are arranged by subject matter.

**Format:** Paper files

**Program Record Number:** CSC CSS 090

### **Heating**

**Description:** Information on the provision of heating utilities.

**Topics:** Heating fuels - coal, diesel oil, fuel oil; natural gas; propane gas; wood; heating plants - boiler and furnace, monthly performance statements, boiler and pressure vessel inspection, boiler feed water treatment, boiler tune-up retrofit program, buried piping and tunnels, heating plant equipment; heating ventilation and air conditioning - heat distribution system, monitoring and control systems, ventilation, building environment control.

**Access:** Files are arranged by subject matter.

**Format:** Paper files

**Program Record Number:** CSC CSS 100

### **Information Management Projects**

**Description:** Information management/information technology (IT) projects, IT security, computer hardware, software and communications.

**Topics:** Project correspondence, minutes, reports, budgets and expenditures, contracts, system documentation, computer hardware, software and communications, EDP security.

**Access:** Files are arranged by subject matter and date

**Format:** Electronic and paper case files.

**Program Record Number:** CSC CSS 110

### **Institutional Services**

**Description:** Information on the procurement services required by institutions.

**Topics:** Clothing - officer clothing, inmate clothing, report on stock of cloth for officers' uniforms; furniture and furnishings - kitchen smallware; cell and dormitory - beds and bedding, lighting fixtures, lockers, chairs, sofas; household - beds and bedding, chesterfields, chairs, sofas; office - filing cabinets and security shells, desks, tables and chairs, drapes and venetian blinds, wall furnishings (pictures, plaques).

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 120

### **Materiel Management**

**Description:** Information on overall materiel management.

**Topics:** Equipment and supplies - agreements and guarantees; accounting and inventories - boards of survey, overages and shortages, stock-taking; electronic equipment inventory; catalogues, manuals, price lists - office equipment and supplies, tool and equipment manual; Technical Services Manual; disposal and surplus - condemnation, transfer of material to other government departments, write-offs; drawings and specifications - buildings; industrial drawings; Canadian General Standards Board.

**Access:** Files are arranged by project number.

**Format:** Electronic and paper contract files.

**Program Record Number:** CSC CSS 130

### Procurement

**Description:** Regulations, instructions and procedures relating to procurement.

**Topics:** Procurement - purchasing and requisitioning procedures and methods, Public Works and Government Services Canada customer manual, scale of issue - drugs and medical devices, medical supplies; firearms and chemical agents of new security equipment and systems; tender lists; contracts; local purchase orders; requisitions; standing offer agreements.

**Access:** Files are arranged by project number.

**Format:** Electronic and paper contract files.

**Program Record Number:** CSC CSS 140

### Recorded Information Management

**Description:** Records on the development and implementation of the Recorded Information Management program, as well as the related procedures, work instruments, and systems; and records on the development and approval of retention and disposal schedules for the Department's recorded information.

**Topics:** Records Classification and Scheduling Plan for administrative records (administration generally, buildings and properties, equipment and supplies, finance, personnel, operations in general, programs for offenders, inmate education, training and employment, security, health care and medical services); Offender Records System for offender information, information distribution, forms analysis and design, records improvement, records procedures; retention and disposal schedules; accessions and disposal authorizations - historical records, statistics; personnel records; offender records - pardons.

**Access:** Files are arranged by subject matter, name and numerically.

**Format:** Electronic database and paper files.

**Program Record Number:** CSC CSS 150

### Supplies

**Description:** Information on the purchase of supplies.

**Topics:** Badges, emblems, crests, flags; training aids; supplies; returnable containers; building materials - hardware and paint, lumber and plywood, electrical, plumbing and pipefitting; cleaning and personal hygiene supplies - institutional cleaning supplies, inmate hygiene supplies; forms; requisitions; heating and cooking fuels - coal, furnace or stove oil, gas; motor fuels - gasoline, diesel fuel, oil and lubricants, antifreeze; shop supplies - cloth textiles, leather and bindings, hardware and paints, lumber and plywood, metals, welding supplies and chemicals; stationery.

**Access:** Files are arranged by project number.

**Format:** Electronic and paper contract files.

**Program Record Number:** CSC CSS 160

### Technical Services

**Description:** Information on the management of the environmental program, engineering services, provision of electronic, telecommunication equipment, clothing and food services, utilities, vehicles.

**Topics:** Security electronics; utilities; vehicles; vehicle parking; supplies; recorded information; institutional services; clothing; food services; heating; fire safety.

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 170

### Translation Services

**Description:** Provision of translation services for both official languages.

**Topics:** Translation for both official languages; translation from and into other foreign languages; provision of translation services and linguistic quality control of all policy documents; publication of policy documents.

**Access:** Files are arranged by report title, project number and/or numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 180

### Utilities

**Description:** Information on the provision of utilities.

**Topics:** Utilities - refrigeration; conservation of energy - reports, solar energy, wood and waste products (biomass); electric power - electrical distribution system, auxiliary power, generators, flood-lighting; garbage disposal - garbage dumps, incinerators; water and sewage - filtration and water treatment plant, plumbing systems, water mains, sewers and drains; water towers and



reservoirs; wells; bacteriological examination of water and milk.

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 190

### Vehicle Parking

**Description:** Information on vehicle parking.

**Topics:** Regulations; application; permits.

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 200

### Vehicles

**Description:** Information on the management and provision of government-owned vehicles.

**Topics:** Fleet management information system; credit card system; licence registration and insurance; maintenance and repairs; operating standards; recall notices; technical bulletins; Propane Conversion Program; vehicle entitlement; procurement; use of government vehicles; alternate fuel program; leasing.

**Access:** Files are arranged by report title, project number and numerically.

**Format:** Electronic and/or paper files.

**Program Record Number:** CSC CSS 210

## Correctional Operations and Programs

### Aboriginal Initiatives

**Description:** Information on matters relating to the cultural needs of Aboriginal offenders.

**Topics:** National Aboriginal Advisory Committee (NAAC), National Elder Working Group (NEWG), National Aboriginal Advisory Committee (NAWG), Annual Performance Report, Aboriginal offender data reports, Aboriginal Publications specific to CSC, continuum of services for Aboriginal offenders, Healing Lodges, Section 81&84 Agreements, Heads of Corrections Sub-Committee, Aboriginal Healing Initiatives, National Aboriginal Day, Aboriginal Liaisons, Aboriginal community Development Officers (ACDO), Métis, Inuit, First nation Initiatives & Research, Urban Reintegration Initiatives, Pathways Strategy, Aboriginal Health Initiatives, Aboriginal policy issues, Aboriginal correctional treatment issues, Sections 79-84, Aboriginal women offenders, Aboriginal Youth, Effective Corrections Initiatives, Northern Inuit Strategy.

**Access:** Files are arranged alphabetically by subject.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 010

### Academic Training

**Description:** Information on schools, university training, extramural courses.

**Topics:** Correspondence courses; special education; university degree program; computer-assisted learning; native studies.

**Access:** Files are arranged by subject matter

**Format:** Electronic and paper files.

**Program Record Number:** CSC COP 020

### Agriculture

**Description:** Information on the operation of CSC institutional farms, the management of animals, cannery operations and storage of fruits and vegetables, slaughter of cattle and the storage and distribution of meat.

**Topics:** Agribusiness - enterprise operations - dairy, poultry, beef, pork, grain and forage, field vegetables, greenhouses, trout, abattoirs, processing, storage, transportation; inspection - dairy, eggs, meat and abattoir, horticulture, trout; reports.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper files.

**Program Record Number:** CSC COP 030

### Benefits, Incentives and Pay Administration Plan

**Description:** Information on inmate pay, work incentives and the pay administration plan.

**Topics:** Incentives; Inmate Employment and Pay Administration Plan - operations, classification and compensation, overtime, Inmate Employment Board reports, Inmate Employment and Pay Administration Manual, monitoring, regional budgets, position placement guidelines, conference calls minutes and agendas, forfeiture of pay for damages; classification and compensation; pay plan system - employment and pay information system, attendance, inmate pay procedures, education and training, pay plan, automated document processing pay plan, inmates on construction projects, hourly pay planning framework, newsletter/staff bulletin, zero pay, enhancement to inmate pay reports; Special Handling Units; post-release - bonding, employment services for ex-offenders, employers of ex-offenders.

**Access:** Files are arranged by subject matter, name and date.

**Format:** Electronic and paper files.

**Program Record Number:** CSC COP 040

### Case Management

**Description:** Information on the assessment of inmates and the development of a correctional plan for the offender.

**Topics:** Pre-sentence and post-sentence report;

police and court information; assessment of inmates - security classification and re-classification, individual program planning.  
**Access:** Files are arranged by subject matter.  
**Format:** Electronic and paper files.  
**Program Record Number:** CSC COP 050

### **Chaplaincy**

**Description:** Information on spiritual programs and services provided to assist offenders during incarceration and reintegration.  
**Topics:** Interfaith Committee on Chaplaincy; accommodation of religious and spiritual needs of diverse faith groups, religious diets; restorative justice, contracting for chaplaincy services - community chaplaincy; circles of support and accountability, Chaplain's Handbook.  
**Access:** Files are arranged by subject matter  
**Format:** Electronic and paper case files.  
**Program Record Number:** CSC COP 060

### **Community Relations and Special Projects**

**Description:** Information on working relationships with private sector agencies such as the John Howard and Elizabeth Fry societies for services such as parole supervision and residential services.  
**Topics:** Associations - aftercare services contracts; grants to aftercare agencies.  
**Access:** Files are arranged by subject matter.  
**Format:** Electronic and paper case files.  
**Program Record Number:** CSC COP 070

### **Community Residential Centres**

**Description:** Information on the operational aspects of community correctional centres and community residential centres for parole supervision; includes provincial liaison.  
**Topics:** Guidelines for community residential centres (CRCs); directory; report on CRC usage; national standards for CRC Task Force; use of Parole Board seal; annual evaluation of CRC and agencies; community assessment and parole supervision - provincial.  
**Access:** Files are arranged by subject matter.  
**Format:** Electronic and paper case files.  
**Program Record Number:** CSC COP 080

### **Contingency Emergency Plans**

**Description:** Information on action to be taken in the event of any emergency causing a disruption of the institutional routine and operational activity.  
**Topics:** Civilian assistance; military assistance; RCMP assistance; emergency response teams; riots and major disturbances; bomb threats; procedures during labour disputes; Operations Centre, National Headquarters; crisis management development.  
**Access:** Files are arranged by subject matter

and/or numerically.

**Format:** Electronic and paper case files.  
**Program Record Number:** CSC COP 090

### **Contraband and Dangerous Substances**

**Description:** Information on the entry into or discovery of unauthorized material in institutions, and the control of dangerous substances within the institution.  
**Topics:** drugs.  
**Access:** Files are arranged by subject matter and date  
**Format:** Electronic and paper case files  
**Program Record Number:** CSC COP 100

### **Dental Services**

**Description:** Information on dental laboratories and dental care provided to offenders.  
**Topics:** Dental service, dental laboratories.  
**Access:** All dental records are filed on offender health care files.  
**Format:** Paper files  
**Program Record Number:** CSC COP 110

### **Departmental Security**

**Description:** Information on the provisions of departmental security services.  
**Topics:** Physical security standards; personnel screening standards; classified and designated information; security and contract management; security and contingency management; provision of a personnel and inmate identification system; threat and risk assessments for buildings and programs; counter-technical intrusion inspection; COMSEC materials.  
**Access:** Files are arranged by subject matter and/or numerically.  
**Format:** Electronic and paper case files.  
**Program Record Number:** CSC COP 120

### **Discipline, Punishment, Segregation**

**Description:** Information on segregation, dissociation and disciplinary measures to be taken in order to maintain institutional routine.  
**Topics:** Bulletins and publications - foreign jurisdictions; corporal punishment; dissociation; study groups; recording and reporting system; sensory deprivation; use of force; segregation; segregation - monthly administrative review; independent chairpersons - workshops, appointments, resignations, fees; offence and punishment summary reports.  
**Access:** Files are arranged alphabetically and by subject.  
**Format:** Electronic and paper case files.  
**Program Record Number:** CSC COP 130

### Education and Training

**Description:** General information on programs designed to improve the inmates' occupational skills.

**Topics:** Academic and vocational training contracts; teachers; educational testing - academic and vocational; development plan; evaluation; calendar of studies; privatization.

**Access:** Files arranged alphabetically by subject.

**Format:** Electronic and paper files.

**Program Record Number:** CSC COP 140

### Emergency Planning

**Description:** Information on policies and plans for the continuation of the Department's operations in the event of an emergency.

**Topics:** Accommodation; national shelter program; nuclear survival

**Access:** Files are arranged by subject matter and/or numerically

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 150

### Government Security

**Description:** Information on preventive security.

**Topics:** Security in the Public Service; building security - access control, fire and emergency evacuation, locks, locking devices and issuing of keys; protection services, inmates, parolees, staff, damage, loss and recovery, fingerprinting, inmate name tags.

**Access:** Files are arranged by subject matter and/or numerically.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 160

### Health and Hygiene

**Description:** Information on general matters pertaining to the cleanliness and physical well-being of inmates.

**Topics:** Accident reports - inmate; barbering; bathing; change room; laundry; occupational therapy; hygiene and sanitation.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 170

### Health Services

**Description:** Information on the medical care of inmates.

**Topics:** Policy statements on availability of and access to physical and mental health services (including mental health assessments for risk assessment purposes); description of essential and non-essential services; consent to treatment requirements; disclosure of health information; procedural information on the administration/dispensing/storage of drugs and medical supplies; the management of hunger

strikes; the prevention of suicide; objectives and procedures detailed in the Health Services Manual; Health Services Standards; technical protocols; other standards, guidelines and bulletins; bleach guidelines; infectious diseases; methadone; dental care standards and post-exposure prophylactics.

**Access:** Files are arranged by subject matter.

**Format:** Paper and electronic files.

**Program Record Number:** CSC COP 180

### Hostage Taking

**Description:** Information on the management of hostage-taking situations.

**Topics:** Guidelines for the behaviour of hostages; services to families of hostages; statistics.

**Access:** Files are arranged by subject matter and date

**Format:** Electronic, paper case and possibly video.

**Program Record Number:** CSC COP 190

### Incidents

**Description:** Information on incidents in institutions.

**Topics:** Assaults; contraband; death; fires; major incidents; statistics - summaries, escapes and recaptures - escapes from escort, plans apprehended, attempted murder, attempted suicide, use of force - gas, physical, weapons.

**Access:** Files are arranged by subject matter, report number and date.

**Format:** Electronic, paper case and possibly video.

**Program Record Number:** CSC COP 200

### Industries

**Description:** General information on industrial operations.

**Topics:** Automation; Industries Operation Manual; privatization; proposals; warehouses.

**Access:** Files are arranged alphabetically by subject

**Format:** Electronic and paper files.

**Program Record Number:** CSC COP 210

### Information and Intelligence

**Description:** Information on activities considered to have intelligence significance in the maintenance of good order within the institutions; also intelligence information of benefit to law enforcement and correctional agencies.

**Topics:** Organized crime.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 220

### **Inmate Employment**

**Description:** Information on general matters pertaining to the employment of inmates both within the institution and externally while they are serving a sentence.

**Topics:** Work assignment boards - grading; internal employment; external employment; employment proposals; master job inventory; work sector guidelines/work standards; inmate requirement per program; monthly reports on employment of inmates; inmate labour on construction projects; performance measurement indicators; Inmate Employment Branch Manual; employment strategy; Special Handling Unit.

**Access:** Files are arranged alphabetically and by subject.

**Format:** electronic database.

**Program Record Number:** CSC COP 230

### **Inmate Population Management**

**Description:** Information on procedures for managing the inmate population.

**Topics:** Escorting of inmates; transportation of inmates by air; protective custody units; special handling units; weekly reports; dangerous offenders - most dangerous, weekly report, murderers, sex offenders.

**Access:** Files are arranged by subject matter and date.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 240

### **Institutional Library Service**

**Description:** Information on the administration of institutional library services.

**Topics:** library staff qualifications, physical facilities, equipment, library procedures and routines, basic collections including reference materials and circulation control.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper files.

**Program Record Number:** CSC COP 250

### **Marketing**

**Description:** Information on the development of markets and products.

**Topics:** Marketing; market development - cataloguing of products, development and distribution of literature, after-sales service, non-customer complaints, product promotion - showroom, product coding, promotional aids; product development - product costing, price change requests, drawings and specifications, packaging, safety, identification; Correctional Service of Canada products; furnishings; maintenance equipment; modular housing; Post Office equipment; recreation and sports equipment; services; specialized equipment;

storage and packaging of products; aids for the handicapped; container - waste.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper files.

**Program Record Number:** CSC COP 260

### **Operational Security**

**Description:** Information on general operational security of the institutions.

**Topics:** Inmate count; institutional security requirements for construction projects; supervision of inmate leisure time activities; preservation of evidence at the scene of a crime; shift briefing; duty rosters; post analysis; team concept; security post in health care centres; surveillance of inmates in community hospitals inmate movement control; use of restraint equipment, situation management model.

**Access:** Files are arranged by subject matter and date

**Format:** Electronic, paper case files and possibly video.

**Program Record Number:** CSC COP 270

### **Operations and Quality Control**

**Description:** Information on quality control, quantitative and qualitative performance in the institutions and district offices and application of policy and procedures in the region.

**Topics:** Quality control and procedure review - audits, board complaints, concerns and comments, inmate enquiries and issues on case management, community enquiries and issues on case management, warrant control records; quality control checklists; Case Management Manual.

**Access:** Files are arranged by subject matter and date.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 280

### **Policy and Procedures**

**Description:** Information on the development of general policies and procedures.

**Topics:** Security Policy Framework.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 290

### **Policy and Procedures - Community Release**

**Description:** Information on the development of policies and procedures in preparation for community release.

**Topics:** Community Correctional Centre directors' conference; Inmate Manual; community banking; parolee assistance loan fund; deportation; parole - parole offices as releasing institutions, medical insurance for parolees and ex-inmates; programs.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 300

### **Production Program**

**Description:** Information on manufacturing, inventory control, quality control and quality assurance of products manufactured by CSC.

**Topics:** Production control - inventory of manufactured goods, advance orders, purchase of materials, order forms, manufacturing authorities, notice of shipment; manufacturing program; inspections - inspection plans, in-process inspections, final inspection, customer complaints; guarantees and warranties.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 310

### **Provincial Liaison and Accreditation**

**Description:** Information on liaison with provincial governments on accreditation and issue of trades certificates, work placement.

**Topics:** Inmate education, training and employment; Program Evaluation and Accreditation.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 320

### **Psychiatric Services**

**Description:** Information on psychiatric care of inmates.

**Topics:** Mental Health Strategy for Women, prevalence of mental disorders in inmates, substance abuse, suicide.

**Access:** files are arranged by subject.

**Format:** electronic and paper case files.

**Program Record Number:** CSC COP 330

### **Psychological Services**

**Description:** Information on psychological programs testing and treatment of inmates.

**Topics:** Drug addiction; psychological testing; mentally and behaviourally disordered inmates.

**Access:** files are arranged by subject

**Format:** electronic and paper case files.

**Program Record Number:** CSC COP 340

### **Reintegration Programs**

**Description:** Information on national programs designed to encourage and assist the use of pro-social skills and attitudes. Information on nationally available interventions that contribute to offenders' successful reintegration into the community and crime prevention.

**Topics:** Living skills programs, sex offender programs, violence prevention programs, substance abuse programs, aboriginal

reintegration programs, women offender programs, ethnocultural services, program inventory, program description, program availability, program standards, accreditation case files, program evaluation research, staff training program content, program policy.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 350

### **Release**

**Description:** Information on case preparation for release and case supervision after release.

**Topics:** Absences - temporary, festive season, escorted, unescorted; discharge; parole - release of inmates, community release, temporary detainees, post-release programs - temporary absence, day parole, parole, statutory release, signing authority for warrants; pre-release programs - intensive pre-release project, temporary absence, day parole, parole, statutory release.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 360

### **Reports and Statistics**

**Description:** Administrative reports and statistics on industrial operations.

**Topics:** Inspection reports - quarterly; progress reports on industrial orders; progress reports on clothing and footwear; reports of industrial capacity; sales reports; program situation report; monthly activity report; late delivery reports; work shortage reports.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 370

### **Sales**

**Description:** Information on the sale of products made by inmates.

**Topics:** Marketing sales; product samples; authorized individuals; federal departments and agencies; municipal governments; non-profit organizations; provincial departments and agencies; religious organizations; schools.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 380

### **Security**

**Description:** General information on the security of institutions.

**Topics:** Correctional officer field notebook; key control; monthly security briefing; penitentiary officer's handbook; Security Branch issues book; Security Manual; tool control; classification of CSC institutions.

**Access:** Files are arranged by subject matter and date.

**Format:** Electronic, paper case files and possibly video.

**Program Record Number:** CSC COP 390

### **Security Policy of the Government of Canada**

**Description:** Information necessary to grant Reliability Status or Security Clearances to individuals who require access to designated or classified information and assets in our possession in order that they are safeguarded in an appropriate manner. Also information concerning the administration of the Security Policy as initiated by the Treasury Board Secretariat and applied to the Correctional Service of Canada.

**Topics:** Consent to Disclose Personal Information; names, date of birth, place of birth, address, and sex of employees; criminal records, where applicable, background information provided by employees; results of investigations authorized as part of the Security Screening/Reliability Check process; records of the granting of Reliability Status and Security Clearances; security organization and administration standards; physical security standards; information technology security standards; and Personnel screening standards.

**Access:** Files are arranged by subject matter and/or numerically.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 400

### **Security Technology**

**Description:** Information on the selection and use of security equipment.

**Topics:** Security equipment manual; memorandum of understanding RCMP/CSC for firearms maintenance and repair; restraint equipment; scale of issue; regional and institutional emergency response teams; theft or loss of security equipment; contraband screening - x-ray, metal detectors, narcotics identification kits; weapons - registration of firearms, ammunition, rifles and revolvers, selection and use of chemical agents; personal safety devices and protection equipment, shields.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 410

### **Sentence Management**

**Description:** Documentation of inmates on admission and release, computation of sentences and remission.

**Topics:** Admissions - admission of foreign nationals; Sentence Administration Manual;

documentation of inmates received from provincial prisons; scar notification; interpretation of sentence; auditing of inmate files; numbering of inmates; fingerprinting and photographing of inmates; expiration of sentence; earned remission; statutory remission; discharge; death - suicides; recidivism; pre-sentence report; post-sentence report.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 420

### **Shops**

**Description:** Information on the organization, administration and layout of industrial shops.

**Topics:** Shops - wood, paint, metal, textile, automotive, print.

**Access:** Files are arranged alphabetically by subject.

**Format:** Electronic database.

**Program Record Number:** CSC COP 430

### **Social and Cultural Development**

**Description:** Information on programs designed to enhance the inmate's social, cultural and physical development.

**Topics:** Associations; entertainment, hobby craft, movies and television, sports activities, concerts put on by visiting groups; physical education and recreation - exceptional people's olympiad; social development programs.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 440

### **Surveys and Reviews**

**Description:** Information on inadequacies in security operations.

**Topics:** Security functional review.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 450

### **Transfers**

**Description:** Information on the actual movement of inmates or groups of inmates.

**Topics:** Transfer between institutions and regions; transfer to and from provinces; international transfer to and from Canada; international transfers of provincial inmates.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 460

### **Unit Management**

**Description:** Information on regulations and implementation of the unit management program.

**Topics:** Unit Management model, roles and responsibilities.

**Access:** Files are arranged by subject matter and date.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 470

### Visits and Correspondence

**Description:** Information on inmate visitors, the censorship and monitoring of inmate correspondence, reading material, and telephone communication.

**Topics:** Censorship; conjugal visits; correspondence and gifts; telephone communication; visiting; screening of visitors.

**Access:** Files are arranged by subject matter, name and date.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 480

### Vocational Training

**Description:** Information on commercial training, manufacturing trades, small business courses.

**Topics:** Commercial courses; apprenticeship and training; pre-employment training; horticultural training; computer technology and data processing; cooking and hospitality occupations; micrographic; word processing; correspondence courses.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 490

### Work Opportunities

**Description:** Information on the administration of work opportunities for inmates.

**Topics:** Work release, Inmate labour on construction projects; joint ventures - projects involving private sector; forestry - tree nursery reforestation; Employment and Immigration Canada economic growth component; firms operated by inmates - maintenance, food services, laundry, stores.

**Access:** Files are arranged by subject matter.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC COP 500

### Information Management Projects

**Description:** Criminal Justice Information Library – CSC's Data Warehouse project collects operational information from CSC's corporate operational systems, including the Offender Management System (OMS), the Integrated Financial and Material Management System (IFMMS), and the Human Resource System, for the purposes of corporate reporting, performance reporting, and research.

**Topics:** Offender-related, financial-related and HR-related.

**Access:** Records are arranged by Identification Number.

**Format:** Database records

**Program Record Number:** CSC COP 510

### Executive Secretariat

#### Correspondence Management

**Description:** Information on policy and procedures in the handling of correspondence.

**Topics:** Correspondence management - channels of communication, preparation of Treasury Board submissions and ministerial correspondence; signing authorities other than financial; processing of Commissioner's and Senior Deputy Commissioner's mail; inmate and anonymous correspondence; parliamentary matters - questions asked in the House of Commons, Minister's house book, ministerial enquiries, liaison with Minister, Cabinet submissions, Minister's issues book and Personnel Branch input.

**Access:** Files are arranged numerically, by subject.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC ESS 010

#### Enquiries

**Description:** Enquiries made by members of the public, press or Parliament on the Correctional Service of Canada.

**Topics:** Requests to interview officials or offenders; correspondence received on persons thought to be offenders or awaiting transfer to an institution.

**Note:** Access requests for information on persons awaiting transfer to an institution should be made under the Privacy Act. All other access requests for this bank should be made under the Access to Information Act.

**Access:** Files are arranged numerically, by subject.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC ESS 020

### Office of the Deputy Commissioner for Women

#### Women Offenders

**Description:** Information related to the management of women offenders.

**Topics:** General information related to meetings, policies, planning, data on women offenders; budget and resource information; communications; information with respect to various operational and planning committees; institutional and community programs, services and operations; staff training; staffing; federal women's institutions; provincial institutions that house federal women; the Arbour Inquiry; information relating to CSC links to the Elizabeth Fry Society.

**Access:** Files arranged by project name and are

held under file number.

**Format:** Paper case files.

**Program Record Number:** CSC WOS 010

### Performance Assurance

#### Accreditation

**Description:** Information on the accreditation process within the Correctional Service of Canada.

**Topics:** Site accreditation audit reports; site accreditation audit standards; minutes of the National Accreditation Panel; minutes of International Accreditation Panels.

**Access:** Files are arranged by Central Registry file numbers.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC PAS 010

#### Audits

**Description:** Information on the internal audit program within the Correctional Service of Canada including management of the audit function.

**Topics:** Operational audit reports; internal audit plans; internal audit programs and questionnaires; management control framework tools.

**Access:** Files are arranged by Central Registry file numbers.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC PAS 020

#### Ethics and Values and Internal Disclosure

**Description:** Information on the ethics and values and internal disclosure programs within the Correctional Service of Canada.

**Topics:** Reports and records relating to the Internal Disclosure program; annual reports of the Internal Disclosure program; minutes of Ethics and Values Committee Meetings.

**Access:** Files are arranged by case number and by name of individual and by subject matter.

**Format:** Paper format and electronic format with restricted access.

**Program Record Number:** CSC PAS 030

#### Evaluations

**Description:** Information on the evaluation and review program within the CSC, including management of the evaluation function.

**Topics:** Evaluation and review reports of programs, policies, operations and initiatives; annual evaluation plans.

**Access:** Files are arranged by Central Registry file numbers.

**Format:** Electronic and paper case files.

**Program Record Number:** CSC PAS 040

### Inquiries, Commissions, or Committees Addressing Correctional Issues

**Description:** Records on various correctional issues, originated by Boards of Inquiry, Commissions, or Committees.

**Topics:** Canadian Committee on Corrections - Mr. Justice Ouimet; Commission of Inquiry into the Non-medical use of Drugs; Correctional Planning Committee; Doukhobor problems; Fauteux Committee; Joint Committee of the Senate and House of Commons 1965; Justice and Legal Committee of the Senate and House; Provost Commission on the administration of Justice; inquiry of Joseph E. Nuss into the presentation of live entertainment performances at Archambault Institution and Other Federal Institutions; Report of the Correctional Investigator on Allegations of Mistreatment of Inmates at Archambault; murders and assaults in the Ontario Region; Pepino Inquiry (Feb. 1988); A Follow Up to the Pepino Inquiry (May 1990); Creating Choices (Task Force on Federally Sentenced Women - April, 1990); Task Force on Aboriginal Peoples in Federal Corrections (1990-91); Report of the Panel Appointed to Review the Temporary Absence Program for Penitentiary Inmates (Pepino Inquiry III - March, 1992); Task Force on Violence in Federal Institutions (1992); Commission of Inquiry into Certain Events at the Prison for Women in Kingston (Arbour, 1996).

**Access:** Files are arranged by Central Registry numbers.

**Format:** Electronic and paper files.

**Program Record Number:** CSC PAS 050

#### Investigations

**Description:** Records on investigations convened by the Commissioner of Corrections, the Assistant Commissioner, Performance Assurance or the Heads of Operational Units concerning the administration of the Correctional Service of Canada. The lessons learned and best practices identified during these investigations contribute to achieving our mission.

**Topics:** The report resulting from each investigation. This includes: the convening order with terms of reference; the facts pertaining to the situation being investigated, as detailed in a chronology; the issues developed during the investigation; the findings of the board members; and the recommendations made on the basis of these findings.

**Access:** Files are arranged by investigation numbers.

**Format:** Electronic and paper case files are kept in a secure area.

**Program Record Number:** CSC PAS 060



### **Performance Management**

**Description:** Administrative reports and tools on performance measurement. Advice to Executives on Results-Based Management, performance monitoring. Reporting to Central Agencies through Departmental Performance Report, RMAF, etc.

**Topics:** Corporate results, performance reporting, information requests.

**Access:** Central Registry file numbers.

**Format:** Electronic and paper copies.

**Program Record Number:** CSC PAS 070

### **Policy, Planning and Coordination**

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

**Description:** Records on the implementation of the regulations governing access to the Department's recorded information on the following: policies, procedures, interpretations and regulations relating to the privacy of and access to the Department's recorded personal and administrative information.

**Topics:** Personal Information Index; Access Register; statistics; decentralization; recentralization; reading rooms administration; Privacy Commissioner's enquiries - complaints; preparation for compliance; procedures; collection of information; delegation of authority; disclosure - under paragraph 8(2)(m) of the Privacy Act, exemptions; time limits; language; reading rooms; investigative bodies; review of the Access to Information Act and the Privacy Act.

**Access:** Files are arranged by request number

**Format:** Paper case files and electronic case management system.

**Program Record Number:** CSC PPC 010

#### **Intergovernmental Affairs**

**Description:** Records on Federal, Provincial and Territorial Relations, International Relations, multi-national organizations, delegations to/from Canada, and peace support operations.

**Topics:** International technical assistance projects; intergovernmental information sharing; international visits and study programs; participation in international criminal justice organizations; federal/provincial/territorial agreements, meetings and consultations.

**Access:** Files are arranged by jurisdiction (province/territory/country/association) by type of agreement (exchange of services, information sharing/memorandum of understanding/technical services agreement) or by major project type or title (evaluation/assessment/technical assistance/visit).

**Format:** Electronic and paper.

**Program Record Number:** CSC PPC 020

### **Knowledge Management and Policy Development**

**Description:** Records on the development of legislative and regulatory amendments, correctional policy and the knowledge management framework.

**Topics:** Corrections and Conditional Release Act, Corrections and Conditional Release Regulations, knowledge management and project files are arranged by the name of the project.

**Access:** Files arranged by subject matter area according to Information Classification & Scheduling Plan.

**Format:** Electronic and hard copy files. Electronic information is printed and forwarded to hard copy.

**Program Record Number:** CSC PPC 030

### **Rights, Redress and Resolution**

**Description:** Information on the management of rights, redress and resolution.

**Topics:** Welfare - counselling; inmate organizations; legal affairs - legal aid; Correctional Investigator/ombudsman; Canadian Human Rights Commission; inmate rights and responsibilities; administrative boards; United Nations general principles for persons in prisons; inmate affairs - inmate participation in management; inmate committees; grievances - individual grievances, group grievances, reports, Offender Grievance Manual, Inmate Grievance Manual, Offender Redress.

**Access:** Project files are arranged alphabetically by project name and complaint files are arranged by the offenders last name

**Format:** Paper and electronic files.

**Program Record Number:** CSC PPC 040

### **Research**

**Description:** Research, including public opinion research into medical, psychiatric, psychological and socio-behavioral matters, and into matters involving the operation and delivery of correctional programs and services generally, such as, but not limited to, food services, education, employment, social and cultural development and visiting programs.

**Topics:** Research Advisory Council; medical; psychiatric; psychological; nursing, etc.

**Access:** Files are arranged by project name and each Research publication is given a number and filed numerically.

**Format:** Paper and electronic files.

**Program Record Number:** CSC PPC 050

## Strategic and Operational Planning

**Description:** Records on the development and implementation of CSC strategic plans and operational plans and corporate objectives over the medium to long term.

**Topics:** Environmental Scanning, Commissioner's strategic agenda, Permanent Briefing Book, Standing Committee preparation for appearances, CSC Overview, CSC Overview - Women Offenders, Legal Risk Management, Report on Plans and Priorities, Integrated Management Framework, PRAS, Modern Comptrollership, Alternate Service Delivery, call letters, RCAOPs and NCAOP and other correspondence as it relates to operational planning.

**Access:** Files arranged by subject matter and report title area according to information, classification and scheduling plan.

**Format:** Electronic and hard copy.

**Program Record Number:** CSC PPC 060

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Administration and Management Services

Automated Document, Records, Information Management Systems

Business Continuity Plans (BCP)

Hospitality

Human Resources

Information Technology Services

Proactive Disclosure

Relocation

Physical Security

Travel

## Personal Information Banks

### Access and Privacy Requests

**Description:** This bank is located at National Headquarters. It contains the information request applications under the Privacy Act and Access to Information Act for records held by the Correctional Service of Canada (CSC), and the replies to such requests and information related to the processing of such requests. As some Privacy requests are processed at the institutional

or regional level, records can also be held at those locations. The bank holds requests for consultations from other Government Institutions. The bank also holds Requests for Corrections, replies to requests for Corrections and related documents, information on complaints and related information. It is emphasized that when requesting access to this bank, in addition to the other data indicated on the standard Personal Information Request form or on the Access to Information form, individuals must give their full name and DOB; with regard to Privacy requests, offenders and ex-offenders will also give their FPS numbers.

**Class of Individuals:** Individuals who, pursuant to the Privacy Act or Access to Information Act, seek to access information held by the CSC.

**Purpose:** To provide background documentation to assist in the resolution of complaints under the Privacy Act and Access to Information Act; also, for research, statistical and evaluation purposes.

**Consistent Uses:** The bank is used for processing access requests and to report on the number of Privacy and Access requests annually. No data matching occurs. The information can also be used for research, statistical and evaluation purposes.

**Retention and Disposal Standards:** Records are held for two years following the last use for administrative purposes; they are then destroyed.

**Retention and Disposal Standards:** 98/001

**Related PR#:** CSC PPC 010

**TBS Registration:** 003907

**Bank Number:** CSC PPU 130

### Admission and Discharge

**Description:** This bank contains admission and discharge records and data on the personal effects of incoming and outgoing offenders. It also encompasses any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To compile an inventory listing of an offender's cell and stored effects, monies and securities, valuables and other important documents.

**Consistent Uses:** This bank assists in the processing of claims against the Crown and in accessing the personal effects of inmates. Data matching occurs with law enforcement agencies and provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender attains 70 years of

age or five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 050

**TBS Registration:** 001075

**Bank Number:** CSC PPU 025

### **Case Management - Community Bank**

**Description:** Since 1991, as a result of the shift of case preparation from the community to the institutions, the CSC gradually introduced a major change to its case management records system. The existing three-bank case management records system, CSC PPU 035 Case Management - Institution "A", CSC PPU 040 Case Management - Institution "B", CSC PPU 030 Case Management - Community was phased out; as a result of the conversion the CSC has one, single ACTIVE case management bank called "CSC PPU 042 Case Management Bank". (a) ALL the records filed before the conversion on the CSC PPU 030 Case Management Community Bank remain active and are transferred to the new "CSC PPU 042 Case Management Bank", (b) the name CSC PPU 030 Case Management - Community Bank disappears; (c) ALL case management records, be they generated from then on in the institution or in the community, are filed on the one, single case management bank CSC PPU 042 Case Management Bank. Therefore, all the CSC PPU 030 Case Management - Community records that were held on the former CSC PPU 030 Case Management - Community Bank are now all on the CSC PPU 042 Case Management Bank. In order to access a CSC PPU 030 Case Management Community Bank the requestor merely has to request the CSC PPU 042 Case Management Bank and he will thus get all his former CSC PPU 030 Case Management - Community records. Status of CSC PPU 030 Case Management Community Bank for offenders who were under CSC jurisdiction BEFORE the conversion of the case management records system and who DID NOT return under CSC jurisdiction: The CSC PPU 030 Case Management Community Bank remains inactive. This bank remains accessible under the Privacy Act. Status of CSC PPU 030 Case Management Community Bank for offenders who were under CSC jurisdiction BEFORE the conversion but who came back under CSC jurisdiction AFTER the conversion of the case management records system: The CSC PPU 030 Case Management Community Bank is: (a) retrieved from Archives, (b) the name CSC PPU 030 Case Management Community is deleted, (c) the content of this

former CSC PPU 030 Case Management - Community Bank is reactivated and the file is renamed CSC PPU 042 Case Management Bank. From then on, the CSC continues filing ALL case management records on the offender on this one, single, CSC PPU 042 Case Management Bank, be they generated in the community or in the institution." This bank contains records and data on an offender's release programs as well as background information on his/her incarceration. It may contain information provided under expressed or implied confidentiality related to the offender's conduct, such as routine police reports, community investigations and information of a general investigative nature. This bank also encompasses any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution; or individuals who belong (ed) to a provincial jurisdiction but whose case preparation and supervision are (were) effected by the Correctional Service of Canada (Example: provincial offenders serving time in Nova Scotia).

**Purpose:** To provide documentation to assist in the decision-making process for parole.

**Consistent Uses:** This bank is used in the preparation of penitentiary placement and release. Information may be shared with victims or potential victims of offenders, private after-care agencies, government institutions at all levels including foreign governments for the administration of matters such as transfers, employment, education, corrections, health care and social services; for the purposes of applying the Immigration Act; and for monitoring and/or investigating recipients of social benefits such as educational, social welfare and unemployment insurance benefits allocated by municipal, provincial or federal departments; the information may also be shared with accredited domestic and foreign law-enforcement and investigative agencies in the administration or enforcement of the law and in the detection, prevention or suppression of crime generally. Data matching occurs with law enforcement agencies and provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 050

**TBS Registration:** 001076

**Bank Number:** CSC PPU 030

**Case Management - Institution "A" Bank**

**Description:** Status of CSC PPU 035 Case Management - Institution "A" Bank: Only those individuals who served time under the jurisdiction of the CSC BEFORE the conversion of the case management records system that was gradually introduced since 1991, can have information on the CSC PPU 035 Case Management - Institution "A" Bank. At the time of the conversion of the case management records system, CSC PPU 035 Case Management - Institution "A" was rendered inactive. The CSC PPU 035 Case Management - Institution "A" Bank remains accessible under the Privacy Act. This bank contains sensitive information on all offenders incarcerated in federal institutions. It may contain information provided under expressed or implied confidentiality related to the offender's conduct, such as routine police reports, community investigations and information of a general investigative nature. This bank also holds any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Note:** Since 1991, as a result of the shift of case preparation from the community to the institutions, the CSC gradually introduced a major change to its case management records system. The three-bank case management records system, CSC PPU 035 Case Management - Institution "A", CSC PPU 040 Case Management - Institution "B", CSC PPU 030 Case Management - Community was gradually phased out; since the time of the conversion the CSC has one, single ACTIVE case management bank called "CSC PPU 042 Case Management Bank".

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To assist in the case management process for the offender.

**Consistent Uses:** This bank is used in the decision-making process for determining the type of institution in which an offender should be incarcerated and the type of custody; the type and number of escorts required in cases of temporary absences or transfer; plans and progress in regard to preparation for release. Information may be shared with victims or potential victims of offenders, private after-care agencies, government institutions at all levels including foreign governments for the administration of matters such as transfers, employment, education, corrections, health care and social services; for the purposes of applying the Immigration Act; and for monitoring and/or

investigating recipients of social benefits such as educational, social welfare and unemployment insurance benefits allocated by municipal, provincial or federal departments; the information may also be shared with accredited domestic and foreign law enforcement and investigative agencies in the administration or enforcement of the law and in the detection, prevention or suppression of crime generally. Data matching occurs with law enforcement agencies and provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 050

**TBS Registration:** 001077

**Bank Number:** CSC PPU 035

**Case Management - Institution "B" Bank**

**Description:** Status of CSC PPU 040 Case Management - Institution "B" Bank: Only those individuals who served time under the jurisdiction of the CSC BEFORE the conversion of the case management records system that was gradually introduced since 1991, can have information on the CSC PPU 040 Case Management - Institution "B" Bank. At the time of the conversion of the case management records system, the CSC PPU 040 Case Management - Institution "B" Bank was rendered inactive. The CSC PPU 040 Case Management - Institution "B" Bank remains accessible under the Privacy Act. This bank contains applications submitted by an offender as well as notifications given to an offender on case management and financial matters. It also holds any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To record requests and events of short-term significance, such as escorted temporary absence permit, performance notice, application for transfer (inmate), etc.

**Consistent Uses:** This bank is used in the day-to-day management of offenders. Information may also be shared with victims or potential victims of offenders; information may also be shared for the purposes of applying the Immigration Act; and for monitoring and/or investigating recipients of social benefits such as educational, social welfare and unemployment

insurance benefits allocated by municipal, provincial or federal departments; the information may also be shared with accredited domestic and foreign law enforcement and investigative agencies in the administration or enforcement of the law and in the detection, prevention or suppression of crime generally. Data matching occurs with law enforcement agencies and provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 050

**TBS Registration:** 001078

**Bank Number:** CSC PPU 040

### Case Management Bank

**Description:** Since 1991, as a result of the shift of case preparation from the community to the institutions, the CSC gradually introduced a major change to its case management records system. The existing three-bank case management records system, CSC PPU 035 Case Management - Institution "A", CSC PPU 040 Case Management - Institution "B", CSC PPU 030 Case Management - Community was phased out; as a result of the conversion the CSC has one, single ACTIVE case management bank called "CSC PPU 042 Case Management Bank". (a) ALL the records filed before the conversion on the CSC PPU 030 Case Management Community Bank remain active and are transferred to the new "CSC PPU 042 Case Management Bank", (b) the name CSC PPU 030 Case Management - Community Bank disappears; (c) ALL case management records, be they generated from then on in the institution or in the community, are filed on the one, single case management bank CSC PPU 042 Case Management Bank. Therefore, all the CSC PPU 030 Case Management - Community records that were held on the former CSC PPU 030 Case Management - Community Bank are now all on the CSC PPU 042 Case Management Bank. In order to access a CSC PPU 030 Case Management Community Bank the requestor merely has to request the CSC PPU 042 Case Management Bank and he will thus get all his former CSC PPU 030 Case Management - Community records. Status of CSC PPU 030 Case Management Community Bank for offenders who were under CSC jurisdiction BEFORE the conversion of the case management records

system and who DID NOT return under CSC jurisdiction: The CSC PPU 030 Case Management Community Bank remains inactive. This bank remains accessible under the Privacy Act. Status of CSC PPU 030 Case Management Community Bank for offenders who were under CSC jurisdiction BEFORE the conversion but who came back under CSC jurisdiction AFTER the conversion of the case management records system: The CSC PPU 030 Case Management Community Bank is: (a) retrieved from Archives, (b) the name CSC PPU 030 Case Management Community is deleted, (c) the content of this former CSC PPU 030 Case Management - Community Bank is reactivated and the file is renamed CSC PPU 042 Case Management Bank. From then on, the CSC continues filing ALL case management records on the offender on this one, single, CSC PPU 042 Case Management Bank, be they generated in the community or in the institution". This bank contains records, data and sensitive information on all offenders under the responsibility of the Correctional Service of Canada, such as release programs, applications submitted by an offender as well as notifications given to an offender on case management and financial matters. It may contain information provided under expressed or implied confidentiality related to the offender's conduct, such as routine police reports, community investigations and information of a general investigative nature. This bank also holds any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To provide documentation to assist in the case management process for the offender and the decision-making process for parole and to record requests and events of short-term significance, such as escorted temporary absence permit, application for transfer (inmate), etc.

**Consistent Uses:** This bank is used in the day-to-day management of offenders and in the decision-making process for determining the type of institution in which an offender should be incarcerated and the type of custody; the type and number of escorts required in cases of temporary absences or transfer; plans and progress in regard to preparation for release. Information may be shared with victims or potential victims of offenders, private after-care agencies, government institutions at all levels including foreign governments for the administration of matters such as transfers, employment, education, corrections, health care and social

services; for the purposes of applying the Immigration Act; and for monitoring and/or investigating recipients of social benefits such as educational, social welfare and unemployment insurance benefits allocated by municipal, provincial or federal departments. The information may also be shared with accredited domestic and foreign law-enforcement and investigative agencies in the administration or enforcement of the law and in the detection, prevention or suppression of crime generally. Data matching occurs with law enforcement agencies and provincial authorities.

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 050

**TBS Registration:** 003195

**Bank Number:** CSC PPU 042

#### Claims

**Description:** This bank contains records on claims by and against the Crown, and debt due to and against the Crown, including the nature of the claim and settlement transactions which may result.

**Note:** In addition to the requirements specified on the Personal Information Request Form, individuals requesting information concerning them in this bank must specify the institution and the approximate date, and any other identifying data that would help to expedite the processing of their request.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To document all claims involving the Crown and federal offenders.

**Consistent Uses:** This bank is used to assess the validity of claims and to determine monetary settlements for compensation.

**Retention and Disposal Standards:** Records are retained for 6 fiscal years after all actions relating to the settlement of the claim have been taken and then they are destroyed..

**RDA Number:** 99/00

**Related PR#:** CSC PPC 040

**TBS Registration:** 002675

**Bank Number:** CSC PPU 120

#### Discipline and Dissociation

**Description:** This bank contains discipline and dissociation records and data on disciplinary measures taken against the offender as a result of breaches of institutional regulations, or irregularities. It also encompasses any

operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To document disciplinary measures taken against an offender.

**Consistent Uses:** To assist in the decision-making process for parole, temporary absence and transfer applications as well as in sentence calculation. Data matching occurs with provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 130, 390

**TBS Registration:** 001079

**Bank Number:** CSC PPU 045

#### Education and Training

**Description:** This bank contains education and training records and data created while an offender is incarcerated in an institution. It also encompasses any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** The purpose of this bank is to document the education and training progress of an offender.

**Consistent Uses:** The information is used to monitor an offender's education and training progress. Information may be shared with the private sector, other federal departments/agencies, and provincial, regional and municipal levels of government in areas such as corrections, social services, health, education and employment. Data matching occurs with provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until an offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives.

**RDA Number:** 96/048

**Related PR#:** CSC COP 140

**TBS Registration:** 001080

**Bank Number:** CSC PPU 050

## Employer Programs

**Description:** This bank contains records on individuals, groups, agencies or firms who are involved in creating work opportunities for offenders, such as joint venture projects, or who wish to obtain goods produced and/or services provided by offenders.

**Note:** In addition to the requirements specified on the Personal Information Request Form, individuals requesting information concerning them in this bank must provide the approximate dates and the institution or the region where they offered their services, and any other identifying data that may expedite the processing of their request.

**Class of Individuals:** Individuals who are involved in creating work opportunities for offenders.

**Purpose:** It is used to manage offender employment programs, to record their expenditures and revenues, to market offender goods and services and to provide statistical and other data about these programs. No data matching occurs.

**Retention and Disposal Standards:** Retained for six years. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 98/023

**Related PR#:** CSC COP 500

**TBS Registration:** 003349

**Bank Number:** CSC PPU 095

## Employment

**Description:** This bank contains records and data on an offender's employment within the institution and the community. It also encompasses any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To evaluate and assess an offender's progress and employability.

**Consistent Uses:** To monitor and evaluate employment and pay progress. Information may be shared with the private sector, other federal departments/agencies, provincial, regional and municipal levels of government in areas such as corrections, social services, health, education and employment. Data matching occurs with provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are

transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 230

**TBS Registration:** 001081

**Bank Number:** CSC PPU 055

## International Transfers

**Description:** This bank, located at National Headquarters, contains applications for transfer, offender personal data, family data, citizenship data, case histories, offence data, sentence data, warrant(s) of committal and confirmation of judgement. It may also contain other documents specifically required by individual countries.

**Class of Individuals:** Canadians who are or have been incarcerated abroad or foreign offenders who are incarcerated in a Canadian federal institution and have requested a transfer to their country of origin.

**Purpose:** To provide documentation in order to assist and support the decision-making process for international transfers.

**Consistent Uses:** This bank is used to prepare international transfer cases. Information may be shared with the Department of Justice, Department of External Affairs and Employment and Immigration.

**Retention and Disposal Standards:** The records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 98/023

**Related PR#:** CSC COP 460

**TBS Registration:** 002681

**Bank Number:** CSC PPU 125

## Mother Child Program

**Description:** This bank permits the storage and retrieval of records and data on a woman offender's participation in the Mother-Child Program while ensuring the rights of children and information concerning children involved in the program are protected. These records are used to document the participation of the woman her child(ren) in the mother-child program and will follow the offender through incarceration and into the community.

**Class of Individuals:** Women who are or have been incarcerated in a federal institution as well as their children who participate in the program.

**Purpose:** To maintain a record of the mother and her child(ren)'s participation in the mother-child program.

**Consistent Uses:** These records are used to document the participation of the offender and her child(ren) in the mother-child program and will

follow the offender through incarceration and into the community. They include documents that address application to, participation in and/or termination of the program, all operational, security and program aspects of the woman her child(ren)'s participation in the program, Parenting Agreements, case reviews, health information on the child, information from outside sources (e.g. child welfare agencies), etc.

**Retention and Disposal Standards:** This bank is retained until the woman reaches 70 years of age or 5 years after the last warrant expiry date, whichever is the longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC WOS 010

**TBS Registration:** 005332

**Bank Number:** CSC PPU 096

### **Offender Grievances**

**Description:** This bank, at the different levels, contains complaints and grievances presented by offenders; receipt notices and replies by management; testimony by witnesses; legal opinions; investigation and analysis reports; and all correspondence about grievances.

**Note:** Since this bank does not follow the offender during his/her incarceration, in addition to the requirements specified on the Personal Information Request Form, individuals requesting information concerning them in this bank must provide the location where the grievance was filed (Institution, Regional Headquarters or National Headquarters), and any other identifying data that would help to expedite the processing of their request.

**Class of Individuals:** Individual who are or have been incarcerated in a federal institution and who have presented a grievance.

**Purpose:** The purpose of this bank is to record information used in the grievance process through all levels.

**Consistent Uses:** Information contained in this bank is used exclusively to accommodate and, where possible, resolve grievances through all levels in the grievance process. No data matching occurs.

**Retention and Disposal Standards:** Individual case files created at the first and second levels are to be kept two years after settlement then destroyed. Individual case files created at the third level are to be kept five years after settlement then transferred to National Archives for historical purposes.

**RDA Number:** 98/023

**Related PR#:** CSC PPC 040

**TBS Registration:** 001584

**Bank Number:** CSC PPU 082

### **Offender Health Care**

**Description:** All information held in this bank is held in the personal medical files of inmates. Therefore any use made of or access to that information is permitted only within the strict guidelines of health professionals associations and Canadian legislation that protect private medical information. This bank contains records on an offender's health care within the federal institution and the community; the treatment provided and related information. The records within the bank are segregated into three dockets, namely, medical and surgical, dental, and psychiatric. The dockets contain health care histories, test results and interpretations, X-rays, treatment provided and related information. Information filed on the psychiatric docket includes, although not exclusively, all documentation prepared on an offender to determine if there is a requirement to transfer the subject to a psychiatric treatment centre.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** The bank is used for treatment purposes, and to record and respond to offender health care problems such as illness or injury.

**Consistent Uses:** Certain health care records are used for research, evaluation and training purposes, but no decisions directly affecting the individual result from these uses. Information may also be shared with the private sector in the areas of health and social services, and with the public sector in the areas of health and social services, the Employment Accident Compensation Program and corrections. Information contained in this bank may also be shared with members of CSC Boards of Investigations, or health care professionals designated by such Boards, for the purpose of conducting investigations pursuant to the Corrections and Conditional Release Act. Data matching of health information does not occur in the sense implied by this document – the "Additional Information" section references OMS – because health information is not yet available electronically. Once there is an electronic health information system, health information will only be shared with the offender's specific informed consent as per CSC policy, professional codes of conduct and Canadian law. At this time, when necessary and with offender consent, specific health information is shared as part of an application for conditional release, etc.

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of



age or until five years after the last warrant expiry date, whichever is longest.

**Note:** However, with respect to X-ray films, these records are retained, at the institution of taking, for a minimum of five calendar years. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 110, 170, 180, 330, 340

**TBS Registration:** 003345

**Bank Number:** CSC PPU 060

### Offender Information

**Description:** This bank, located at National Headquarters, contains administrative records of a general nature and background information on all aspects of an offender's incarceration in a federal institution. It may contain copies of correspondence retained on other offender banks at the institutional level.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution and have written correspondence to the Minister or the Commissioner.

**Purpose:** To provide documentation to assist in the decision-making process for sentence administration, institutional program planning and release on parole.

**Consistent Uses:** This bank is used to prepare ministerial correspondence and to assist in processing claims against the Crown.

**Retention and Disposal Standards:** Records are retained for five years after last action is complete. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 71/023

**Related PR#:** CSC COP 050, 110, 130, 140, 160, 170, 180, 230, 330, 340, 390, 420, 480

**TBS Registration:** 002674

**Bank Number:** CSC PPU 115

### Open Competitions

**Description:** This bank contains information on individuals who have responded to an open competition notice posted by the Correctional Service of Canada. The information includes requests to staff a position, all information regarding the position, all advertising data, all applications and interview data on applicants, screening and selection board reports, offers of appointment and appointment documents.

**Note:** In addition to the requirements specified on the Personal Information Request Form, individuals requesting information concerning them in this bank must specify the competition number the approximate date and location, and any other identifying data that would help to expedite the processing of their request.

**Class of Individuals:** Individuals who have responded to an open competition notice posted by Correctional Service Canada.

**Purpose:** It is used to staff positions through open competitions on referral from applicant inventory, and for statistical studies.

**Consistent Uses:** Data matching occurs with previous employers (federal, provincial and private) and law enforcement agencies. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are disposed of two years after the date of selection of applicant by the competition board. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 98/005

**TBS Registration:** 003350

**Bank Number:** CSC PPU 100

### Pardons

**Description:** When an offender is granted a pardon under the Criminal Records Act, all personal information banks pertaining to that individual are segregated from the regular records holdings and are not disclosed for any purpose unless the pardon is revoked and the records are returned to the regular records holdings.

**Note:** In addition to the requirements specified on the Personal Information Request Form, individuals requesting information concerning them in this bank must provide the approximate date, a copy of their pardon certificate, and any other identifying data that would help to expedite the processing of their request.

**Class of Individuals:** Individuals who have been incarcerated in a federal institution or supervised by a federal parole office and have been granted a pardon.

**Purpose:** The purpose of this bank is to store and protect records of pardons granted under the Criminal Records Act.

**Consistent Uses:** These records cannot be used for any purpose. No data matching occurs.

**Retention and Disposal Standards:** The records are normally retained until the offender reaches 80 years of age. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 98/001

**Related PR#:** CSC COP 050, 110, 130, 140, 160, 170, 180, 230, 330, 340, 390, 420, 480

**TBS Registration:** 002121

**Bank Number:** CSC PPU 110

### Personal Information Disclosed to Federal Investigative Bodies

**Description:** In accordance with subsection 8(4) of the Privacy Act, this bank, located at National

Headquarters, has been established to retain copies of requests received from, and replies to such requests with related details, to authorized federal investigative bodies for personal information pursuant to paragraph 8(2)(e) of the Privacy Act, for the purpose of enforcing a law of Canada or a province, or carrying out a lawful investigation.

**Class of Individuals:** Individuals about whom requests for personal information have been received pursuant to paragraph 8(2)(e) of the Privacy Act from federal investigative bodies for the purpose of enforcing a law of Canada or a province, or carrying out a lawful investigation.

**Purpose:** The purpose of this bank is to permit the Privacy Commissioner to review disclosures, and the number thereof, that are made under paragraph 8(2)(e) of the Privacy Act to federal investigative bodies for the purpose of enforcing a law of Canada or a province or for carrying out a lawful investigation.

**Consistent Uses:** Information contained in this bank may be shared with federal investigative bodies such as, but not exclusively, the RCMP, the Intelligence Division of the Department of National Revenue (Customs and Excise), the Security Section of the Passport Office in the Department of External Affairs, etc. No data matching occurs.

**Retention and Disposal Standards:** Records are retained for two years after completion of the request; they are then destroyed.

**RDA Number:** 98/001

**Related PR#:** CSC PPC 010

**TBS Registration:** 001582

**Bank Number:** CSC PPU 089

### Personal Services Contracts

**Description:** This bank contains records on individuals who have entered into a personal service contract with Correctional Service of Canada. It includes the duties, length of service, remuneration and any other approved terms and conditions deemed necessary.

**Note:** In addition to the requirements specified on the Personal Information Request Form, individuals requesting information concerning them in this bank must specify the number of the contract of interest to them, and any other identifying data that would help to expedite the processing of their request.

**Class of Individuals:** Individuals who have entered into a personal service contract with Correctional Service of Canada.

**Purpose:** To compile all relevant information regarding personal service contracts. It is used to monitor and evaluate performance and to verify

entitlements.

**Consistent Uses:** Data matching occurs with previous employers (federal, provincial and private) and law enforcement agencies. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are disposed of six fiscal years after completion of the contract. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 98/005

**TBS Registration:** 003351

**Bank Number:** CSC PPU 105

### Preventive Security Records

**Description:** This bank contains records, such as incident reports, police intelligence reports, criminal profiles, modus operandi and any other data related to incidents.

**Class of Individuals:** Individuals who provided information or are involved or implicated in incidents.

**Purpose:** To prevent, reduce and control various incidents. These records are also used to assist in the classification, transfer and special handling of dangerous offenders.

**Consistent Uses:** The information may also be shared with accredited domestic agencies in the administration or enforcement of the law and in the detection, prevention or suppression of crime generally.

**Retention and Disposal Standards:** The records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 160, 390

**TBS Registration:** 002685

**Bank Number:** CSC PPU 065

### Psychiatric Treatment Centres

**Description:** This bank contains psychiatric records and some medical information pertaining to offenders treated in psychiatric treatment centres. The federal psychiatric treatment centres are: the Regional Treatment Centre at Dorchester Penitentiary (Atlantic Region), the Mental Health Regional Unit at Archambault Institution (Quebec Region), the Regional Treatment Centre (Ontario Region), the Regional Psychiatric Centre (Prairie Region), and the Regional Psychiatric Centre (Pacific Region).

**Note:** Since this bank does not follow the offender during his/her incarceration, in addition to the requirements specified on the Personal Information Request Form, individuals requesting

information concerning them in this bank must specify the federal psychiatric facility where the treatment was administered, and any other identifying data that would help to expedite the processing of their request.

**Class of Individuals:** Individuals who are, or have been, incarcerated in a federal psychiatric treatment centre.

**Purpose:** This bank is used for treatment purposes and to record offenders' mental health problems.

**Consistent Uses:** The information recorded in this bank can be used for the transference of the offender to a provincial psychiatric treatment centre after the last warrant expiry date.

Information may also be shared with the private sector, and with the public sector in the areas of health, social services and corrections.

Information contained in this bank may also be shared with members of CSC Boards of Investigations, or health care professionals designated by such Boards, for the purpose of conducting investigations pursuant to the Corrections and Conditional Release Act. Data matching occurs with NPB, law enforcement agencies and provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 330

**TBS Registration:** 001585

**Bank Number:** CSC PPU 061

### Psychology

**Description:** This bank contains psychological records and data such as psychological assessments, test results, and correspondence related to the offender's treatment.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To provide a psychological profile of an offender and to determine any treatment required.

**Consistent Uses:** The bank assists in individual program planning, classification of an offender and transfers; and allows the monitoring of psychological treatment received. Information may be shared with the private sector, other federal departments and other levels of government in the areas of corrections and social services, health care, education and employment. Information contained in this bank may also be shared with members of CSC Boards of

Investigations, or health care professionals designated by such Boards, for the purpose of conducting investigations pursuant to the Corrections and Conditional Release Act. Data matching occurs with law enforcement agencies and provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 340

**TBS Registration:** 001082

**Bank Number:** CSC PPU 070

### Sentence Management

**Description:** This bank contains records and data related to the administration of an offender's sentence such as records of earned remission, sentence computation and transfer warrant. It also encompasses any operational information in this area that may be required by the CSC to carry out its mandate under the relevant statutes.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution.

**Purpose:** To ensure that policies and procedures on the administration of the offender's sentence are followed.

**Consistent Uses:** To control the administration and legal documents pertaining to an offender's incarceration. Information may be shared with victims or potential victims of offenders, private after-care agencies, government institutions at all levels including foreign governments for the administration of matters such as transfers, employment, education, corrections, health care and social services; for the purposes of applying the Immigration Act; and for monitoring and/or investigating recipients of social benefits such as educational, social welfare and unemployment insurance benefits allocated by municipal, provincial or federal departments; the information may also be shared with accredited domestic and foreign law-enforcement and investigative agencies in the administration or enforcement of the law and in the detection, prevention or suppression of crime generally. Data matching occurs with law enforcement agencies and provincial authorities. Details on data matching are found under the heading of "Additional Information".

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry

date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC COP 420

**TBS Registration:** 001083

**Bank Number:** CSC PPU 075

### Victims

**Description:** This bank contains correspondence exchanges between the Correctional Service and victims of crime where the offenders are or have been incarcerated in federal institutions. The bank contains the names and contact information of recognized victims of crime as defined in subsections 2(1) and 26(3) of the Correctional and Conditional Release Act (CCRA), and any correspondence with recognized victims pertaining to the request and/or the provision of information about the offender as outlined in section 28 of the CCRA. Such information may include: a) the offender's name, the offence of which the offender was convicted and the court that convicted the offender, the date of commencement and length of the sentence that the offender is serving, and eligibility dates and review dates applicable to the offender in respect of temporary absences or parole; b) where it is determined that the interest of the victim in such disclosure clearly outweighs any invasion of the offender's privacy that could result from the disclosure, the offender's age; the location of the penitentiary in which the sentence is being served; the date, if any, on which the offender is to be released on temporary absence, work release, parole or statutory release; the date of any hearing for the purposes of a review under section 130; any of the conditions attached to the offender's temporary absence, work release, parole or statutory release; the destination of the offender on any temporary absence, work release, parole or statutory release, and whether the offender will be in the vicinity of the victim while travelling to that destination; whether the offender is in custody and, if not, the reason why the offender is not in custody; the name of the province in which the provincial correctional facility is located where a person has been transferred from a penitentiary to a provincial correctional facility. In addition, this bank stores any record containing extremely sensitive information about victims of crime that, if revealed, could endanger the life of the victims of crime.

**Class of Individuals:** Individuals who are recognized victims of crime as defined in section 2 and subsection 26(3) of the Corrections and Conditional Release Act.

**Purpose:** This information is used to administer

the provision of information to recognized victims of crime. It also provides enhanced protection for the storage and handling of extremely sensitive information that, if revealed, could endanger the life of victims of crime.

**Consistent Use:** There is no consistent use or data matching.

**Retention and Disposal Standards:** Non historical records are retained until the offender reaches seventy years of age or until five years after the last warrant expiry date of the offender, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048

**Related PR#:** CSC CES 050

**TBS Registration:** 005389

**Bank Number:** CSC PPU 135

### Visits and Correspondence

**Description:** This bank contains records and data on an offender's visits and correspondence, such as applications for participation in visiting programs, declaration of common-law union, and listing of visitors.

**Note:** In addition to the requirements specified on the Personal Information Request Form, individuals requesting information concerning them in this bank must include the name, FPS number and place of incarceration of the inmate whom they wish to visit or correspond with, and any other identifying data that would help to expedite the processing of their request.

**Class of Individuals:** Individuals who are or have been incarcerated in a federal institution and individuals who have visited or corresponded with them.

**Purpose:** To administer the offender's visits and correspondence privileges.

**Consistent Uses:** To control the entrance of visitors or contraband into an institution. Information may be shared with victims or potential victims of offenders, private after-care agencies, other government institutions at all levels including foreign governments for the administration of matters such as transfers, employment, education, corrections, health care and social services; the information may also be shared with accredited domestic and foreign law-enforcement and investigative agencies, the NPB and provincial authorities in the administration or enforcement of the law and in the detection, prevention or suppression of crime generally.

**Retention and Disposal Standards:** Records are retained until the offender reaches 70 years of age or until five years after the last warrant expiry date, whichever is longest. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 96/048  
**Related PR#:** CSC COP 480  
**TBS Registration:** 001084  
**Bank Number:** CSC PPU 080

### Volunteers

**Description:** This bank contains records of individuals offering their services on a voluntary basis. Information includes addresses, telephone numbers, biographies, resumes, and security clearances.

**Note:** In addition to the requirements specified on the Personal Information Request Form, individuals requesting personal information contained in this bank must provide the approximate dates and the institution where they worked as volunteers, and any other identifying data that may expedite the processing of their request.

**Class of Individuals:** Individuals (excluding offenders) who are, or have been, volunteers.

**Purpose:** To administer individual volunteer efforts within CSC operational units.

**Consistent Uses:** It is used to maintain an inventory of volunteers, and to monitor and control volunteers' activities and achievements. No sharing of records outside of CSC and no data matching occurs.

**Retention and Disposal Standards:** Retained for ten years. Historical records are transferred to the National Archives of Canada.

**RDA Number:** 98/023  
**Related PR#:** CSC CES 040  
**TBS Registration:** 003348  
**Bank Number:** CSC PPU 090

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks.

Access to Information and Privacy Requests  
 Automated Document, Records, Information Management Systems  
 Business Continuity Plans  
 Electronic Network Monitoring Logs  
 Executive Correspondence Management Systems  
 Hospitality  
 Internal Disclosure of Wrong Doing in the Workplace  
 Relocation

Security Video Surveillance & Temporary Visitor Access Control Logs & Building Passes

Travel

## Classes of Personal Information

### Administrative Inquiries

This group is a class of records on incidents involving offenders, staff or members of the public regarding injury sustained while on institutional property, damage or loss of personal property or departmental property and other unusual incidents such as fires which might result in a claim against the Crown. Individuals seeking access to these records must provide the location and the approximate date the inquiries were held. This class of records is used to process claims for and against the Crown, to establish the nature and length of disabilities and to determine the need for establishing or revising internal operating procedures. Records are retained for twenty-five years. Historical records are transferred to the National Archives of Canada.

### Appreciation, Complaints, Inquiries

This group is a class of records generated by members of the public, or staff such as: letters of appreciation, complaints and general inquiries. The data contained in this class of records is only used for an administrative purpose in cases where a complaint or inquiry is acted upon. Individuals seeking access to these records must provide the approximate date that the letter of appreciation, complaint or inquiry was initiated. These records are retained for two years. Historical records are transferred to the National Archives of Canada.

### Complaints and Criticisms

This group is a class of records on complaints or criticisms received from staff regarding conditions of employment, including those from the Human Rights Commission and the Anti-discrimination Branch of the Public Service Commission. Individuals seeking access to these records must provide the approximate date the complaint or criticism was lodged. This class of records is used to record information dealing with complaints or criticisms involving staff and to make specific decisions to resolve the matter. Records are retained for three years.

### Correctional Investigator Inquiries Records

This group is a class of records on inquiries initiated by the Correctional Investigator. This class of records is used to analyze and make action recommendations resulting from these inquiries conducted by the Correctional

Investigator. These records are retained for twenty-five years. Historical records are transferred to the National Archives of Canada. Data matching occurs with the correctional investigator.

### **Disciplinary Court Hearings**

This group is a class of records on disciplinary court hearings. For each session of disciplinary court, audio recordings are made which contain the transcripts of the hearings on offenders who have been charged while incarcerated in an institution. This class of records is used to make decisions on the discipline of offenders resulting from the disciplinary court and during the grievance process. Individuals seeking access to these records must provide the name of the institution in which they were charged and the date of the disciplinary hearing. It should be noted, however, that the offender may obtain records by sending a written request directly to the warden of the institution where the disciplinary hearing occurred. These records are retained for two years following the suspension of all actions relating to the disciplinary hearing. No data matching occurs.

### **Information Services - Inquiries**

This group is a class of records on miscellaneous inquiries received from the public, outside organizations and other government departments on services performed by the Department. This class of records is used to respond to requests to interview employees and offenders from external sources such as the media and provincial organizations. Individuals seeking access to these records must provide the approximate date that the inquiry was initiated. These records are retained for two years. Historical records are transferred to the National Archives of Canada.

### **Institutional Security Threats**

This group is a class of records on national and international groups, organizations and criminals. This class of records is used to provide background information on threats to institutional security and to provide reports on all security investigations to aid in preventing recurrences. Individuals seeking access to these records must provide the location and approximate date of the threat or investigation. These records are retained for ten years. Historical records are transferred to the National Archives of Canada. Data matching occurs with NPB, law enforcement agencies and provincial authorities.

### **Ministerial Inquiries**

This group is a class of records on inquiries received from the public, outside organizations and other government departments on parliamentary matters and material agendas and decisions of Cabinet. This class of records is used to prepare ministerial correspondence resulting from these inquiries. Individuals seeking access to these records must provide the subject matter, and approximate date the inquiry was initiated. Records are retained for five years. Historical records are transferred to the National Archives of Canada.

### **Research/Public Opinion Research**

This is a class of records generated by research subjects, offenders or staff who participate in research, including public opinion research, on a vast spectrum of topics, conducted in the Correctional Service of Canada. Retrievable records consist of data gathering instruments such as, but not exclusively, questionnaires containing personal information that reveals the identification of the research subject. Data contained in this class of records are not used for administrative purposes. Individuals seeking access to these records must provide the title of the research project in which they participated, the location and date of the research, and any other data that may help to identify and locate the personal information they are seeking. No data matching occurs.

### **Security Inquiries**

This group is a class of records on serious security incidents. For each incident, the report includes the inquiry terms of reference, facts gathered and recommendations. This class of records also encompasses police reports and intelligence assessments and is used to provide documentation to prevent recurrences of security incidents. Individuals seeking access to these records must provide the type of incident, the location and approximate date of the incident. These records are retained for twenty-five years. Historical records are transferred to the National Archives of Canada. Data matching occurs with NPB, law enforcement agencies and provincial authorities.

### **Special Investigations**

This group is a class of records on special investigations performed by the Performance Assurance Sector on a wide variety of operational matters. The reports of the investigations include the terms of reference, facts gathered and recommendations. This class of records is used to resolve incidents involving offenders or

employees and to correct, where required, methods of operation and internal procedures. Individuals seeking access to these records must provide the investigation, the location and approximate date it was initiated. Records are retained for twenty-five years. Historical records are transferred to the National Archives of Canada.

## Manuals

- Case Management Manual
- Corcan Code Book
- CSC Directives
- CSC Guidelines
- Forms Catalogue
- Grievance Manual
- Inmate Pay Manual
- Medical and Health Care Services Manual
- Records Classification and Scheduling Plan
- Records Management Manual
- Sentence Administration Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

General Information on Data Matching / Data Sharing

### Data Matching - Data Sharing

Within the mandate of the Correctional Service of Canada (CSC) is the requirement to share data with other areas of the Criminal Justice Community, to ensure that offenders are appropriately managed in a safe, secure and humane environment, and to ensure the safety of the offender, other inmates, staff and the community at large. Also, in order to accomplish its mandate the Service needs the information provided by other agencies and therefore matching/sharing is conducted.

Data Matching/Data Sharing with Law Enforcement Agencies (municipal, provincial, international, federal police forces or another law enforcement body)

Following an offender's sentence to a federal institution, the CSC requests the criminal record

(history information) from the Royal Canadian Mounted Police (RCMP). This information is used to assess the impact of the offender's criminal behaviour and to alert staff who will deal with the offender. CSC also requests a police report from the arresting and/or investigating law enforcement body in order to have a full understanding of the events surrounding the offence.

Following a sentence to a federal institution in the case of foreign nationals, the CSC must also request from the Inland Service (Immigration) that they provide it with information that is relevant to the administration of the offender's sentence and to the case management process.

When an offender is released to the community, there is a requirement to notify the RCMP and/or the local police force, and, when necessary, the Inland Service (Immigration), of the offender's address and the terms and conditions of the release. If an offender violates conditions of release, or is considered to be a risk, CSC will issue a warrant for the apprehension of the offender. The warrant is transmitted to the local police and the data is entered into the Canadian Police Information Centre (CPIC) system. The police is requested to locate and apprehend the offender.

### Data Matching/Data Sharing with the National Parole Board

CSC data is shared with the National Parole Board (NPB). With the current renewal of the OMS by both CSC and NPB, seamless data/information sharing continues to occur and be a priority for both organizations.

While it is CSC's responsibility to manage the offenders for the duration of their sentence, it is the NPB's responsibility to assess the offenders' progress during incarceration, their risk to society, and their potential for successful reintegration into the community as law-abiding citizens. CSC information is shared with NPB pertaining to all aspects related to an offender prior to and during incarceration. Once NPB has assessed the information, and through a hearing process, makes their decision, CSC is notified. If the NPB makes a decision to conditionally release an offender, it is CSC staff who are responsible for the supervision and control of the offender in the community and keeping NPB informed of the offender's progress.

### Data Matching/Data Sharing with Provincial Authorities

An offender, who is sentenced to a period of incarceration of two years or more, will serve this

sentence under the jurisdiction of CSC. Offenders sentenced to less than two years will serve their sentence under a provincial jurisdiction. However, CSC is doing the case preparation and supervision for some provinces that do not have a parole board.

Often an offender will have a history of provincial incarceration, further, prior to sentencing the offender could be held in a provincial institution or a remand centre. Information collected during any period of incarceration is deemed significant and sometimes crucial to the successful management of that offender. It is for these reasons that information is routinely shared between CSC and provincial authorities, which include also the boards of education and hospitals.

Information is also requested from the sentencing judge and could also be requested from the crown attorney, from provincial parole and probation services. CSC uses this information in the management of the offender and decision-making process.

#### **Method of Data Matching/Data Sharing**

In the preceding descriptions of CSC data matching/sharing, every effort is taken to ensure that the data matched/shared concerns the same individual. In order to validate that the different agencies are dealing with the same individual, a number of personal identifiers are matched. These include: name, sex, date of birth, finger print series number (FPS) and in some cases physical features.

CSC may conduct or assist others in conducting ad hoc data matching/sharing for the purpose of the enforcement of any law (i.e. Criminal Code).

#### **Atlantic Region**

Correctional Service of Canada  
1045 Main Street, 2nd Floor  
Moncton NB E1C 1H1

#### **National Headquarters**

Communications and Consultation Sector  
Correctional Service of Canada  
340 Laurier Avenue West  
Ottawa ON K1A 0P9  
Tel.: (613) 992-8421

#### **Ontario Region**

Correctional Service of Canada  
440 King Street West  
P.O. Box 1174  
Kingston ON K7L 4Y8

#### **Pacific Region**

Correctional Service of Canada  
32560 Simon Avenue  
P.O. Box 4500  
Abbotsford BC V2T 5L7

#### **Prairie Region**

Correctional Service of Canada  
2313 Hanselman Place  
P.O. Box 9223  
Saskatoon SK S7K 3X5

#### **Québec Region**

Correctional Service of Canada  
3 Place Laval, 2nd Floor  
Laval QC H7N 1A2

#### **Reading Room**

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:

340 Laurier Avenue West  
Ottawa, Ontario.

Reading rooms are also available at each of the regional headquarters mentioned above



# Defence Construction Canada

## Chapter 53

### General Information

#### Background

Defence Construction (1951) Limited is a Crown corporation as defined in Part X of the Financial Administration Act and as listed in Schedule III, Part 1 of that Act. The company is the contracting and supervisory agent for the facilities infrastructure and environmental programs of the Department of National Defence. Under the Federal Identity Program, the company is also known as Defence Construction Canada. It reports to Parliament through the Minister of Public Works and Government Services.

#### Responsibilities

Defence Construction Canada provides architectural and engineering consultant contracting and contract administration services, as well as project management support, and contracting and contract management for both the construction and environmental remediation programs of the Department of National Defence.

#### Legislation

- Defence Production Act

#### Organization

##### Office of the President

The overall operations of the corporation are directed by the President.

##### Corporate Services Division

This division is managed by the Vice-President, Corporate Services and Chief Financial Officer, who is also Secretary Treasurer of the Company. The Division is responsible for all internal support functions, including finance and accounting, information services, administrative services and human resources.

##### Operations Division

This Division is headed by a Vice-President, Operations and Chief Engineer. The Operations Division oversees all construction contract management, the activity which makes up the Company's main business, as well as all project management support. The Division includes a service delivery unit at Head Office, four regional

offices and site offices at every active Canadian Forces establishment across the country. The Division's function spans activities from contract award through the end of the warranty period.

##### Contract Services Division

This Division is managed by the Vice-President of Contract and Client Services. It oversees all procurement activities for professional, construction and environmental services.

### Information Holdings

#### Program Records

##### Project Initiation for construction, maintenance and consultant contracts

**Description:** Information on project initiation for construction, maintenance and consultant contracts.

**Topics:** Request for contract from National Defence; correspondence from initiation of project to award; tender package; amendments; expressions of interest; proposals; offer of service; source lists; contracts.

**Access:** Files arranged by project number, contract number, location and type of project (construction, maintenance and consultant).

**Format:** Paper files, Plans, Photographs, Financial Data Bank.

**Program Record Number:** DCC PC 00-06

##### Administration of construction, maintenance and consultant contracts

**Description:** After award of contract, the project initiation file is transferred to the appropriate operational office that will be administering the contract.

**Topics:** Project initiation documents; general correspondence; project schedule; diaries; financial records; change orders; shop drawings; contract close-out; consultant/testing contracts; design consultant contracts; recoverable contracts; audits.

**Access:** Files arranged by project number, contract number, location and type of project (construction, maintenance or consultant).

**Format:** Paper files, Plans, Photographs, Data Bank.

**Program Record Number:** DCC PO 00-13

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting  
 Administration  
 Administration and Management Services  
 Audits  
 Budgets  
 Employment and Staffing  
 Equipment and Supplies  
 Finance  
 Furniture and Furnishings  
 Human Resources  
 Occupational Health, Safety & Welfare  
 Office Appliances  
 Official Languages  
 Pensions and Insurance  
 Procurement  
 Salaries and Wages  
 Training and Development

## Personal Information Banks

### Construction and Maintenance Contracts

**Description:** This bank contains records and data relating to the administration of each contract. The data includes project initiation documents (requests for contracts from the Department of National Defence, tender forms and associated documents, contracts); general correspondence, project schedule, diaries, financial records (progress claims), change orders, shop drawing with approvals, contract close-out (substantial and final completion forms), audits.

**Class of Individuals:** Construction companies who have been awarded a construction or maintenance contract.

**Purpose:** This bank is used as a reference so that all transactions between the contractor and Defence Construction (1951) Limited are carried out in accordance with the terms of the contract.

**Consistent Uses:** The information is to be used for the purpose outlined in the Purpose of the bank. No matching activities are applicable. Information may be disclosed with adequate proof of identification and/or authority.

**Retention and Disposal Standards:** Inactive records are retained for seven years and are kept at a regional federal records centre. The federal records centre retains, maintains and disposes of these records.

**RDA Number:** 2002/008

**Related PR#:** PC 00-06, PO 00-13

**TBS Registration:** 003786

**Bank Number:** DCC PPU 005

### Consultant Contract Records

**Description:** This bank contains records and data relating to the administration of each contract. The data includes project initiation documents (requests for contracts from the Department of National Defence, correspondence on contract negotiations, contracts), change orders, progress claims and other correspondence.

**Class of Individuals:** Consulting companies who have been awarded a contract.

**Purpose:** This bank is used as a reference so that all transactions between the consultant and Defence Construction (1951) Limited are carried out in accordance with the terms of the contract.

**Consistent Uses:** The information is to be used for the purpose outlined in the Purpose of the bank. No matching activities are applicable. Information may be disclosed with adequate proof of identification and/or authority.

**Retention and Disposal Standards:** Inactive records are retained for seven years and are kept at a regional federal records centre. The federal records centre retains, maintains and disposes of these records.

**RDA Number:** 2002/008

**Related PR#:** PC 00-06, PO 00-13

**TBS Registration:** 003785

**Bank Number:** DCC PPU 010

## Classes of Personal Information

In the course of conducting the programs and activities of Defence Construction Canada, personal information may be acquired which is not held in any specific information bank. Rather, it exists in fragmented form throughout other records. This information is retrievable only if specifics are provided concerning the subject matter and related functional activity of the Corporation. This information is retained for the same period of time as the related subject information and is disposed of according to the appropriate record schedules.

## Manuals

- Operations Manual
- Human Resources Process and Policy Manual
- Contracting Policy and Procedure Manual
- Quality Manual
- Financial Management Policy and Process Manual
- Safety and Health Manual
- Records Management Manual
- Travel Policy Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Further information about Defence Construction Canada and its programs may be obtained from:

### Head Office

Defence Construction Canada  
Constitution Square, 19th Floor  
350 Albert Street  
Ottawa ON K1A 0K3  
Tel.: (613) 998-9548

### Atlantic Regional Office

Defence Construction Canada  
3 Spectacle Lake Drive  
Suite 230  
Dartmouth NS B3B 1W8  
Tel.: (902) 426-8340

### Quebec Regional Office

Defence Construction Canada  
5199 Sherbrooke Street East  
Suite 2700  
Village Olympique - Pyramide Ouest  
Montréal QC H1T 3X2  
Tel: (514) 283-8071

### Ontario Regional Office

Defence Construction Canada  
Howard Maitland Building  
780 Midpark Drive  
Suite 205  
Kingston ON K7M 7P6  
Tel.: (613) 384-1256

### Western Regional Office

Defence Construction Canada  
12222 137th Street  
Unit 206  
Edmonton AB T5L 4X5  
Tel.: (403) 495-2555

### Reading Room

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:

Administrative Services Section  
Constitution Square, 19th Floor  
350 Albert Street  
Room 1927  
Ottawa, Ontario

# Department of Finance Canada

## Chapter 54

### General Information

#### Background

The Department of Finance is established under the Financial Administration Act. The relevant portions are sections 14 and 15:

14. “There is hereby established a department of the Government of Canada called the Department of Finance over which the Minister of Finance appointed by commission under the Great Seal shall preside.

15. The Minister holds office during pleasure and has the management and direction of the Department, the management of the Consolidated Revenue Fund and the supervision, control and direction of all matters relating to the financial affairs of Canada not by law assigned to the Treasury Board or to any other minister.”

#### Responsibilities

The Department is responsible for advice to the federal government on the economic and financial affairs of Canada. It oversees all government initiatives affecting the economy and monitors external factors that may have a bearing on domestic economic performance. The Department’s most visible output is the federal budget. The Minister of Finance’s budget speech reviews the government’s accounts and presents fiscal projections for the coming years, including expenditures, revenues, tax changes and debt levels. In addition, the Minister is responsible for the management of the Consolidated Revenue Fund.

In addition to this broad assignment of responsibility, and his key role as a central policy advisor, the Minister is responsible to Parliament for the following statutes:

#### Legislation

- Air Travellers Security Charge Act
- Bank Act
- Bank of Canada Act
- Bills of Exchange Act (with the exception of Part IV)
- Bretton Woods and Related Agreements Act
- Canada Deposit Insurance Corporation Act
- Canada Health Care, Early Childhood Development and other Social Services Funding Act
- Canada Nova Scotia Offshore Petroleum Resources Accord Implementation Act, Parts IV&V
- Canada Pension Plan, ss. 109 to 113 & 115
- Canada Pension Plan Investment Board Act
- Canadian International Trade Tribunal Act
- Canadian Payments Act Co-operative Credit Associations Act
- Currency Act
- Customs and Excise Offshore Application Act
- Customs Tariff Act
- European Bank for Reconstruction and Development Agreement Act
- Excise Act, 2001
- Excise Tax Act
- Federal-Provincial Fiscal Arrangements Act
- Financial Administration Act (shared with the President of the Treasury Board)
- Financial Consumer Agency of Canada Act
- First Nations Goods and Services Tax Act
- Income Tax Act
- Income Tax Conventions Implementation Act
- Insurance Companies Act
- Interest Act
- Office of the Superintendent of Financial Institutions Act
- Payment Clearing and Settlement Act Pension Benefits Standards Act
- Proceeds of Crime (Money Laundering) Special Import Measures Act
- Trust and Loan Companies Act
- Winding-up and Restructuring Act, Part II & III
- Under the Bank Act, Trust and Loans Companies Act, Insurance Companies Act and Co-operative Credit Associations Act, the Minister of Finance can delegate all his powers,

- duties and functions under those Acts to a Minister of State.
- Air Canada Public Participation Act
  - Bank of British Columbia Business Continuation Act
  - Beechwood Power Project Act
  - Budget Implementation Acts (several with same name)
  - Canada Development Corporation Reorganization Act
  - Canada-Newfoundland Atlantic Accord Implementation Act
  - Canadair Limited Divestiture Authorization Act
  - Canadian Commercial Bank Financial Assistance Act
  - Crown Corporations Dissolution and Transfer Act
  - Diplomatic Service (Special) Superannuation Act
  - Eldorado Nuclear Limited Reorganization and Divestiture Act
  - Export Credits Insurance Act, Parts II and III
  - Federal-Provincial Fiscal Revisions Act, 1964-65
  - Financial Institutions and Deposit Insurance System Amendment Act
  - Financial Institutions Depositors' Compensation Act
  - First Nations Goods and Services Tax Act
  - Garnishment, Attachment, and Pension Diversion Act (as it related to MPs pensions)
  - Halifax Relief Commission Pension Continuation Act
  - Importation of Intoxicating Liquors Act (shared with Canada Revenue Agency)
  - Newfoundland Additional Financial Assistance Act
  - Nordion and Theratronics Divestiture Authorization Act
  - Oil Export Tax Act
  - Petro-Canada Public Participation Act
  - Prince Edward Island Subsidy Act, 1912
  - Supplementary Fiscal Equalization Payments Act
  - Telesat Canada Reorganization and Divestiture Act
  - The Minister also has powers and duties under statutory provisions in 68 statutes for which another Minister is responsible to Parliament. Some of these powers and duties are in respect of the Minister's duties under section 15 of the Financial Administration Act to manage the CRF – loans, advances, guarantee, purchases of shares, and other payments out of the CRF.
  - Advance Payment for Crops Act
  - Agricultural Market Programs Act
  - Agricultural Products Co-operative Marketing Act
  - Asia-Pacific Foundation of Canada Act
  - Atlantic Canada Opportunities Agency Act
  - Atlantic Fisheries Restructuring Act
  - Auditor General Act (notional responsibilities)
  - Blue Water Bridge Authority Act
  - Broadcasting Act
  - Buffalo and Fort Erie Public Bridge Company Act
  - Business Development Bank of Canada Act
  - Canada Business Corporations Act
  - Canada Council Act
  - Canada Customs Revenue Agency Act
  - Canada Marine Act
  - Canada Mortgage and Housing Corporation Act
  - Canada Post Corporation Act
  - Canada Shipping Act
  - Canada Small Business Financing Act
  - Canada Student Financial Assistance Act
  - Canadian Commercial Corporation Act
  - Canadian Dairy Commission Act
  - Canadian Film Development Corporation Act
  - Canadian Food Inspection Agency Act
  - Canadian Forces Superannuation Act
  - Canadian National Montreal Terminals Act
  - Canadian Ownership and Control Determination Act
  - Canadian Space Agency Act
  - Canadian Wheat Board Act
  - Cape Breton Development Corporation Act

- Competition Act
- CN Commercialization Act
- Criminal Code
- Crown Liability and Proceedings Act
- Cultural Property Export and Import Act
- Customs Act
- Department of Industry Act
- Eldorado Nuclear Limited Reorganization and Divestiture Act
- Employment Insurance Act
- Energy Administration Act
- Energy Monitoring Act
- Enterprise Cape Breton Corporations Act
- Export Development Act
- Expropriation Act
- Farm Credit Corporation Act
- Farm Improvement and Marketing Co-operatives Loans Act
- Farm Improvement Loans Act
- Farm Income Protection Act
- Farm Products Agencies Act
- Freshwater Fish Marketing Act
- Fisheries Improvement Loans Act
- Foreign Missions and International Organizations Act
- Harbour Commissions Act
- Hibernia Development Project Act
- Immigration Act
- Indian Act
- International Development (Financial Institutions) Assistance Act
- International Development Research Centre Act
- Land Titles Repeal Act
- Laurier House Act
- Museums Act
- National Battlefields at Quebec Act
- National Capital Act
- Parks Canada Agency Act
- Petroleum and Gas Revenue Tax

- Pilotage Act
- Prairie Grain Advance Payments Act
- Public Service Superannuation Act
- Railway Relocation and Crossing Act
- Regional Development Incentives Act
- Revolving Funds Act
- Royal Canadian Mint Act
- Royal Canadian Mounted Police Superannuation Act
- Saskatchewan Treaty Land Entitlements Act
- Seized Property Management Act
- Supreme Court Act
- Western Economic Diversification Act

The Minister of Finance also plays an important role in the field of international financial matters. He has direct responsibilities under the Bretton Woods and Related Agreements Act, which legislation constitutes Canada's participation in the International Monetary Fund (IMF), the World Bank, the International Development Association, the International Finance Corporation, and the Multilateral Investment Guarantee Agency. The Minister of Finance also plays an important role with respect to the position Canada takes on economic and trade issues discussed at the Organization for the Economic Cooperation and Development (OECD) and the World Trade Organization.

## Organization

### Access to Information and Privacy Division

This division is responsible for administering the Access to Information Act and the Privacy Act for the Department. It processes requests submitted under the legislation, handles complaints lodged with the Information and Privacy Commissioners and responds to informal enquiries. The Division also provides advice and guidance to departmental officials on matters which concern the legislation.

### Canada Investment and Savings

Canada Investment and Savings is a federal Special Operating Agency within the Department of Finance responsible for the delivery of the government's retail debt program. The Agency was created in the 1995 federal budget to provide individual Canadians with better access to existing Government of Canada Securities, such as Canada Savings Bonds, Treasury Bills and

Marketable Bonds and to develop new investment products to help them meet their savings and investment needs. The Agency is organized into four main functional areas directed by the President and Chief Executive Officer.

### **Marketing Services**

Conceptualizes the government's overall marketing and communication strategy for the retail debt program (e.g. Canada Savings Bonds) develops and implements marketing plans and advertising campaigns for existing and new products, and monitors performance. CI&S encourages all Canadians, including children and their parents, to be acquainted with good savings habits, and publicises promotions that encourage this.

### **Product Management**

Manages and recommends interest rates for existing portfolio of products and develops and introduces new retail debt products and services.

### **Sales and Distribution**

Manages the sales distribution network for retail debt products through financial institutions, employers and directly with the government; explores alternative methods of distribution which would provide easy access for Canadians.

### **Corporate Services**

Provides and arranges for all internal Canada Investment & Saving support functions including finance and accounting, administrative services, contracting and human resources.

### **Consultations and Communications Branch**

This branch is responsible for developing and implementing communications and consultations strategies and initiatives that assist the Minister and other branches in formulating and implementing policy initiatives, including the annual federal budget. It organizes ministerial and departmental consultations, works with Canadian and international media, manages a range of information and public affairs activities, and provides related services. It is composed of two divisions.

### **Communications Policy and Strategy Division**

This division develops communications plans and strategies, and provides communications advice on the handling of departmental issues and the implementation of policies and programs. It also drafts speeches, press releases, various briefing papers, publications and multi-media presentations, including material in support of the

federal budget. The division also develops and controls organization, content and multimedia applications for the Department's Internet site. As well, the division undertakes communications research and analysis and monitors the media on a daily basis for issues of interest to the Minister, the Minister of State and the department.

### **Public Affairs and Operations Division**

This division implements and supports external communications and public relations activities. It carries out an extensive media relations program, including the handling of all media inquiries; preparing departmental and ministerial announcements and statements, and arranging for briefings and press conferences, including those for the release of the federal budget. The division handles all logistical arrangements for domestic meetings and other events hosted by the Minister and Department such as Federal-Provincial meetings. It provides expertise and services in the areas of conference and meeting organization, management and logistics, visit by foreign dignitaries and officials, and other protocol services. The division manages the editing and production for all departmental publications as well as all correspondence written to the Minister and Minister of State. It also develops and maintains contacts with the business community, labour organizations, and social, voluntary and other interest groups, and assists the Minister, the Minister of State and the department in consulting with the public and stakeholders on a range of economic and fiscal issues.

### **Corporate Services Branch**

The Branch assists the Deputy Minister of Finance, the Secretary of the Treasury Board Secretariat and the President of the Public Service Human resources Management Agency in the internal administration of their departments. It provides financial, human resources, informatics, security and Internal Audit and Evaluation Services to the branches of the two departments and agency.. The Branch is composed of five directorates and divisions: the Finance and Administration Directorate; ; Human Resources Division; the Information Management and Information Technology division; Security Services Division and Internal Audit and Evaluation Division.

### **Economic and Fiscal Policy Branch**

This branch analyzes and appraises all factors affecting Canada's economic and financial situation and recommends measures to meet the requirements of appropriate fiscal policies. It also

analyzes and forecasts the financial requirements of the government of Canada.

### **Economic Analysis and Forecasting Division**

This division has primary responsibility for monitoring and analyzing current Canadian economic conditions and the economic outlook and for the preparation of quarterly economic forecasts for the Canadian and U.S. economies. It also prepares assessments of the impact of policy measures and other events on the Canadian economy. In addition, the division produces the quarterly publication entitled "Economy in brief".

### **Economic Studies and Policy Analysis Division**

The division has primary responsibility for anticipating major policy issues the government of Canada is likely to face, develops tools to analyze these issues, prepares analysis and research of the highest calibre and, based on all this, recommends policy advice in both macroeconomic and structural areas. The technical work undertaken in the division is made public in the form of a working paper series.

### **Fiscal Policy Division**

This division has primary responsibility for advising on fiscal policy and analyzing the financial requirements of the Government of Canada and for monitoring and analyzing the developing fiscal positions of other levels of surplus government. It also has primary responsibility for analysis and advice on the government's fiscal framework and co-ordinating the department's advice to the Minister on overall spending priorities. The division plays a key role in the budgetary process, and is responsible for the preparation of the Fiscal Monitor, and the Annual Financial Report, as well as several budgetary papers. In addition, the division reviews the form and content of the Public Accounts and other statements for which the Minister has responsibility under the Financial Administration Act.

### **Economic Development and Corporate Finance Branch**

This branch is responsible for providing policy advice and analytical support to the Minister of Finance on a wide range of economic, fiscal and financial issues related to the microeconomic policies of the government.

### **Sectoral Policy Analysis Division**

This division advises: on the economic and fiscal implications of policies and programs in the areas of agriculture and fisheries, environment, energy and natural resources, transportation and infrastructure systems and services, and defence. This division also provides corporate financial analysis and advice on proposals for government support to major development projects and in relation to corporate restructuring plans; plays a central role in the privatization of federal Crown Corporations, other corporate holdings and government services that no longer require government ownership or direct delivery to fulfill a public policy role; and provides a focal point for cross-cutting issues of interest to the Minister of Finance in the management and operations of federal Crown Corporations.

**Microeconomic Policy Analysis Division** This division advises on the economic and fiscal implications of microeconomic policies and programs promoting economic development in Canada. Its primary responsibilities include industrial and sectoral development, industrial innovation and science and technology policy, small business development, regional development, telecommunications policy and business framework legislation, cities and communities, and regulation. Federal-Provincial Relations and Social Policy Branch

This branch is responsible for providing policy advice on federal-provincial fiscal arrangements and social policy programs.

### **Federal-Provincial Relations Division**

This division is responsible for the federal government's major transfers to provinces and territories. It also provides advice on all matters pertaining to the federal-provincial fiscal arrangements, including the former Canada Health and Social Transfer (CHST), the Canada Health Transfer (CHT), the Canada Social Transfer (CST), the Health Reform Transfer (HRT), Equalization, Statutory Subsidies, the Provincial Personal Income Tax Revenue Guarantee Program, the Quebec Abatement (Alternative Payments for Standing Programs and the Youth Allowances Recovery), Stabilization, and Territorial Formula Financing. This division also oversees several third-party trust arrangements for health care, diagnostic/medical equipment and public health and immunization.

### **Social Policy Division**

Advises on the development of the federal government's social policies as well as on the



fiscal, economic and social implications of specific proposals in the major functional areas of labour markets, income security, aboriginal policy, justice, health and culture programs.

### **Financial Sector Policy Branch**

This branch provides policy analysis and advice with respect to the financial sector.

### **Financial Institutions Division**

Provides analysis and advice on structural, consumer and competition issues, as well as advice on transactions requiring ministerial approval, including potential mergers. The Division is also responsible for regularly updating financial sector legislation and regulations. In addition it is responsible for the federal government's bilateral and multilateral relations with foreign governments in the area of financial services, and the administration of Canada's commitments under international agreements with respect to financial services. The Division also conducts analysis related to the performance of financial institutions along with trends and corporate strategies in the sector.

Provides policy analysis and recommendations with respect to the management of the federal government's borrowing program, the public debt and debt issues in both domestic and foreign markets, borrowing policy relating to Crown corporations, loan and loan guarantees. In addition, the Division provides analysis and policy advice on matters respecting the investment of public monies, including Canada's international reserves, , governance of the Canada Pension Plan Investment Board, and trends and developments in Canada's financial markets.

### **Financial Sector Division**

Develops and analyses policies applicable to Canada's financial sector. Among its responsibilities, the Division leads work on issues related to development of financial sector regulatory and stability issues. This includes developing policies on such matters as the payment systems and private pension plans, money laundering and terrorist financing, and co-ordinating and reviewing financial stability and regulatory issues in Canada. The Division is also responsible for federal-provincial regulatory issues, including securities regulation.

### **International Trade and Finance Branch**

This branch has the responsibility for international trade, investment and economic and financial co-operation; the Customs Tariff and other import

related legislation; the international monetary system, international development assistance and export financing.

### **International Finance and Development Division**

Leads on many aspects of Canada's international financial relations, particularly financing Canadian exports and development assistance. It also analyzes developments and issues in the international economy that have implications for Canada's. Provides analysis and policy advice on international economic conditions and policy.

### **International Policy and Institutions Division**

Manages Canada's relations with the international financial institutions (the Bretton Woods Institutions and regional development banks), and leads Canadian participation in a range of international groupings such as the G-7 and G-20 Finance Ministers' and Central Bank Governors' processes. Also responsible for policy research on a range of international issues such as improving the international crisis prevention and resolution framework and other important international financial issues.

### **International Trade Policy Division**

Plays a central role in the development, management and implementation of Canadian trade and investment policy. Evaluates the implications of domestic economic policies on Canada's international obligations and relations with other countries. It is responsible for all aspects of tariff and other import policy (anti-dumping, subsidies/countervail and safeguards) and the related domestic legislation. Participates in international trade and investment negotiations.

### **Tax Policy Branch**

This branch undertakes analysis of and makes recommendations on tax policy issues and prepares appropriate legislation for passage through Parliament.

### **Business Income Tax Division**

Undertakes economic and quantitative analysis and provides advice, recommendations on all aspects of corporate and business taxation, including both corporate income and capital taxes.

### **Intergovernmental Tax Policy, Research and Evaluation Division**

Policy and administrative responsibility for the Federal-Provincial Income Tax Collection Agreements and Reciprocal Taxation Agreements as well as analysis of issues in the area of

federal-provincial tax relations. Reviews Indian taxation, develops federal policy on First Nation taxation, including the exercise of taxation powers by First Nation governments. Analyses and evaluates tax policies, often in collaboration with other divisions. Prepares economic research reports on issues affecting tax policy.

### **Personal Income Tax Division**

Undertakes economic and quantitative analysis of personal income tax policy issues and develops new policies in this area.

### **Sales Tax Division**

This division addresses federal consumption taxes, developing the policies, legislation and regulations associated with sales tax – the goods and services tax (GST) and the harmonized sales tax (HST) in three provinces – and federal excise taxes and duties on tobacco, alcohol, motive fuels, and other goods. This work involves researching and analyzing changes to these taxes and developing detailed policy proposals. The Division is also responsible for the policy and legislation relating to the Air Travellers Security Charge.

### **Tax Legislation Division**

Provides policy advice from a legal and structural perspective on income tax related issues applicable to persons, (including corporate entities and tax-exempt entities) and partnerships and drafts amendments to the income tax law required to implement budget proposals and other tax policy statements. Negotiates income tax treaties, and modifications to existing income tax treaties, with other countries.

## **Information Holdings**

### **Program Records**

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

##### **Access to Information and Personal Information Requests**

**Description:** Information concerning requests for access to departmental records under the Access to Information Act and the Privacy Act; replies to such requests and relevant information related to their processing. Information is used to process requests and for statistical purposes.

**Topics:** Policy, procedures, reports, studies, audits, legal advice, training, surveys, personal information banks and classes, disclosures to investigative bodies, Info Source, delegation of authority, consultations, requests, complaints and

correspondence.

**Program Record Number:** FIN AIP 005

#### **Information Collection Policy Administration**

**Description:** Records relating to the administration of the Treasury Board policy on information collection and departmental procedures for administration of the policy.

**Topics:** General series.

**Program Record Number:** FIN AIP 010

#### **Information Collection Review Files**

**Description:** Records on proposed departmental information collections, including collection notices, plans, notices of approval and registration and related correspondence.

**Topics:** General series.

**Program Record Number:** FIN AIP 015

### **Canada Investment and Savings**

#### **Canada Savings Bonds**

**Description:** General information on the development of policies on the sale and redemption of Canada Savings Bonds and specific issues related to Canada Savings Bonds and the sale of Government of Canada securities to the retail public.

**Topics:** Advertising; series; Canada Investment and Savings; legal matters and claims.

**Program Record Number:** FIN FMD 170

### **Consultations and Communications Branch**

#### **General Information on the Department of Finance**

**Description:** General information on the Department of Finance, including publications and other public material produced for the Department and/or Minister of Finance; letters from individuals to the Minister of Finance and Minister of State (Finance).

**Topics:** Economic policy; federal budgets; publications; speeches.

**Program Record Number:** FIN CAC 030

### **Corporate Services Branch**

#### **Canada Pension Plan Investment Fund**

**Description:** Information on the investment of excess monies in the Canada Pension Plan as provided by the Canada Pension Plan Act.

**Topics:** Investment fund; Forecasts of funds available; purchase of securities; interest on operating balance; audit confirmations; consolidation of provincial debentures; reports to the Canada Pension Plan; Investment Board.

**Program Record Number:** FIN ADM 785

## Loans

**Description:** Information on the authorization and transactions of major loan programs of the Department of Finance and other miscellaneous loans.

**Topics:** Capital Assistance, Authority for loans; repayment schedules and payments received; federal-provincial employment; Municipal Development and Loan Board; special development; Winter Capital Project Fund; foreign countries.

**Program Record Number:** FIN ADM 790

## Public Debt

**Description:** Information on the authorization of borrowings and transactions related to said borrowings. Borrowings and transactions related to borrowings are categorized as Government of Canada marketable bonds; Canada Savings Bonds; treasury bills; Canada Bills; swaps; Canada Pension Plan Bonds and foreign currency borrowing.

**Topics:** Bonds and bonding – costs of issuing new loans – Bank of Canada; Domestic borrowing - swap agreements; Foreign borrowing – Swiss currency, United-States currency; Unmatured debt; accrued interest; interest due and outstanding; Interest expense; Matured debt; Redemption of interest and principal; Specified purpose accounts – annuities, claims, deposit and trust accounts; Government of Canada marketable bonds; Investments by the Government in PRA; Non-marketable bonds – Canada Savings Bonds; Public accounts; Revolving standby credit facilities; Statements and statistics; Securities investment account; Source documents; Treasury Bills; Trust.

**Program Record Number:** FIN ADM 795

## War Claims

**Description:** Information related to individual (Canadian) claims for losses or damages resulting from World War I, World War II and Halifax Explosion; and the corresponding settlement/compensation.

**Topics:** International Claims – Custodian - Release of Assets, trading with the Enemy ; Foreign Countries - Bonds and Debts; Nationalization - Foreign Claims Settlements; War Claims – Reparations - Germany, Italy, Japan - Compensation for Losses Inside Japan (article 15), Compensation for Losses Outside Japan; WW11 - Adjudication and Compensation in Canada; World War 1 Claims, Funds and Assets Transferred from Custodian; World War 1 Halifax 1917 Explosion.

**Program Record Number:** FIN ADM 796

## Economic and Fiscal Policy Branch

**Description:** The Branch analyzes the economic and fiscal situation of the country and advises the Minister on the Government's fiscal framework – including revenues, expenditures and debt requirements – and on monetary policy. It also provides the Minister with analytical support on a wide range of economic and financial issues related to the Government's macroeconomic policies. Given the complex interaction among international and domestic economic and policy developments, the Branch closely monitors economic developments in our major trading partners. It also prepares the Department's publicly distributed monthly fiscal and quarterly economic reports, and continuously tracks fiscal developments at all levels of government.

**Topics:** The Branch represents Canada at expert-level economic policy discussions at the Organisation for Economic Co-operation and Development (OECD) and takes the lead role in facilitating the economic surveillance of Canada carried out annually by the OECD and the International Monetary Fund.

**Program Record Number:** FIN EAD 127

## Canadian Forecast Section

**Description:** Information on short - and medium - term forecasts for the Canadian economy, current economic analysis.

**Topics:** Forecasts, forecast comparisons, IMF, OECD.

**Program Record Number:** FIN EAD 133

## Demand and Labour Analysis

**Description:** Information and analysis of past and present economic conditions in the household and business sector in Canada.

**Topics:** Business investment; gross domestic product; investment; national accounts; productivity; business cycles; financial positions of business; personal expenditure; housing markets, business and consumer confidence; household financial positions; labour markets; labour market policies.

**Program Record Number:** FIN EAD 123

## Economic Analysis

**Description:** General information on analyses of past, present and future economic conditions in Canada.

**Topics:** Canadian economy - reports, tax reform: conferences, meetings and seminars; economic analysis - economic bulletins; monetary policy evaluation; economic forecasting - foreign economy; Organization for Economic Cooperation and Development (OECD); Economic and Development Review Committee (EDRC); Short-

Term Economic Prospects (STEP); regional and sectoral analysis.

**Program Record Number:** FIN EAD 110

### **Economic Studies and Policy Analysis**

**Description:** General information on the work of the Division: conducts academic-level applied research on key emerging structural and macroeconomic issues with a view to help develop policy.

**Topics:** Pension reform; environmental policy; trade liberalisation; economic and fiscal consequences of demographic changes; private savings behaviour; income distribution; trends in employment and unemployment; monetary policy; fiscal planning; intergenerational equity; economic impacts of lower public debt; productivity policy, education and health policy; taxation and public finance.

**Program Record Number:** FIN –ESPAD 100

### **Expenditure Analysis and Forecasting Section**

**Description:** Information on federal government expenditure planning, the forecasting of the government's expenditure framework, the fiscal implications of the federal budget and the government's main estimates drawn up in conjunction with the Treasury Board of Canada.

**Topics:** Budgets; expenditures and estimates; fiscal forecasts; government expenditure pressures.

**Program Record Number:** FIN FPD 055

### **Fiscal Policy Analysis Section**

**Description:** Undertakes short-term applied research on a wide range of fiscal issues.

**Topics:** population ageing, Vertical Fiscal Imbalance (VFI), intergenerational equity as well as issues related to fiscal prudence/planning and tax reduction.

**Program Record Number:** FIN FPD 062

### **Forecasting and Model Development**

**Description:** Subject heading related to the various aspects of Department's Canadian Economic and Fiscal Model (CEFM) and development of other models for use in the Economic and fiscal Policy Branch; evaluates and reports on the impact of changes in policy or other aspects of the economic environment on the Canadian economy; interacts with model users and developers in the private sector, other government departments and agencies and international institutions.

**Topics:** Model development, policy simulations.

**Program Record Number:** FIN EAD 140

### **Intergovernmental Fiscal Policy**

**Description:** Information on the ongoing fiscal situation and prospects of the provinces and their local governments. Provides briefing material and analysis on the ongoing financial situation and perspectives of the OECD countries and the G-7 in particular.

**Topics:** Fiscal forecasts; inter-governmental fiscal relations; international, provincial and local fiscal situation and outlook; cyclically adjusted budget balances.

**Program Record Number:** FIN FPD 060

### **Macro Analysis Section**

**Description:** Conducts research studies on macroeconomic issues, with a view to help develop policies.

**Topics:** Fiscal planning under uncertainty, intergenerational equity, economic consequences of debt and tax reduction, ageing and long-term fiscal pressures, trade liberalization, inflation targets, international standard-of-living comparisons.

**Program Record Number:** FIN ESPAD137

### **Monetary Policy & Financial Analysis**

**Description:** Information and analysis of macroeconomic issue and policies.

**Topics:** Economic growth; wages and prices; unemployment; productivity; investment and saving; competitiveness; balance of payments; merchandise trade; international capital flows; monetary policy and conditions; exchange rates; interest rates; monetary and credit aggregates; monetary policy; inflation; business cycles.

**Program Record Number:** FIN EAD 120

### **Policy Analysis Section**

**Description:** Conducts longer-term economic research on policy related issues for Economic and Fiscal Policy branch, the Department of Finance and the government as a whole.

**Topics:** Implications for Canada of implementing the Kyoto Protocol; dynamic and static general equilibrium models; global general equilibrium models; international repercussions of policy initiatives; trade and capital movements; international finance; technology diffusion and innovation; education policy; structural estimation.

**Program Record Number:** FIN EAD 135

### **Regional - Analysis**

**Description:** Information on studies and analyses of past, present and future developments in specific sectors of the national economy and in provinces or regions of Canada.

**Topics:** Regional and sectoral analysis; provinces, regions, industries and sectors; labour

market developments.

**Program Record Number:** FIN FPD 125

### Revenue Analysis and Forecasting Section

**Description:** Information on federal government revenue planning, the forecasting of the government's revenues, and the fiscal implications of the federal budget.

**Topics:** Budgets; revenues and taxes.

**Program Record Number:** FIN FPD 057

### Structural Analysis Section

**Description:** Conducts in-depth, policy-oriented research on structural and sectoral issues

**Topics:** Impact of social programmes, such as Employment Insurance and the Canada Pension Plan; impact of population ageing; productivity and investment; policies towards education; income distribution; relationship between inflation and unemployment; taxation; migration; labour supply.

**Program Record Number:** FIN ESPAD136

### United States Economic Analysis Forecasting Section

**Description:** Information on economic developments in the United States and other G-7 economies and their likely impact on Canadian trade and other important economic variables.

**Topics:** Econometric models; private sector forecasts; business cycle analyses; model simulations and forecasts of trade and economic conditions in the United States and other G-7 economies.

**Program Record Number:** FIN EAD 115

### Economic Development and Corporate Finance Branch

#### Agriculture

**Description:** General information on the development of agricultural policies in Canada and the allocation of federal financial resources through certain programs.

**Topics:** General series dairy industry; farm financial assistance; federal-provincial and regional issues; general farm lobbies; grains and oilseeds - general, Canadian Wheat Board, Western Grain Stabilization Act; horticulture and special crops; international issues; marketing; poultry and eggs; red meat; resource base issues; spending levels/pressures/cuts; stabilization and support.

**Program Record Number:** FIN EDD 480

#### Corporate Analysis

**Description:** Information on issues affecting the corporate sector and industrial corporations in Canada, including institutional issues and policies, and economic and financial issues.

**Topics:** General series; economic issues;

financial issues; industrial corporations.

**Program Record Number:** FIN EDD 520

### Crown Corporations

**Description:** General information on privatization and on selected Crown corporations.

**Topics:** corporate plans of several specific Crown corporations, including Atomic Energy of Canada, Canada Development Investment Corporation, Canada Eldor Incorporated, Canada Hibernia Holdings, Canada Lands Company Limited, Canada Post Corporation, Cape Breton Development Corporation, National Capital Commission, Old Port of Montreal Inc.

**Program Record Number:** FIN PRI 400

### Economic Development

**Description:** General information on the development of sectors of the economy.

**Topics:** General series; Board of Economic Development Ministers; economic councils; infrastructure; regulatory policies.

**Program Record Number:** FIN EDD 430

### Emergency Management

**Description:** Information relating to the Government of Canada's emergency management responsibilities.

**Topics:** Disaster financial assistance arrangements; complementary programs; Emergency Preparedness Canada; the Office of Critical Infrastructure Protection and Emergency Preparedness; specific disasters.

**Program Record Number:** FIN EDP 385

### Energy

**Description:** General information on energy and energy policy, except oil and gas.

**Topics:** General series; Canada-United States relations; conferences, committees and meetings; conservation programs; natural gas pipelines -; relations with foreign companies; relations with provinces; renewable energy programs; substitution programs; Task Force on Northern Oil Development.

**Program Record Number:** FIN EDP 425

### Environment

**Description:** General information on the environment, all forms of air, industrial and water pollution; international relations; tax and fiscal issues; water as a Canadian resource; international negotiations and agreements; environmental assessment; and specific projects, committees and studies dealing with water management in all regions of Canada.

**Topics:** General series; air, water, environment and the economy; Environment Canada - general series; Species At Risk Act; contaminated sites;

climate change; sustainable development indicators; Canadian Environmental Protection Act historical sites; international relations; national parks; national wildlife; pollution -; research programs; environmental assessment;.

**Program Record Number:** FIN ERP 405

### **Fisheries and Oceans**

**Description:** General information on the harvesting and processing of fish and seafood, including reviews, associations, federal-provincial relations, international relations, legislation, regulations, and subsidy and support programs as well as information on ocean issues.

**Topics:** General series; Department of Fisheries and Oceans; oceans; policy and programs - Atlantic; policy and programs - Pacific; regulation; relations; resource and industry; subsidy and support programs tax and fiscal policy issues; Canadian Coast Guard.

**Program Record Number:** FIN EDP 495

### **Forestry**

**Description:** Information on forestry policy and the forest industry, including pulp and paper.

**Topics:** General series; industrial development - forest products.

**Program Record Number:** FIN EDD 521

### **Industrial Development**

**Description:** Information on government policies and programs to promote industrial development and related issues, including government procurement of goods and services.

**Topics:** General series Companies; government procurement; major projects; programs; sectors - general series aerospace (general series Canadair, deHavilland Aircraft of Canada Limited), automotive, environment, shipbuilding; small business.

**Program Record Number:** FIN EDD 435

### **Minerals**

**Description:** General information on mining and mine reclamation and the production and marketing of minerals, including reviews, associations, missions to other countries, federal and provincial legislation, specific minerals.

**Topics:** General series; acts and regulations; coal; commodities; companies; gold; diamond; policy review; task forces uranium - general series, industries, legislation, production and sales; fiscal/tax issues.

**Program Record Number:** FIN ERP 410

### **National Defence**

**Description:** Information on national defence policy and budgets.

**Topics:** Defence resources; procurement;

infrastructure; international crises; Canada/US defence relations; military personnel; arms control; and international organizations.

**Program Record Number:** FIN EDP 383

### **Northern Development**

**Description:** General information on various aspects of development in the Northwest and Yukon Territories related to natural resource development, including energy accords.

**Topics:** General series; Advisory Committee; Inuit and Indians; financial support; resources - general series, land claim issues, minerals, oil and gas; senior policy committee on northern resource development projects; transportation - general series, roads.

**Program Record Number:** FIN EDP 415

### **Nuclear Power**

**Description:** General information on electrical power generated by nuclear means: includes the Atomic Energy Control Act and Board, liability in case of accidents, building of nuclear reactors in Canada, sale of nuclear reactors and heavy water plants to foreign countries, production and sale of heavy water in Canada.

**Topics:** General series; Atomic Energy Advisory Panel; domestic projects; foreign relations; non-proliferation and safeguards; heavy water - general series, plants; liability; research and development program; research and technology.

**Program Record Number:** FIN EDP 395

### **Oil and Gas**

**Description:** Information on oil and gas policy, including initiatives and legislation, federal-provincial negotiations, particular energy projects (e.g., tar sands plants, Hibernia, Upgraders) and proceedings of intergovernmental and interdepartmental committees.

**Topics:** General series; downstream petroleum industry - general series, exports; heavy oil and tar sands; imports; industry - general series, Dome Petroleum; macro issues; sector and policy; taxation issues.

**Program Record Number:** FIN EDP 420

### **Policy Analysis and Coordination**

**Description:** General information on policy development and financial resource management issues.

**Topics:** General series; Cabinet Committee on Economic and Regional Development; economic and regional development envelope; government estimates; prosperity; regulatory policies; cities and communities.

**Program Record Number:** FIN EDD 432

## Projects

**Description:** Information on several major policy or economic projects.

**Topics:** Crown Asset Disposal, Norman Wells, Ontario Power Generation, Pension Reform, Petro Canada, Port Hope, Toronto Harbourfront Centre, Toronto Harbourfront, Whiteshell, Yukon Energy.

**Program Record Number:** FIN PRI 410

## Regional Development

**Description:** Information on policies and programs to promote the development of the economies of Canada's regions, and on issues related to such measures.

**Topics:** General series; economic and regional development and general development agreements; programs; regions - Atlantic (general series, New Brunswick, Newfoundland, Nova Scotia, Prince Edward Island), Northern, Ontario, Quebec, Western (general series, Alberta, British Columbia, Manitoba, Saskatchewan).

**Program Record Number:** FIN EDD 450

## Science and Technology

**Description:** Information on the development of policies on scientific and technological innovation activities in Canada and the federal government's programs for encouraging these activities.

**Topics:** General series; granting councils and related programs; the Internet; space program; technological innovation and related programs.

**Program Record Number:** FIN EDD 460

## Telecommunications

**Description:** Information on the development of policies on telecommunications, including radio and television, cablevision, licences, satellites and cellular phone services.

**Topics:** General series; industry; radio and television; regulations and services; satellites.

**Program Record Number:** FIN EDD 465

## Transportation

**Description:** Information on the development of policies on air, surface and marine transportation systems in Canada.

**Topics:** General series; air mode; general series, airports; Canadian Transport Commission; civil aviation; harbours and ports; highways and roads; highways and bridges; marine mode; motor vehicle; rail mode; shipping; urban.

**Program Record Number:** FIN EDD 470

## Federal-Provincial Relations and Social Policy Branch

### Aboriginal Policy

**Description:** Information on the development of policies related to aboriginal issues.

**Topics:** Land claims ; specific claims ; self government financing agreements, aboriginal litigation, treaties, socio-economic conditions and programs for aboriginal people.

**Program Record Number:** FIN FPR 225

### Quebec Abatement

**Description:** During the 1960s, the federal government offered provinces contracting-out arrangements for certain federal-provincial programs. Only Quebec chose to use these arrangements. Information on the main components of these programs, namely medical, hospital insurance and post-secondary education, is to be found under other classes.

**Topics:** Quebec; financing; Alternative Payments for Standing Programs, Youth Allowances Recovery.

**Program Record Number:** FIN FPR 215

### Canada Health and Social Transfer

**Description:** Information on the level of federal transfers to provinces and territories in support of health care, post-secondary education, social assistance and social services, including early childhood development and early learning and childcare.

**Topics:** Tax transfer; cash transfer; Canada Assistance Plan (CAP); Established Programs Financing (EPF); health; Canada Health Act; post-secondary education; early childhood development, early learning; child care; the CHST Supplement Trust for Health Care – Budget 1999; the CHST Supplement Trust 2000 – Budget 2000; the Medical Equipment Trust (Sept. 2000 First Ministers' Meeting). The 2003 CHST Supplement Trust – Budget 2003; the Diagnostic/Medical Equipment Trust — Budget 2003; the 2004 CHST Supplement Trusts for Health (Jan. 2004 First Ministers' Meeting); the 2004 Public Health and Immunization Trusts; 2003 First Ministers' Accord on Health Care Renewal.

**Program Record Number:** FIN SPD 307

### Canada Health Transfer

**Description:** Information on the level of federal transfers to provinces and territories in support of health.

**Topics:** Tax transfer; cash transfer; Established Programs Financing (EPF); health; Canada Health Act; Canada Health and Social Transfer; accountability of federal health care support; 2003 First Ministers' Accord on Health Care Renewal; Restructuring the Canada Health and Social Transfer -- Budget 2003.

**Program Record Number:** FIN FPR 230

### Canada Social Transfer

**Description:** Information on the level of federal transfers to provinces and territories in support of post-secondary education, social assistance and social services, including early childhood development and early learning and childcare.

**Topics:** Tax transfer; cash transfer; Canada Assistance Plan (CAP); Established Programs Financing (EPF); Canada Health Act; post-secondary education; Multilateral Framework on Early Learning and Child Care; social services; social assistance; early childhood development; early learning; child care; Restructuring the Canada Health and Social Transfer – Budget 2003; 2003 First Ministers' Accord on Health Care Renewal.

**Program Record Number:** FIN FPR 240

### Health Reform Transfer

**Description:** Information on the level of federal transfers to provinces and territories in support of health care reform related to primary care, home care and catastrophic drugs.

**Topics:** cash transfer; health care reform; health; primary care; home care; catastrophic drugs; Canada Health Act; 2003 First Ministers' Accord on Health Care Renewal; Budget 2003.

**Program Record Number:** FIN FPR 245.

### Conferences, Committees and Meetings

**Description:** Information, such as agendas, briefing material, background papers, summary notes of discussions and statements on conferences, committees and meetings pertaining to federal-provincial relations.

**Topics:** Ministers of Finance and provincial treasurers, continuing committee of officials, senior fiscal arrangement committee, subcommittees, conferences, committees and meetings.

**Program Record Number:** FIN FPR 235

### Equalization

**Description:** Information on the development and implementation of formulae for the equalization of provincial revenues.

**Topics:** Formulae (1967-72, 1972-77, 1977-82, 1982-87, 1987-92, 1992-94, 1994-99, 1999-2004, 2004-2009); tax bases; representative tax system; five province standard; renewal.

**Program Record Number:** FIN FPR 210

### Federal-Provincial Relations

**Description:** General information on federal-provincial relations and topics not covered in specific program records.

**Topics:** Bills; provincial fiscal stabilization program; inter-governmental liaison for fiscal and economic matters; national unity; conditional

grants and shared cost programs; Western Northwest Territories, Nunavut and Yukon - financial matters; Public Utilities Income Tax Transfer Act (PUITTA); statutory subsidies.

**Program Record Number:** FIN FPR 200

### Fiscal Arrangements

**Description:** Information on the development leading up to fiscal arrangements for programs such as the Canada Health and Social Transfer, Equalization, and Established Program Financing.

**Topics:** Revenue guarantees; Fiscal Arrangements and Established Programs Financing; unconditional transfers; block funding; contracting-out arrangements; Quebec abatement.

**Program Record Number:** FIN FPR 205

### Income Security

**Description:** Information on the development of policies relating to income security programs.

**Topics:** Child benefits; elderly benefits; pensions - Canada Pension Plan (CPP) - benefits, financing, Pension Benefits Standards Act (PBSA); retirement income policy, disabilities; veterans.

**Program Record Number:** FIN SPD 296

### Labour Markets

**Description:** Information on policies and programs relating to the labour market.

**Topics:** Employment Insurance program, financing, Canada Labour Code, immigration, job creation and training programs, labour adjustment; youth employment programs, education – Post-Secondary Education, Canada Student Loans Program; housing – Canada Mortgage and Housing Corporation, corporate finance, mortgage insurance, mortgage market, programs; status of women.

**Program Record Number:** FIN SPD 301

### Pensions

**Description:** Information related to pension fund investment and governance in Canada.

**Topics:** Canada Pension Plan, Public Service Superannuation Act.

**Program Record Number:** FIN FSP 156

### Social Policy

**Description:** General information on the development of social policies.

**Topics:** General social research and policy.

**Program Record Number:** FIN SPD 290

### Health/Culture/Justice

**Description:** Information on the development of policies relating to socio-economic programs.

**Topics:** Communications and culture; health - Health Canada; justice - acts and regulations;



multiculturalism; ; official languages; Solicitor General; Security Issues Heritage Canada; sports/fitness.

**Program Record Number:** FIN SPD 306

### **Territorial Formula Financing**

**Description:** Information on the development and implementation of Territorial Formula Financing program for Yukon, Nunavut and the Northwest Territories.

**Topics:** Formula, arrangements, expenditure needs, gross expenditure base, revenue raising ability, economic development incentive.

**Program Record Number:** FIN FPR 220

### **Financial Sector Policy Branch**

#### **Bank of Canada**

**Description:** Information on the administration, policies and programs of the Bank of Canada.

**Topics:** Currency reserves; director and officer appointments; financial matters; returns to the Minister of Finance.

**Program Record Number:** FIN FMD 155

#### **Bonds and Securities**

**Description:** Information on the development of policies on the issue and cancellation of Government of Canada bonds and treasury bills.

**Topics:** Debt management policies; bonds; cancellation of securities; Government of Canada bonds; perpetual bonds 3% - 1936; real return bonds; securities deposit matters; treasury bills; wartime loans and bonds. Information on specific Government of Canada bonds is filed by date of issue.

**Program Record Number:** FIN FMD 165

#### **Capital Markets**

**Description:** General information on the federal government's involvement in capital markets.

**Topics:** Capital markets; financial markets - money, bond and equity.

**Program Record Number:** FIN FSD 145

#### **Clearance and Settlement Issues**

**Description:** General information on issues related to payments and clearance and settlement systems.

**Topics:** Clearing and settlement, payments systems of the Canadian Payments Association including the Automated Clearing Settlement System, large value transfer system (LVTS), Continuous Linked Settlement (CLS), Canadian Depository for Securities (CDS), Canadian Derivatives Clearing Corporation (CDCC) and Interac Association.

**Program Record Number:** FIN FID 152

### **Money Laundering and Terrorist Financing Issues**

**Description:** Information on policies related to domestic and international anti-money laundering and terrorist financing activities.

**Topics:** The Proceeds of Crime (Money Laundering) and Terrorist Financing Act; the Financial Transactions Reports Analysis Centre of Canada; the Financial Action Task Force on Money Laundering and the Caribbean Financial Action Task Force.

**Program Record Number:** FIN FMD 195

### **Financial Developments**

**Description:** General information on financial developments in Canada.

**Topics:** Financial markets - Canada; interest rates - analysis and forecasts.

**Program Record Number:** FIN FMD 190

### **Financing Abroad**

**Description:** Information on the borrowing of money in other countries by the federal, provincial and municipal governments and by Canadian corporations.

**Topics:** Government projects financing; provincial, municipal and corporate direct and guaranteed financing bond issues - domestic and foreign.

**Program Record Number:** FIN FID 175

### **International Issues**

**Description:** Information on issues related to participation by Canadian financial institutions in foreign markets and foreign financial institutions participation in the Canadian market.

**Topics:** North American Free Trade Agreement (NAFTA), WTO/GATS, Bilateral and Multilateral Trade Negotiations, Organisation for Economic Cooperation and Development (OECD), and bilateral discussions.

**Program Record Number:** FIN FSP 155

### **Official International Reserves and Exchange Rates**

**Description:** Information on official reserves, the external value of the Canadian dollar and associated policies.

**Topics:** The Currency Act; Official International Reserves; Exchange Fund Account; gold; Canadian dollar (including issues relating to legal tender status of coinage) - analysis reports; international financial and exchange markets.

**Program Record Number:** FIN FID 185

### **Regulatory Policy Issues**

**Description:** Information on Canada's financial institutions, including banks, trust and loan companies, insurance companies, cooperative

credit associations, private pension plans as well as the development of policies relating to financial institutions and federal deposit insurance. General information on the structure and operation of the financial services industry and related statutes and regulations.

**Topics:** Financial sector legislative framework, ownership, control, foreign entry, transactions, investor confidence, troubled financial institutions, confidentiality/disclosure, consumer protection, privacy, , deposit insurance, policy holder protection, regulatory approvals and interventions, consultations with stakeholders, industry relations, corporate social responsibility and analysis.

**Program Record Number:** FIN FID 150

#### Other Issues

**Description:** Information on policies related to Canada's financial institutions and markets.

**Topics:** Future policy development of the sector, industry profiles, industry trends and performance, directors' liability, environmental liability, small business financing, derivatives, mortgage markets, investment rules, and consumer issues.

**Program Record Number:** FIN FSP 157

#### International Trade and Finance Branch

##### Agreements

**Description:** Information on the negotiations and the development of policies on international agreements between Canada and other countries, and between other countries.

**Topics:** Automotive agreement; cultural, air, shipping and miscellaneous agreements with other countries; miscellaneous agreements between other countries.

**Program Record Number:** FIN IER 565

##### Anti-Dumping

**Description:** Information on anti-dumping actions taken, including statements of reasons, decisions and Panel (either WTO or NAFTA) review of those decisions.

**Topics:** Canadian - commodities, cases other than steel, cases steel; international - European Economic Community (EEC), United States of America (USA), Canadian negotiating position regarding anti-dumping in international agreements (WTO, NAFTA, proposed FTAA).

**Program Record Number:** FIN IER 551

##### Canada-Chile Free Trade Agreement (CCFTA)

**Description:** Information on the development and implementation of policies affecting trade relations between Canada and Chile.

**Topics:** Canada-Chile Free Trade Agreement; Articles of the Agreement

**Program Record Number:** FIN IER 558

##### Canada-Israel Free Trade Agreement (CIFTA)

**Description:** Information on the development and implementation of policies affecting trade relations between Canada and Israel.

**Topics:** Canada-Israel Free Trade Agreement; Articles of the Agreement

**Program Record Number:** FIN IER 559

##### Canada - United States and Mexico Trade Agreement

**Description:** Information on the development and implementation of policies affecting trade relations between Canada, the United States and Mexico.

**Topics:** North American Free Trade Agreement (NAFTA).

**Program Record Number:** FIN IER 557

##### Canada - United States Trade Agreement

**Description:** Information on the development and implementation of policies affecting trade relations between Canada and the United States.

**Topics:** FTA: Anti-trust and business acquisition; chapter 18, chapter 19 panel; contingency protection; customs and tariffs; sectoral matters - agriculture, automotive and aerospace, energy and the environment; mining and metals.

**Program Record Number:** FIN IER 553

##### Canada - U.S. Free Trade Agreement (FTA), North American Free Trade Agreement (NAFTA)

**Description:** Information on tariff reductions, accelerated tariff reductions, rules of origin, special safeguard provisions.

**Topics:** Canada-U.S. Free Trade Agreement; North American Free Trade Agreement; Articles of the Agreements; Acceleration of tariff elimination.

**Program Record Number:** FIN TAR 695

##### Canadian and Foreign Countries Trade

**Description:** General information and reports on trade relations with foreign countries, including information on the negotiation and content of trade agreements.

**Topics:** Contingency protection; customs and tariffs.

**Program Record Number:** FIN IER 552

##### Canadian Development Assistance

**Description:** General information on the financial programs and other developmental assistance given to foreign countries by Canada and the federal government agencies that administer these programs.

**Topics:** Bilateral and multilateral allocations; Canadian International Development Agency (CIDA); committees; conferences and meetings; energy crisis and aid; financing; private sector;

reviews.

**Program Record Number:** FIN IFD 620

### **Canadian Development Assistance Programs**

**Description:** Information on the Canadian government's programs of developmental assistance to specific foreign countries.

**Topics:** Central and Eastern Europe; Africa - Commonwealth, francophone; Caribbean; export market development; Latin America; Middle East; South and Southeast Asia - Association of Southeast Asian Nations - India - Pakistan, projects.

**Program Record Number:** FIN IFD 625

### **Commonwealth Relations**

**Description:** Information on the administration, programs and policies of the Commonwealth and its organizations and the Canadian government's position on these policies and programs.

**Topics:** Commonwealth; committees; developmental assistance; Commonwealth Fund for Technical Co-operation; meetings and conferences of Commonwealth officials; meetings - heads of government, ministers, finance, food production and rural development, trade and economic; Commonwealth organizations; Commonwealth Secretariat - administration, committees, education, education liaison, finance; Commonwealth Telecommunications Council - world development.

**Program Record Number:** FIN IFD 630

### **Economic and Statistical Reports**

**Description:** Information on international economic and financial activity.

**Topics:** Japan; Germany, France, the United Kingdom; Italy; other industrialized OECD countries; the European Union; emerging market economies and the states of central and eastern Europe, as well as Russia and some other states of the former Soviet Union.

**Program Record Number:** FIN IFD 610

### **European Union**

**Description:** Information on the development and implementation of trade policies affecting trade relations between Canada and the EU.

**Topics:** Agriculture policy; external economic relations; policies; tariff and trade issues; 1992/foreign countries.

**Program Record Number:** FIN IER 554

### **Export Finance Programs**

**Description:** Information on the administration, policies and programs of the Export Development Canada, Canadian Commercial Corporation and the Credit Grain Sales Program of the Canadian Wheat Board, set up by the federal government to

facilitate and develop trade between Canada and other countries.

**Topics:** Export Development Canada; board of directors; long-term export financing and financing projects; insurance and investment; Canada Account, Canadian Commercial Corporation, Credit Grain Sales Program of the Canadian Wheat Board, and Agri-Food Credit Facility.

**Program Record Number:** FIN IFD 635

### **Foreign Ownership and Control in the Canadian Economy**

**Description:** Information on the extent of foreign ownership and control in sectors of the Canadian economy and policies in this area.

**Topics:** Foreign ownership and control of the Canadian economy - industries; international policies.

**Program Record Number:** FIN IER 555

### **Francophone Relations**

**Description:** Information on meetings held inside and outside Canada.

**Topics:** Meetings.

**Program Record Number:** FIN IFD 633

### **General Agreement on Tariffs and Trade (GATT)**

**Description:** Information on the preparation of detailed positions on tariff matters, customs valuation and the conduct of negotiations on multilateral trade issues under the GATT/WTO.

**Topics:** Multilateral trade negotiations; Article XXVIII renegotiations; consolidations of, and rectifications and modifications to Canada's GATT/WTO schedule on tariff bindings.

**Program Record Number:** FIN TAR 690

### **General Agreement on Tariffs and Trade (GATT)/WTO**

**Description:** Information on the development of policies, negotiations, decisions, reports, meetings on the General Agreement on Tariffs and Trade (GATT).

**Topics:** Articles of Agreement; GATT and United Nations Conference on Trade and Development (UNCTAD); International Trade Centre; administration; committees and conferences; Kennedy Round - 1963; Tokyo Round of Multilateral Trade Negotiations - 1973; Multilateral Trade Negotiations (Uruguay) 1986.

**Program Record Number:** FIN IER 570

### **International Economic and Financial Relations**

**Description:** General information on international economic and financial relations, including conferences and meetings.

**Topics:** Economic and financial relations with

other countries; Economic Summit, G7, G10, G20, APEC Finance Ministers, Western Hemisphere Finance Ministers.

**Program Record Number:** FIN IFD 605

### **International Economic Relations**

**Description:** Information on the conduct and formulation of specific trade policies.

**Topics:** Agreements - GATT; WTO; FTA; NAFTA; APEC; Chilean Access; FTAA; automotive agreement, relations with other countries; Canadian customs and tariffs; Canadian International Trade Tribunal (CITT) - references/studies; commodities - textile-footwear, foreign countries; conferences, committees and meetings - bilateral trade and economic relations; countervailing duties - Canadian, international, United States; economic sanctions; emergency surtaxes; international commodity groups; foreign direct investment, countries, review process; relations with FAITC; Special Import Measures Act - subsidies; countervail; antidumping; government procurements; safeguards measures; Services.

**Program Record Number:** FIN IER 550

### **International Energy Matters**

**Description:** Information on the development of policies on international relations, projects and organizations dealing with energy.

**Topics:** International energy conferences; International Energy Agency (IEA); Organization of Petroleum Exporting Countries (OPEC).

**Program Record Number:** FIN IER 585

### **International Financial Institutions**

**Description:** General information on the administration, policies and programs of international financial institutions and the Canadian government's position on their policies and programs.

**Topics:** International Centre for Settlement of Investment Disputes (ICSID); Multilateral projects; International Bank for Reconstruction and Development, International Development Association, Inter-American Development Bank, African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, International Finance Corporation, Multilateral Investment Guarantee Agency, The World Bank.

**Program Record Number:** FIN IFD 640

### **International Financial Institutions - Individual Institutions**

**Description:** Information on the administration, policies and programs of individual institutions and the Canadian government's position on these policies and programs.

**Topics:** African Development Bank (AFDB); African Development Fund (AFDF); Asian Development Bank (ASDB); Asian Development Fund (ASDF); Caribbean Development Bank (CDB); European Bank for Reconstruction and Development (EBRD); Inter-American Development Bank (IDB); International Bank for Reconstruction and Development (IBRD); International Development Association (IDA); International Finance Corporation (IFC); Multilateral International Guarantee Agency (MIGA).

**Program Record Number:** FIN IFD 645

### **International Monetary Fund (IMF)**

**Description:** Information on the administration, operation and policies of the International Monetary Fund and Canada's participation in it.

**Topics:** Bretton Woods Institutions - annual meetings; policy; administration; directors; financial operations (including the Enhanced Structural Adjustment Facility); facilities of the IMF; gold; quotas; special drawing rights; interim committee; Group of Ten; international liquidity; publications and reports; relations with Canada and other countries.

**Program Record Number:** FIN IFD 600

### **International Organizations**

**Description:** Information on the policies, programs and reports on the activities of international organizations and the Canadian government's position on their policies, programs and reports.

**Topics:** International satellite communications; Organization of American States (OAS) - conferences and meetings.

**Program Record Number:** FIN IFD 650

### **International Organizations**

**Description:** Information on the administration, operations and policies of international organizations dealing with international economic relations.

**Topics:** United Nations; European Communities; Euratom; European Free Trade Area; European Coal and Steel Community; European Economic Community; common markets; free trade areas; North Atlantic Free Trade Area; Organization for Economic Co-operation and Development (OECD) - administrative matters, financial matters, general policy matters, committees and agencies; World Trade Organization; APEC.

**Program Record Number:** FIN IER 560

### **International Programs**

**Description:** General information on programs and events in developing countries.

**Topics:** Payments made in respect of multilateral

debt reduction agreements; Paris Club.

**Program Record Number:** FIN IFD 615

### International Trade

**Description:** General information on the conduct of trade between Canada and other countries.

**Topics:** Trade of other countries; trade reports on Canadian trade with other countries (i.e. TPRM); trade with individual countries.

**Program Record Number:** FIN IER 575

### Multilateral Co-ordination of Aid and Financing

**Description:** Information on international programs and projects to furnish financial and other help to countries to develop their industries and resources.

**Topics:** Development assistance programs - inter-governmental groups, United States of America; Organization for Economic Co-operation and Development (OECD) - Development Assistance Committee (DAC), Development Centre, meetings, private flow, programs, working parties and groups, Export Credits Group, documents; OECD Arrangement on Guidelines for Officially supported Export Credits; Practices of other export credit agencies.

**Program Record Number:** FIN IFD 660

### Organization for Economic Cooperation and Development (OECD)

**Description:** Information on the activities of the OECD, including reports, analysis and positions of Canada with respect to activities of specific committees.

**Topics:** Conferences, committees and meetings - Economic and Development Review Committee, Economic Policy Committee, Executive Committee in special session, Trade Committee, CIME, CMIT; MAI.

**Program Record Number:** FIN IER 556

### Other Import Measures

**Description:** Other information on the importation of goods into Canada, including information on the preferential treatment accorded to some countries, specific commodities, customs tariffs and duties and the government agencies which administer these tariffs and duties.

**Topics:** International Commodity Group; Canadian customs; Canadian customs tariff; Canadian International Trade Tribunal; generalized system of preferences - country files.

**Program Record Number:** FIN TAR 595

### Special Import Measures

**Description:** Information on measures in respect of the importation of subsidized or dumped goods.

**Topics:** International anti-dumping; international countervailing duties; Special Import Measures

Act; emergency surtaxes; Canadian International Trade Tribunal; commodities; Canadian countervailing duties; low-cost imports.

**Program Record Number:** FIN IER 590

### Tariff Items

**Description:** Information such as representations from industry for specific changes in rates of duty for individual tariff items or classes of items, rules of origin, concessionary codes, harmonized system.

**Topics:** General Information; Statutory amendments; regulatory amendments; HS conversion; Tariff simplification; Individual tariff items

**Program Record Number:** FIN TAR 700

### Tariffs

**Description:** General information on the development of policies on customs tariffs and trade, including acts, legislation and agreements.

**Topics:** Tariff policy; tariff simplification; bilateral and multilateral trade agreements; surtaxes; remissions and drawbacks; preferences for developing countries; marking of imported goods; Canadian International Trade Tribunal; Orders in Council.

**Program Record Number:** FIN TAR 675

### United Nations

**Description:** Information on the administration, policies and programs of the United Nations and the Canadian government's position on these policies and programs.

**Topics:** Economic Commissions - Europe, committees; United Nations General Assembly committees - ad hoc, economic and social, Fifth Administrative and Budgetary - sessions; United Nations High Commissioner for Refugees (UNHCR); International Economic Order; Law of the Sea and Ocean Dumping Convention; peacekeeping operations; programs; United Nations Secretariat; Security Council; specialized agencies; financial operations, Special UN Summits.

**Program Record Number:** FIN IFD 665

### United Nations Agencies

**Description:** Information on the administration, policies and programs of the agencies of the United Nations and the Canadian government's position on these policies and programs.

**Topics:** United Nations Conference on Trade and Development (UNCTAD) - administration, committees and conferences, financial operations; UNCTAD Trade and Development Board - Permanent Committee, sessions, transfer of technology; United Nations Development Programs (UNDP) - administration, financial

operations, Governing Council; Economic and Social Council (ECOSOC) - commissions, standing committees, Science and Technology; subsidiary bodies - Trans-national Corporation; United Nations Educational, Scientific and Cultural Organization (UNESCO); United Nations Environmental Program (UNEP) - Governing Council; Food and Agricultural Organization (FAO) - administration, committees, conferences and meetings, Council, financial operations, publications; United Nations Fund; United Nations Fund for Africans; United Nations Fund for Drug Abuse Control (UNFDAC); United Nations Fund for Population Activities (UNFPA); United Nations Industrial Development Organization (UNIDO) - administration, conferences and meetings, Industrial Development Board; Inter-governmental Maritime Consultative Organization (IMCO) - administration, committees; International Atomic Energy Agency (IAEA) - administration, conferences and meetings, financial operations, nuclear power; United Nations International Children's Emergency Fund (UNICEF); International Civil Aviation Organization (ICAO); International Fund for Agricultural Development (IFAD); International Labour Organization (ILO) - administration, conferences, financial operations, governing body, programs; International Telecommunications Union (ITU); Pan-American Health Organization (PAHO); United Nations Relief and Works Administration (UNRWA); Universal Postal Union (UPU); World Food Program (WFP) - committees; World Health Organization (WHO) - administration, financial operations; World Health Assembly; World Meteorological Organization (WMO) - administration; World Tourism Organization (WTO) - transformation.

**Program Record Number:** FIN IFD 670

## Tax Policy Branch

### Air Traveler's Security Charge (ATSC)

**Description:** Information on the policy development and operation of the ATSC.

**Topics:** Technical issues, review process, rates, communications, administrative issues, industry profiles.

**Program Record Number:** FIN STD 745

### Budgets

**Description:** Information on the preparation and tabling of the federal government's budget.

**Topics:** Bills; background technical and policy information; Minister's briefing notes; enquiries.

**Program Record Number:** FIN TPD 710

## Excise Taxes and Duties

**Description:** Information on the excise taxes and duties charged on goods and services.

**Topics:** Air transportation; alcohol; tobacco products; tobacco smuggling; motive fuels; energy; jewellery; oil export tax; split-run tax; and Excise Act Review.

**Program Record Number:** FIN STD 755

## Goods and Services Tax and Harmonized Sales Tax

**Description:** Information on the operation of the GST/HST.

**Topics:** GST/HST treatment of various sectors (including non-profit and charitable organizations); small business issues (including compliance costs); Federal-Provincial issues (harmonization; reciprocal tax agreements); administrative issues (filing; remittances); general operational issues (cash flow; compliance/ documentation requirements; import and export issues; industry specific issues); quantitative analysis; environmental issues; application of GST/HST to First Nation; sales tax reform (alternatives to GST).

**Program Record Number:** FIN STD 747

## Income Tax

**Description:** General information on the federal Income Tax Act, including material dealing with the development of policies, briefs and submissions from companies, groups and associations, and proposals from the public.

**Topics:** Assessments, payments and returns; oil, gas and mining resource projects; briefs and submissions; capital gains and losses; credits; charities; deferred and other income arrangements; excess profits tax; office or employment; partnerships; pensions and retirement plans; Canada Child Tax Benefit; political contributions; - estates and gifts.

**Program Record Number:** FIN TPD 715

## Income Tax on Business and Property

**Description:** Information on the federal income tax on business and property, including material dealing with the development of policies and proposals from companies, groups, associations and individuals.

**Topics:** Deductions; land and real estate; special cases.

**Program Record Number:** FIN TPD 720

## Intergovernmental Taxation

**Description:** Information on policy development and administration of Federal-Provincial Income Tax Collection Agreements and the Reciprocal Taxation Agreements; analysis of issues in the area of federal-provincial tax relations; and policy

development and negotiations on First Nation taxation.

**Topics:** First Nation Taxation; Federal-Provincial Tax Agreements; Indian tax exemption; First Nation government tax powers.

**Program Record Number:** FIN TPB 768

### International Taxation

**Description:** Information on all aspects of international taxation such as tax agreements with other countries and international organizations, taxation matters within other countries, privileges and immunities.

**Topics:** Canadian tax agreements with other countries; Canadian tax agreements with the United Kingdom and the United States; international organizations;; Canada-U.S. comparisons.

**Program Record Number:** FIN TPD 731

### Non-resident Taxes

**Description:** Information on the federal income tax on persons, businesses and corporations that are not residents of Canada, including material dealing with the development of policies and proposals from companies, groups, associations and individuals.

**Topics:** Business and corporations; personal; withholding tax.

**Program Record Number:** FIN TPD 725

### Personal Income Tax

**Description:** Information on federal personal income taxes, including material dealing with the development and evaluation of tax measures and policies.

**Topics:** Tax structure; tax expenditures (exemptions, deductions, credits); income maintenance; employment; education; capital gains; retirement savings; charitable donations; special groups (seniors, children, people with disabilities).

**Program Record Number:** FIN TPD 730

### Refunds, Credits and Remissions

**Description:** Information on the refund and remittance of overpayments of federal excise and sales taxes.

**Topics:** A variety of specific issues with respect to sales and excise taxes.

**Program Record Number:** FIN STD 750

### Remissions of Taxes

**Description:** Information on the remission of taxes, corporation income taxes, personal income taxes and all other forms of federal taxes, except sales and excise taxes.

**Topics:** A variety of specific issues with respect

to corporate and income taxes.

**Program Record Number:** FIN STD 735

### Tax Expenditures and Evaluations

**Description:** Information on evaluation of selected tax measures and on consultations and discussions on tax expenditures and evaluations.

**Topics:** Tax expenditures and evaluations.

**Program Record Number:** FIN TPB 770

### Tax Policy

**Description:** General information on tax policy and legislation, including reports from Canada Revenue Agency- statistics, Royal Commission reports and studies on the subject of taxation. Information on First Nation taxation in the context of self-government.

**Topics:** Royal Commission on Taxation - briefs and submissions, reports and studies; White Paper on Tax Reform - studies; tax expenditures; conferences.

**Program Record Number:** FIN TPD 705

### Taxes on Corporations and Shareholders

**Description:** Information on the federal income tax, capital tax and tax incentives on corporations and shareholders, including material dealing with the development of policies and proposals from companies, groups, associations and individuals.

**Topics:** Deductions; investment income; reorganizations; securities; special rules (banking); White Paper on Tax Reform - 1987.

**Program Record Number:** FIN BIT 765

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings  
 Hospitality  
 Human Resources  
 Lands  
 Occupational Health, Safety and Welfare  
 Office Appliances  
 Official Languages  
 Pensions and Insurance  
 Personnel  
 Proactive Disclosure  
 Procurement  
 Relocation  
 Salaries and Wages  
 Staff Relations  
 Training and Development  
 Travel  
 Utilities  
 Vehicles

## Personal Information Banks

### Access Request Files

**Description:** This bank contains requests under the Access to Information Act submitted by individuals to access records under the control of the Department of Finance, the replies to such requests and any other information relevant to the processing of the requests.

**Class of Individuals:** Individuals who have exercised their rights under the Access to Information Act.

**Purpose:** This information is compiled to process requests submitted under the Access to Information Act.

**Consistent Uses:** The information may also be used to compile statistics in relation to reporting requirements or in relation to studies on developing trends on the use of the legislation.

**Retention and Disposal Standards:** Information is retained for two years from the date of the most recent action on file, after which the records are destroyed.

**RDA Number:** 98/001

**Related PR#:** FIN AIP 005

**TBS Registration:** 001888

**Bank Number:** FIN PPU 020

### Applications for Employment

**Description:** This bank serves as a reference for any applications received from individuals seeking

employment with the Department of Finance. These requests usually consist of a letter to which a curriculum vitae is attached and which contain such information as the name, address, education and experience of the individual.

**Class of Individuals:** Individuals seeking employment with the Department of Finance.

**Purpose:** Applications retained for vacant positions within the Department.

**Consistent Uses:** The bank is also used to store information on these individuals.

**Retention and Disposal Standards:** The records are retained for two years and are then destroyed.

**RDA Number:** 98/005

**Related PR#:** FIN ADM 920

**TBS Registration:** 001886

**Bank Number:** FIN PPU 010

### Minister's Correspondence

**Description:** This bank contains letters addressed to the Minister of Finance and Secretary of State (International Financial Institutions). It relates to individuals who write to Minister of Finance and Minister of State (International Financial Institutions).

**Class of Individuals:** Individuals wishing to comment on the issues of the day.

**Purpose:** Letters are sent to the Minister and the Minister of State (International Financial Institutions).

**Consistent Uses:** Information used to prepare responses.

**Retention and Disposal Standards:** Files are retained for five years and then destroyed.

**RDA Number:** TBD

**Related PR#:** FIN CAC 030

**TBS Registration:** 003545

**Bank Number:** FIN PPU 030

### Personal Services Contracts

**Description:** This bank contains the contracts placed, types of services rendered, length of contracts, money expended, the social insurance number of individuals on contract, the actual contracts and supporting documents.

**Class of Individuals:** Individuals hired under personal service contracts by the Department.

**Purpose:** The bank is used for accounting, reference and statistical purposes.

**Consistent Uses:** None

**Retention and Disposal Standards:** Files are retained for six years after completion and non-renewal and are then destroyed.

**RDA Number:** 99/004

**Related PR#:** FIN ADM 914

**TBS Registration:** 001885

**Bank Number:** FIN PPU 005



## Privacy Request Files

**Description:** This bank contains requests submitted under the Privacy Act, the replies to such requests and any other information relevant to the processing of the requests.

**Class of Individuals:** The general public or employees of the Department who have exercised their rights of access under the Privacy Act.

**Purpose:** This information is compiled to process requests submitted under the Privacy Act and to allow individuals to exercise their rights under the legislation.

**Consistent Uses:** The bank is used in the compilation of statistics in relation to reporting requirements of the Privacy Act or in relation to studies on the developing trends of requests submitted under the Act.

**Retention and Disposal Standards:** Information is retained for two years from the date of the most recent action on file, after which the records are destroyed.

**RDA Number:** 98/001

**Related PR#:** FIN AIP 005

**TBS Registration:** 001887

**Bank Number:** FIN PPU 015

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks.

Hospitality

Relocation

Travel

## Classes of Personal Information

In the course of conducting the programs and activities of the Department of Finance, personal information may be accumulated which is not contained in the specific information banks described in this entry. This information exists in a fragmented form throughout the subject files of the Department. This information is stored as part of the general subject files, where records are normally retrieved by the name of the individual or other personal identifier. This form of information is retrievable only if specifics are provided concerning the subject matter, related departmental activity, as well as the date at which the information was received by the Department and to whom it was addressed.

The personal information contained in the subject files is retained for the same period of time as the

related subject information and disposed of according to the appropriate record schedules.

## Manuals

- Access to Information
- Cabinet Confidences – Editor's Guide (PCO)
- Crown Corporations
- Department of Finance – Guide to Procedures
- Department of Justice, Regulations Section, Drafting Conventions, No. 1, March 1996
- Evaluation
- Guidelines on Access to Information
- Government Security Policy (GSP)
- Guide on preparing the Departmental Performance Report
- Guide on preparing the Report on Plans and Priorities
- Internal audit
- Manager's Handbook Canada Labour Code Part II
- PCO Guidelines for preparing Government Responses to House of Commons Committee Reports
- Privacy and Data Protection
- Receiver General Accounting Manual
- Receiver General Chart of Accounts
- Regulations Section – Drafting Committee, Drafting Directive No. 98-1, September 1998
- Security
- Staffing Manual
- The Government of Canada Regulatory Policy (1999) and a New Guide to the Regulatory Process
- WebCims Procedures Manual (Management of Executive Information)

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Department of Finance and its programs and functions may be directed to:

Information Services  
Department of Finance  
140 O'Connor Street  
Ottawa ON K1A 0G5  
Tel.: (613) 992-1573

## **Reading Room**

In accordance with the Access to Information Act, areas on the premises of this institution has been designated as public reading rooms. The addresses are:

Access to Information and Privacy Office  
21st Floor, East Tower  
L'Esplanade Laurier  
140 O'Connor Street  
Ottawa, Ontario

Finance and Treasury Board Library  
11th Floor, East Tower  
L'Esplanade Laurier  
140 O'Connor Street  
Ottawa, Ontario

# Department of Foreign Affairs

## Chapter 55

Please note: The following information does not refer solely to the Department of Foreign Affairs, but is the 2003-2004 Info Source chapter for the Department of Foreign Affairs and International Affairs (DFAIT). As a result of the December 2003 split into two separate entities, the Department of Foreign Affairs was not able to update their content for inclusion in the 2004-2005 version of Info Source.

### General Information

#### Background

The Department of Foreign Affairs and International Trade had its origin in an Act of Parliament in 1909 to deal with Canada's relations with other governments within the British Empire and with foreign states. In 1981, the foreign operations of the immigration service were brought into the Department. In January 1982, there was a fundamental reorganization to include the foreign trade policy and international trade component of the Industry, Trade and Commerce Department. In 1992 the Immigration component of the foreign service was transferred to Employment and Immigration Canada and certain other non-core functions, such as the World Exhibition program and international sport program, were transferred to other departments. In 1993 the Investment Development Division of Investment Canada was merged with the Department.

The Department of External Affairs Act of 1985 set forth the mandate of the Department and provided for a Secretary of State for External Affairs (SSEA) and a Minister for International Trade. The name of the Department was subsequently changed to External Affairs and International Trade Canada. In the fall of 1993 the Department assumed its present title, the Department of Foreign Affairs and International Trade (DFAIT), and the SSEA's title was changed to Minister of Foreign Affairs.

#### Responsibilities

The Department of Foreign Affairs and International Trade has the primary responsibility for the promotion and protection of Canada's interests abroad and the conduct of Canada's relations with other countries. Its legal mandate,

as set out in the Department of Foreign Affairs and International Trade Act, RSC 1985, c. E-22, is to: conduct all diplomatic and consular relations on behalf of Canada; conduct all official communication between the Government of Canada and the government of any other country and between the Government of Canada and any international organization; conduct and manage international negotiations as they relate to Canada; coordinate Canada's economic relations; foster the expansion of Canada's international trade; coordinate the direction given by the Government of Canada to the heads of Canada's diplomatic and consular missions and to manage these missions; administer the foreign service of Canada; and foster the development of international law and its application in Canada's external relations.

The Department has four basic roles, which flow from the legal mandate. They are: the development and coordination of the Government's international policy; advocacy of Canadian interests and values overseas; the provision of services to Canadians (trade and investment promotion, securing and improving market access, consular assistance, passports); and support for other government departments and agencies abroad (including provincial governments).

#### Legislation

- Asia-Pacific Foundation of Canada Act, RSC 1985, c. A-13
- Canada Shipping Act, RSC 1985, c. S-9, s. 632.4
- Canada-Chile Free Trade Agreement Implementation Act, S.C. 1997, c. 14
- Canada-Israel Free Trade Agreement Implementation Act, S.C. 1996, c. 33
- Canada-United States Free Trade Agreement Implementation Act, RSC 1988, c. 65, ss. 1 to 7 and Parts I and V
- Canadian Commercial Corporation Act, RSC 1985, c. C-14
- Canadian Environmental Assessment Act, SC 1992, c. 37, ss. 40, 47, 58
- Canadian Laws Offshore Applications Act, SC 1990, c. 44, s. 10

- Canadian Security Intelligence Service Act, RSC 1985, c. C-23, ss. 13, 14, 16, 17, 19
- Chemical Weapons Convention Implementation Act SC 1995, c. 25
- Citizenship Act, RSC 1985, c. C-29, ss. 3, 23
- Coasting Trade Act, SC 1992, c. 31, ss. 3, 17
- Criminal Code, RSC 1985, c. C-46, ss. 7, 57, 477.4
- Cultural Property Export and Import Act, RSC 1985, c. C-51, ss. 4, 17, 39
- Customs Tariff, RSC 1985, c. C-54.01, s. 59
- Department of Foreign Affairs and International Trade Act, RSC 1985, c. E-22; 1995, c. 5
- Excise Tax Act, RSC 1985, c. E-15, s. 68.3
- Export and Import Permits Act, RSC 1985, c. E-19
- Export Development Act, RSC 1985, c. E-20
- Food and Agriculture Organization of the United Nations Act, RSC 1985, c. F-26
- Foreign Enlistment Act, RSC 1985, c. F-28, s. 7
- Foreign Extraterritorial Measures Act, RSC 1985, c. F-29, s. 5
- Foreign Missions and International Organizations Act, SC 1991, c. 41
- Fort-Falls Bridge Authority Act, SC 1970-71-72, c. 51
- Immigration Act, RSC 1985, c. I-2, s. 116
- International Boundary Waters Treaty Act, RSC 1985, c. I-17
- International Centre for Human Rights and Democratic Development Act, RSC 1985, c. I-17.3. (RSC 1985 (fourth supplement) c. 54)
- International Development (Financial Institutions) Assistance Act, RSC 1985, c. I-18
- International Development (Financial Institutions) Assistance Act, SC 1981-82-83, c. 73
- International Development Research Centre Act, RSC 1985, c. I-19
- Motor Vehicle Transport Act, 1987, RSC 1985, c. M-12.01, s. 17
- Mutual Legal Assistance in Criminal Matters Act, RSC 1985, c. M-13.6, s. 6
- National Transportation Act, 1987, RSC 1985, c. N-20.01, ss. 86, 156
- North American Free Trade Agreement Implementation Act, SC 1993, c. 44, s. 1 to 9 and Parts I and III
- Northern Pipeline Act, RSC 1985, c. N-26
- Privileges and Immunities (NATO) Act, RSC 1985, c. P-24
- Prohibition of International Air Services Act, RSC 1985, c. P-25
- Rainy Lake Watershed Emergency Control Act, SC 1939, c. 33
- Revolving Funds Act, RSC 1985, c. R-8, s. 4
- Roosevelt Campobello International Park Commission Act, SC 1964-65, c. 19
- Skagit River Valley Treaty Implementation Act, SC 1984, c. 11
- Special Economic Measures Act, SC 1992, c. 17
- Special Import Measures Act, RSC 1985, c. S-15, Parts I.1 and II
- State Immunity Act, RSC 1985, c. S-18, ss. 9, 14, 15
- Teleglobe Canada Reorganization and Divestiture Act, SC 1987, c. 12, s. 8
- Territorial Sea and Fishing Zones Act, RSC 1985, c. T-8, except for s. 6
- The Geneva Conventions Act, RSC 1985, c. G-3, ss. 6, 9
- Treaties of Peace; Austria, Germany, SC 1919 (second session), c. 30; Bulgaria, SC 1920, c. 4; Hungary, SC 1922, c. 49, SC 1948, c. 71 and SC 1950, c. 50, s. 10; Italy, Romania, Finland, SC 1948, c. 71 and SC 1950, c. 50, s. 10; Japan, SC 1952, c. 50; Turkey, SC 1922, c. 49
- United Nations Act, RSC 1985, c. U-2
- World Trade Organization Agreement Implementation Act, SC 1994, c. 47, ss. 1 to 7 and Parts I and II

## Organization

The Department has two Ministers (the Minister of Foreign Affairs and the Minister for International Trade) and three Secretaries of State (for Asia Pacific; for Latin America, Africa and la Francophonie; and for Central and Eastern Europe, and the Middle East). The responsibilities

of the two Ministers extend beyond this Department: the Minister of Foreign Affairs

is also responsible for the International Development Research Centre, the International Joint Commission and the International Centre for Human Rights and Democratic Development. The Minister for International Trade is responsible for the Export Development Corporation, the Canadian Commercial Corporation, the North American Free Trade Agreement (NAFTA) Secretariat, and the Northern Pipeline Agency Canada.

### **Headquarters Organization**

The Department is headquartered in Ottawa but operates throughout Canada via local and regional passport offices and through its network of trade commissioners in regional offices. Below the deputy minister level, the Department is organized by function, by geography and for corporate services at the assistant deputy minister level and is supported by the Legal Adviser and Planning Secretariat. There are special ambassadors, based in Ottawa, for special subjects such as Fisheries Conservation, the Environment, Air Negotiations and Circumpolar Affairs. The present headquarters structure came into effect in September 1996.

The functional Assistant Deputy Ministers (International Business and Communications; Trade, Economic and Environmental Policy; Global and Security Policy) are accountable for developing coherent, effective global policies and initiatives to achieve worldwide the objectives of the government's foreign policy. The geographic Assistant Deputy Ministers (Asia Pacific; Americas; Europe, Africa and the Middle East) are accountable for the implementation of objectives within their respective regions and ensuring that policies and initiatives are consistent with the development and maintenance of effective and coherent relationships between Canada and each country.

The Department is further divided into a number of bureaux, as listed below alphabetically, each headed by a director general. The bureaux, in turn, are separated into divisions, each under a director. There are also some divisions and work units that do not form parts of bureaux. The acronym by which each major unit is known is shown after the name.

### **Missions abroad**

Outside Canada, the Department operates through a network of 129 missions and 33 offices in 107 countries. Overseas representation also

exists through a number of honorary consuls. Details of missions abroad can be found in the publication *Canadian Representatives Abroad*, issued annually.

Bilateral missions are accredited to specific countries. They include larger missions that provide a full range of services within the business line framework and smaller missions that specialize in specific services, including those of other government departments such as CIDA and Citizenship and Immigration Canada.

Multilateral missions serve Canadian interests in specific international organizations such as the World Trade Organization (WTO), the North Atlantic Treaty Organization (NATO), the United Nations (UN) and the U.N. Educational, Scientific and Cultural Organization (UNESCO), the Organization for Economic Cooperation and Development (OECD), the European Union (EU), and the Organization of American States (OAS). Missions also provide support to other government departments, including financial management, accommodation and property management, materiel management, communications, information management, personnel management of locally engaged staff, transportation and security.

### **Canadian Foreign Service Institute (CFSI)**

The Institute plans and delivers training and development programs to Departmental employees. The programs are designed to improve the effectiveness of employees in the delivery of the Department's programs in Canada and internationally and to facilitate career development. They include training in official and foreign languages, intercultural effectiveness and a broad range of skills and practices related to DFAIT's business lines. Organizational development services are also provided to assist the Department in managing change.

### **Communications Bureau (BCD)**

The Communications Bureau consists of the Foreign Policy and Corporate Communications Division, the Trade Communications Division, the Media Relations Office, the Outreach Programs and E-Communications Division, the Communications Services Division and the Director General's Office.

The Bureau is responsible for increasing awareness and understanding of Canada's foreign policy and international trade agenda among domestic and foreign audiences. It is also responsible for explaining the role of the Department to Canadians and recently added an

internal communications function in order to foster a more productive working environment and forum for ideas at headquarters and at missions abroad.

More specifically, the Communications Bureau provides quality communications advice and services to Ministers and officials on issues, events and initiatives. It also ensures that Canadian and foreign media, as well as other partners, groups and individuals, receive timely and accurate information about the Department and international issues of importance to Canada. The Bureau organizes speaking tours and other outreach programs and activities, provides the Department with public opinion research and analysis, co-ordinates advertising and publishing, and promotes public understanding of the historical aspects of Canada's foreign relations.

### **Consular Affairs Bureau (JPD)**

The Consular Affairs Bureau, under the direction of a Director General, has the sole responsibility for the provision of assistance to and protection of Canadians in other countries. In carrying out that mandate, it operates through staff at Canadian missions abroad as well as through five headquarters divisions consisting of: Case Management, Emergency Services, Program Services, Informatics Services, and Communications and Training. The Bureau sets overall policy for the delivery of consular services, manages cases in cooperation with missions, establishes service standards, manages the cost recovery program, delivers passport and citizenship services overseas, manages the 24-hour, 7-days-a-week departmental/consular operations centre and ensures the application of the Vienna Convention on Consular Relations and related multilateral and bilateral agreements to its consular activities.

### **Corporate Finance, Planning and Systems Bureau (SMD)**

This bureau is comprised of four divisions. The Planning, Program Analysis and Budgeting Division (SMP) provides analysis and advice to the Executive Committee on program planning and resource allocation matters; negotiates with central agencies the size of the Department's budget; coordinates the preparation of the Department's submissions to Treasury Board and its Estimates; prepares DFAIT's annual reports on Plans and Priorities and its Departmental Performance Report to Parliament. The division also coordinates the Department's strategic planning and conducts costing and financial analysis activities.

The Common Services Abroad, Planning and Coordination Division (SMC) provides strategic direction and planning of common services delivery to partner departments and co-locators at our missions abroad; coordinates and supports the implementation of the Framework for Managing Growth at Missions adopted by DFAIT in 2001; develops and negotiates memoranda of understanding (MOUs) with partner departments and co-locators; cost recovery from partner departments and co-locators, and coordination and promotion of the Modern Management initiative.

The International and Domestic Financial Division (SMF) is responsible for domestic and foreign operations for the Department as well as other government departments engaged in foreign operations; and for the operation of a centre of expertise dedicated to the management of service contracts for the department.

The Corporate Management Systems, Policy and Compensation Division (SMS) is responsible for the strategic direction, development, maintenance, training and support of systems utilized in the management of departmental resources including financial, human, and material management, including the Integrated Management System (IMS), PeopleSoft; HRMS, Salary Management System, and Business Intelligence; the administration of compensation and benefits for departmental employees; as well as the formulation and coordination of financial policy.

### **Economic Policy Bureau (EED)**

The Bureau is responsible for the development and coordination of Canada's positions on international economic and development assistance issues, including G8 Economic Summits, the OECD and APEC. It is also responsible for research and analysis of policy options on Canada's international trade and economic agenda. It consists of three divisions: International Economic Relations and Summit Division; Economic Relations with Developing Countries Division; and Trade and Economic Analysis Division.

### **Executive Services Bureau (DCD)**

The objective of this Bureau is to provide dedicated, one-stop support to our two Ministers, and three Secretaries of State and the Deputy Ministers. It is composed of four divisions: DCL (Cabinet and Parliamentary Liaison); DCP (Access to Information and Privacy Protection); DCC (Ministerial Correspondence); and DCX (Executive Briefings). It also acts as a focal point

on regulatory matters and policies, is responsible for preparing and disseminating the Forward Planning Document and acts as Secretariat to the Department's Executive Committee.

### **Export and Import Controls Bureau (EPD)**

The authority to control the export and import of goods and technology through the Export and Imports Permits Act (EIPA) is the basis of the Bureau's foreign and domestic policy mandate. The Act sets out criteria to govern the inclusion of particular goods on an Export Control List and an Import Control List, and provides for the inclusion of particular countries on an Area Control List applicable to exports. Control over the flow of goods contained on these lists and to/from these destinations is effected through the issuance or denial of export and import permits. The Act delegates to the Minister of Foreign Affairs the discretion to grant or deny requests for permits, and thus confers on the Minister broad powers to control the flow of goods. The principal role of the Export and Import Controls Bureau is to manage Canada's export and import control regime. This it does through policy development; issue management; processing and issuance of permits; and multilateral and bilateral negotiations.

### **Geographic Bureaux**

For the conduct of external relations, the world has been divided among eight geographic bureaux each under a director general. These are: Africa (GGD); Central, East and South Europe (RBD); European Union, North and West Europe (RWD); Latin America and Caribbean (LGD); Middle East, North Africa and Gulf States (GMD); North Asia and Pacific (PND); South and Southeast Asia (PSD); and North America (NAD). Each bureau is separated into divisions according to smaller geographic areas, and within the divisions, a country desk approach is normally used. The responsibilities and activities of the geographic bureaux have much in common and are best described together.

Each bureau is responsible for the management and coordination of the full range of relations with its region. Included are the operations of the Canadian posts abroad in its area, their guidance and instruction, the on-going dialogue with them, and the provision and allocation of resources to them. Under the Department of Foreign Affairs and International Trade Act, a head of mission is defined as responsible for the management and direction of the mission and the supervision of the official activities of the various Canadian departments and agencies in the country in question.

The geographic bureaux provide policy advice to Ministers, based on country and regional analysis, and generally are responsible for the handling of bilateral political and economic issues and trade policy with various parts of the world. Each bureau normally manages directly certain core DFAIT programs or "business lines"; for example, "international security and cooperation" or "international business development". In addition, the bureau – with its component divisions – coordinates the delivery within its area of other departmental business lines, including DFAIT's public affairs, consular and administrative programs, as well as the programs of other federal departments and agencies with major operations overseas. As the main point of contact for the Canadian business community, geographic divisions handle export promotion and country-specific market access issues. Most of them support tourist promotion activities in conjunction with the Canadian Tourism Commission, fairs and trade missions, investment development and science and technology cooperation. They also serve as a point of contact for non-governmental organizations with interests abroad and for foreign diplomatic missions based in Ottawa.

### **Global and Human Issues Bureau (AGD)**

This Bureau is responsible for policy development and coordination of activity in issues which are transnational in nature and contribute to sustainable human development and human security. The Human Rights, Humanitarian Affairs and Women's Equality Division ensures effective monitoring of human rights, women's equality issues world-wide and the effective integration of these considerations into all relevant aspects of bilateral and multilateral relations. It also coordinates the foreign policy aspects of humanitarian affairs and migration and refugee issues. The Aboriginal and Circumpolar Affairs Division manages aboriginal issues in Canada's multilateral and bilateral relations and is responsible for the implementation of the Northern Dimension of our Foreign Policy. The Bureau is responsible for the development of the Government's Human Security Policy and Programme covering five key thematic areas: Protection of Civilians, Peace Support Operations, Conflict Prevention, Governance and Accountability and Public Safety. The Bureau is also responsible for the follow up to the Report of the International Commission on Intervention and State Sovereignty, entitled "The Responsibility to Protect" which deals with the issue of humanitarian intervention. Aspects of social development, including children's issues, are the

responsibility of this Bureau as is the implementation of the Young Professionals International Program.

### **Human Resources Operations Bureau (HRD)**

HRD is responsible for human resources strategy implementation. The Bureau is concerned with department-wide policies on Staff Relations and also for classification, staffing and training for non-rotational employees, pensions and insurance plans for Locally-Engaged Staff.

### **Information Management and Technology Bureau (SXD)**

The Bureau provides corporate information management and information technology services to the Department and to other government departments with operations abroad. Through MITNET, the Department's telecommunications service, it provides secure and unclassified voice, facsimile, and data transmission. Through SIGNET, its local and wide-area computer network, it supports e-mail and access to departmental data and applications for 8,800 Canadian and locally-engaged staff around the world, thereby supporting the production, retrieval and delivery of timely information to staff and outside clientele. The Bureau is responsible for the Department's electronic and conventional libraries and registries. In addition, the Bureau is responsible for its involvement in Government-On-Line, putting key departmental services for Canadians on-line. The Bureau provides the infrastructure supporting the various departmental web sites; these sites are already attracting 1 million visits a month, providing increased on-line public access to departmental information. As Chief Information Officer, the Bureau's Director-General also coordinates planning, standards and policies for all information management and technology operations across the Department.

### **International Business Development Branch (TBD/TCD)**

Manages medium to long-term strategic planning for international business development (IBD); recommends appropriate allocation of IBD resources, both human and financial; coordinates the Team Canada trade missions led by the Prime Minister and the trade missions led by the Minister for International Trade; manages the Client Service Fund (CFS) which supports the international business development efforts of Canadian business; maintains the public InfoExport web site ([www.infoexport.ca](http://www.infoexport.ca)) which provides fast and easy access to hundreds of

market studies and electronic service delivery; maintains the Virtual Trade Commissioner Web service which offer personalized on-line services for registered Trade Commissioner Service clients, including business and partner clients; designs and operates world-wide WIN/Client Management Services (as part of the Virtual Trade Commissioner project), encompassing sourcing, trade planning and client management tracking functions; markets the Trade Commissioner Service to the public using different mediums; provides client service guidelines, best practice tools, advice and training to help 500 trade officers at 140 Canadian posts around the world facilitate the efforts of Canadian business abroad; measures the performance of the Trade Commissioner Service and seeks to continuously improve the service based on feedback from clients; manages an outreach program across the country to talk to Canadians and businesses about the benefits of international trade, inform them of trade opportunities abroad, and to explain how the Trade Commissioner Service can help firms interested in international business development; provides assistance to industry clients through: production and dissemination of country and region-specific market studies and partnerships with national industry associations; develops and implements policies, performance and service standards for the Trade Commissioner Service; negotiates and maintains federal-provincial-territorial partnerships agreements; manages DFAIT's participation in Team Canada Inc (TCI), the entity responsible for government-wide management of International Business Development resources; manages Canada's Export Awards program which recognizes and celebrates international trade achievements of Canadian companies; provides input in the management of the Regional trade networks and plans through the International Trade Centres (ITCs); serves as DFAIT's focal point regarding the advancement of Canadian international science and technology (S& T) objectives; serves the export needs of SMEs as well as the special requirements of women, aboriginal and youth entrepreneurs; manages Canada's business development strategy for International Financial Institutions; manages use of Canada Account financing; is the focal point for the Export Development Corporation (EDC) and the Canadian Commercial Corporation (CCC); operates the International Business Opportunities Centre (IBOC) to direct solid trade leads to Canadian firms capable of filling overseas requirements; manages the International Business Development contributions to Government On-



Line initiative including compliance related to Common Look and Feel Program; maintains the Doing Business with Canada site, a Government On-Line project, part of the non-Canadians gateway; manages the Program for Export Market Development (PEMD) in support of international business development initiatives of Canadian companies and industry associations; manages the agreement with Canadian Manufacturers and Exporters (2002-2004) to provide bursary for the Robert L. Richardson Trade Commissioner Service Award for Excellence in International Trade Studies; and coordinates the International Business Internship Program which is funded by the Canada/Atlantic Provinces Cooperation Agreement on International Business Development and participating companies.

### **International Cultural Relations Bureau (ACD)**

This Bureau promotes Canada abroad and helps achieve foreign policy and trade objectives by assisting Canadian scholars and artists to undertake international activities. In cooperation with the Canadian cultural and education industries the bureau provides assistance by promoting and facilitating the exports of cultural goods and services and education services. It is responsible for promoting Canadian Studies abroad; monitoring and coordinating Canadian representation at international education conferences; supporting international youth and cultural personalities exchange; and promoting abroad Canadian education and training goods and services. It provides funding for international tours by Canadian performing artists, writers and film directors, supports exhibitions abroad of Canadian visual art at leading museums and galleries and important international biennials. It also provides support to Canadian missions abroad in delivering cultural services. Information on Bureau programs and activities may be found on the Internet at: [www.dfait-maeci.gc.ca](http://www.dfait-maeci.gc.ca).

### **International Environmental Affairs Bureau (AED)**

This Bureau's mission is to defend and advance Canada's international interest in the environment, conservation, non-nuclear energy and sustainable development. It focuses on issues with multilateral and regional dimensions and those arising in multilateral and regional fora. The Bureau has international responsibility for issues relating to climate change, sustainable forest management, trade and the environment, hazardous and toxic substances, desertification, human settlements, biological diversity, biosafety,

genetic resources for food and agriculture, air and marine pollution, whaling, and non-Canada-USA freshwater. To achieve progress in this area of responsibility the Bureau works with major international environmental and sustainable development organizations. It also recommends and oversees funding where appropriate. Domestically, the Bureau works toward agreement and productive partnerships with other government departments, agencies and non-governmental environmental, non-nuclear energy, developmental and business organizations. It prepares and monitors implementation of the Department's Sustainable Development Strategy and provides advice and assistance in the areas of environmental assessment and the greening of departmental operations both in Canada and at the 162 missions abroad. Information on Bureau programs and activities may be found on the Internet at: [www.dfait-maeci.gc.ca/sustain/](http://www.dfait-maeci.gc.ca/sustain/)

### **International Organizations Bureau (IMD)**

This Bureau coordinates Canada's participation in the United Nations and most of the specialized agencies and institutions that form part of the UN system. It is also responsible for coordinating Canada's multilateral relations with the Commonwealth and Canada's role and activities in la Francophonie.

### **International Security Bureau (IDD)**

The International Security Bureau is the focal point of the Department's efforts to promote the Government's foreign policy objective of protecting Canadian security, within a stable global framework. The Bureau encompasses policy and operational responsibilities for non-proliferation, arms control and disarmament; regional security and peacekeeping; nuclear safety; North American and Euro-Atlantic security and defense relations.

### **Legal Affairs Bureau (JCD)**

The main functions of the Legal Affairs Bureau are to promote the development of international law and dispute settlement mechanisms as instruments for peaceful change and the effective conduct of Canada's international relations. The areas of priority are: international peace and security, state sovereignty and extraterritoriality, human rights law, international criminal law, environmental law, law of the sea, and services to the public.

### **Office of Protocol (XDX)**

The Chief of Protocol is the principal point of contact between the Government of Canada and

foreign representatives accredited to Canada. The Office of Protocol is responsible for the accreditation and appointment of foreign diplomatic and consular representatives to Canada and of Canadian heads of diplomatic and consular missions to other countries. The Office manages all questions of privileges and immunities in respect to both foreign representatives in Canada and Canadian representatives abroad, as set out in the Foreign Missions and International Organizations Act, the State Immunity Act and the Vienna Conventions on Diplomatic and Consular Relations. The Office plans, organizes and manages state and official visits to Canada and participates in the logistical planning and conduct of travel abroad by the Governor General, the Prime Minister, the Minister of Foreign Affairs and the Minister for International Trade. The Office also organizes, arranges, and manages official hospitality functions for the Prime Minister, ministers and senior officials of this and other departments at Foreign Affairs Headquarters, at 7 Rideau Gate, the official Government guest house, and elsewhere in Canada and abroad.

#### **Office of the Inspector General and Internal Audit and Evaluation (SIX)**

The office of the Inspector General (OIG) serves senior management of the Department by conducting a range of independent reviews, including Audits and Evaluations, at headquarters and Missions. Its purpose is to encourage accountability and improvements in Departmental management of processes and operations. The OIG's principal information holdings are reports of reviews performed.

#### **Passport Office (JWD)**

The Passport Office, a Special Operating Agency of the Department of Foreign Affairs & International Trade, finances its operations entirely from the fees generated by passport services. Its administrative headquarters are located in Hull. The agency operates issuing offices (mail and personal service) in Hull and personal service counters at 29 regional offices across Canada. It also develops, promulgates, and monitors entitlement and issuance policies and procedures for application within Canada as well as at missions abroad.

#### **Personnel Management Bureau (HPD)**

The Bureau is concerned with the management of the Department's human resources through the recruitment, assignment, and promotion processes as these principally affect rotational

personnel. It is also responsible for the negotiation and administration of the Foreign Service Directives, spousal issues, and all questions concerning the relocation of personnel in and out of Ottawa.

#### **Physical Resources Bureau (SRD)**

The Bureau, another Special Operating Agency, is responsible for the Department's Long Term Capital Program, including property renovations, construction, purchases and disposals as well as Chancery and Official Residence lease renewals and moves. The Bureau develops and interprets property and materiel policy, coordinates property program planning, and provides a broad range of maintenance, interior design, purchasing, and shipping services for missions. The Bureau also provides administrative services in the areas of materiel management, accommodation, mail and distribution services .

#### **Policy Planning (CPD)**

The Planning Secretariat provides general as well as specialized policy support to the Department. It is responsible for ensuring consistency and coherence across the whole range of Canadian foreign policy through the analysis, evaluation and development of policy, and by carrying out a number of specific policy tasks. The Secretariat feeds into the priority setting process of the Department by organizing Policy Board meetings held at the ADM level. Through its coordination of cross-cutting policy exercises, the Policy Planning group ensures that Canadian foreign policy reflects global realities and government objectives. The Secretariat also coordinates the briefing material for the transition of Ministers and Deputy Ministers. The Secretariat elaborates departmental crisis management strategies for major events with a policy impact such as the events of September 11th, as well as undertaking the review of priorities and resources in such instances. In addition, the Secretariat organizes several outreach functions such as the annual Ministerial retreat, briefing students and hosting various other roundtables and conferences. Within the Secretariat there are three units. The Policy Planning Division has special responsibility for the coordination of political input for the G8 Foreign Ministers' meetings. The Policy Coordination Division focuses, in particular, on trade and economic policy and its links to Canadian foreign policy, and also assesses and advises on how best to align the Department's international priorities and activities to Canada's economic and social agenda at home. The third unit, the Canadian Centre for Foreign Policy

Development manages a program to engage Canadians on foreign policy issues and policy development, contributing financially to public project proposals, commissioning policy options papers, organizing events and roundtables and publishing project reports, papers and teaching aids. It also organizes an annual National Forum on Canada's international relations.

### **Security and Intelligence Bureau (ISD)**

This Bureau is responsible for providing timely and critical intelligence on world events, assuring the protection of Canadian personnel and their families, safeguarding government premises and assets and the promotion and protection of Canadian national interests. The Bureau is also responsible, as the National Security Authority, for overseeing the security of all civilian NATO classified matter conveyed to Canada and for departmental Communication Security (COMSEC). The Foreign Intelligence Division provides, inter alia, information support for Department operations and ensures the coordination of intelligence activities with other Canadian agencies and foreign governments. The security divisions are responsible for all aspects of physical and technical security and personal safety at headquarters and abroad. This includes the security of buildings, information and information technology, security measures at headquarters and abroad, personnel security, clearances, investigations and security education and awareness.

### **Senior Coordinator for Federal-Provincial-Territorial Relations (CFD)**

The Bureau is responsible for coordinating the Department's relationships with Canada's provincial/territorial governments on international issues. The Bureau negotiates agreements with the provinces concerning their formal relationship to the Department and coordinates support to the provinces prior to visits abroad by provincial/territorial government leaders. It also advises on issues touching on provincial/territorial government relations with international governmental organizations, and with visiting foreign leaders. It represents the Department in consultations and negotiations with the other government departments and provincial/territorial authorities, as required, on questions which may impact on federal-provincial-territorial relations. The Bureau is responsible for the international dimensions of Canadian federalism and, in this context, is the principal point of contact for the Forum of Federations. It also advises on the expenditure of specific grants and contributions

funds which impact on attachment to Canada, and perceptions abroad of Canada as a strong united country. Through its work on international issues, the Bureau also supports the Government's strategic objectives, including national unity.

### **Trade Law Bureau (JLT)**

The Trade Law Bureau handles information on legal aspects of Canada's international trade agreements and related matters including the General Agreement on Trade and Tariffs (GATT), the World Trade Organization (WTO), the Canada-US Free Trade Agreement, the North American Free Trade Agreement (NAFTA) and the Canada-Chile Free Trade Agreement. This bureau is also responsible for international dispute settlements under Chapters 11, 14, 19 and 20 of the NAFTA and Chapters 18 and 19 of the FTA, the GATT and WTO. As well, it deals with all legal issues related to trade in goods and services (e.g. transportation, communications, energy, professional services), agriculture, environment, trade sanctions, boycotts, private commercial arbitration, investment and international organizations).

### **Trade Policy I: General Trade Policy Bureau (EAD) - Trade Policy II: Services, Investment and Intellectual Property Bureau (EBD)**

These two Bureaux work closely together and collectively are responsible for all aspects of Canadian trade policy, including the management of trade disputes.

Trade Policy Bureau I is responsible for maintaining a broad oversight of issues related to trade in goods. The Director General of Trade Policy Bureau I also serves as Canada's Coordinator for the North American Free Trade Agreement (NAFTA) and is responsible for managing Canada's participation in the NAFTA and its institutions. In addition, the Director General is responsible for the negotiation and/or oversight of regional and bilateral trade agreements, including the Free Trade Agreement of the Americas (FTAA), the Canada-Singapore and Canada-Central America Agreements, as well as for the ongoing management of bilateral trade agreements with Chile, Israel and Costa Rica. The Director General also serves as Chief Negotiator for free trade negotiations with the European Free Trade Association (EFTA).

Trade Policy Bureau II is responsible for maintaining a broad oversight of issues related to trade in services, as well as for the so-called new issues in international trade - culture, intellectual property, new technologies, electronic commerce,

telecommunications, investment, competition, government procurement and corporate social responsibility. The Director General of Trade Policy Bureau II also maintains an overview of Canada's participation in the World Trade Organization (WTO) and the trade-related work of the Organization for Economic Cooperation and Development (OECD).

The Trade Policy Bureau I is comprised of the following four divisions: Regional Trade Policy; Trade Remedies; Technical Barriers and Regulations; and Tariffs and Market Access. The Trade Policy Bureau II also five divisions; Investment Trade Policy; Information and Technology Trade Policy; Services Trade Policy; Multilateral Trade Policy and Trade Policy Consultations and Liaison. This last division supports the work of industry Sector Advisory Committees on International Trade (SAGITs), coordinates a permanent forum for consultations with the provinces and assists other divisions in the planning and conduct of public consultation processes.

## Information Holdings

### Program Records

#### Academic Relations

**Description:** Administration of awards, scholarships, and fellowships offered by the Canadian government to nationals of certain countries; administration of international Canadian Studies programs, relations with foreign and Canadian academics and educational institutions, international coordination of youth exchange programs; management of international educational interests multilaterally or bilaterally in cooperation with the Council of Ministers of Education, Canada; international marketing of educational goods and services.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits, exchange of persons; fairs and exhibitions; trade; universities; colleges; education associations; awards, scholarships, fellowships; assistance to Canadian firms and institutions.

**Program Record Number:** FAI ACD 150

#### Agri-Food, Fish and Resource Products

**Description:** This class covers information relating to the production and marketing, nationally and internationally, of agricultural, fish, processed food, forest, mining and chemical products, including world market situations and

the general economic development of such Canadian industries. Also included is the Bureau's involvement with various associations and organizations from the public and private sectors and other countries; trade missions, visits, trade fairs, grants, loans and contributions and programs designed to assist the industries in the development and marketing of their products.

**Topics:** Agricultural products; feed; fresh fruits and vegetables; pulses; seeds; tobacco; livestock; meat; dairy products; grocery products; baked goods; beverages; processed foods; fur products; international commodities; lumber; plywood; panel products; timber frame construction; log homes; pulp and paper; ferrous and non-ferrous metals; peat moss; ceramic materials; metal powders; asbestos; potash; chemical fertilizers; pesticides; pharmaceuticals; biological reagents; synthetic resins; polymers; industrial chemicals; adhesives.

**Program Record Number:** FAI TBD 035

#### Agriculture and Commodity Policy

**Description:** Information on international aspects of agricultural trade policy and international commodity agreements.

**Topics:** Agricultural industry; food and agriculture; commodity trade; policy and plans; organizations and conferences; treaties and agreements; schools and training; visits.

**Program Record Number:** FAI EAD 070

#### Arts Promotion

**Description:** Information on the promotion of cultural relations between Canada and other countries and on international cultural policy issues and programs.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; fairs and exhibitions; cultural centres; cultural information; book presentations; libraries and literature; architecture; visual arts; performing arts; culture and history.

**Program Record Number:** FAI ACD 155

#### Canadian Foreign Service Institute

**Description:** Information on training and professional development programs, including needs analysis, curricula, course materials, resource and general research information.

**Topics:** Current policy and practice in the work of entry-level officers, supervisors, mid-level officers, heads of mission, and administrative and technical staff; foreign and official language training; leadership training; intercultural training; general administration training; information management and technology training; financial, property and personnel management training; distance

learning; management of training budgets and training facilities; performance measurement.

**Program Record Number:** FAI CFS 173

### **Capital Projects and Secondary Industries**

**Description:** Information on International Financial Institution and capital projects. On federal policies and issues relating to international marketing and export trade development. Information on government education, training and counseling programs for companies interested in international markets as well as on international business studies at Canadian universities. A wide array of sectoral and country-based market studies and reports. Federal government incentive and assistance programs related to export marketing. Information on international transportation services. Information on the development of export marketing strategies. Program for Export Market Development (PEMD) and industry associations. Canadian Commercial Corporation, Export Development Corporation and export financing. Canada Export Awards and International Trade Centres. Most of the above information along with a wide variety of other useful documents are available through the InfoExport website using the "search" mechanism. [www.infoexport.gc.ca](http://www.infoexport.gc.ca).

**Program Record Number:** FAI TCD 040

### **Commonwealth**

**Description:** Information on the organizational structure and inter-governmental meetings of the Commonwealth and on Canada's participation in Commonwealth programs and activities.

**Topics:** Policy development; membership; Heads of Government meetings; inter-governmental conferences; secretariat; Commonwealth ministerial meetings and conferences; functional co-operation and the activities of non-governmental organizations.

**Program Record Number:** FAI IMD 120

### **Consular Operations**

**Description:** Information on Canadian consular operations.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; fee collection and control; services on behalf of other countries; services as a protecting power; registration of nationals; emergency evacuation; government benefits and services; assistance to nationals; assistance through local authorities; offenses, arrests, detentions, conscription of Canadians abroad; merchant vessels and seamen, commercial aircraft and airmen, military personnel, veterans; social security; prisoners of

war and civilian internees; death and estates, reunification of families; and visa registration.

**Program Record Number:** FAI JPD 024

### **Consular Policy**

**Description:** Information on Canadian consular policy matters.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; extension of services abroad; social security plans; immigration and citizenship matters; enquiries and complaints; consular conventions and understandings; diplomatic and official visas; coordination of consular programs for posts abroad; consular training; honorary consuls; shipping and seamen; transfer of offenders; deportation; and travel industry.

**Program Record Number:** FAI JPD 023

### **Criminal, Security and Treaty Law**

**Description:** Information on privileges and immunities, questions of public and private international law and treaties.

**Topics:** Judicial and legal services; authentication and notarial acts; diplomatic and consular privileges and immunities; consular questions; sovereign immunity; recognition of states; passport matters; security matters; transfer of offenders; narcotics control; transborder police operations; extradition; international aspects of child napping; private international law; maintenance orders; letters rogatory; depositions; service of documents; treaty negotiation, interpretation, registers, procedures and publication; transnational organised crime; international migration; terrorism; disarmament.

**Program Record Number:** FAI JCD 020

### **Cultural Industries Promotion**

**Description:** Support for and promotion of export trade interests of Canadian exporters of cultural goods and services.

**Topics:** Plans; reports and statistics; treaties and agreements; PEMD- Trade Association program for cultural industries; market studies; association information; internet site; visits, fairs, missions; sector information: aboriginal cultural industries; book publishing; sound recording; multimedia; visual art; craft; museum goods and services; film, broadcasting, television; contact information.

**Program Record Number:** FAI ACD 160

### **Defence Programs and Advanced Technology**

**Description:** This class covers information concerning the policies and procedures on the industrial and trade aspects of high technology and defence programs.

**Topics:** Marine Products and Services; onboard

electronics; aircraft; civilian and military aircraft components systems; missile systems; avionics; space-based radar; satellites; 'Build to print'; security; nuclear, biological, and chemical (NBC) defence products; cold weather clothing; vehicles; weapons and ammunition; aircraft R & O and finishing; civilian and defence applications for computer-based technologies, telecommunications/data communications; remote sensing; industrial process controls; electronic components; geological and geophysical instrumentation; test and laboratory equipment; electronics; Canada/U.S. Defence Production and Development Sharing Agreements; Research, Development, and Production Agreements with European countries; Defence Economic Relations; Access to U.S. Defence Procurement; Assistance to Canadian companies in defence-related exports; North American Defence Industrial Base Organization; NATO industrial Advisory Group and other infrastructure procurement; Bilateral science and technology (S&T) agreements; liaison with U.N. Agencies, OECD, VIASA, and other multilateral organizations on science; space policy collaboration and marketing; international aspects of S&T related to telecommunications, information technologies, advanced industrial materials, Arctic science and biotechnology; international activities on large science projects; administration of the 'Technology Inflow Program'.

**Program Record Number:** FAI TBD 046

### **Defence Relations**

**Description:** Information on the development and coordination of Canadian foreign and defence policies on issues such as NATO, NORAD and other North American defence issues.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; visits; Canadian forces, foreign forces, defence authorities; visiting forces; bilateral relations — Canada; bilateral relations — other countries; armed forces — policy and procedures, coordination personnel, navy, army, air force, paramilitary forces, uniforms and insignia, decorations, colleges and courses, commemorations and war graves, welfare and entertainment, non-military activities; conventional and nuclear armaments; peacekeeping; defence research; military information; air defence systems; manoeuvres and exercises; bases, installations and related activities; military transportation; communications; military assistance; mobilization for war; outer space.

**Program Record Number:** FAI IDD 130

### **Domestic Communications**

**Description:** Information and outreach activities and materials used to inform Canadians about Canada's foreign policy, international trade relations and the role of the Department.

**Topics:** International affairs awareness; issue and program support; communications plans and strategies; outreach programs; internal reports and public opinion research; requests for information on foreign and trade policy communications; publications; ministerial speeches; media monitoring and analysis, domestic advertising, speaking notes; and press/information kits.

**Program Record Number:** FAI BCD 170

### **Economic Relations with Developing Countries**

**Description:** Information on international economic development, Canada's policy on development assistance and trade policy involving developing countries.

**Topics:** Policy, plans and programs; reports and statistics; treaties and agreements; organizations and conferences; legislation; international coordination; project assistance; non-project assistance; technical assistance; food aid; debt; non-governmental organizations.

**Program Record Number:** FAI EED 090

### **Energy and nuclear**

**Description:** Information on questions and negotiations concerning conventional and new forms of energy; international energy policy coordination; nuclear energy, safeguards, international nuclear energy policy coordination, and economic and commercial development.

**Topics:** Policy and plans; reports and statistics, co-operation and agreements; organizations and conferences; legislation and regulations; visits; electricity; petroleum and natural gas; conservation; coal; energy research and development; IAEA co-operation; technical assistance and information; research and development; safeguards; export and import; safety standards.

**Program Record Number:** FAI IDD 100

### **Environment**

**Description:** Canadian and international policy and activities in the field of the environment.

**Topics:** Policy and plans; reports and statistics; treaties and agreements, organizations and conferences, including the United Nations Conference on Environment and Development, and subsequent events; legislation and regulations; visits; environmental research and development; protection of nature; wildlife and

aquatics; prevention of diseases; social development; pollution; pollution by industry; pollution by radiation; land spoliation; air, water and transportation pollution.

**Program Record Number:** FAI ESD 095

### **Export and Import Controls**

**Description:** Information relating to government administration of the Export and Import Permits Act and any other related acts and regulations; the Bureau's activities and involvement with individual companies and customs brokers licensed by CCRA in the area of export and import quotas and market restraints; the Bureau's activities in the control of imported and exported commodities; and its dealings with concerned government and non-government agencies.

**Topics:** Legislative acts; consultations and negotiations, country agreements, permits and certificates, violations and prosecutions; companies; general correspondence; commodities; policy, injurious imports; textiles, clothing; steels; agricultural products; softwood lumber products; electronic products; other exported items; associations and general economic data; countries; government departments and agencies; associations, statistics and correspondence.

**Program Record Number:** FAI EPD 110

### **Export Development Programs and Services**

**Description:** Information on issues in the international marketing area. Also included is information on federal government programs of export education assistance to business and to export education activities and international business studies at Canadian universities; information on the activities of the federal government in gathering and disseminating market intelligence; information on the development of export marketing strategies for particular foreign country markets; federal government incentive and assistance programs related to export marketing; information on the activities of trading houses; information on international transportation services; information on the development of export marketing strategies; information on future and past Team Canada missions.

**Topics:** International marketing strategy, co-operation and liaison; export marketing education; foreign market intelligence; export marketing planning and co-operation; market strategy; programs; Export Trade Month, Export Awards Program, trading houses; policies and plans in the field of transport; activities related to export development; trade development; International Trade Centres; trade information systems

including WIN Exports and PEMD.

**Program Record Number:** FAI TCD 032

### **External Communications**

**Description:** Information materials on Canada sent to other countries, including information on Canadian government policies and programs.

**Topics:** Outreach programs to promote Canada abroad, policy and plans; reports and statistics; visitors to Canada programs; requests for information; publications; exhibits and displays; films, recordings, transcripts radio and television programs; promotion and publicity; timely information to posts; and celebrations of anniversaries and international events.

**Program Record Number:** FAI BCD 175

### **Federal-Provincial-Territorial Relations**

**Description:** Information on the context, objectives and priorities of Canadian foreign policy, economic and trade interests to the provinces/territories; reviews and edits the negotiations between the provinces/territories and foreign governments on Memoranda of Understanding or agreements in areas such as trade and investment, the environment, la Francophonie, international education and other issues of interests to provincial/territorial governments; the national unity issue as it affects Canada's foreign policy and international relations; the day-to-day functioning of Canada's governments that they harmonize federal and provincial/territorial governments interests; advise and support departmental policies and guidelines for the visits abroad of federal-provincial-territorial representatives visiting Canada.

**Topics:** Policy; surveys and reports; treaties and agreements; organizations and conferences; legislation; flow of information to the provinces/territories and municipalities; visits abroad of provincial-territorial government personalities; foreign visitors to Canada; provincial representatives in offices abroad; Forum of Federations.

**Program Record Number:** FAI CFD 003

### **Foreign Intelligence**

**Description:** Information on foreign political and economic intelligence from other federal departments and agencies, the public media, foreign governments, international organizations and other sources that provides a basis for policy formulation on matters affecting Canada's interests.

**Topics:** Political affairs; policy and plans; reports and studies; agreements; organizations and conferences; legislation and regulations; visits; international associations and private

organizations; release of information; foreign political parties; foreign personalities; special clearances; liaison arrangements; interviews with Canadian residents.

**Program Record Number:** FAI ISD 135

### **Foreign Policy Communications**

**Description:** Information and outreach programs and activities to promote Canadian foreign policy domestically and internationally, both to the media and the public, in Canada and abroad.

**Topics:** Communications strategies and plans; outreach programs; media briefing books; media kits; news releases; speeches; news conferences; background and technical briefings.

**Program Record Number:** FAI BCD 105

### **Francophonie Affairs**

**Description:** Information on the multilateral aspects of Canada's relations with French-speaking countries and all institutions of the international Francophonie; formulation and implementation of Canadian policy; coordination of the Canadian contribution to their aid and exchange programs, as well as the establishment and coordination of Canadian participation in various meetings of an official or semi-official nature; intergovernmental conferences; international associations and private organizations.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; orientation and development; admission and participation; attitudes of non-member countries; international conferences; secretariat; intergovernmental agencies and private associations; programs and activities; documentation and studies; aid and development; culture and information; science and technology; education and youth exchange.

**Program Record Number:** FAI IMD 121

### **GATT Affairs**

**Description:** Information on the coordination and management of Canada's participation in the General Agreement on Tariffs and Trade.

**Topics:** Policy; charter; relations; membership; secretariat; financing; public relations; documents; sessions; council meetings; multilateral trade negotiations.

**Program Record Number:** FAI EAD 065

### **Geographic Branches**

**Description:** Information on the formulation and conduct of Canadian policy; the supervision of operations of the diplomatic and consular posts and Canada's relations with the country in which it is situated; bilateral matters involving diplomatic missions of other countries in Canada and policy advice; information on the activities of the

branches and involvement with the public and private sectors in Canada's trade relations; the drawing up and negotiating of bilateral and multilateral agreements, acts, regulations, quotas and standards pertaining to Canada's foreign trade.

**Topics:** Policy and background; trends in global, international and national affairs; Canadian external policy and relations; foreign policy trends; internal policy trends; guidance to heads of post; anti-terrorism; ethnic conflict; health and other domestic priorities; reports and statistics; tour reports; treaties and agreements; organizations and conferences; laws; national historical outlines; nationalism; visits; peace and non-aggression; intervention and non-intervention; dependent territories; colonialism and imperialism; interim control and surveillance; independence and recognition; political asylum; government, constitution, head of state, cabinet, legislature, judiciary, administration; national symbols; church-state relations; political parties, non-party groups and elections; provincial and municipal affairs; communism; internal security forces; political prisoners; subversion and espionage; demonstrations and riots; coups d'état; disputes and incidents; economic relations; development assistance; bilateral environmental and energy questions; transboundary issues such as pollution; trade relations; exchange of information for the trade sector; international trade relations; associations; clubs and societies; commodities; companies; conferences, seminars, conventions and meetings; committees; co-operation and liaison; economic and political conditions; environmental conditions; international organizations; taxation and taxes; tourism; transportation; acts, legislation and regulations, food and drug regulations; marketing and labeling acts; standards; agreements; customs and tariffs; financing and aid; Canadian banks and financial institutions; contracts and tenders; development banks; foreign banks and financial institutions; government financing and aid; investment; international trade; assistance to exporters and importers; Canadian capabilities and competitiveness; Canadian trade; industrial co-operation; joint ventures; international economic boycotts; programs; good governance, democracy, and respect for human rights; selective identification systems for multilateral project opportunities; overseas projects; third country operations; fairs and exhibitions; missions and visitors.

**Program Record Number:** FAI DMA 025



### **Industrial Trade Policy**

**Description:** Information on trade relations and policies as they relate to domestic industrial policy.

**Topics:** Transportation equipment including the importation of automobiles, capital and consumer goods, pharmaceutical and health care products.

**Program Record Number:** FAI EAD 075

### **Internal Communications**

**Description:** Media analysis and communications materials on foreign affairs activities, issues and events, including incoming and out-going visits.

**Topics:** Commissioned polling; media analysis on foreign and domestic events including delegations (e.g., Team Canada); media monitoring; communications plans; Qs and As; briefing books

**Program Record Number:** FAI BCD 075

### **International Economic Relations**

**Description:** Information on international and domestic studies; trends and conditions; discussions on international economic policy and relations; macro—economic questions; OECD and APEC activities and Economic Summits; East—West multilateral economic issues, including the EBRD and Economic Commission for Europe.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; budgets; regional economic groupings.

**Program Record Number:** EAC EED 080

### **International Environmental Affairs Bureau**

**Description:** Canadian, regional and global issues, policy and activities in the field of the environment, conservation, non-nuclear energy and sustainable development and the environmental assessment of departmental policies and projects and the “greening” of departmental operations.

**Topics:** Policies and plans; reports and statistics; regional and global issues, agreements, organizations and conferences, including the UN Environmental Program, UN Commission on Sustainable Development, WTO Committee on Trade and Environment, OECD, North American Commission on Environmental Cooperation; International Energy Agency, UN Framework Convention on Climate Change/ Kyoto Protocol and the Convention on Biological Diversity with exception of commercial fisheries and nuclear energy

**Program Record Number:** FAI AED 095

### **International Finance**

**Description:** Information on international finance and monetary matters, the activities of public and private agencies in the field of banking, investment and insurance.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; taxation; public debt; currency; foreign exchange and payments; capital movements; banking; gold; insurance; domestic investment; foreign investment; control of assets; companies and co-operatives; industrial property; multinational enterprises.

**Program Record Number:** FAI EAD 085

### **Investment — General**

**Description:** General information pertaining to investment development, promotion and services activities; general and specific projects committees, conferences, meetings, communications and plans relating to responsibilities carried on by the Investment Bureau.

**Topics:** Market Guides; Parinvest; Infoplace Data Base; success stories; Domestic and International Development Plans; Federal, Provincial, Municipal and International government programs Brokerage/Matchmaking; Alternative Canadian Buyers; Information and Training Sessions; Information Dissemination/Data Base; Contact List/Networking; Seminars, Conventions; Policies and Procedures; Canadian Edge; Canadian apparel.

**Program Record Number:** FAI EAD 180

### **Investment — Marketing**

**Description:** General correspondence and information regarding communications and advertising at the foreign and domestic levels.

**Topics:** Communications strategies for Canada and abroad; general and sector targeted advertisements in business magazines, trade journals, periodicals and newspapers; publicity through exhibits, fairs and displays; Investment Canada and investment development program publications; speeches; contracts; external publications; international advertising campaign.

**Access:** Files arranged by name of publication and subject.

**Program Record Number:** FAI EAD 195

### **Investment Co-operation and Liaison — Federal**

**Description:** Consultations with other federal departments and agencies on matters pertaining to investment and the development and promotion of investment.

**Topics:** Procedures for consultation with other federal departments; federal industrial and economic policies and initiatives; departmental responses concerning the Investment Canada Act; views on federal initiatives that may affect investment or Investment Canada activities.

**Access:** Files arranged by department or agency.

**Program Record Number:** FAI EAD 165

#### **Investment Co-operation and Liaison — General**

**Description:** Co-operation and liaison activities of an administrative nature with outside organizations, municipalities, corporations, companies, agencies and universities.

**Topics:** Proceedings; minutes; annual reports; financial statements and membership fees relating to associations, clubs, federations, etc.

**Access:** Files arranged by organization.

**Program Record Number:** FAI EAD 174

#### **Investment Co-operation and Liaison — Provincial**

**Description:** Consultation with the provinces and territories on matters pertaining to the development and promotion of investment.

**Topics:** Procedures for consultation with the provinces and territories; provincial and territorial laws and regulations affecting investment; provincial and territorial industrial and economic policies and objectives.

**Access:** Files arranged by province or territory.

**Program Record Number:** FAI EAD 170

#### **Investment Promotion — Programs**

**Description:** Information on promotional program activities throughout the world.

**Topics:** General; promotional plans and activities in markets in Europe, U.S.A., Pacific Rim, Latin America, Middle East, as well as other areas of the world; specific projects in geographic intelligence service; financing and alliances; promoting investment in Canada's telecommunications, microelectronics and medical devices industries; R&D tax credits and interprovincial competition for investment.

**Access:** Files arranged by geographic area or project.

**Program Record Number:** FAI TBD 200

#### **Investment Promotion — Prospecting**

**Description:** Information and correspondence pertaining to the promotion of investment in Canadian high-technology sectors.

**Topics:** General; associations and companies in the area of industrial materials; studies and specific projects in advanced industrial materials; biotechnology industry; environmental technology;

information technology; Canadian laser based opto-electronics industry; geomatics; First Choice software, Italian plastics, Japanese subsidiaries in Canada; ocean industry; food packaging.

**Access:** Files arranged by association or company name, specific issue, material or project.

**Program Record Number:** FAI TBD 202

#### **Investment Promotion — Specific Events**

**Description:** Correspondence relating to the general administration of events; requests for participation by the Minister and officials of Investment Canada in conferences, seminars, trade fairs and visits of foreign delegates in which investment in Canada is a topic, including speeches by the Minister and senior Investment Canada officials.

**Topics:** General; calendars and special events; inventory of speakers; speaking engagements; missions and incoming visits in Canada, U.S.A., Europe, Pacific Rim; Middle East, as well as other areas of the world.

**Access:** Files arranged by geographic area and subject.

**Program Record Number:** FAI TBD 205

#### **Investor Services — Inquiries**

**Description:** Correspondence, work in progress, memoranda, etc., relating to specific inquiries from Canadian, European, American, Pacific Rim and Middle Eastern companies and companies in the rest of the world.

**Topics:** Canadian investment opportunities; how to do business in Canada; financial incentive programs; access to capital or transfers of technology.

**Access:** Files arranged primarily by name of company and location or by topic.

**Program Record Number:** FAI TBD 185

#### **Multilateral Trade Negotiations**

**Description:** Information on multilateral trade agreements, principally the negotiation of a round of multilateral trade negotiations under the GATT.

**Topics:** GATT; investment issues; procurement; provincial involvement; reports and statistics; multilateral trade negotiations; conferences; issues; markets; regions; sectors.

**Program Record Number:** FAI EAD 002

#### **Non-Proliferation, Arms Control and Disarmament (NACD)**

**Description:** Information on various issues involved in formulating advice and recommendations on NACD policy and positions.

**Topics:** Policy and positions; reports and statistics; public opinion in Canada, public opinion abroad; treaties and agreements; international organizations and conferences; legislation and

regulations; measures; plans and proposals; compliance and verification, including aerial inspection; cut-off, use and transfer of fissionable material; reduction and elimination of nuclear weapons and nuclear weapons carriers; reduction and elimination of chemical and biological weapons (CBW); reduction of conventional armaments and armed forces; security aspects of outer space; reduction of the risk of war; denuclearized and other weapons-free zones; comprehensive test ban treaty and suspension of nuclear tests; nuclear war; legal aspects; and economic and social consequences; small arms and light weapons; NACD-related confidence building and transparency measures; regional NACD issues; NACD-related UN operations; missile non-proliferation; arms-related international export control regimes; NACD consultations with civil society on nuclear and related issues; international security research and outreach program.

**Program Record Number:** FAI IDD 125

#### **Oceans and Environmental Law**

**Description:** Information on law of the sea, maritime and fisheries related legal questions and environmental law issues.

**Topics:** Territorial and high seas matters; fisheries agreements; maritime boundaries; marine scientific research; the Law of the Sea; continental shelf; international seabed area; Arctic sovereignty; marine environmental protection and preservation; offshore oil and hydrocarbon exploration; international environmental law (climate change, biodiversity, emission controls, transboundary transportation of hazardous waste, long range transboundary air pollution, desertification, transboundary environmental impact assessment); the Commission on Environmental Cooperation under the NAAEC; the International Joint Commission concerning Canada/US boundary waters issues.

**Program Record Number:** FAI JCD 010

#### **Office of Protocol**

**Description:** Information on the accreditation and appointment of foreign and Commonwealth representatives to Canada and of Canadian representatives to other countries; diplomatic privileges and immunities; and the planning, organization and management of state and official visits to Canada.

**Topics:** Diplomatic representation; policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; status and precedence; accreditation; privileges and immunities; privileges and immunities abroad;

Canadian representatives abroad — heads of post, consular officers, special envoys; foreign representatives in Canada — heads of post, political advisors, military advisors, commercial advisors, special advisors; consular officers and trade commissioners; provincial representatives abroad; diplomatic and consular lists; ceremonials; honours and awards; hospitality and security of foreign diplomatic missions in Canada

**Program Record Number:** FAI XDX 005

#### **Passport Office**

**Description:** Information on the issuance of passports to Canadian citizens in Canada and abroad, and on the issuance of Certificates of Identity and United Nations Convention Refugee Travel Documents, as appropriate, to non-Canadians who reside in Canada or are in Canada under the authorization of a Minister's permit.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; surveys and studies; information activities; public relations; legal affairs and services; citizenship; visa and travel; fee collection and control; passport accountability, application, entitlement, and issuance; urgent passports; certificates of identity; control lists; lost or stolen passports; refusal of service and revocations; fraudulent activities; security precautions

**Program Record Number:** FAI JWD 215

#### **Policy Planning**

**Description:** Information on policy studies, research, analysis, updates and advice on a broad range of political, economic, and trade-related subjects; information on coordination of Canada's participation in the G8 Summit process, including the G8 Foreign Ministers' process.

**Topics:** Policy and background; political evaluations, briefings for new Ministers and Deputy Ministers, speeches for the Minister and Deputy Minister, analyses, papers, research, trade and investment statistics, economic analysis, policy papers, all documents pertaining to the re-examination of foreign policy. Canadian Centre for Foreign Policy Development: Holdings include public advice and policy options on a wide range of foreign policy issues. Funded project reports and commissioned work address policy development needs in law, security, human rights, peace-building, conflict prevention, United Nations, disarmament, new technologies, summits, diplomacy, civil society and other issues. Holdings also include an annual report on project funding, reports from the annual National Forum on Canada's International Relations, the annual

Academic Roundtable Report and annual Graduate Student collected papers. The Centre's Library holds more than 300 reports from policy development roundtables and academic or NGO studies of Canada's foreign policy. Reports are distributed to Ministers and officials, the Department Library, the National Library, and through Depository Services to public and university libraries. Report summaries are distributed through an electronic newsletter ([www.cfp-pec.gc.ca](http://www.cfp-pec.gc.ca)) and selected full reports are available electronically in both official languages from the web site (summer 2001). The National Forum reports are: Peacebuilding 1996, Asia-Pacific 1997, Northern Foreign Policy 1998, The UN and Human Security 1999, War Affected Children 2000, Africa 2001. Three reports on "The New Diplomacy", in partnership with Canadian academics and the UN University, look at changing relationships among states, NGO's and others. A series on New Directions in US Foreign Policy looks at Canada-US relations, and a post-September 11 series examines new challenges for International Relations and foreign policy. The Ottawa Group of international experts reports regularly on small arms issues. More information is available at the web site

**Program Record Number:** FAI CPD 006

#### **Regional Security and Peacekeeping**

**Description:** Information on policy advice, coordination, and activities related to peace support operations, management of bilateral and multilateral peace and security consultations, defence relations (not including Europe, the USA and the Middle East), regional security, and expert deployment.

**Topics:** Military, police and civilian deployment to peace support operations; Peacekeeping; Peacekeeping training; regional security forums and organizations; Ship visits; Deployment of Canadian forces abroad; Liaison with foreign forces; Visiting forces; Bilateral relations with other countries on peace & security and defence issues; Disaster assistance involving DND; Canadian Force Attaches; Arms sales and regional security; Military assistance; Military and diplomatic aircraft clearance; Disarmament, demobilization and reintegration of ex-combatants; Security sector reform; UN sanctions; UN DPKO; Peacekeeping reform; General security of information agreements.

**Program Record Number:** FAI IDD 175

#### **Resources Policy**

**Description:** Information pertaining to the financial, materiel and human resources

management of the department.

**Program Record Number:** FAI SMD 105

#### **Security**

**Description:** Information on matters concerning the physical security of documents, communications and buildings, and the safety of personnel both at posts abroad and in Ottawa; personnel security; and issues affecting national security.

**Topics:** Policy and coordination; reports and information; foreign intelligence activities in Canada; vulnerability; exchange and release of information; threat assessments; communications services; documents and information; violations; inspections; education and training; responsibility of staff; guard protection; personnel debriefing; physical, technical, equipment, security clearances.

**Program Record Number:** FAI ISD 140

#### **Trade and Economic Analysis**

**Description:** Information on Canada's trade flows in goods, services and investment; studies on trade policy and impact of trade initiatives.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; regional economic groupings.

**Program Record Number:** FAI EED 095

#### **Trade Communications**

**Description:** Information and outreach programs and activities to promote exports and to inform the export business community about policies and programs for the development of overseas markets.

**Topics:** Export information; regional and provincial/territorial programs; conferences, conventions and meetings; federal programs, evaluations, associations, organizations and institutes; promotion; media relations; outreach programs; private companies; government departments and agencies; communications; advertising; trade fairs.

**Program Record Number:** FAI BCD 176

#### **Trade Law**

**Description:** Information on legal aspects of Canada's international trade agreements and related matters.

**Topics:** International trade agreements including the GATT, WTO, Canada-US FTA, NAFTA and Canada-Chile FTA. International dispute settlement under Chapters 11, 14 19 and 20 of the NAFTA and Chapters 18 and 19 of the FTA, the GATT and WTO. Legal issues related to trade in goods and services (e.g. transportation, communications, energy, professional services), agriculture, environment, trade sanctions,

boycotts, private commercial arbitration, investment, international organizations.

**Program Record Number:** FAI JLT 015

### Trade Policy

**Description:** Information on international trade, customs tariffs, international trade conferences, policies and restrictions, trade agreements, export controls, strategic controls and embargoes, trade in services.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; tariff negotiations; customs; low-cost imports; surplus disposal; subsidies; anti-dumping; countervail; safeguards; quantitative restrictions; state trading; commercial relations; quarantine regulations; strategic trade controls.

**Program Record Number:** FAI EAD 060

### Trade Policy and Liaison

**Description:** Information on policies and special issues related to international trade that are generally non-recurring, as well as details of liaison activities with provincial governments, other government departments, and private sector associations.

**Topics:** Reports on federal/provincial consultations; briefing books for consultations, ministerial and non-ministerial federal-provincial meetings.

**Program Record Number:** FAI EBD 030

### United Nations Affairs

**Description:** Information on the organization, structure, administration, relations and sessions of the United Nations; including the Security Council, the General Assembly, and other UN organizations such as the United Nations Educational, Scientific and Cultural Organization (UNESCO), the International Labour Organization (ILO), Food and Agriculture Organization (FAO), World Health Organization (WHO), International Civil Aviation Organization (ICAO), International Telecommunications Union (ITU), Universal Postal Union (UPU), and International Maritime Organization (IMO); information on Canada's participation in United Nations General Assembly and Security Council activities.

**Topics:** Policy and programs — UN Charter, relations with countries, specialized agencies, inter-governmental organizations, non-governmental organizations, membership; Secretariat — finance and administration, privileges and immunities, public relations, documentation, personnel; General Assembly — rules and procedures, sessions, agenda, delegations, credentials, general committee, main

committees, Canadian statements; Security Council — rules of procedure, delegations, membership, reports to General Assembly; Economic and Social Council — sessions; United Nations system, including above agencies; policy; plans; programs; international, national and non-governmental organizations and conferences; reports and statistics; international coordination; payment of Canada's assessed contributions to the UN, including for peacekeeping operations.

**Program Record Number:** FAI IMD 115

### United Nations, Human Rights and Economic Law

**Description:** Information on UN legal issues, human rights, humanitarian law, economic law issues, privileges and immunities, questions of public and private international law and treaties.

**Topics:** Judicial and legal services; authentication and notarial acts; diplomatic and consular privileges and immunities; consular questions; sovereign immunity; recognition of states; passport matters; security matters; transfer of offenders; narcotics control; trans-border police operations; extradition; international aspects of child napping; private international law; maintenance orders; letters rogatory; depositions; service of documents; treaty negotiation, interpretation, registers, procedures and publication; human rights; refugees; minorities; humanitarian law; war crimes; genocide; torture; international criminal law; money laundering and corruption; transnational organized crime; international migration; terrorism; disarmament; International Law Commission; international criminal tribunals.

**Program Record Number:** FAI JCD 020

### Personal Information Banks

#### Access and Privacy Data Bank

**Description:** This bank contains the access request forms sent by individuals requesting access to departmental records and personal information, the replies to such requests, and information related to their processing. It is used for processing access requests only, and to report on the number of requests received annually.

**Class of Individuals:** Canadian citizens, landed immigrants, or others authorized by Order-in-Council who have made requests under the Access to Information Act or the Privacy Act.

**Purpose:** The purpose of this bank is to store information related to requests made under the Access to Information Act and the Privacy Act.

**Retention and Disposal Standards:** Records are retained for two years after completion of the request

**RDA Number:** 75/023

**TBS Registration:** 000348

**Bank Number:** FAI PPU 035

#### **Consular Affairs — Assistance to Canadians**

**Description:** This bank contains information on Canadians resident in foreign countries registered with a Canadian mission, and Canadians who sought or received assistance from a Canadian mission who have been arrested or detained abroad, or if Consular Affairs advice or assistance has been sought to obtain visas, permits, etc. of foreign countries. The information is in the form of applications, registration cards, memoranda, correspondence, reports and telegrams. The information is received from the individuals themselves, Canadian and foreign agencies, and international organizations. This bank of information is stored electronically within a computerized client/server system called COSMOS. COSMOS consists of a series of Windows-based programs linked through a common centralized database located at DFAIT headquarters. COSMOS provides consular staff with a comprehensive set of tools designed exclusively to facilitate the management of consular cases (including citizenship and immigration cases), the issuance of passports and the registration of Canadians abroad. Information entered into the database from either HQ or the missions is instantly available to all staff, thereby promoting increased service delivery levels to our clients.

**Class of Individuals:** Canadians resident in foreign countries who have registered with the nearest Canadian mission; Canadians who have sought or received assistance from Canadian missions; Canadians who have been arrested or detained abroad.

**Purpose:** The information contained in this bank is used to provide consular assistance to Canadian nationals abroad. It may be used, where necessary, to contact, protect, rescue or evacuate registered Canadians and their family members.

**Consistent Uses:** This information may also be used for the development of consular policy and the preparation of advice to missions abroad.

**Retention and Disposal Standards:** Information on registration of nationals and completed individual consular cases may be retained on departmental files (electronic and paper) up to five years. Ultimately, the electronically-held data will be archived and stored indefinitely. Other information may be retained up to 15 years then transferred to the National Archives of Canada

**RDA Number:** 75/023-5

**TBS Registration:** 000343

**Bank Number:** FAI PPU 010

#### **Consular Affairs — Citizenship**

**Description:** This bank includes topics such as registration of births abroad, dual nationality, loss, retention, acquisition, or extension of citizenship, marriage, divorce, and other family-related aspects of citizenship; organizations and conferences; liaison with other government departments and agencies in Canada. Information is in the form of memoranda, reports, correspondence with the public and other government agencies, as well as application forms.

**Class of Individuals:** Individuals who have dealt, outside Canada, with the Canadian citizenship authorities through consular services or the Department of Foreign Affairs and International Trade, or have claimed Canadian citizenship for themselves or their dependants.

**Purpose:** The purpose of this bank is to retain administrative correspondence relating to the assistance rendered by consular officials to Canadians and to those claiming Canadian citizenship on their own behalf or on behalf of a dependant.

**Retention and Disposal Standards:** Information may be retained on departmental files up to 10 years, then transferred to the National Archives of Canada

**RDA Number:** 94/018

**TBS Registration:** 000342

**Bank Number:** FAI PPU 005

#### **Investment — Mailing Lists**

**Description:** Information in this bank is provided by individuals interested in receiving publications and investment information created by the former Investment Canada. This information includes individual's name, identification number, address and telephone number, language preference and, where applicable, company name and position held.

**Class of Individuals:** Business community, individual investors and students interested in receiving publications and investment information created by the former Investment Canada, other government departments and agencies and the private sector.

**Purpose:** The information in this bank is used to provide individuals with copies of publications requested which originate with the former Investment Canada.

**Consistent Uses:** This bank is also used for bulk mailing of publications and information created by Investment Canada.

**Retention and Disposal Standards:** Records

are retained for six months or when superseded or converted to machine operations

**RDA Number:** 75/023-4

**Related PR#:** FAI DEV 195

**TBS Registration:** 002768

**Bank Number:** FAI PPU 030

#### **Investment: Cases**

**Description:** Information in this bank is provided by investors when inquiring about possible services to be provided. This information includes the name, address, telephone number, description of the investor's business activities, description of the project to be undertaken, province of interest, size of proposed investment and the name and telephone number of any intermediaries.

**Class of Individuals:** Business community and individual investors seeking to invest in Canada either by acquiring a Canadian business or by establishing a new business.

**Purpose:** The information in this bank is used to identify and assist investors with similar investment intentions.

**Consistent Uses:** This bank is also used for compiling statistics for use in the preparation of reports to the Minister and to assist in the preparation annual reports.

**Retention and Disposal Standards:** Records are retained for fifteen years from last action and are then destroyed.

**RDA Number:** 75/023-4

**Related PR#:** FAI DEV 185

**TBS Registration:** 002766

**Bank Number:** FAI PPU 005

#### **Investment: Contracts**

**Description:** This bank contains information such as the request for service by the manager, the original contractual document and reasons for not authorizing payment if the terms of the contract have not been met. Active files were normally kept within the Financial and Administrative Services Section of Investment Canada, but further information may be contained in files of the Bureau.

**Class of Individuals:** Individuals from the private sector under contract for services to the Bureau.

**Purpose:** The purpose of this bank is to keep a record of all personal and professional service contracts entered into by the Bureau. The bank is used to administer contracting services, to make payments when required, to collect receivables, and to perform accounting and administrative functions. The information is also used to facilitate the selection of consultants and to carry out auditing and evaluation.

**Retention and Disposal Standards:** Records are retained for six fiscal years and are then

destroyed.

**RDA Number:** 75/023-4

**TBS Registration:** 002556

**Bank Number:** FAI PPU 010

#### **Passport Office — Certificates of Identity and Refugee Travel Documents**

**Description:** This bank contains applications for certificates of identity and refugee travel documents. Individual records include the application form and an alphabetical and numerical index to facilitate file retrieval; demographic and personal characteristics which describe the applicant, his children and custody arrangements; nationality status, and immigration status in Canada. Information contained in the bank is in the form of application forms and correspondence with other federal departments and agencies. Persons seeking access to this information bank should provide their date of birth.

**Class of Individuals:** Individuals who are residents of Canada but not Canadian citizens and who cannot obtain passports from their countries of origin.

**Purpose:** The purpose of this bank is to store completed applications and supporting documentation submitted by non-Canadians who reside in Canada or are in Canada under the authorization of a Minister's permit and who cannot obtain passports from their countries of origin. This information is used to establish the identity of applicants and to confirm their immediate and ongoing entitlement to a travel document in accordance with Canadian law and international conventions.

**Consistent Uses:** Consistent use may include disclosure to law enforcement, investigative, security intelligence, citizenship, vital statistics, consular, and immigration authorities for verification purposes or to determine whether or not a Certificate of Identity or Refugee Travel Document has been misused or fraud has occurred or a false statement has been made in the obtaining or uttering or use of a Certificate of Identity or Refugee Travel Document. It may also include disclosure to these entities, the government of a province, the government of a foreign state, an international organization of states, or an international organization established by the governments of states, or any institution of any such government or organization, for the purpose of administering or enforcing any law or carrying out a lawful investigation, including an investigation related to national security.

**Retention and Disposal Standards:** Hard copy records are retained until they are microfilmed. Microfilm records are retained indefinitely

**RDA Number:** 75/023

**TBS Registration:** 000346

**Bank Number:** FAI PPU 025

#### **Passport Office - System Lookout Files**

**Description:** This bank contains information on persons whose requests for passport services might be subject to refusal or limitation. The information is in the form of a master control list, reports, memoranda, correspondence, and application forms. Information is supplied by individuals applying for passport or travel document services or assistance abroad, by federal, provincial, and municipal agencies, by law enforcement and security agencies, by Canadian missions abroad, and by foreign governments and international organizations.

**Class of Individuals:** Individuals who have misused or who have committed fraud or made a false statement in obtaining or uttering or using a Canadian passport or Certificate of Identity or Refugee Travel Document; or who have lost possession or control of more than one passport (through loss, theft, inaccessibility, etc) within a brief time span; or whose legal right to apply on behalf of a child under 16 has not been established or is questionable; or who stand charged with the commission of an indictable offence; or who are serving a term of imprisonment or similarly forbidden to leave Canada; or who permit another person to use the passport; or who are indebted to the Crown for expenses related to repatriation to Canada or for other consular financial assistance provided abroad at their request by the Government of Canada; or who are wanted by law enforcement agencies.

**Purpose:** The purpose of this bank is to assist passport-issuing authorities in determining whether or not the entitlement of an individual passport applicant or holder is subject to review or curtailment or other administrative or legal action.

**Consistent Uses:** Consistent use may include disclosure to law enforcement, investigative, citizenship, vital statistics, consular, and immigration authorities for verification purposes or to determine whether or not a passport has been misused or fraud has occurred or a false statement has been made in the obtaining or uttering or use of a Passport or a Certificate of Identity or a Refugee Travel Document. It may also include disclosure to these entities, the government of a province, the government of a foreign state, an international organization of states, or an international organization established by the governments of states, or any institution of any such government or organization (for instance,

provincial social assistance and vital statistics or health agencies or international law enforcement agencies), for the purpose of administering or enforcing any law or carrying out a lawful investigation.

**Retention and Disposal Standards:** Records are retained in the bank up to 10 years, except for cases of special interest which are retained for an indefinite period

**RDA Number:** 75/023

**TBS Registration:** 000345

**Bank Number:** FAI PPU 020

#### **Passport Office — Regular and Official Travel Passports**

**Description:** This bank contains applications for regular and official travel passports. Individual records include the application form and an alphabetical and numerical index to facilitate file retrieval. The data content of each record includes demographic information and the personal characteristics of family and children, custody provisions concerning children, and address and employment information concerning the applicant's guarantor. Most of the information is supplied by the applicant. Some is received from local, provincial or federal authorities. Persons seeking access to this information bank should provide their date of birth.

**Class of Individuals:** Canadian citizens and government employees who have applied for regular or official travel passports.

**Purpose:** The purpose of this bank is to store completed applications and supporting documentation for regular passports submitted by Canadian citizens on their own behalf and on behalf of their dependents and for official travel passports submitted by government employees traveling on official business. This information is used to establish the identity and citizenship of applicants, to confirm their immediate and ongoing entitlement to a passport, and to enable the Consular Bureau to provide assistance where necessary to traveling Canadians.

**Consistent Uses:** Consistent use may include disclosure to law enforcement, investigative, security intelligence, citizenship, vital statistics, consular, and immigration authorities for verification purposes or to determine whether or not a passport has been misused or fraud has occurred or a false statement has been made in the obtaining or uttering or use of a passport. It may also include disclosure to these entities, the government of a province, the government of a foreign state, an international organization of states, or an international organization established by the governments of states, or any institution of any



such government or organization (for instance, provincial social assistance and vital statistics or health agencies or international law enforcement agencies), for the purpose of administering or enforcing any law or carrying out a lawful investigation, including an investigation related to national security.

**Retention and Disposal Standards:** Hard copy records are retained in the bank for 5 years, microfilm records and electronic files are retained indefinitely

**RDA Number:** 75/023.

**TBS Registration:** 000347

**Bank Number:** FAI PPU 030

### Personal Information Disclosed to Federal Investigative Bodies

**Description:** In accordance with subsection 8(4) of the Privacy Act, this bank has been established to retain copies of requests received from authorized federal investigative bodies for personal information pursuant to paragraph 8(2)(e) of the Privacy Act, for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Class of Individuals:** Individuals about whom requests for personal information have been received pursuant to paragraph 8(2)(e) of the Privacy Act from federal investigative bodies for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Purpose:** The purpose of this bank is to permit the Privacy Commissioner to review disclosures made under paragraph 8(2)(e) of the Privacy Act to federal investigative bodies for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Retention and Disposal Standards:** Records are retained for two years after completion of the request

**RDA Number:** 75/023

**TBS Registration:** 000349

**Bank Number:** FAI PPU 040

### Spousal Employment Job Bank

**Description:** This bank contains information submitted by spouses (of employees of the Department of Foreign Affairs and International Trade) who are actively seeking employment in the NCR. Information is in the form of a résumé and/or a completed Spousal Employment Profile form. Information includes name, address, telephone number, citizenship, education, employment experience, and career interests.

**Class of Individuals:** Spouses of Foreign Affairs employees who seek employment at home.

**Purpose:** The purpose of the bank is to assist spouses of departmental employees in finding work

in the Ottawa/Hull area. When job opportunities arise, a search is made to find suitably qualified candidates.

**Consistent Uses:** This bank is used to provide names, telephone numbers, and employment experience to employers, on request.

**Retention and Disposal Standards:** Records are retained unless updated or deleted by the person concerned. Records are also deleted in the event of divorce, separation, retirement or departure of the employee from the Department when known.

**RDA Number:** 75/023.

**TBS Registration:** 002506

**Bank Number:** FAI PPU 045

### Classes of Personal Information

In the course of conducting the programs and activities of the Department of Foreign Affairs and International Trade, categories of personal information may be accumulated which are not contained in the specific information banks described in this entry. This information exists in a fragmented form throughout the subject files of the Department, which are described in the program records. This information is stored as part of the general subject files, where records are not normally retrieved by name of individual or other personal identifier. This form of information is retrievable only if specifics are provided concerning the subject matter, related departmental activity, the date on which the information was received by the Department and to whom it was addressed. The personal information contained in these subject files is retained for the same period of time as the related subject information and is disposed of according to the appropriate subject record schedules. The classes of personal information listed below describe particular program records which, because of their nature, are more likely to contain personal information.

#### International Security Bureau

Personal information may be held by the bureau concerning individuals who have been involved in defence activities with NATO, NORAD, or other international defence or arms control organizations, or in conferences or visits. Personal information might include personal biographies, tours of defence colleges, military travel and training, and nominations of Canadians for positions in international defence organizations concerned with defence or arms control. Persons seeking access should specify the subject of the enquiry, country and/or city, contacts, incident, conference/organization, visits, dates and circumstances which may have led to the establishment of a record.

## Legal Affairs Bureau and Trade Law Bureau

The Legal Affairs Bureau handles a number of important functions including multilateral legal issues, peace and security law, humanitarian law, economic law, trade agreements, treaties, international law, dispute settlement, individual legal cases, and implementation of environmental legislation and Access to Information and Privacy legislation. Personal information held by the Bureau may include enquiries from Canadian residents seeking advice about international and foreign legal systems or concerning authentication of documents, and claims by Canadian citizens for possible support by the Canadian government. Other personal information would relate to specific issues handled by the Bureau. Persons seeking access must specify the subject of the enquiry, as well as country and/or city, legal firm, contacts, incidents, dates and circumstances which may have led to the development of a record.

## Office of Protocol

The Office of Protocol is responsible for the administration of protocol-related programs of the Department and for the development of policies and procedures which direct the administration of protocol programs. Personal information in this class would pertain to individuals who have participated in, or have been the subject of protocol-related activities within programs such as accreditation and ceremonies, privileges and immunities, government hospitality, protection of foreign representatives and foreign decorations, and awards and honours to Canadians. Persons seeking access should specify the subject of the enquiry, country and/or city, contacts, incident, visits, conference, delegation, dates and circumstances which may have led to the establishment of a record.

## Manuals

- Appraisals and Promotion Systems
- Export and Import Permits Act Handbook
- Finex Manual
- Foreign Service Directives
- Handbook of Import and Export Commodity Codes
- Locally Engaged Staff
- Manager's Guide
- Manual of Consular Instructions
- Manual of Correspondence and Communications
- Manual of Financial Management

- Manual of management of goods
- Manual of Materiel Management Property Management Manual
- Manual of Protocol
- Manual of Security Instructions
- Notices to Exporters
- Notices to Importers
- Passport Office Administrative Procedures Manual
- Passport Office Operating Procedures Manual
- Passport Office Policy and Examining Practices Manual
- Records Classification Guide
- Security Classification Guide
- Summary of Canada's Bilateral Restraint Arrangements — Textiles and Clothing

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

### Historical Section

Corporate Communications Division  
C-2, Pearson Building  
Tel.: (613) 992-7629  
Internet: [bcph@dfait-maeci.gc.ca](mailto:bcph@dfait-maeci.gc.ca)  
Hours: 09:00 to 17:00 weekdays

### Information Centre

Main Floor, Pearson Building  
Tel.: (613) 944-4000  
Toll-Free: 1-800-267-8376  
Internet: [infotech@dfait-maeci.gc.ca](mailto:infotech@dfait-maeci.gc.ca)  
Hours: 09:00 to 16:30 weekdays

### Media Relations Office

A-2, Pearson Building  
Tel.: (613) 995-1874  
Hours: 08:30 to 18:00 weekdays

## Reading Room

An area in the Access to Information and Privacy Protection Division (see address and telephone number in Introduction) has been designated, under the Access to Information Act, as a public reading room.

# Department of International Trade

## Chapter 56

Please note: The following information does not refer solely to the Department of International Trade, but is the 2003-2004 Info Source chapter for the Department of Foreign Affairs and International Affairs (DFAIT). As a result of the December 2003 split into two separate entities, the Department of International Trade was not able to update their content for inclusion in the 2004-2005 version of Info Source.

### General Information

#### Background

The Department of Foreign Affairs and International Trade had its origin in an Act of Parliament in 1909 to deal with Canada's relations with other governments within the British Empire and with foreign states. In 1981, the foreign operations of the immigration service were brought into the Department. In January 1982, there was a fundamental reorganization to include the foreign trade policy and international trade component of the Industry, Trade and Commerce Department. In 1992 the Immigration component of the foreign service was transferred to Employment and Immigration Canada and certain other non-core functions, such as the World Exhibition program and international sport program, were transferred to other departments. In 1993 the Investment Development Division of Investment Canada was merged with the Department.

The Department of External Affairs Act of 1985 set forth the mandate of the Department and provided for a Secretary of State for External Affairs (SSEA) and a Minister for International Trade. The name of the Department was subsequently changed to External Affairs and International Trade Canada. In the fall of 1993 the Department assumed its present title, the Department of Foreign Affairs and International Trade (DFAIT), and the SSEA's title was changed to Minister of Foreign Affairs.

#### Responsibilities

The Department of Foreign Affairs and International Trade has the primary responsibility for the promotion and protection of Canada's interests abroad and the conduct of Canada's relations with other countries. Its legal mandate,

as set out in the Department of Foreign Affairs and International Trade Act, RSC 1985, c. E-22, is to: conduct all diplomatic and consular relations on behalf of Canada; conduct all official communication between the Government of Canada and the government of any other country and between the Government of Canada and any international organization; conduct and manage international negotiations as they relate to Canada; coordinate Canada's economic relations; foster the expansion of Canada's international trade; coordinate the direction given by the Government of Canada to the heads of Canada's diplomatic and consular missions and to manage these missions; administer the foreign service of Canada; foster the development of international law and its application in Canada's external relations.

The Department has four basic roles, which flow from the legal mandate. They are: the development and coordination of the Government's international policy; advocacy of Canadian interests and values overseas; the provision of services to Canadians (trade and investment promotion, securing and improving market access, consular assistance, passports); and support for other government departments and agencies abroad (including provincial governments).

#### Legislation

- Asia-Pacific Foundation of Canada Act, RSC 1985, c. A-13
- Canada Shipping Act, RSC 1985, c. S-9, s. 632.4
- Canada-Chile Free Trade Agreement Implementation Act, S.C. 1997, c. 14
- Canada-Israel Free Trade Agreement Implementation Act, S.C. 1996, c. 33
- Canada-United States Free Trade Agreement Implementation Act, RSC 1988, c. 65, ss. 1 to 7 and Parts I and V
- Canadian Commercial Corporation Act, RSC 1985, c. C-14
- Canadian Environmental Assessment Act, SC 1992, c. 37, ss. 40, 47, 58
- Canadian Laws Offshore Applications Act, SC 1990, c. 44, s. 10

- Canadian Security Intelligence Service Act, RSC 1985, c. C-23, ss. 13, 14, 16, 17, 19
- Chemical Weapons Convention Implementation Act SC 1995, c. 25
- Citizenship Act, RSC 1985, c. C-29, ss. 3, 23
- Coasting Trade Act, SC 1992, c. 31, ss. 3, 17
- Criminal Code, RSC 1985, c. C-46, ss. 7, 57, 477.4
- Cultural Property Export and Import Act, RSC 1985, c. C-51, ss. 4, 17, 39
- Customs Tariff, RSC 1985, c. C-54.01, s. 59
- Department of Foreign Affairs and International Trade Act, RSC 1985, c. E-22; 1995, c. 5
- Excise Tax Act, RSC 1985, c. E-15, s. 68.3
- Export and Import Permits Act, RSC 1985, c. E-19
- Export Development Act, RSC 1985, c. E-20
- Food and Agriculture Organization of the United Nations Act, RSC 1985, c. F-26
- Foreign Enlistment Act, RSC 1985, c. F-28, s. 7
- Foreign Extraterritorial Measures Act, RSC 1985, c. F-29, s. 5
- Foreign Missions and International Organizations Act, SC 1991, c. 41
- Fort-Falls Bridge Authority Act, SC 1970-71-72, c. 51
- Immigration Act, RSC 1985, c. I-2, s. 116
- International Boundary Waters Treaty Act, RSC 1985, c. I-17
- International Centre for Human Rights and Democratic Development Act, RSC 1985, c. I-17.3. (RSC 1985 (fourth supplement) c. 54)
- International Development (Financial Institutions) Assistance Act, RSC 1985, c. I-18
- International Development (Financial Institutions) Assistance Act, SC 1981-82-83, c. 73
- International Development Research Centre Act, RSC 1985, c. I-19
- Motor Vehicle Transport Act, 1987, RSC 1985, c. M-12.01, s. 17
- Mutual Legal Assistance in Criminal Matters Act, RSC 1985, c. M-13.6, s. 6
- National Transportation Act, 1987, RSC 1985, c. N-20.01, ss. 86, 156
- North American Free Trade Agreement Implementation Act, SC 1993, c. 44, s. 1 to 9 and Parts I and III
- Northern Pipeline Act, RSC 1985, c. N-26
- Privileges and Immunities (NATO) Act, RSC 1985, c. P-24
- Prohibition of International Air Services Act, RSC 1985, c. P-25
- Rainy Lake Watershed Emergency Control Act, SC 1939, c. 33
- Revolving Funds Act, RSC 1985, c. R-8, s. 4
- Roosevelt Campobello International Park Commission Act, SC 1964-65, c. 19
- Skagit River Valley Treaty Implementation Act, SC 1984, c. 11
- Special Economic Measures Act, SC 1992, c. 17
- Special Import Measures Act, RSC 1985, c. S-15, Parts I.1 and II
- State Immunity Act, RSC 1985, c. S-18, ss. 9, 14, 15
- Teleglobe Canada Reorganization and Divestiture Act, SC 1987, c. 12, s. 8
- Territorial Sea and Fishing Zones Act, RSC 1985, c. T-8, except for s. 6
- The Geneva Conventions Act, RSC 1985, c. G-3, ss. 6, 9
- Treaties of Peace; Austria, Germany, SC 1919 (second session), c. 30; Bulgaria, SC 1920, c. 4; Hungary, SC 1922, c. 49, SC 1948, c. 71 and SC 1950, c. 50, s. 10; Italy, Romania, Finland, SC 1948, c. 71 and SC 1950, c. 50, s. 10; Japan, SC 1952, c. 50; Turkey, SC 1922, c. 49
- United Nations Act, RSC 1985, c. U-2
- World Trade Organization Agreement Implementation Act, SC 1994, c. 47, ss. 1 to 7 and Parts I and II

## Organization

The Department has two Ministers (the Minister of Foreign Affairs and the Minister for International Trade) and three Secretaries of State (for Asia Pacific; for Latin America, Africa and la Francophonie; and for Central and Eastern Europe, and the Middle East). The responsibilities

of the two Ministers extend beyond this Department: the Minister of Foreign Affairs

is also responsible for the International Development Research Centre, the International Joint Commission and the International Centre for Human Rights and Democratic Development. The Minister for International Trade is responsible for the Export Development Corporation, the Canadian Commercial Corporation, the North American Free Trade Agreement (NAFTA) Secretariat, and the Northern Pipeline Agency Canada.

### **Headquarters Organization**

The Department is headquartered in Ottawa but operates throughout Canada via local and regional passport offices and through its network of trade commissioners in regional offices. Below the deputy minister level, the Department is organized by function, by geography and for corporate services at the assistant deputy minister level and is supported by the Legal Adviser and Planning Secretariat. There are special ambassadors, based in Ottawa, for special subjects such as Fisheries Conservation, the Environment, Air Negotiations and Circumpolar Affairs. The present headquarters structure came into effect in September 1996.

The functional Assistant Deputy Ministers (International Business and Communications; Trade, Economic and Environmental Policy; Global and Security Policy) are accountable for developing coherent, effective global policies and initiatives to achieve worldwide the objectives of the government's foreign policy. The geographic Assistant Deputy Ministers (Asia Pacific; Americas; Europe, Africa and the Middle East) are accountable for the implementation of objectives within their respective regions and ensuring that policies and initiatives are consistent with the development and maintenance of effective and coherent relationships between Canada and each country.

The Department is further divided into a number of bureaux, as listed below alphabetically, each headed by a director general. The bureaux, in turn, are separated into divisions, each under a director. There are also some divisions and work units that do not form parts of bureaux. The acronym by which each major unit is known is shown after the name.

### **Missions abroad**

Outside Canada, the Department operates through a network of 129 missions and 33 offices in 107 countries. Overseas representation also

exists through a number of honorary consuls. Details of missions abroad can be found in the publication *Canadian Representatives Abroad*, issued annually.

Bilateral missions are accredited to specific countries. They include larger missions that provide a full range of services within the business line framework and smaller missions that specialize in specific services, including those of other government departments such as CIDA and Citizenship and Immigration Canada.

Multilateral missions serve Canadian interests in specific international organizations such as the World Trade Organization (WTO), the North Atlantic Treaty Organization (NATO), the United Nations (UN) and the U.N. Educational, Scientific and Cultural Organization (UNESCO), the Organization for Economic Cooperation and Development (OECD), the European Union (EU), and the Organization of American States (OAS). Missions also provide support to other government departments, including financial management, accommodation and property management, materiel management, communications, information management, personnel management of locally engaged staff, transportation and security.

### **Canadian Foreign Service Institute (CFSI)**

The Institute plans and delivers training and development programs to Departmental employees. The programs are designed to improve the effectiveness of employees in the delivery of the Department's programs in Canada and internationally and to facilitate career development. They include training in official and foreign languages, intercultural effectiveness and a broad range of skills and practices related to DFAIT's business lines. Organizational development services are also provided to assist the Department in managing change.

### **Communications Bureau (BCD)**

The Communications Bureau consists of the Foreign Policy and Corporate Communications Division, the Trade Communications Division, the Media Relations Office, the Outreach Programs and E-Communications Division, the Communications Services Division and the Director General's Office.

The Bureau is responsible for increasing awareness and understanding of Canada's foreign policy and international trade agenda among domestic and foreign audiences. It is also responsible for explaining the role of the Department to Canadians and recently added an

internal communications function in order to foster a more productive working environment and forum for ideas at headquarters and at missions abroad.

More specifically, the Communications Bureau provides quality communications advice and services to Ministers and officials on issues, events and initiatives. It also ensures that Canadian and foreign media, as well as other partners, groups and individuals, receive timely and accurate information about the Department and international issues of importance to Canada. The Bureau organizes speaking tours and other outreach programs and activities, provides the Department with public opinion research and analysis, co-ordinates advertising and publishing, and promotes public understanding of the historical aspects of Canada's foreign relations.

### **Consular Affairs Bureau (JPD)**

The Consular Affairs Bureau, under the direction of a Director General, has the sole responsibility for the provision of assistance to and protection of Canadians in other countries. In carrying out that mandate, it operates through staff at Canadian missions abroad as well as through five headquarters divisions consisting of: Case Management, Emergency Services, Program Services, Informatics Services, and Communications and Training. The Bureau sets overall policy for the delivery of consular services, manages cases in cooperation with missions, establishes service standards, manages the cost recovery program, delivers passport and citizenship services overseas, manages the 24-hour, 7-days-a-week departmental/consular operations centre and ensures the application of the Vienna Convention on Consular Relations and related multilateral and bilateral agreements to its consular activities.

### **Corporate Finance, Planning and Systems Bureau (SMD)**

This bureau is comprised of four divisions. The Planning, Program Analysis and Budgeting Division (SMP) provides analysis and advice to the Executive Committee on program planning and resource allocation matters; negotiates with central agencies the size of the Department's budget; coordinates the preparation of the Department's submissions to Treasury Board and its Estimates; prepares DFAIT's annual reports on Plans and Priorities and its Departmental Performance Report to Parliament. The division also coordinates the Department's strategic planning and conducts costing and financial analysis activities.

The Common Services Abroad, Planning and Coordination Division (SMC) provides strategic direction and planning of common services delivery to partner departments and co-locators at our missions abroad; coordinates and supports the implementation of the Framework for Managing Growth at Missions adopted by DFAIT in 2001; develops and negotiates memoranda of understanding (MOUs) with partner departments and co-locators; cost recovery from partner departments and co-locators, and coordination and promotion of the Modern Management initiative.

The International and Domestic Financial Division (SMF) is responsible for domestic and foreign operations for the Department as well as other government departments engaged in foreign operations; and for the operation of a centre of expertise dedicated to the management of service contracts for the department.

The Corporate Management Systems, Policy and Compensation Division (SMS) is responsible for the strategic direction, development, maintenance, training and support of systems utilized in the management of departmental resources including financial, human, and material management, including the Integrated Management System (IMS), PeopleSoft; HRMS, Salary Management System, and Business Intelligence; the administration of compensation and benefits for departmental employees; as well as the formulation and coordination of financial policy.

### **Economic Policy Bureau (EED)**

The Bureau is responsible for the development and coordination of Canada's positions on international economic and development assistance issues, including G8 Economic Summits, the OECD and APEC. It is also responsible for research and analysis of policy options on Canada's international trade and economic agenda. It consists of three divisions: International Economic Relations and Summit Division; Economic Relations with Developing Countries Division; and Trade and Economic Analysis Division.

### **Executive Services Bureau (DCD)**

The objective of this Bureau is to provide dedicated, one-stop support to our two Ministers, and three Secretaries of State and the Deputy Ministers. It is composed of four divisions: DCL (Cabinet and Parliamentary Liaison); DCP (Access to Information and Privacy Protection); DCC (Ministerial Correspondence); and DCX (Executive Briefings). It also acts as a focal point

on regulatory matters and policies, is responsible for preparing and disseminating the Forward Planning Document and acts as Secretariat to the Department's Executive Committee.

### **Export and Import Controls Bureau (EPD)**

The authority to control the export and import of goods and technology through the Export and Imports Permits Act (EIPA) is the basis of the Bureau's foreign and domestic policy mandate. The Act sets out criteria to govern the inclusion of particular goods on an Export Control List and an Import Control List, and provides for the inclusion of particular countries on an Area Control List applicable to exports. Control over the flow of goods contained on these lists and to/from these destinations is effected through the issuance or denial of export and import permits. The Act delegates to the Minister of Foreign Affairs the discretion to grant or deny requests for permits, and thus confers on the Minister broad powers to control the flow of goods. The principal role of the Export and Import Controls Bureau is to manage Canada's export and import control regime. This it does through policy development; issue management; processing and issuance of permits; and multilateral and bilateral negotiations.

### **Geographic Bureaux**

For the conduct of external relations, the world has been divided among eight geographic bureaux each under a director general. These are: Africa (GGD); Central, East and South Europe (RBD); European Union, North and West Europe (RWD); Latin America and Caribbean (LGD); Middle East, North Africa and Gulf States (GMD); North Asia and Pacific (PND); South and Southeast Asia (PSD); and North America (NAD). Each bureau is separated into divisions according to smaller geographic areas, and within the divisions, a country desk approach is normally used. The responsibilities and activities of the geographic bureaux have much in common and are best described together.

Each bureau is responsible for the management and coordination of the full range of relations with its region. Included are the operations of the Canadian posts abroad in its area, their guidance and instruction, the on-going dialogue with them, and the provision and allocation of resources to them. Under the Department of Foreign Affairs and International Trade Act, a head of mission is defined as responsible for the management and direction of the mission and the supervision of the official activities of the various Canadian departments and agencies in the country in question.

The geographic bureaux provide policy advice to Ministers, based on country and regional analysis, and generally are responsible for the handling of bilateral political and economic issues and trade policy with various parts of the world. Each bureau normally manages directly certain core DFAIT programs or "business lines"; for example, "international security and cooperation" or "international business development". In addition, the bureau – with its component divisions – coordinates the delivery within its area of other departmental business lines, including DFAIT's public affairs, consular and administrative programs, as well as the programs of other federal departments and agencies with major operations overseas. As the main point of contact for the Canadian business community, geographic divisions handle export promotion and country-specific market access issues. Most of them support tourist promotion activities in conjunction with the Canadian Tourism Commission, fairs and trade missions, investment development and science and technology cooperation. They also serve as a point of contact for non-governmental organizations with interests abroad and for foreign diplomatic missions based in Ottawa.

### **Global and Human Issues Bureau (AGD)**

This Bureau is responsible for policy development and coordination of activity in issues which are transnational in nature and contribute to sustainable human development and human security. The Human Rights, Humanitarian Affairs and Women's Equality Division ensures effective monitoring of human rights, women's equality issues world-wide and the effective integration of these considerations into all relevant aspects of bilateral and multilateral relations. It also coordinates the foreign policy aspects of humanitarian affairs and migration and refugee issues. The Aboriginal and Circumpolar Affairs Division manages aboriginal issues in Canada's multilateral and bilateral relations and is responsible for the implementation of the Northern Dimension of our Foreign Policy. The Bureau is responsible for the development of the Government's Human Security Policy and Programme covering five key thematic areas: Protection of Civilians, Peace Support Operations, Conflict Prevention, Governance and Accountability and Public Safety. The Bureau is also responsible for the follow up to the Report of the International Commission on Intervention and State Sovereignty, entitled "The Responsibility to Protect" which deals with the issue of humanitarian intervention. Aspects of social development, including children's issues, are the

responsibility of this Bureau as is the implementation of the Young Professionals International Program.

### **Human Resources Operations Bureau (HRD)**

HRD is responsible for human resources strategy implementation. The Bureau is concerned with department-wide policies on Staff Relations and also for classification, staffing and training for non-rotational employees, pensions and insurance plans for Locally-Engaged Staff.

### **Information Management and Technology Bureau (SXD)**

The Bureau provides corporate information management and information technology services to the Department and to other government departments with operations abroad. Through MITNET, the Department's telecommunications service, it provides secure and unclassified voice, facsimile, and data transmission. Through SIGNET, its local and wide-area computer network, it supports e-mail and access to departmental data and applications for 8,800 Canadian and locally-engaged staff around the world, thereby supporting the production, retrieval and delivery of timely information to staff and outside clientele. The Bureau is responsible for the Department's electronic and conventional libraries and registries. In addition, the Bureau is responsible for its involvement in Government-On-Line, putting key departmental services for Canadians on-line. The Bureau provides the infrastructure supporting the various departmental web sites; these sites are already attracting 1 million visits a month, providing increased on-line public access to departmental information. As Chief Information Officer, the Bureau's Director-General also coordinates planning, standards and policies for all information management and technology operations across the Department.

### **International Business Development Branch (TBD/TCD)**

Manages medium to long-term strategic planning for international business development (IBD); recommends appropriate allocation of IBD resources, both human and financial; coordinates the Team Canada trade missions led by the Prime Minister and the trade missions led by the Minister for International Trade; manages the Client Service Fund (CFS) which supports the international business development efforts of Canadian business; maintains the public InfoExport web site ([www.infoexport.ca](http://www.infoexport.ca)) which provides fast and easy access to hundreds of

market studies and electronic service delivery; maintains the Virtual Trade Commissioner Web service which offer personalized on-line services for registered Trade Commissioner Service clients, including business and partner clients; designs and operates world-wide WIN/Client Management Services (as part of the Virtual Trade Commissioner project), encompassing sourcing, trade planning and client management tracking functions; markets the Trade Commissioner Service to the public using different mediums; provides client service guidelines, best practice tools, advice and training to help 500 trade officers at 140 Canadian posts around the world facilitate the efforts of Canadian business abroad; measures the performance of the Trade Commissioner Service and seeks to continuously improve the service based on feedback from clients; manages an outreach program across the country to talk to Canadians and businesses about the benefits of international trade, inform them of trade opportunities abroad, and to explain how the Trade Commissioner Service can help firms interested in international business development; provides assistance to industry clients through: production and dissemination of country and region-specific market studies and partnerships with national industry associations; develops and implements policies, performance and service standards for the Trade Commissioner Service; negotiates and maintains federal-provincial-territorial partnerships agreements; manages DFAIT's participation in Team Canada Inc (TCI), the entity responsible for government-wide management of International Business Development resources; manages Canada's Export Awards program which recognizes and celebrates international trade achievements of Canadian companies; provides input in the management of the Regional trade networks and plans through the International Trade Centres (ITCs); serves as DFAIT's focal point regarding the advancement of Canadian international science and technology (S& T) objectives; serves the export needs of SMEs as well as the special requirements of women, aboriginal and youth entrepreneurs; manages Canada's business development strategy for International Financial Institutions; manages use of Canada Account financing; is the focal point for the Export Development Corporation (EDC) and the Canadian Commercial Corporation (CCC); operates the International Business Opportunities Centre (IBOC) to direct solid trade leads to Canadian firms capable of filling overseas requirements; manages the International Business Development contributions to Government On-



Line initiative including compliance related to Common Look and Feel Program; maintains the Doing Business with Canada site, a Government On-Line project, part of the non-Canadians gateway; manages the Program for Export Market Development (PEMD) in support of international business development initiatives of Canadian companies and industry associations; manages the agreement with Canadian Manufacturers and Exporters (2002-2004) to provide bursary for the Robert L. Richardson Trade Commissioner Service Award for Excellence in International Trade Studies; and coordinates the International Business Internship Program which is funded by the Canada/Atlantic Provinces Cooperation Agreement on International Business Development and participating companies.

### **International Cultural Relations Bureau (ACD)**

This Bureau promotes Canada abroad and helps achieve foreign policy and trade objectives by assisting Canadian scholars and artists to undertake international activities. In cooperation with the Canadian cultural and education industries the bureau provides assistance by promoting and facilitating the exports of cultural goods and services and education services. It is responsible for promoting Canadian Studies abroad; monitoring and coordinating Canadian representation at international education conferences; supporting international youth and cultural personalities exchange; and promoting abroad Canadian education and training goods and services. It provides funding for international tours by Canadian performing artists, writers and film directors, supports exhibitions abroad of Canadian visual art at leading museums and galleries and important international biennials. It also provides support to Canadian missions abroad in delivering cultural services. Information on Bureau programs and activities may be found on the Internet.

### **International Environmental Affairs Bureau (AED)**

This Bureau's mission is to defend and advance Canada's international interest in the environment, conservation, non-nuclear energy and sustainable development. It focuses on issues with multilateral and regional dimensions and those arising in multilateral and regional fora. The Bureau has international responsibility for issues relating to climate change, sustainable forest management, trade and the environment, hazardous and toxic substances, desertification, human settlements, biological diversity, biosafety,

genetic resources for food and agriculture, air and marine pollution, whaling, and non-Canada-USA freshwater. To achieve progress in this area of responsibility the Bureau works with major international environmental and sustainable development organizations. It also recommends and oversees funding where appropriate. Domestically, the Bureau works toward agreement and productive partnerships with other government departments, agencies and non-governmental environmental, non-nuclear energy, developmental and business organizations. It prepares and monitors implementation of the Department's Sustainable Development Strategy and provides advice and assistance in the areas of environmental assessment and the greening of departmental operations both in Canada and at the 162 missions abroad. Information on Bureau programs and activities may be found on the Internet.

### **International Organizations Bureau (IMD)**

This Bureau coordinates Canada's participation in the United Nations and most of the specialized agencies and institutions that form part of the UN system. It is also responsible for coordinating Canada's multilateral relations with the Commonwealth and Canada's role and activities in la Francophonie.

### **International Security Bureau (IDD)**

The International Security Bureau is the focal point of the Department's efforts to promote the Government's foreign policy objective of protecting Canadian security, within a stable global framework. The Bureau encompasses policy and operational responsibilities for non-proliferation, arms control and disarmament; regional security and peacekeeping; nuclear safety; North American and Euro-Atlantic security and defense relations.

### **Legal Affairs Bureau (JCD)**

The main functions of the Legal Affairs Bureau are to promote the development of international law and dispute settlement mechanisms as instruments for peaceful change and the effective conduct of Canada's international relations. The areas of priority are: international peace and security, state sovereignty and extraterritoriality, human rights law, international criminal law, environmental law, law of the sea, and services to the public.

### **Office of Protocol (XDX)**

The Chief of Protocol is the principal point of contact between the Government of Canada and

foreign representatives accredited to Canada. The Office of Protocol is responsible for the accreditation and appointment of foreign diplomatic and consular representatives to Canada and of Canadian heads of diplomatic and consular missions to other countries. The Office manages all questions of privileges and immunities in respect to both foreign representatives in Canada and Canadian representatives abroad, as set out in the Foreign Missions and International Organizations Act, the State Immunity Act and the Vienna Conventions on Diplomatic and Consular Relations. The Office plans, organizes and manages state and official visits to Canada and participates in the logistical planning and conduct of travel abroad by the Governor General, the Prime Minister, the Minister of Foreign Affairs and the Minister for International Trade. The Office also organizes, arranges, and manages official hospitality functions for the Prime Minister, ministers and senior officials of this and other departments at Foreign Affairs Headquarters, at 7 Rideau Gate, the official Government guest house, and elsewhere in Canada and abroad.

#### **Office of the Inspector General and Internal Audit and Evaluation (SIX)**

The office of the Inspector General (OIG) serves senior management of the Department by conducting a range of independent reviews, including Audits and Evaluations, at headquarters and Missions. Its purpose is to encourage accountability and improvements in Departmental management of processes and operations. The OIG's principal information holdings are reports of reviews performed.

#### **Passport Office (JWD)**

The Passport Office, a Special Operating Agency of the Department of Foreign Affairs & International Trade, finances its operations entirely from the fees generated by passport services. Its administrative headquarters are located in Hull. The agency operates issuing offices (mail and personal service) in Hull and personal service counters at 29 regional offices across Canada. It also develops, promulgates, and monitors entitlement and issuance policies and procedures for application within Canada as well as at missions abroad.

#### **Personnel Management Bureau (HPD)**

The Bureau is concerned with the management of the Department's human resources through the recruitment, assignment, and promotion processes as these principally affect rotational

personnel. It is also responsible for the negotiation and administration of the Foreign Service Directives, spousal issues, and all questions concerning the relocation of personnel in and out of Ottawa.

#### **Physical Resources Bureau (SRD)**

The Bureau, another Special Operating Agency, is responsible for the Department's Long Term Capital Program, including property renovations, construction, purchases and disposals as well as Chancery and Official Residence lease renewals and moves. The Bureau develops and interprets property and materiel policy, coordinates property program planning, and provides a broad range of maintenance, interior design, purchasing, and shipping services for missions. The Bureau also provides administrative services in the areas of materiel management, accommodation, mail and distribution services .

#### **Policy Planning (CPD)**

The Planning Secretariat provides general as well as specialized policy support to the Department. It is responsible for ensuring consistency and coherence across the whole range of Canadian foreign policy through the analysis, evaluation and development of policy, and by carrying out a number of specific policy tasks. The Secretariat feeds into the priority setting process of the Department by organizing Policy Board meetings held at the ADM level. Through its coordination of cross-cutting policy exercises, the Policy Planning group ensures that Canadian foreign policy reflects global realities and government objectives. The Secretariat also coordinates the briefing material for the transition of Ministers and Deputy Ministers. The Secretariat elaborates departmental crisis management strategies for major events with a policy impact such as the events of September 11th, as well as undertaking the review of priorities and resources in such instances. In addition, the Secretariat organizes several outreach functions such as the annual Ministerial retreat, briefing students and hosting various other roundtables and conferences. Within the Secretariat there are three units. The Policy Planning Division has special responsibility for the coordination of political input for the G8 Foreign Ministers' meetings. The Policy Coordination Division focuses, in particular, on trade and economic policy and its links to Canadian foreign policy, and also assesses and advises on how best to align the Department's international priorities and activities to Canada's economic and social agenda at home. The third unit, the Canadian Centre for Foreign Policy

Development manages a program to engage Canadians on foreign policy issues and policy development, contributing financially to public project proposals, commissioning policy options papers, organizing events and roundtables and publishing project reports, papers and teaching aids. It also organizes an annual National Forum on Canada's international relations.

### **Security and Intelligence Bureau (ISD)**

This Bureau is responsible for providing timely and critical intelligence on world events, assuring the protection of Canadian personnel and their families, safeguarding government premises and assets and the promotion and protection of Canadian national interests. The Bureau is also responsible, as the National Security Authority, for overseeing the security of all civilian NATO classified matter conveyed to Canada and for departmental Communication Security (COMSEC). The Foreign Intelligence Division provides, inter alia, information support for Department operations and ensures the coordination of intelligence activities with other Canadian agencies and foreign governments. The security divisions are responsible for all aspects of physical and technical security and personal safety at headquarters and abroad. This includes the security of buildings, information and information technology, security measures at headquarters and abroad, personnel security, clearances, investigations and security education and awareness.

### **Senior Coordinator for Federal-Provincial-Territorial Relations (CFD)**

The Bureau is responsible for coordinating the Department's relationships with Canada's provincial/territorial governments on international issues. The Bureau negotiates agreements with the provinces concerning their formal relationship to the Department and coordinates support to the provinces prior to visits abroad by provincial/territorial government leaders. It also advises on issues touching on provincial/territorial government relations with international governmental organizations, and with visiting foreign leaders. It represents the Department in consultations and negotiations with the other government departments and provincial/territorial authorities, as required, on questions which may impact on federal-provincial-territorial relations. The Bureau is responsible for the international dimensions of Canadian federalism and, in this context, is the principal point of contact for the Forum of Federations. It also advises on the expenditure of specific grants and contributions

funds which impact on attachment to Canada, and perceptions abroad of Canada as a strong united country. Through its work on international issues, the Bureau also supports the Government's strategic objectives, including national unity.

### **Trade Law Bureau (JLT)**

The Trade Law Bureau handles information on legal aspects of Canada's international trade agreements and related matters including the General Agreement on Trade and Tariffs (GATT), the World Trade Organization (WTO), the Canada-US Free Trade Agreement, the North American Free Trade Agreement (NAFTA) and the Canada-Chile Free Trade Agreement. This bureau is also responsible for international dispute settlements under Chapters 11, 14, 19 and 20 of the NAFTA and Chapters 18 and 19 of the FTA, the GATT and WTO. As well, it deals with all legal issues related to trade in goods and services (e.g. transportation, communications, energy, professional services), agriculture, environment, trade sanctions, boycotts, private commercial arbitration, investment and international organizations).

### **Trade Policy I: General Trade Policy Bureau (EAD) - Trade Policy II: Services, Investment and Intellectual Property Bureau (EBD)**

These two Bureaux work closely together and collectively are responsible for all aspects of Canadian trade policy, including the management of trade disputes.

Trade Policy Bureau I is responsible for maintaining a broad oversight of issues related to trade in goods. The Director General of Trade Policy Bureau I also serves as Canada's Coordinator for the North American Free Trade Agreement (NAFTA) and is responsible for managing Canada's participation in the NAFTA and its institutions. In addition, the Director General is responsible for the negotiation and/or oversight of regional and bilateral trade agreements, including the Free Trade Agreement of the Americas (FTAA), the Canada-Singapore and Canada-Central America Agreements, as well as for the ongoing management of bilateral trade agreements with Chile, Israel and Costa Rica. The Director General also serves as Chief Negotiator for free trade negotiations with the European Free Trade Association (EFTA).

Trade Policy Bureau II is responsible for maintaining a broad oversight of issues related to trade in services, as well as for the so-called new issues in international trade - culture, intellectual property, new technologies, electronic commerce,

telecommunications, investment, competition, government procurement and corporate social responsibility. The Director General of Trade Policy Bureau II also maintains an overview of Canada's participation in the World Trade Organization (WTO) and the trade-related work of the Organization for Economic Cooperation and Development (OECD).

The Trade Policy Bureau I is comprised of the following four divisions: Regional Trade Policy; Trade Remedies; Technical Barriers and Regulations; and Tariffs and Market Access. The Trade Policy Bureau II also five divisions; Investment Trade Policy; Information and Technology Trade Policy; Services Trade Policy; Multilateral Trade Policy and Trade Policy Consultations and Liaison. This last division supports the work of industry Sector Advisory Committees on International Trade (SAGITs), coordinates a permanent forum for consultations with the provinces and assists other divisions in the planning and conduct of public consultation processes.

## Information Holdings

### Program Records

#### Academic Relations

**Description:** Administration of awards, scholarships, and fellowships offered by the Canadian government to nationals of certain countries; administration of international Canadian Studies programs, relations with foreign and Canadian academics and educational institutions, international coordination of youth exchange programs; management of international educational interests multilaterally or bilaterally in cooperation with the Council of Ministers of Education, Canada; international marketing of educational goods and services.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits, exchange of persons; fairs and exhibitions; trade; universities; colleges; education associations; awards, scholarships, fellowships; assistance to Canadian firms and institutions.

**Program Record Number:** FAI ACD 150

#### Agri-Food, Fish and Resource Products

**Description:** This class covers information relating to the production and marketing, nationally and internationally, of agricultural, fish, processed food, forest, mining and chemical products, including world market situations and

the general economic development of such Canadian industries. Also included is the Bureau's involvement with various associations and organizations from the public and private sectors and other countries; trade missions, visits, trade fairs, grants, loans and contributions and programs designed to assist the industries in the development and marketing of their products.

**Topics:** Agricultural products; feed; fresh fruits and vegetables; pulses; seeds; tobacco; livestock; meat; dairy products; grocery products; baked goods; beverages; processed foods; fur products; international commodities; lumber; plywood; panel products; timber frame construction; log homes; pulp and paper; ferrous and non-ferrous metals; peat moss; ceramic materials; metal powders; asbestos; potash; chemical fertilizers; pesticides; pharmaceuticals; biological reagents; synthetic resins; polymers; industrial chemicals; adhesives.

**Program Record Number:** FAI TBD 035

#### Agriculture and Commodity Policy

**Description:** Information on international aspects of agricultural trade policy and international commodity agreements.

**Topics:** Agricultural industry; food and agriculture; commodity trade; policy and plans; organizations and conferences; treaties and agreements; schools and training; visits.

**Program Record Number:** FAI EAD 070

#### Arts Promotion

**Description:** Information on the promotion of cultural relations between Canada and other countries and on international cultural policy issues and programs.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; fairs and exhibitions; cultural centres; cultural information; book presentations; libraries and literature; architecture; visual arts; performing arts; culture and history.

**Program Record Number:** FAI ACD 155

#### Canadian Foreign Service Institute

**Description:** Information on training and professional development programs, including needs analysis, curricula, course materials, resource and general research information.

**Topics:** Current policy and practice in the work of entry-level officers, supervisors, mid-level officers, heads of mission, and administrative and technical staff; foreign and official language training; leadership training; intercultural training; general administration training; information management and technology training; financial, property and personnel management training; distance

learning; management of training budgets and training facilities; performance measurement.

**Program Record Number:** FAI CFS 173

### **Capital Projects and Secondary Industries**

**Description:** Information on International Financial Institution and capital projects. On federal policies and issues relating to international marketing and export trade development. Information on government education, training and counseling programs for companies interested in international markets as well as on international business studies at Canadian universities. A wide array of sectoral and country-based market studies and reports. Federal government incentive and assistance programs related to export marketing. Information on international transportation services. Information on the development of export marketing strategies. Program for Export Market Development (PEMD) and industry associations. Canadian Commercial Corporation, Export Development Corporation and export financing. Canada Export Awards and International Trade Centres. Most of the above information along with a wide variety of other useful documents are available through the InfoExport website using the "search" mechanism. [www.infoexport.gc.ca](http://www.infoexport.gc.ca).

**Program Record Number:** FAI TCD 040

### **Commonwealth**

**Description:** Information on the organizational structure and inter-governmental meetings of the Commonwealth and on Canada's participation in Commonwealth programs and activities.

**Topics:** Policy development; membership; Heads of Government meetings; inter-governmental conferences; secretariat; Commonwealth ministerial meetings and conferences; functional co-operation and the activities of non-governmental organizations.

**Program Record Number:** FAI IMD 120

### **Consular Operations**

**Description:** Information on Canadian consular operations.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; fee collection and control; services on behalf of other countries; services as a protecting power; registration of nationals; emergency evacuation; government benefits and services; assistance to nationals; assistance through local authorities; offenses, arrests, detentions, conscription of Canadians abroad; merchant vessels and seamen, commercial aircraft and airmen, military personnel, veterans; social security; prisoners of

war and civilian internees; death and estates, reunification of families; and visa registration.

**Program Record Number:** FAI JPD 024

### **Consular Policy**

**Description:** Information on Canadian consular policy matters.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; extension of services abroad; social security plans; immigration and citizenship matters; enquiries and complaints; consular conventions and understandings; diplomatic and official visas; coordination of consular programs for posts abroad; consular training; honorary consuls; shipping and seamen; transfer of offenders; deportation; and travel industry.

**Program Record Number:** FAI JPD 023

### **Criminal, Security and Treaty Law**

**Description:** Information on privileges and immunities, questions of public and private international law and treaties.

**Topics:** Judicial and legal services; authentication and notarial acts; diplomatic and consular privileges and immunities; consular questions; sovereign immunity; recognition of states; passport matters; security matters; transfer of offenders; narcotics control; transborder police operations; extradition; international aspects of child napping; private international law; maintenance orders; letters rogatory; depositions; service of documents; treaty negotiation, interpretation, registers, procedures and publication; transnational organised crime; international migration; terrorism; disarmament.

**Program Record Number:** FAI JCD 020

### **Cultural Industries Promotion**

**Description:** Support for and promotion of export trade interests of Canadian exporters of cultural goods and services.

**Topics:** Plans; reports and statistics; treaties and agreements; PEMD- Trade Association program for cultural industries; market studies; association information; internet site; visits, fairs, missions; sector information: aboriginal cultural industries; book publishing; sound recording; multimedia; visual art; craft; museum goods and services; film, broadcasting, television; contact information.

**Program Record Number:** FAI ACD 160

### **Defence Programs and Advanced Technology**

**Description:** This class covers information concerning the policies and procedures on the industrial and trade aspects of high technology and defence programs.

**Topics:** Marine Products and Services; onboard

electronics; aircraft; civilian and military aircraft components systems; missile systems; avionics; space-based radar; satellites; 'Build to print'; security; nuclear, biological, and chemical (NBC) defence products; cold weather clothing; vehicles; weapons and ammunition; aircraft R & O and finishing; civilian and defence applications for computer-based technologies, telecommunications/data communications; remote sensing; industrial process controls; electronic components; geological and geophysical instrumentation; test and laboratory equipment; electronics; Canada/U.S. Defence Production and Development Sharing Agreements; Research, Development, and Production Agreements with European countries; Defence Economic Relations; Access to U.S. Defence Procurement; Assistance to Canadian companies in defence-related exports; North American Defence Industrial Base Organization; NATO industrial Advisory Group and other infrastructure procurement; Bilateral science and technology (S&T) agreements; liaison with U.N. Agencies, OECD, VIASA, and other multilateral organizations on science; space policy collaboration and marketing; international aspects of S&T related to telecommunications, information technologies, advanced industrial materials, Arctic science and biotechnology; international activities on large science projects; administration of the 'Technology Inflow Program'.

**Program Record Number:** FAI TBD 046

### **Defence Relations**

**Description:** Information on the development and coordination of Canadian foreign and defence policies on issues such as NATO, NORAD and other North American defence issues.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; visits; Canadian forces, foreign forces, defence authorities; visiting forces; bilateral relations - Canada; bilateral relations - other countries; armed forces - policy and procedures, coordination personnel, navy, army, air force, paramilitary forces, uniforms and insignia, decorations, colleges and courses, commemorations and war graves, welfare and entertainment, non-military activities; conventional and nuclear armaments; peacekeeping; defence research; military information; air defence systems; manoeuvres and exercises; bases, installations and related activities; military transportation; communications; military assistance; mobilization for war; outer space.

**Program Record Number:** FAI IDD 130

### **Domestic Communications**

**Description:** Information and outreach activities and materials used to inform Canadians about Canada's foreign policy, international trade relations and the role of the Department.

**Topics:** International affairs awareness; issue and program support; communications plans and strategies; outreach programs; internal reports and public opinion research; requests for information on foreign and trade policy communications; publications; ministerial speeches; media monitoring and analysis, domestic advertising, speaking notes; and press/information kits.

**Program Record Number:** FAI BCD 170

### **Economic Relations with Developing Countries**

**Description:** Information on international economic development, Canada's policy on development assistance and trade policy involving developing countries.

**Topics:** Policy, plans and programs; reports and statistics; treaties and agreements; organizations and conferences; legislation; international coordination; project assistance; non-project assistance; technical assistance; food aid; debt; non-governmental organizations.

**Program Record Number:** FAI EED 090

### **Energy and nuclear**

**Description:** Information on questions and negotiations concerning conventional and new forms of energy; international energy policy coordination; nuclear energy, safeguards, international nuclear energy policy coordination, and economic and commercial development.

**Topics:** Policy and plans; reports and statistics, co-operation and agreements; organizations and conferences; legislation and regulations; visits; electricity; petroleum and natural gas; conservation; coal; energy research and development; IAEA co-operation; technical assistance and information; research and development; safeguards; export and import; safety standards.

**Program Record Number:** FAI IDD 100

### **Environment**

**Description:** Canadian and international policy and activities in the field of the environment.

**Topics:** Policy and plans; reports and statistics; treaties and agreements, organizations and conferences, including the United Nations Conference on Environment and Development, and subsequent events; legislation and regulations; visits; environmental research and development; protection of nature; wildlife and

aquatics; prevention of diseases; social development; pollution; pollution by industry; pollution by radiation; land spoliation; air, water and transportation pollution.

**Program Record Number:** FAI ESD 095

### **Export and Import Controls**

**Description:** Information relating to government administration of the Export and Import Permits Act and any other related acts and regulations; the Bureau's activities and involvement with individual companies and customs brokers licensed by CCRA in the area of export and import quotas and market restraints; the Bureau's activities in the control of imported and exported commodities; and its dealings with concerned government and non-government agencies.

**Topics:** Legislative acts; consultations and negotiations, country agreements, permits and certificates, violations and prosecutions; companies; general correspondence; commodities; policy, injurious imports; textiles, clothing; steels; agricultural products; softwood lumber products; electronic products; other exported items; associations and general economic data; countries; government departments and agencies; associations, statistics and correspondence.

**Program Record Number:** FAI EPD 110

### **Export Development Programs and Services**

**Description:** Information on issues in the international marketing area. Also included is information on federal government programs of export education assistance to business and to export education activities and international business studies at Canadian universities; information on the activities of the federal government in gathering and disseminating market intelligence; information on the development of export marketing strategies for particular foreign country markets; federal government incentive and assistance programs related to export marketing; information on the activities of trading houses; information on international transportation services; information on the development of export marketing strategies; information on future and past Team Canada missions.

**Topics:** International marketing strategy, co-operation and liaison; export marketing education; foreign market intelligence; export marketing planning and co-operation; market strategy; programs; Export Trade Month, Export Awards Program, trading houses; policies and plans in the field of transport; activities related to export development; trade development; International Trade Centres; trade information systems

including WIN Exports and PEMD.

**Program Record Number:** FAI TCD 032

### **External Communications**

**Description:** Information materials on Canada sent to other countries, including information on Canadian government policies and programs.

**Topics:** Outreach programs to promote Canada abroad, policy and plans; reports and statistics; visitors to Canada programs; requests for information; publications; exhibits and displays; films, recordings, transcripts radio and television programs; promotion and publicity; timely information to posts; and celebrations of anniversaries and international events.

**Program Record Number:** FAI BCD 175

### **Federal-Provincial-Territorial Relations**

**Description:** Information on the context, objectives and priorities of Canadian foreign policy, economic and trade interests to the provinces/territories; reviews and edits the negotiations between the provinces/territories and foreign governments on Memoranda of Understanding or agreements in areas such as trade and investment, the environment, la Francophonie, international education and other issues of interests to provincial/territorial governments; the national unity issue as it affects Canada's foreign policy and international relations; the day-to-day functioning of Canada's governments that they harmonize federal and provincial/territorial governments interests; advise and support departmental policies and guidelines for the visits abroad of federal-provincial-territorial representatives visiting Canada.

**Topics:** Policy; surveys and reports; treaties and agreements; organizations and conferences; legislation; flow of information to the provinces/territories and municipalities; visits abroad of provincial-territorial government personalities; foreign visitors to Canada; provincial representatives in offices abroad; Forum of Federations.

**Program Record Number:** FAI CFD 003

### **Foreign Intelligence**

**Description:** Information on foreign political and economic intelligence from other federal departments and agencies, the public media, foreign governments, international organizations and other sources that provides a basis for policy formulation on matters affecting Canada's interests.

**Topics:** Political affairs; policy and plans; reports and studies; agreements; organizations and conferences; legislation and regulations; visits; international associations and private

organizations; release of information; foreign political parties; foreign personalities; special clearances; liaison arrangements; interviews with Canadian residents.

**Program Record Number:** FAI ISD 135

### **Foreign Policy Communications**

**Description:** Information and outreach programs and activities to promote Canadian foreign policy domestically and internationally, both to the media and the public, in Canada and abroad.

**Topics:** Communications strategies and plans; outreach programs; media briefing books; media kits; news releases; speeches; news conferences; background and technical briefings.

**Program Record Number:** FAI BCD 105

### **Francophonie Affairs**

**Description:** Information on the multilateral aspects of Canada's relations with French-speaking countries and all institutions of the international Francophonie; formulation and implementation of Canadian policy; coordination of the Canadian contribution to their aid and exchange programs, as well as the establishment and coordination of Canadian participation in various meetings of an official or semi-official nature; intergovernmental conferences; international associations and private organizations.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; orientation and development; admission and participation; attitudes of non-member countries; international conferences; secretariat; intergovernmental agencies and private associations; programs and activities; documentation and studies; aid and development; culture and information; science and technology; education and youth exchange.

**Program Record Number:** FAI IMD 121

### **GATT Affairs**

**Description:** Information on the coordination and management of Canada's participation in the General Agreement on Tariffs and Trade.

**Topics:** Policy; charter; relations; membership; secretariat; financing; public relations; documents; sessions; council meetings; multilateral trade negotiations.

**Program Record Number:** FAI EAD 065

### **Geographic Branches**

**Description:** Information on the formulation and conduct of Canadian policy; the supervision of operations of the diplomatic and consular posts and Canada's relations with the country in which it is situated; bilateral matters involving diplomatic missions of other countries in Canada and policy advice; information on the activities of the

branches and involvement with the public and private sectors in Canada's trade relations; the drawing up and negotiating of bilateral and multilateral agreements, acts, regulations, quotas and standards pertaining to Canada's foreign trade.

**Topics:** Policy and background; trends in global, international and national affairs; Canadian external policy and relations; foreign policy trends; internal policy trends; guidance to heads of post; anti-terrorism; ethnic conflict; health and other domestic priorities; reports and statistics; tour reports; treaties and agreements; organizations and conferences; laws; national historical outlines; nationalism; visits; peace and non-aggression; intervention and non-intervention; dependent territories; colonialism and imperialism; interim control and surveillance; independence and recognition; political asylum; government, constitution, head of state, cabinet, legislature, judiciary, administration; national symbols; church-state relations; political parties, non-party groups and elections; provincial and municipal affairs; communism; internal security forces; political prisoners; subversion and espionage; demonstrations and riots; coups d'état; disputes and incidents; economic relations; development assistance; bilateral environmental and energy questions; transboundary issues such as pollution; trade relations; exchange of information for the trade sector; international trade relations; associations; clubs and societies; commodities; companies; conferences, seminars, conventions and meetings; committees; co-operation and liaison; economic and political conditions; environmental conditions; international organizations; taxation and taxes; tourism; transportation; acts, legislation and regulations, food and drug regulations; marketing and labeling acts; standards; agreements; customs and tariffs; financing and aid; Canadian banks and financial institutions; contracts and tenders; development banks; foreign banks and financial institutions; government financing and aid; investment; international trade; assistance to exporters and importers; Canadian capabilities and competitiveness; Canadian trade; industrial co-operation; joint ventures; international economic boycotts; programs; good governance, democracy, and respect for human rights; selective identification systems for multilateral project opportunities; overseas projects; third country operations; fairs and exhibitions; missions and visitors.

**Program Record Number:** FAI DMA 025



### **Industrial Trade Policy**

**Description:** Information on trade relations and policies as they relate to domestic industrial policy.

**Topics:** Transportation equipment including the importation of automobiles, capital and consumer goods, pharmaceutical and health care products.

**Program Record Number:** FAI EAD 075

### **Internal Communications**

**Description:** Media analysis and communications materials on foreign affairs activities, issues and events, including incoming and out-going visits.

**Topics:** Commissioned polling; media analysis on foreign and domestic events including delegations (e.g., Team Canada); media monitoring; communications plans; Qs and As; briefing books.

**Program Record Number:** FAI BCD 075

### **International Economic Relations**

**Description:** Information on international and domestic studies; trends and conditions; discussions on international economic policy and relations; macro-economic questions; OECD and APEC activities and Economic Summits; East-West multilateral economic issues, including the EBRD and Economic Commission for Europe.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; budgets; regional economic groupings.

**Program Record Number:** EAC EED 080

### **International Environmental Affairs Bureau**

**Description:** Canadian, regional and global issues, policy and activities in the field of the environment, conservation, non-nuclear energy and sustainable development and the environmental assessment of departmental policies and projects and the "greening" of departmental operations.

**Topics:** Policies and plans; reports and statistics; regional and global issues, agreements, organizations and conferences, including the UN Environmental Program, UN Commission on Sustainable Development, WTO Committee on Trade and Environment, OECD, North American Commission on Environmental Cooperation; International Energy Agency, UN Framework Convention on Climate Change/ Kyoto Protocol and the Convention on Biological Diversity with exception of commercial fisheries and nuclear energy.

**Program Record Number:** FAI AED 095

### **International Finance**

**Description:** Information on international finance and monetary matters, the activities of public and private agencies in the field of banking, investment and insurance.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; taxation; public debt; currency; foreign exchange and payments; capital movements; banking; gold; insurance; domestic investment; foreign investment; control of assets; companies and co-operatives; industrial property; multinational enterprises.

**Program Record Number:** FAI EAD 085

### **Investment - General**

**Description:** General information pertaining to investment development, promotion and services activities; general and specific projects committees, conferences, meetings, communications and plans relating to responsibilities carried on by the Investment Bureau.

**Topics:** Market Guides; Parinvest; Infoplace Data Base; success stories; Domestic and International Development Plans; Federal, Provincial, Municipal and International government programs Brokerage/Matchmaking; Alternative Canadian Buyers; Information and Training Sessions; Information Dissemination/Data Base; Contact List/Networking; Seminars, Conventions; Policies and Procedures; Canadian Edge; Canadian apparel.

**Program Record Number:** FAI EAD 180

### **Investment - Marketing**

**Description:** General correspondence and information regarding communications and advertising at the foreign and domestic levels.

**Topics:** Communications strategies for Canada and abroad; general and sector targeted advertisements in business magazines, trade journals, periodicals and newspapers; publicity through exhibits, fairs and displays; Investment Canada and investment development program publications; speeches; contracts; external publications; international advertising campaign.

**Access:** Files arranged by name of publication and subject.

**Program Record Number:** FAI EAD 195

### **Investment Co-operation and Liaison - Federal**

**Description:** Consultations with other federal departments and agencies on matters pertaining to investment and the development and promotion of investment.

**Topics:** Procedures for consultation with other

federal departments; federal industrial and economic policies and initiatives; departmental responses concerning the Investment Canada Act; views on federal initiatives that may affect investment or Investment Canada activities.

**Access:** Files arranged by department or agency.

**Program Record Number:** FAI EAD 165

#### **Investment Co-operation and Liaison - General**

**Description:** Co-operation and liaison activities of an administrative nature with outside organizations, municipalities, corporations, companies, agencies and universities.

**Topics:** Proceedings; minutes; annual reports; financial statements and membership fees relating to associations, clubs, federations, etc.

**Access:** Files arranged by organization.

**Program Record Number:** FAI EAD 174

#### **Investment Co-operation and Liaison - Provincial**

**Description:** Consultation with the provinces and territories on matters pertaining to the development and promotion of investment.

**Topics:** Procedures for consultation with the provinces and territories; provincial and territorial laws and regulations affecting investment; provincial and territorial industrial and economic policies and objectives.

**Access:** Files arranged by province or territory.

**Program Record Number:** FAI EAD 170

#### **Investment Promotion - Programs**

**Description:** Information on promotional program activities throughout the world.

**Topics:** General; promotional plans and activities in markets in Europe, U.S.A., Pacific Rim, Latin America, Middle East, as well as other areas of the world; specific projects in geographic intelligence service; financing and alliances; promoting investment in Canada's telecommunications, microelectronics and medical devices industries; R&D tax credits and interprovincial competition for investment.

**Access:** Files arranged by geographic area or project.

**Program Record Number:** FAI TBD 200

#### **Investment Promotion - Prospecting**

**Description:** Information and correspondence pertaining to the promotion of investment in Canadian high- technology sectors.

**Topics:** General; associations and companies in the area of industrial materials; studies and specific projects in advanced industrial materials; biotechnology industry; environmental technology; information technology; Canadian laser based opto-electronics industry; geomatics; First Choice

software, Italian plastics, Japanese subsidiaries in Canada; ocean industry; food packaging.

**Access:** Files arranged by association or company name, specific issue, material or project.

**Program Record Number:** FAI TBD 202

#### **Investment Promotion - Specific Events**

**Description:** Correspondence relating to the general administration of events; requests for participation by the Minister and officials of Investment Canada in conferences, seminars, trade fairs and visits of foreign delegates in which investment in Canada is a topic, including speeches by the Minister and senior Investment Canada officials.

**Topics:** General; calendars and special events; inventory of speakers; speaking engagements; missions and incoming visits in Canada, U.S.A., Europe, Pacific Rim; Middle East, as well as other areas of the world.

**Access:** Files arranged by geographic area and subject.

**Program Record Number:** FAI TBD 205

#### **Investor Services - Inquiries**

**Description:** Correspondence, work in progress, memoranda, etc., relating to specific inquiries from Canadian, European, American, Pacific Rim and Middle Eastern companies and companies in the rest of the world.

**Topics:** Canadian investment opportunities; how to do business in Canada; financial incentive programs; access to capital or transfers of technology.

**Access:** Files arranged primarily by name of company and location or by topic.

**Program Record Number:** FAI TBD 185

#### **Multilateral Trade Negotiations**

**Description:** Information on multilateral trade agreements, principally the negotiation of a round of multilateral trade negotiations under the GATT.

**Topics:** GATT; investment issues; procurement; provincial involvement; reports and statistics; multilateral trade negotiations; conferences; issues; markets; regions; sectors.

**Program Record Number:** FAI EAD 002

#### **Non-Proliferation, Arms Control and Disarmament (NACD)**

**Description:** Information on various issues involved in formulating advice and recommendations on NACD policy and positions.

**Topics:** Policy and positions; reports and statistics; public opinion in Canada, public opinion abroad; treaties and agreements; international organizations and conferences; legislation and regulations; measures; plans and proposals; compliance and verification, including aerial

inspection; cut-off, use and transfer of fissionable material; reduction and elimination of nuclear weapons and nuclear weapons carriers; reduction and elimination of chemical and biological weapons (CBW); reduction of conventional armaments and armed forces; security aspects of outer space; reduction of the risk of war; denuclearized and other weapons-free zones; comprehensive test ban treaty and suspension of nuclear tests; nuclear war; legal aspects; and economic and social consequences; small arms and light weapons; NACD-related confidence building and transparency measures; regional NACD issues; NACD-related UN operations; missile non-proliferation; arms-related international export control regimes; NACD consultations with civil society on nuclear and related issues; international security research and outreach program.

**Program Record Number:** FAI IDD 125

### **Oceans and Environmental Law**

**Description:** Information on law of the sea, maritime and fisheries related legal questions and environmental law issues.

**Topics:** Territorial and high seas matters; fisheries agreements; maritime boundaries; marine scientific research; the Law of the Sea; continental shelf; international seabed area; Arctic sovereignty; marine environmental protection and preservation; offshore oil and hydrocarbon exploration; international environmental law (climate change, biodiversity, emission controls, transboundary transportation of hazardous waste, long range transboundary air pollution, desertification, transboundary environmental impact assessment); the Commission on Environmental Cooperation under the NAAEC; the International Joint Commission concerning Canada/US boundary waters issues.

**Program Record Number:** FAI JCD 010

### **Office of Protocol**

**Description:** Information on the accreditation and appointment of foreign and Commonwealth representatives to Canada and of Canadian representatives to other countries; diplomatic privileges and immunities; and the planning, organization and management of state and official visits to Canada.

**Topics:** Diplomatic representation; policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; status and precedence; accreditation; privileges and immunities; privileges and immunities abroad; Canadian representatives abroad - heads of post, consular officers, special envoys; foreign

representatives in Canada - heads of post, political advisors, military advisors, commercial advisors, special advisors; consular officers and trade commissioners; provincial representatives abroad; diplomatic and consular lists; ceremonials; honours and awards; hospitality and security of foreign diplomatic missions in Canada.

**Program Record Number:** FAI XDX 005

### **Passport Office**

**Description:** Information on the issuance of passports to Canadian citizens in Canada and abroad, and on the issuance of Certificates of Identity and United Nations Convention Refugee Travel Documents, as appropriate, to non-Canadians who reside in Canada or are in Canada under the authorization of a Minister's permit.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; surveys and studies; information activities; public relations; legal affairs and services; citizenship; visa and travel; fee collection and control; passport accountability, application, entitlement, and issuance; urgent passports; certificates of identity; control lists; lost or stolen passports; refusal of service and revocations; fraudulent activities; security precautions.

**Program Record Number:** FAI JWD 215

### **Policy Planning**

**Description:** Information on policy studies, research, analysis, updates and advice on a broad range of political, economic, and trade-related subjects; information on coordination of Canada's participation in the G8 Summit process, including the G8 Foreign Ministers' process.

**Topics:** Policy and background; political evaluations, briefings for new Ministers and Deputy Ministers, speeches for the Minister and Deputy Minister, analyses, papers, research, trade and investment statistics, economic analysis, policy papers, all documents pertaining to the re-examination of foreign policy. Canadian Centre for Foreign Policy Development: Holdings include public advice and policy options on a wide range of foreign policy issues. Funded project reports and commissioned work address policy development needs in law, security, human rights, peace-building, conflict prevention, United Nations, disarmament, new technologies, summits, diplomacy, civil society and other issues. Holdings also include an annual report on project funding, reports from the annual National Forum on Canada's International Relations, the annual Academic Roundtable Report and annual Graduate Student collected papers. The Centre's

Library holds more than 300 reports from policy development roundtables and academic or NGO studies of Canada's foreign policy. Reports are distributed to Ministers and officials, the Department Library, the National Library, and through Depository Services to public and university libraries. Report summaries are distributed through an electronic newsletter ([www.cfp-pec.gc.ca](http://www.cfp-pec.gc.ca)) and selected full reports are available electronically in both official languages from the web site (summer 2001). The National Forum reports are: Peacebuilding 1996, Asia-Pacific 1997, Northern Foreign Policy 1998, The UN and Human Security 1999, War Affected Children 2000, Africa 2001. Three reports on "The New Diplomacy", in partnership with Canadian academics and the UN University, look at changing relationships among states, NGO's and others. A series on New Directions in US Foreign Policy looks at Canada-US relations, and a post-September 11 series examines new challenges for International Relations and foreign policy. The Ottawa Group of international experts reports regularly on small arms issues. More information is available at the web site.

**Program Record Number:** FAI CPD 006

#### **Regional Security and Peacekeeping**

**Description:** Information on policy advice, coordination, and activities related to peace support operations, management of bilateral and multilateral peace and security consultations, defence relations (not including Europe, the USA and the Middle East), regional security, and expert deployment.

**Topics:** Military, police and civilian deployment to peace support operations; Peacekeeping; Peacekeeping training; regional security forums and organizations; Ship visits; Deployment of Canadian forces abroad; Liaison with foreign forces; Visiting forces; Bilateral relations with other countries on peace & security and defence issues; Disaster assistance involving DND; Canadian Force Attaches; Arms sales and regional security; Military assistance; Military and diplomatic aircraft clearance; Disarmament, demobilization and reintegration of ex-combatants; Security sector reform; UN sanctions; UN DPKO; Peacekeeping reform; General security of information agreements.

**Program Record Number:** FAI IDD 175

#### **Resources Policy**

**Description:** Information pertaining to the financial, materiel and human resources management of the department.

**Program Record Number:** FAI SMD 105

#### **Security**

**Description:** Information on matters concerning the physical security of documents, communications and buildings, and the safety of personnel both at posts abroad and in Ottawa; personnel security; and issues affecting national security.

**Topics:** Policy and coordination; reports and information; foreign intelligence activities in Canada; vulnerability; exchange and release of information; threat assessments; communications services; documents and information; violations; inspections; education and training; responsibility of staff; guard protection; personnel debriefing; physical, technical, equipment, security clearances.

**Program Record Number:** FAI ISD 140

#### **Trade and Economic Analysis**

**Description:** Information on Canada's trade flows in goods, services and investment; studies on trade policy and impact of trade initiatives.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; regional economic groupings.

**Program Record Number:** FAI EED 095

#### **Trade Communications**

**Description:** Information and outreach programs and activities to promote exports and to inform the export business community about policies and programs for the development of overseas markets.

**Topics:** Export information; regional and provincial/territorial programs; conferences, conventions and meetings; federal programs, evaluations, associations, organizations and institutes; promotion; media relations; outreach programs; private companies; government departments and agencies; communications; advertising; trade fairs.

**Program Record Number:** FAI BCD 176

#### **Trade Law**

**Description:** Information on legal aspects of Canada's international trade agreements and related matters.

**Topics:** International trade agreements including the GATT, WTO, Canada-US FTA, NAFTA and Canada-Chile FTA. International dispute settlement under Chapters 11, 14 19 and 20 of the NAFTA and Chapters 18 and 19 of the FTA, the GATT and WTO. Legal issues related to trade in goods and services (e.g. transportation, communications, energy, professional services), agriculture, environment, trade sanctions, boycotts, private commercial arbitration,

investment, international organizations.

**Program Record Number:** FAI JLT 015

### Trade Policy

**Description:** Information on international trade, customs tariffs, international trade conferences, policies and restrictions, trade agreements, export controls, strategic controls and embargoes, trade in services.

**Topics:** Policy and plans; reports and statistics; treaties and agreements; organizations and conferences; legislation and regulations; visits; tariff negotiations; customs; low-cost imports; surplus disposal; subsidies; anti-dumping; countervail; safeguards; quantitative restrictions; state trading; commercial relations; quarantine regulations; strategic trade controls.

**Program Record Number:** FAI EAD 060

### Trade Policy and Liaison

**Description:** Information on policies and special issues related to international trade that are generally non-recurring, as well as details of liaison activities with provincial governments, other government departments, and private sector associations.

**Topics:** Reports on federal/provincial consultations; briefing books for consultations, ministerial and non-ministerial federal-provincial meetings.

**Program Record Number:** FAI EBD 030

### United Nations Affairs

**Description:** Information on the organization, structure, administration, relations and sessions of the United Nations; including the Security Council, the General Assembly, and other UN organizations such as the United Nations Educational, Scientific and Cultural Organization (UNESCO), the International Labour Organization (ILO), Food and Agriculture Organization (FAO), World Health Organization (WHO), International Civil Aviation Organization (ICAO), International Telecommunications Union (ITU), Universal Postal Union (UPU), and International Maritime Organization (IMO); information on Canada's participation in United Nations General Assembly and Security Council activities.

**Topics:** Policy and programs - UN Charter, relations with countries, specialized agencies, inter-governmental organizations, non-governmental organizations, membership; Secretariat - finance and administration, privileges and immunities, public relations, documentation, personnel; General Assembly - rules and procedures, sessions, agenda, delegations, credentials, general committee, main committees, Canadian statements; Security Council - rules of

procedure, delegations, membership, reports to General Assembly; Economic and Social Council - sessions; United Nations system, including above agencies; policy; plans; programs; international, national and non-governmental organizations and conferences; reports and statistics; international coordination; payment of Canada's assessed contributions to the UN, including for peacekeeping operations.

**Program Record Number:** FAI IMD 115

### United Nations, Human Rights and Economic Law

**Description:** Information on UN legal issues, human rights, humanitarian law, economic law issues, privileges and immunities, questions of public and private international law and treaties.

**Topics:** Judicial and legal services; authentication and notarial acts; diplomatic and consular privileges and immunities; consular questions; sovereign immunity; recognition of states; passport matters; security matters; transfer of offenders; narcotics control; trans-border police operations; extradition; international aspects of child napping; private international law; maintenance orders; letters rogatory; depositions; service of documents; treaty negotiation, interpretation, registers, procedures and publication; human rights; refugees; minorities; humanitarian law; war crimes; genocide; torture; international criminal law; money laundering and corruption; transnational organized crime; international migration; terrorism; disarmament; International Law Commission; international criminal tribunals.

**Program Record Number:** FAI JCD 020

### Personal Information Banks

#### Access and Privacy Data Bank

**Description:** This bank contains the access request forms sent by individuals requesting access to departmental records and personal information, the replies to such requests, and information related to their processing. It is used for processing access requests only, and to report on the number of requests received annually.

**Class of Individuals:** Canadian citizens, landed immigrants, or others authorized by Order-in-Council who have made requests under the Access to Information Act or the Privacy Act.

**Purpose:** The purpose of this bank is to store information related to requests made under the Access to Information Act and the Privacy Act.

**Retention and Disposal Standards:** Records are retained for two years after completion of the request

**RDA Number:** 75/023

**TBS Registration:** 000348  
**Bank Number:** FAI PPU 035

### **Consular Affairs - Assistance to Canadians**

**Description:** This bank contains information on Canadians resident in foreign countries registered with a Canadian mission, and Canadians who sought or received assistance from a Canadian mission who have been arrested or detained abroad, or if Consular Affairs advice or assistance has been sought to obtain visas, permits, etc. of foreign countries. The information is in the form of applications, registration cards, memoranda, correspondence, reports and telegrams. The information is received from the individuals themselves, Canadian and foreign agencies, and international organizations. This bank of information is stored electronically within a computerized client/server system called COSMOS. COSMOS consists of a series of Windows-based programs linked through a common centralized database located at DFAIT headquarters. COSMOS provides consular staff with a comprehensive set of tools designed exclusively to facilitate the management of consular cases (including citizenship and immigration cases), the issuance of passports and the registration of Canadians abroad. Information entered into the database from either HQ or the missions is instantly available to all staff, thereby promoting increased service delivery levels to our clients.

**Class of Individuals:** Canadians resident in foreign countries who have registered with the nearest Canadian mission; Canadians who have sought or received assistance from Canadian missions; Canadians who have been arrested or detained abroad.

**Purpose:** The information contained in this bank is used to provide consular assistance to Canadian nationals abroad. It may be used, where necessary, to contact, protect, rescue or evacuate registered Canadians and their family members.

**Consistent Uses:** This information may also be used for the development of consular policy and the preparation of advice to missions abroad.

**Retention and Disposal Standards:** Information on registration of nationals and completed individual consular cases may be retained on departmental files (electronic and paper) up to five years. Ultimately, the electronically-held data will be archived and stored indefinitely. Other information may be retained up to 15 years then transferred to the National Archives of Canada

**RDA Number:** 75/023-5

**TBS Registration:** 000343  
**Bank Number:** FAI PPU 010

### **Consular Affairs - Citizenship**

**Description:** This bank includes topics such as registration of births abroad, dual nationality, loss, retention, acquisition, or extension of citizenship, marriage, divorce, and other family-related aspects of citizenship; organizations and conferences; liaison with other government departments and agencies in Canada. Information is in the form of memoranda, reports, correspondence with the public and other government agencies, as well as application forms.

**Class of Individuals:** Individuals who have dealt, outside Canada, with the Canadian citizenship authorities through consular services or the Department of Foreign Affairs and International Trade, or have claimed Canadian citizenship for themselves or their dependants.

**Purpose:** The purpose of this bank is to retain administrative correspondence relating to the assistance rendered by consular officials to Canadians and to those claiming Canadian citizenship on their own behalf or on behalf of a dependant.

**Retention and Disposal Standards:** Information may be retained on departmental files up to 10 years, then transferred to the National Archives of Canada

**RDA Number:** 94/018

**TBS Registration:** 000342  
**Bank Number:** FAI PPU 005

### **Investment - Mailing Lists**

**Description:** Information in this bank is provided by individuals interested in receiving publications and investment information created by the former Investment Canada. This information includes individual's name, identification number, address and telephone number, language preference and, where applicable, company name and position held.

**Class of Individuals:** Business community, individual investors and students interested in receiving publications and investment information created by the former Investment Canada, other government departments and agencies and the private sector.

**Purpose:** The information in this bank is used to provide individuals with copies of publications requested which originate with the former Investment Canada.

**Consistent Uses:** This bank is also used for bulk mailing of publications and information created by Investment Canada.

**Retention and Disposal Standards:** Records

are retained for six months or when superseded or converted to machine operations

**RDA Number:** 75/023-4

**Related PR#:** FAI DEV 195

**TBS Registration:** 002768

**Bank Number:** FAI PPU 030

#### **Investment: Cases**

**Description:** Information in this bank is provided by investors when inquiring about possible services to be provided. This information includes the name, address, telephone number, description of the investor's business activities, description of the project to be undertaken, province of interest, size of proposed investment and the name and telephone number of any intermediaries.

**Class of Individuals:** Business community and individual investors seeking to invest in Canada either by acquiring a Canadian business or by establishing a new business.

**Purpose:** The information in this bank is used to identify and assist investors with similar investment intentions.

**Consistent Uses:** This bank is also used for compiling statistics for use in the preparation of reports to the Minister and to assist in the preparation annual reports.

**Retention and Disposal Standards:** Records are retained for fifteen years from last action and are then destroyed.

**RDA Number:** 75/023-4

**Related PR#:** FAI DEV 185

**TBS Registration:** 002766

**Bank Number:** FAI PPU 005

#### **Investment: Contracts**

**Description:** This bank contains information such as the request for service by the manager, the original contractual document and reasons for not authorizing payment if the terms of the contract have not been met. Active files were normally kept within the Financial and Administrative Services Section of Investment Canada, but further information may be contained in files of the Bureau.

**Class of Individuals:** Individuals from the private sector under contract for services to the Bureau.

**Purpose:** The purpose of this bank is to keep a record of all personal and professional service contracts entered into by the Bureau. The bank is used to administer contracting services, to make payments when required, to collect receivables, and to perform accounting and administrative functions. The information is also used to facilitate the selection of consultants and to carry out auditing and evaluation.

**Retention and Disposal Standards:** Records are retained for six fiscal years and are then

destroyed.

**RDA Number:** 75/023-4

**TBS Registration:** 002556

**Bank Number:** FAI PPU 010

#### **Passport Office - Certificates of Identity and Refugee Travel Documents**

**Description:** This bank contains applications for certificates of identity and refugee travel documents. Individual records include the application form and an alphabetical and numerical index to facilitate file retrieval; demographic and personal characteristics which describe the applicant, his children and custody arrangements; nationality status, and immigration status in Canada. Information contained in the bank is in the form of application forms and correspondence with other federal departments and agencies. Persons seeking access to this information bank should provide their date of birth.

**Class of Individuals:** Individuals who are residents of Canada but not Canadian citizens and who cannot obtain passports from their countries of origin.

**Purpose:** The purpose of this bank is to store completed applications and supporting documentation submitted by non-Canadians who reside in Canada or are in Canada under the authorization of a Minister's permit and who cannot obtain passports from their countries of origin. This information is used to establish the identity of applicants and to confirm their immediate and ongoing entitlement to a travel document in accordance with Canadian law and international conventions.

**Consistent Uses:** Consistent use may include disclosure to law enforcement, investigative, security intelligence, citizenship, vital statistics, consular, and immigration authorities for verification purposes or to determine whether or not a Certificate of Identity or Refugee Travel Document has been misused or fraud has occurred or a false statement has been made in the obtaining or uttering or use of a Certificate of Identity or Refugee Travel Document. It may also include disclosure to these entities, the government of a province, the government of a foreign state, an international organization of states, or an international organization established by the governments of states, or any institution of any such government or organization, for the purpose of administering or enforcing any law or carrying out a lawful investigation, including an investigation related to national security.

**Retention and Disposal Standards:** Hard copy records are retained until they are microfilmed. Microfilm records are retained indefinitely

**RDA Number:** 75/023

**TBS Registration:** 000346

**Bank Number:** FAI PPU 025

#### **Passport Office - System Lookout Files**

**Description:** This bank contains information on persons whose requests for passport services might be subject to refusal or limitation. The information is in the form of a master control list, reports, memoranda, correspondence, and application forms. Information is supplied by individuals applying for passport or travel document services or assistance abroad, by federal, provincial, and municipal agencies, by law enforcement and security agencies, by Canadian missions abroad, and by foreign governments and international organizations.

**Class of Individuals:** Individuals who have misused or who have committed fraud or made a false statement in obtaining or uttering or using a Canadian passport or Certificate of Identity or Refugee Travel Document; or who have lost possession or control of more than one passport (through loss, theft, inaccessibility, etc) within a brief time span; or whose legal right to apply on behalf of a child under 16 has not been established or is questionable; or who stand charged with the commission of an indictable offence; or who are serving a term of imprisonment or similarly forbidden to leave Canada; or who permit another person to use the passport; or who are indebted to the Crown for expenses related to repatriation to Canada or for other consular financial assistance provided abroad at their request by the Government of Canada; or who are wanted by law enforcement agencies.

**Purpose:** The purpose of this bank is to assist passport-issuing authorities in determining whether or not the entitlement of an individual passport applicant or holder is subject to review or curtailment or other administrative or legal action.

**Consistent Uses:** Consistent use may include disclosure to law enforcement, investigative, citizenship, vital statistics, consular, and immigration authorities for verification purposes or to determine whether or not a passport has been misused or fraud has occurred or a false statement has been made in the obtaining or uttering or use of a Passport or a Certificate of Identity or a Refugee Travel Document. It may also include disclosure to these entities, the government of a province, the government of a foreign state, an international organization of states, or an international organization established by the governments of states, or any institution of any such government or organization (for

instance, provincial social assistance and vital statistics or health agencies or international law enforcement agencies), for the purpose of administering or enforcing any law or carrying out a lawful investigation.

**Retention and Disposal Standards:** Records are retained in the bank up to 10 years, except for cases of special interest which are retained for an indefinite period

**RDA Number:** 75/023

**TBS Registration:** 000345

**Bank Number:** FAI PPU 020

#### **Passport Office - Regular and Official Travel Passports**

**Description:** This bank contains applications for regular and official travel passports. Individual records include the application form and an alphabetical and numerical index to facilitate file retrieval. The data content of each record includes demographic information and the personal characteristics of family and children, custody provisions concerning children, and address and employment information concerning the applicant's guarantor. Most of the information is supplied by the applicant. Some is received from local, provincial or federal authorities. Persons seeking access to this information bank should provide their date of birth.

**Class of Individuals:** Canadian citizens and government employees who have applied for regular or official travel passports.

**Purpose:** The purpose of this bank is to store completed applications and supporting documentation for regular passports submitted by Canadian citizens on their own behalf and on behalf of their dependents and for official travel passports submitted by government employees traveling on official business. This information is used to establish the identity and citizenship of applicants, to confirm their immediate and ongoing entitlement to a passport, and to enable the Consular Bureau to provide assistance where necessary to traveling Canadians.

**Consistent Uses:** Consistent use may include disclosure to law enforcement, investigative, security intelligence, citizenship, vital statistics, consular, and immigration authorities for verification purposes or to determine whether or not a passport has been misused or fraud has occurred or a false statement has been made in the obtaining or uttering or use of a passport. It may also include disclosure to these entities, the government of a province, the government of a foreign state, an international organization of states, or an international organization established by the governments of states, or any institution of



any such government or organization (for instance, provincial social assistance and vital statistics or health agencies or international law enforcement agencies), for the purpose of administering or enforcing any law or carrying out a lawful investigation, including an investigation related to national security.

**Retention and Disposal Standards:** Hard copy records are retained in the bank for 5 years, microfilm records and electronic files are retained indefinitely

**RDA Number:** 75/023.

**TBS Registration:** 000347

**Bank Number:** FAI PPU 030

### Personal Information Disclosed to Federal Investigative Bodies

**Description:** In accordance with subsection 8(4) of the Privacy Act, this bank has been established to retain copies of requests received from authorized federal investigative bodies for personal information pursuant to paragraph 8(2)(e) of the Privacy Act, for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Class of Individuals:** Individuals about whom requests for personal information have been received pursuant to paragraph 8(2)(e) of the Privacy Act from federal investigative bodies for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Purpose:** The purpose of this bank is to permit the Privacy Commissioner to review disclosures made under paragraph 8(2)(e) of the Privacy Act to federal investigative bodies for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Retention and Disposal Standards:** Records are retained for two years after completion of the request

**RDA Number:** 75/023

**TBS Registration:** 000349

**Bank Number:** FAI PPU 040

### Spousal Employment Job Bank

**Description:** This bank contains information submitted by spouses (of employees of the Department of Foreign Affairs and International Trade) who are actively seeking employment in the NCR. Information is in the form of a résumé and/or a completed Spousal Employment Profile form. Information includes name, address, telephone number, citizenship, education, employment experience, and career interests.

**Class of Individuals:** Spouses of Foreign Affairs employees who seek employment at home.

**Purpose:** The purpose of the bank is to assist spouses of departmental employees in finding

work in the Ottawa/Hull area. When job opportunities arise, a search is made to find suitably qualified candidates.

**Consistent Uses:** This bank is used to provide names, telephone numbers, and employment experience to employers, on request.

**Retention and Disposal Standards:** Records are retained unless updated or deleted by the person concerned. Records are also deleted in the event of divorce, separation, retirement or departure of the employee from the Department when known.

**RDA Number:** 75/023.

**TBS Registration:** 002506

**Bank Number:** FAI PPU 045

## Classes of Personal Information

In the course of conducting the programs and activities of the Department of Foreign Affairs and International Trade, categories of personal information may be accumulated which are not contained in the specific information banks described in this entry. This information exists in a fragmented form throughout the subject files of the Department, which are described in the program records. This information is stored as part of the general subject files, where records are not normally retrieved by name of individual or other personal identifier. This form of information is retrievable only if specifics are provided concerning the subject matter, related departmental activity, the date on which the information was received by the Department and to whom it was addressed. The personal information contained in these subject files is retained for the same period of time as the related subject information and is disposed of according to the appropriate subject record schedules. The classes of personal information listed below describe particular program records which, because of their nature, are more likely to contain personal information.

### International Security Bureau

Personal information may be held by the bureau concerning individuals who have been involved in defence activities with NATO, NORAD, or other international defence or arms control organizations, or in conferences or visits.

Personal information might include personal biographies, tours of defence colleges, military travel and training, and nominations of Canadians for positions in international defence organizations concerned with defence or arms control. Persons seeking access should specify the subject of the enquiry, country and/or city, contacts, incident, conference/organization, visits, dates and

circumstances which may have led to the establishment of a record.

### **Legal Affairs Bureau and Trade Law Bureau**

The Legal Affairs Bureau handles a number of important functions including multilateral legal issues, peace and security law, humanitarian law, economic law, trade agreements, treaties, international law, dispute settlement, individual legal cases, and implementation of environmental legislation and Access to Information and Privacy legislation. Personal information held by the Bureau may include enquiries from Canadian residents seeking advice about international and foreign legal systems or concerning authentication of documents, and claims by Canadian citizens for possible support by the Canadian government. Other personal information would relate to specific issues handled by the Bureau. Persons seeking access must specify the subject of the enquiry, as well as country and/or city, legal firm, contacts, incidents, dates and circumstances which may have led to the development of a record.

### **Office of Protocol**

The Office of Protocol is responsible for the administration of protocol-related programs of the Department and for the development of policies and procedures which direct the administration of protocol programs. Personal information in this class would pertain to individuals who have participated in, or have been the subject of protocol-related activities within programs such as accreditation and ceremonies, privileges and immunities, government hospitality, protection of foreign representatives and foreign decorations, and awards and honours to Canadians. Persons seeking access should specify the subject of the enquiry, country and/or city, contacts, incident, visits, conference, delegation, dates and circumstances which may have led to the establishment of a record.

### **Manuals**

- Appraisals and Promotion Systems
- Export and Import Permits Act Handbook
- Finex Manual
- Foreign Service Directives
- Handbook of Import and Export Commodity Codes
- Locally Engaged Staff
- Manager's Guide
- Manual of Consular Instructions

- Manual of Correspondence and Communications
- Manual of Financial Management
- Manual of management of goods
- Manual of Materiel Management Property Management Manual
- Manual of Protocol
- Manual of Security Instructions
- Notices to Exporters
- Notices to Importers
- Passport Office Administrative Procedures Manual
- Passport Office Operating Procedures Manual
- Passport Office Policy and Examining Practices Manual
- Records Classification Guide
- Security Classification Guide
- Summary of Canada's Bilateral Restraint Arrangements - Textiles and Clothing

## **Additional Information**

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Historical Section

Corporate Communications Division  
C-2, Pearson Building

Tel.: (613) 992-7629

Internet: [bcph@dfait-maeci.gc.ca](mailto:bcph@dfait-maeci.gc.ca)

Hours 09:00 to 17:00 weekdays

Information Centre  
Main Floor, Pearson Building

Tel.: (613) 944-4000

Toll-Free: 1-800-267-8376

Internet: [infotech@dfait-maeci.gc.ca](mailto:infotech@dfait-maeci.gc.ca)

Hours 09:00 to 16:30 weekdays

Media Relations Office  
A-2, Pearson Building

Tel.: (613) 995-1874

Hours 08:30 to 18:00 weekdays

## **Reading Room**

An area in the Access to Information and Privacy Protection Division (see address and telephone number in Introduction) has been designated, under the Access to Information Act, as a public reading room.

# Department of Justice Canada

## Chapter 57

### General Information

#### Background

The Department of Justice was created by the Department of Justice Act, passed at the first session of Parliament of the Dominion of Canada, and assented to on May 22, 1868. This Act outlined the responsibilities of the Minister of Justice and the Attorney General of Canada and, with a few exceptions, these responsibilities have remained substantially unchanged.

#### Responsibilities

The work of the Department consists of litigation, provision of legal advice and opinions to the federal government of Canada on a very wide range of matters, and the drafting of legislation, contracts and other legal documents. The Department is also concerned with the legal aspects of developing government policy, and prepares or reviews recommendations for reform of the law. To carry out these responsibilities, the Department uses federal statutes and regulations. In addition, contributions are made to provide financial assistance to organizations conducting studies and legal research and to other law-related programs. A limited number of grants is made in connection with legal education, and cost-sharing agreements are entered into with provincial and territorial governments in connection with young offenders, compensation of victims of violent crimes, legal aid in criminal cases for adults and young offenders, native court worker programs, and access to legal information. The Department also undertakes research in support of policy initiatives and other departmental responsibilities. The role of the Federal Department of Justice does not include the provision of legal services or advice to members of the public.

#### Legislation

- Canadian Human Rights Act
- Commercial Arbitration Act
- Contraventions Act
- Crown Liability and Proceedings Act
- Courts Administration Service Act
- Department of Justice Act
- Divorce Act
- Escheats Act
- Extradition Act
- Family Orders and Agreements Enforcement Assistance Act
- Federal Courts Act
- Federal Law-and Civil Law of the Province of Quebec Act (part 1 of the Federal Law-Civil Law Harmonization Act)
- Foreign Enlistment Act
- Foreign Extraterritorial Measures Act
- Identification of Criminals Act
- International Sale of Goods Contracts Convention
- Interpretation Act
- Judges Act
- Law Commission of Canada Act
- Legislative Instruments Re-enactment Act
- Marriage (Prohibited Degrees) Act
- Mutual Legal Assistance in Criminal Matters Act
- Official Languages Act
- Postal Services Interruption Relief Act
- Revised Statutes of Canada, 1985 Act
- Security Offences Act
- Security of Information Act
- State Immunity Act
- Statute Revision Act
- Statutory Instruments Act
- Supreme Court Act
- Tax Court of Canada Act
- Annulment of Marriages (Ontario) Act
- Canada Evidence Act
- Canada Prize Act
- Canada-United Kingdom Civil and Commercial Judgments Convention Act
- Canadian Bill of Rights

- United Nations Foreign Arbitral Awards Convention Act
- Youth Criminal Justice Act
- The Minister shares responsibility
- to Parliament for the following Acts:
  - Access to Information Act
  - Bills of Lading Act
  - Criminal Code
  - Garnishment, Attachment and Pension Diversion Act
  - Modernization of Benefits and Obligations Act
  - Privacy Act

## Organization

### Aboriginal Affairs Portfolio

The Aboriginal Affairs Portfolio carries out a wide range of responsibilities in relation to Aboriginal matters. It has strategic and operational responsibility with regard to the conduct of Aboriginal litigation, including that associated with Indian Residential Schools. The Portfolio advises the government on legal issues that are not the responsibility of any one program department (such as Metis and non-status Indians); it develops positions on legal policy issues such as management of the Crown's fiduciary obligations; it provides legal advice to Indian and Northern Affairs Canada and to the Office of Indian Residential Schools Resolution of Canada; and it leads and manages the Government's Aboriginal Justice Initiative.

### Business and Regulatory Law Portfolio

The Business and Regulatory Law Portfolio comprises the office of the Assistant Deputy Minister and twenty four Legal Services Units. These Units provide on-site legal services to government clients whose mandates have in common a strong regulatory or business law component. These units include: Agriculture and Agri-Food Canada, Atlantic Canada Opportunities Agency, Canada Economic Development for Quebec Regions, Canadian Environmental Assessment Agency, Canadian Food Inspection Agency, Canadian Heritage, Canadian International Development Agency, Canadian Nuclear Safety Commission, Canadian Space Agency, Communications Security Establishment, Competition Law Division, Environment Canada, Fisheries and Oceans, Foreign Affairs (JUS), Health Canada, Industry Canada, National Defence, National Research Council, Natural

Resources Canada, Parks Canada Agency, Public Works and Government Services Canada, Social Development Canada/ Human Resources and Skills Development Canada, Transport Canada and Veterans Affairs Canada.

The Portfolio also includes three specialized units: the Intellectual Property Secretariat, the Maritime Law Secretariat, and the Property Law Section.

### Central Agencies Portfolio

The Central Agencies Portfolio is composed of the Office of the Assistant Deputy Minister and seven Legal Services Units. These units provide on-site legal services to central agencies in their respective areas of activity. They manage critical horizontal legal, policy and operational issues related to the central agency functions of government. The Portfolio provides legal advice related to: financial institutions, public service employment law, labour law, official languages, GOL/Electronic Commerce tax law, Crown law, financial law, money laundering, terrorism, machinery of government, and the federal budget. The legal services units include: Finance Canada, Finance – Tax Counsel Division, Financial Consumer Agency of Canada, Financial Transactions and Reports Analyst Centre of Canada, Office of the Superintendent of Financial Institutions, Public Service Commission, and Treasury Board.

### Citizenship and Immigration Portfolio

The Citizenship and Immigration Portfolio includes the Office of the Assistant Deputy Attorney General, the Legal Services Unit of Citizenship and Immigration Canada, the Crimes against Humanity and War Crimes Section, and the Immigration Litigation Sections of the regional offices. The Portfolio provides legal services and advice in matters relating to the Immigration and Refugee Protection Act, the Citizenship Act, and their associated regulations and other relevant legislation. It also provides legal services and advice on operational matters and on policy, program, and legislative development. In addition, it coordinates the delivery of litigation services by the regional offices and the Civil Litigation Section, and helps ensure that uniform legal positions are taken across the country in matters pertaining to the Portfolio's mandate. The Crimes against Humanity and War Crimes Section is mandated to receive allegations and to investigate, assess, and litigate cases against individuals suspected of involvement in war crimes, crimes against humanity, and other reprehensible acts committed during time of conflict, regardless of when or where the crimes occurred.

## **Civil Litigation Branch**

The Civil Litigation Branch comprises the office of the Assistant Deputy Attorney General (Civil Litigation), Litigation Practice Management, Supreme Court of Canada and Charter Coordination, Coordination of Class Action and Mass Litigation, National Coordination of Legal Risk Management, Dispute Resolution and Business Management Centre. The role of the Civil Litigation Branch is essentially fourfold: (1) to coordinate the conduct of litigation and, where necessary, to coordinate legal, policy, and client perspectives and ensure the resolution of disagreements; (2) to ensure consistency in the positions taken in litigation and that the quality of representation meets the highest professional standards; (3) to assist in the refining of legal issues and positions as they arise, whether in the regions or in Ottawa, so that they are properly framed for consideration by the Litigation Committee, the Deputy Minister or the Attorney General; and (4) to provide guidance and direction in major, high profile litigation.

The Civil Litigation Section, housed in Ottawa's Headquarters, along with its counterparts in the Regional Offices, is responsible for the conduct of all litigation by or against the federal government, except tax and criminal litigation.

Civil litigation services are provided to virtually every federal department and agency. Counsel appear before all levels of provincial and federal courts and before many federal administrative tribunals and international panels, such as North America Free Trade Agreement (NAFTA) panels. Civil litigation counsel also advise on potentially litigious issues and are involved in finding policy and legislative solutions to problems that have come, or may come, before the courts. Their expertise covers many areas of law, including administrative, constitutional, debtor-creditor, employment, immigration, and native law, to name a few.

## **Communications Branch**

The Communications Branch sets communications objectives for the Department through needs analyses and reviews of both the government's agenda and the Department's agenda. It develops and implements strategic communications plans for the Department's legislative initiatives, major court cases, and programs and policies. It advises the Minister and the Department on communications issues, and provides coordination and functional advice for satellite communications offices such as those with the Family, Children and Youth Section, the

Youth Justice Policy Section, and the Victims of Crime program. It assists sectors in planning and implementing their communications projects, and provides expert services and advice in such areas as promotion and publishing. The Branch is responsible for providing the Minister's Office with communications services, for liaison with the news media, for external communications such as news releases, speeches, exhibits and departmental advertising campaigns, and for liaison with other federal and provincial departments. The Branch also manages the departmental web site, as well as a public inquiry center [telephone: (613) 957-4222; fax: (613) 954-0811].

## **Corporate Services**

The Corporate Services plays a functional leadership and operational role in relation to financial management and accountability, information management and technology, human resources management, access to information and privacy, and internal audit. Corporate Services activities focus on many government-wide priority initiatives including, for example, HR Modernization; Results for Canadians; strengthening comptrollership and oversight; reviewing government expenditures and modernizing management practices; assuring accountability, transparency, good governance and enhanced role for Parliament; and building public capacity.

## **Deputy Minister's Group**

The Deputy Minister Group provides essential support services to the Deputy Minister, ensuring appropriate advice, communication and liaison on a range of issues between the Deputy Minister and the Minister's Office, the Department and other government departments and agencies. The Deputy Minister shares his responsibilities with three Associate Deputy Ministers, who together make up the Deputy Minister Team (DM Team). The DM Team has responsibility for the overall performance and management of the Department, handling issues that require attention at the Deputy Minister level. In addition to their collective responsibility for the overall management of the Department, the Associate Deputy Ministers have specific responsibility for Constitutional Affairs, Dispute Resolution Services, Francophonie, Justice in Official Languages and Bijuralism, and the Official Languages Law Group.

## **Federal Prosecution Service**

The Federal Prosecution Service (FPS) is a national entity within the Department of Justice. It

encompasses all staff counsel and prosecution agents engaged in the delivery of prosecution and criminal law advisory services at the federal level across Canada. Headed by the Assistant Deputy Attorney General (Criminal Law), the FPS consists of a central component (FPS-Headquarters), a regional component (prosecutors working in the Department's twelve regional offices and sub-offices and the legal agents working under their supervision), and the prosecutors with the Competition and Consumer Law Division within the Departmental Legal Services Unit at Industry Canada.

Headquarters is comprised of the Criminal Law Section, which includes the Federal Prosecution Service / Ottawa-Gatineau and the International Assistance Group; the e-prosecutions Secretariat; the Executive Services Office; the Renewal Secretariat; and the Strategic Prosecution Policy Section, which includes the Agent Affairs Unit and the National Security Group.

### **Integration**

The mandate of the Integration initiative is to coordinate the implementation of the Department's Strategic Plan 2001-2005 and to facilitate teamwork in all sectors and regions with a view to achieving corporate objectives. It encourages partnerships and strategic linkages among the Sectors and Regions and with our external partners. The initiative provides the focus for teamwork, better information sharing and communication about best practices, innovation and continuous learning throughout the Department. In addition, the initiative promotes the integration of conflict management into the life and work of the Department.

### **International Cooperation Group**

The International Cooperation Group is responsible for the development and implementation of cooperation programs in support of foreign countries' efforts to reform their system of justice.

### **Legislative Services Branch**

The Legislative Services Branch is responsible for the drafting of all government bills and motions to amend; the drafting and examination of regulations; the Program for Harmonization of Federal Legislation with the Civil Law of Quebec; the official publishing of Acts of Parliament following Royal Assent and related reference tables; and the updating and consolidation of federal statutes and regulations. The Chief Legislative Counsel acts for the Minister of Justice in reviewing government bills and regulations for

compliance with the Canadian Charter of Rights and Freedoms and the Canadian Bill of Rights. The Branch also ensures the recognition of the bilingual nature of the Canadian legal system in bills and regulations.

### **Policy Sector**

The Policy Sector plans, develops and implements justice policies dealing with both substantive and procedural criminal law, family law, youth justice and sentencing. In addition, the Sector provides policy, planning, and coordination capability within the Department. This includes the management of the Department's substantive policy agenda and the management of key relationships with the Department's policy partners in the federal government, the provinces and territories, and non-governmental organizations. The Sector is responsible for research and development, public legal education and information, and the coordination of the Department's consultation process. The Sector contributes to the development and maintenance of a fair and accessible justice system through the design, development, and implementation of federal/provincial/territorial contribution funding arrangements and grants and contribution programs. The Sector also provides a program evaluation capacity for the Department.

The principal components of the Policy Sector are: the Criminal Law Policy and Community Justice Branch, which includes the Criminal Law Policy Section, the Policy Centre for Victim Issues, the Sentencing Reform Team, and the Youth Justice Policy Group; the Family, Children, and Youth Section; the Policy Integration and Coordination Section, which includes the Evaluation Division, the Intergovernmental and External Relations Division, the Priorities and Strategic Planning Division, and the Research and Statistics Division, and the Programs Branch.

### **Public Law Sector**

The Public Law Sector is composed of the Office of the Chief Legal Counsel and eight advisory and policy sections. The Constitutional and Administrative Law Section provides legal advice and litigation support to the Government of Canada on all matters of constitutional law, administrative law and Crown law, including the interpretation of statutes and regulations. The Human Rights Law Section provides legal advisory services and litigation support to the Government of Canada on matters relating to the Canadian Charter of Rights and Freedoms, the Canadian Human Rights Act and the Canadian Bill of Rights; it also provides services in the area

of international human rights law. The Information Law and Privacy Section's primary role is to provide legal interpretation and advice and litigation support to the Government of Canada relating to the Access to Information and Privacy Acts. The Public International Law Section provides leadership and coordination in public international law matters and ensures the consistency of the Department's legal advice on international law. The Trade Law Bureau (JLT) provides legal advice to government departments on international trade and investment law, and represents Canada in litigation before international trade panels. The General Public Law Team provides policy advice and guidance to the Government of Canada on all public law related matters. The Judicial Affairs, Courts, and Tribunal Policy Unit fulfills both a specialized legal advisory role as well as a policy function on all matters relating to the Canadian judiciary and the courts and also provides policy advice in relation to structure and independence issues as they relate to administrative tribunals. Working closely with its provincial and territorial partners, the International Private Law Team deals with the development and implementation of international private law from a policy and an advisory perspective in four broad areas: international commercial law, judicial cooperation and enforcement of judgments, family law and child protection and protection of property.

### Regional Offices

Six regional offices report directly to the Deputy Minister: the Atlantic Regional Office, located in Halifax; the Quebec Regional Office, located in Montreal; the Ontario Regional Office, located in Toronto; the Prairie Region, with regional offices in Winnipeg, Saskatoon and Edmonton and a sub-office in Calgary; the British Columbia Regional Office, located in Vancouver; and the Northern Region, with regional offices in Yellowknife, Inuvik, Iqaluit and Whitehorse. The Regional Offices represent the client departments in civil and criminal matters, and provide a wide variety of legal services.

### Tax Law Services

The Tax Law Services Portfolio includes the Office of the Assistant Deputy Attorney General, the Legal Services Unit of the Canada Customs and Revenue Agency and Tax Litigation Sections in Ottawa and the Regional Offices. The Portfolio provides legal advice, litigation services and drafting services to the Canada Customs and Revenue Agency in respect of all fiscal matters including income tax, excise tax and GST,

employment insurance, customs and border services and international trade.

## Information Holdings

### Program Records

The Department of Justice files are maintained based on the subject content of the record or case name and/or details of the case using a central file classification system. Each Regional Office, Legal Services Unit, and Headquarters Section classifies records according to the subject matter or case name. Generally the records can be categorized into four main groups: Administrative, Legal Operational, Legal Policy and Program Development. As a rule information is retrieved by name, subject, statute or term. Requesters need only describe the record they wish to access. If the request pertains to a specific case, the location indicating where the case took place is also required.

#### Aboriginal Information Research

**Description:** The database contains privileged legal opinions produced within the Aboriginal Affairs Portfolio. The primary goal of this database is to enable counsel to access legal advice that has been given previously in order to ensure consistent legal advice and efficient use of resources.

**Topics:** Formal opinions, by memorandum of law or letter, correspondence requesting legal opinions, and memoranda and correspondence providing legal advice.

**Program Record Number:** JUS CVL 005

#### Administration – Communication Branch

**Description:** This class of documents contains news releases, summaries of departmental achievements, and other educational and information materials, speeches, briefing notes, and other relevant documents.

**Topics:** Various subject matter related to administrative, operational and policy issues.

**Program Record Number:** JUS COM 005

#### Asset Management (AMAX)

**Description:** To record and report on the owner and location of assets in headquarters.

**Topics:** The database records all assets in headquarters.

**Program Record Number:** JUS ADM 005

#### Caseview

**Description:** Caseview is an integrated case management, timekeeping, and document generation/retrieval system, which provides an



interface to case-specific data in the Department's national records management system (RIMS). The information is used for case tracking purposes, automated document creation, case inventory management, and reporting purposes (national statistics for senior management, responding to client queries, etc).

**Topics:** The database contains detailed information on cases (file number and name, events, dates, participants in cases, etc), contact information for participants (addresses, telephone numbers, etc), time spent by lawyers and legal staff on cases, documents created by lawyers using case data, etc.

**Program Record Number:** JUS CVL 010

### **Communities of Practice**

**Description:** The Communities of Practice database provides access to research relating to Aboriginal law. The primary goal is to provide a forum for sharing legal research which is efficient and easy to use.

**Topics:** The database is a collection of leading court decisions, legal opinions, discussion papers and pleadings organized by issue.

**Program Record Number:** JUS CVL 015

### **EForms**

**Description:** The database contains electronic forms used by the Department of Justice instead of hard copy originals. Information entered into a form is normally stored on the user private directory.

**Topics:** Finance, human resources, administration

**Program Record Number:** JUS ADM 010

### **FRIC**

**Description:** The data bank contains information on individuals who were condemned to pay a fine to the Federal Prosecution Service. The information is used by the Quebec Regional Office for fine collection tracking.

**Topics:** It contains the amount of the fine, fees and other charges that were imposed by the court and the amounts paid by the delinquents.

**Program Record Number:** JUS ADM 015

### **GASPARD**

**Description:** This database is to enable litigators and legal advisers to consult different documents (case law, facta, opinions, procedures, doctrine and others) quickly and efficiently when preparing pleadings or other legal documents.

**Topics:** Judicial decisions from the Federal Court and the Supreme Court of Canada, factums, opinions, and reference documents.

**Program Record Number:** JUS CVL 020

### **Grants and Contributions Information Management System (GCIMS)**

**Description:** This database contains information on projects submitted for financial assistance or funded under any of the multiple transfer payment programs administered by the Department of Justice Canada. Funds are available to individuals, Canadian or international non-profit organizations, provincial or territorial governments, regional or municipal governments, universities, bands and tribal councils for the development of short-term, non-recurrent initiatives. The information is used for reporting and accountability purposes for federal central agencies and the Canadian public.

**Topics:** The database contains project specific information including name and address of funding applicant, project description, time frames, financial data, etc.

**Program Record Number:** JUS PGM 001

### **Integrated Finance and Materiel System (IFMS)**

**Description:** To record and report on all financial and material transactions and provide an interface with the Receiver General.

**Topics:** This database records all financial and material management data for financial accounting, accounts receivable and payable, funds management, transfer payments, budgeting, procurement and crown agents.

**Program Record Number:** JUS CVL 025

### **Justice Electronic Forms (JEF)**

**Description:** JEF is an electronic billing and case management system used by Crown Agents. The information is used to help Crown Agents manage their cases and produce Case Assignment Reports and Statements of Accounts, which are used to bill to the Department of Justice for services rendered and recoverable expenses.

**Topics:** The database contains information on cases, time and expenses.

**Program Record Number:** JUS ADM 020

### **Legal Operational – Civil Proceedings**

**Description:** Information on an aggregate set of records pertaining to legal matters which come under the jurisdiction of the Department.

**Topics:** Legal opinions, requests to institute civil and legal proceedings, by or against the Crown or its agents or servants in a court of law or in any administrative board or tribunal; collection files; property and commercial documents, agreements of all kinds, waivers, licences and formal contracts and court documents, e.g. statements of claim, defense statements, reasons for order, motions, etc.

**Program Record Number:** JUS CVL 030

**Legal Operational – Legal Advice**

**Description:** Information providing legal advice to any department or agency of the Government of Canada.

**Topics:** Formal opinions, by memorandum of law or letter; guides relating to the provision of legal advice, correspondence requesting legal opinions, and memoranda and correspondence providing legal advice.

**Program Record Number:** JUS LGL 001

**Legal Operational – Legislation**

**Description:** Records pertaining to instructions for drafts of legislation.

**Topics:** Background papers and treatises; memoranda to Cabinet; drafts of all Bills presented to Parliament; regulations, orders, proclamations and commissions.

**Program Record Number:** JUS LGS 001

**Legal Operational – Property**

**Description:** Information relating to the acquisition of real property by purchase or expropriation, and the disposition of real property.

**Topics:** Various agreements, leases, deeds, licences, title abstracts, letters patent, and related correspondence and memoranda.

**Program Record Number:** JUS PRP 001

**Legal Policy**

**Description:** Information on legal policy and policy development.

**Topics:** Memoranda of law and facts, briefing notes, memoranda to Cabinet, consultation documents with non-governmental organizations, provinces, other countries and special interest groups, consultants' reports and studies, research material, communication strategies, and supporting correspondence.

**Program Record Number:** JUS POL 001

**Litigation Support**

**Description:** Litigation support databases contain document collections relevant to specific litigation cases and document collections relevant to anticipated litigation. Support to in-house litigation teams in the tracking, analysis and preparation of documents for case research and discovery.

**Topics:** The databases contain information about the documents (date, author, type, subject), images, text and annotations.

**Program Record Number:** JUS CVL 035

**LOPORS**

**Description:** The database is used as a research tool by departmental lawyers and paralegals in the preparation of court cases and legal briefs, saving time on legal research, avoiding duplication of

efforts and ensuring consistency of legal views on important issues.

**Topics:** The database contains legal opinions and other material of precedential value.

**Program Record Number:** JUS ADM 025

**NewsDesk**

**Description:** Provides access to up-to-date information regarding relevant news.

**Topics:** This database contains electronic clippings from several newspapers.

**Program Record Number:** JUS ADM 030

**PeopleSoft**

**Description:** This Treasury Board endorsed human resources management system consolidates all the functions related to managing department of Justice employees and positions into a single enterprise-wide environment. To maintain human resources information for the purpose of central agency human resources reporting, in addition to the provision of human resources to Department of Justice managers to effectively manage their human resources.

**Topics:** This web-enabled commercial Enterprise Report Planning (ERP) product is flexible and is modeled to reflect the Government of Canada's unique operations, policies and best practices in the following key domains: Compensation, Employment Equity, Labour Relations, Leave Self Service, Manage Priorities, Official Languages, Position Management, Recruitment, Training and Development, Workforce Administration.

**Program Record Number:** JUS ADM 035

**Program Development**

**Description:** Information related to grants and contributions.

**Topics:** Public legal education initiatives, legal aid, agreements with the provinces, programs for aboriginal peoples, program for law students, young offenders.

**Program Record Number:** JUS PGM 005

**RIMS**

**Description:** This database is the tracking and retrieval system for official departmental records.

**Topics:** The database contains information on official Department of Justice records including the file number, file subject, date of creation, number and types of folders, charge out and locations of folders, and archival information.

**Program Record Number:** JUS ADM 040

**Salary Management System (SMS)**

**Description:** This salary forecasting system allows management to forecast salary expenditure based on detailed information of employee records.

**Topics:** forecast salary expenditure

**Program Record Number:** JUS ADM 045

### Time Keeping System (TKS)

**Description:** The information is used for reporting purposes and cost recovery for services rendered to client departments.

**Topics:** The database contains billable and non-billable time against projects, cases and files for lawyers, paralegals and legal staff deployed across several legal service units.

**Program Record Number:** JUS ADM 050

### Travel Expert System (TES)

**Description:** To assist in the preparation and processing of travel requests and claims. (The system is not widely used).

**Topics:** This database contains travel requests and claims.

**Program Record Number:** JUS ADM 055

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Administration

Administration and Management Services

Audits

Budgets

Buildings and Properties

Business Continuity Planning (BCP)

Classification of Positions

Employment and Staffing

Equipment and Supplies

Executive Correspondence Management Systems

Finance

Furniture and Furnishings

Hospitality

Human Resources

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Occupational Health, Safety and Welfare

Office Appliances

Official Languages

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Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Vehicles

## Personal Information Banks

### Allan Memorial Institute Depatterned Persons Assistance Plan

**Description:** This bank contains information on individuals who have made application for an ex-gratia payment of \$100,000 and who were former patients of Dr. Ewen Cameron at the Allan Memorial Institute and underwent a treatment termed 'depatterning'. The Plan was established by Order in Council (P.C. 1992-2302, 16 November 1992) and terminated on January 31, 1994. This bank contains application forms identifying the individual information, release forms authorizing the release of medical records, medical records to the extent required to substantiate the depatterning treatment and other administrative documentation.

**Class of Individuals:** Individuals who have made applications for payment under the criteria set out in the Order-in-Council.

**Purpose:** The information was used in the administrative and operation activities required to carry out the Government of Canada's responsibilities under the Order in Council.

**Consistent Uses:** No consistent use.

**Retention and Disposal Standards:** Records are retained for a period of 21 years after which they are destroyed or transferred to National Archives as historical records.

**RDA Number:** 95/030

**Related PR#:** JUS CVL 010

**TBS Registration:** 003497

**Bank Number:** JUS PPU 135

### Central Registry of Divorce Proceedings

**Description:** This bank contains information obtained from the Registration of Divorce Proceeding Forms received from the various divorce registries in respect of the petitioner and the respondent, and includes all relevant personal information.

**Class of Individuals:** Persons who filed for divorce in a Canadian court either in their individual capacity or through the lawyers who represent them.

**Purpose:** The information in this bank is maintained for the purpose of informing the District Registrar of the various court offices of the existence or otherwise of pending divorce applications, thus settling jurisdictional issues pursuant to section 3 of the Divorce Act, 1985. In addition, statistical information is provided to Statistics Canada for the purpose of compiling marriage and divorce statistics for publication.

**Consistent Uses:** This information may also be shared with other government departments and policing agencies in compliance with the provision of the Privacy Act.

**Retention and Disposal Standards:** Textual records are retained for five years after divorce registration and machine-readable records are maintained actively for the life of the Divorce Registry program or for the length of time the Divorce Registry is administered by the Department of Justice then destroyed or transferred to National Archives as historical records.

**RDA Number:** 95/030

**Related PR#:** JUS CVL 010

**TBS Registration:** 002274

**Bank Number:** JUS PPU 005

#### **Civil Proceedings and Legal Services**

**Description:** This bank contains information relating to civil legal proceedings and legal services provided to all federal departments and most government agencies and institutions. The information is used to provide legal advice and representation in a practice which ranges across many areas of law, including administrative, constitutional, debtor-creditor, employment, family, immigration, native and tax law, to name a few. The bank contains information relevant to the legal advice and representation provided, such as solicitor-client correspondence and related records. In legal proceedings of a civil nature in which the Crown in right of Canada, a Crown agency or a Crown servant is a party, including proceedings before administrative boards and tribunals, it includes documents such as written pleadings, briefs, appeal books, transcripts and statements of evidence, writs, opinions and related correspondence.

**Class of Individuals:** Canadians, persons present in Canada, and persons who have been involved in civil litigation involving the federal government.

**Purpose:** The material in this bank is retained to enable the Department to carry out its duties as legal advisor to the federal government.

**Consistent Uses:** The greater part of the information contained in the bank is obtained from

other federal institutions, as authorized by sub-section 8(2)(d) of the Privacy act. Considering the sources of personal information compiled, the social insurance number (SIN) is in some cases part of the information transmitted by institutions authorized to collect it, such as in some cases involving the Canada Customs and Revenue Agency.

**Retention and Disposal Standards:** Civil litigation files are retained for 21 years after cessation of the legal action after which they are destroyed or transferred to National Archives as historical records. Files pertaining to other legal matters are retained for 30 years after which they are destroyed or transferred to National Archives as historical records. Files containing material of precedential value, as identified by Justice counsel, are retained for 35 years after a legal opinion is rendered and the file is closed. These latter files are then micro-filmed, a copy of the microfilm kept permanently at the Department, and the files transferred to National Archives.

**RDA Number:** 95/030

**Related PR#:** JUS CVL 035

**TBS Registration:** 002704

**Bank Number:** JUS PPU 010

#### **Employment Departure Feedback Program (EDFP)**

**Description:** This database provides information voluntarily submitted by employees who are voluntarily leaving the Department of Justice or whose terms were not renewed, who chose to participate in the Employee Departure Feedback Program (EDFP). The personal information collected includes the employee's age, gender, first official language, and employment equity group (if applicable). The name of employee or other personal information to identify the individual is not collected.

**Class of Individuals:** Department of Justice employees who are voluntarily resigning from the department for career changes and retirement, for example, in addition to individuals whose duration of employment has been reached. It does not include individuals in casual employment, temporary agency personnel, contractors/consultants, and employees who have experienced an involuntary separation, such as rejection or layoff.

**Purpose:** This information provides the Department of Justice with a better understanding of the reasons why employees leave the department and will be used to help Justice make improvements to its workplace policies, programs and practices in an attempt to improve the workplace and ultimately improve the retention of

employees.

**Consistent Uses:** Information will be shared with the appropriate internal Human Resource programs. Information may be used to provide reports to management and it may also be used for research, planning, audit and evaluation purposes.

**Retention and Disposal Standards:** The information in the database will be retained for the length of time that the EDFP is administered by the Department of Justice, in order to analyse trends in employee departures that may be occurring over time. The questionnaires received in hard copy and entered into the database will be retained for five years and then destroyed.

**RDA Number:** 98/005

**Related PR#:** JUS PRN 921

**TBS Registration:** 005868

**Bank Number:** JUS PPU 170

### **Family Orders and Agreements Enforcement Assistance**

**Description:** This bank contains information on individuals who are in default of family support orders or agreements. It contains identifying information, as well as applications submitted by provincial authorities for tracing such persons, for the garnishment of federal payments owed to them, and for the denial or suspension of federally issued licences including passports. It also contains records of federal payments to such individuals that were diverted in compliance with a garnishee summons. The application form includes a request for the social insurance number (SIN) of the person being traced or garnished or whose licence is to be denied or suspended. Since the form is part of the regulations, this is a use authorized by statute and regulations.

**Class of Individuals:** Individuals who are in default of family support orders or agreements, or who are in violation of custody or access rights.

**Purpose:** The information in this bank is maintained to carry out the Government of Canada's responsibilities under the Family Orders and Agreements Enforcement Assistance Act.

The information is used to obtain addresses for use by authorized organizations, to comply with legal garnishee summonses served on the Crown and to deny or suspend federal licences.

**Consistent Uses:** This information is in accordance with the Act and regulations to provide for the search of designated federal data banks for matching and compiling data in the administration of the tracing, interception, and licence denial schemes. The designated banks are from the Social Development Canada [Canada Pension Plan Record of Earnings;

Canada Pension Plan Retirement and Survivors' Benefits (individuals); International Social Security-Domestic and Foreign Benefits-Computer Master Benefit Data; Record of Employment (Third Copy); Benefit and Overpayment Master File; Social Insurance Number Registration (HRDC/PPU/140, 146, 175, 385, 180 and 390)]; and from the Canada Customs and Revenue Agency [Taxation Taxpayer Master File; Information Returns (INFODEC) Data Bank (RC/PPU-040 and 150)], Transport Canada, and Bank of Canada.

**Retention and Disposal Standards:** Files retained for 21 years from the time the case is closed after which they are destroyed or transferred to the National Archives as historical records.

**RDA Number:** 95/030

**Related PR#:** JUS CVL 010

**TBS Registration:** 001870

**Bank Number:** JUS PPU 125

### **Garnishment Registry**

**Description:** This bank contains information on civil servants and contractors who are subject to garnishment of wages and other remuneration under the Garnishment, Attachment and Pension Diversion Act. It contains identifying information, financial information on the nature and amount of debts owed, the employment status of the civil servant or contractor, court orders, garnishment summonses and administrative documentation.

**Class of Individuals:** Civil servants and contractors who are subject to garnishment of wages and other remuneration's under the Garnishment, Attachment and Pension Diversion Act.

**Purpose:** To fulfill the Department of Justice's responsibility to administer the Garnishment, Attachment and Pension Diversion Act.

**Consistent Uses:** This personal information may be shared with all government departments who employ individuals or contractors subject to Garnishment, Attachment and Pension Diversion Act, Part 1.

**Retention and Disposal Standards:** The records are retained for 21 years from the time the case is closed then destroyed.

**RDA Number:** 95/030

**Related PR#:** JUS CVL 010

**TBS Registration:** 003914

**Bank Number:** JUS PPU 150

### **Grants and Contribution Program**

**Description:** This data bank contains information on projects submitted for financial assistance or funded under the terms and conditions of the Department of Justice Grants and Contributions

Fund. The Department of Justice administers a discretionary fund designed to promote and implement selected reforms in the justice system. Funds are available to individuals, Canadian or international non-profit organizations, provincial or territorial governments, regional or municipal governments, universities, bands and tribal councils for the development of short-term, non-recurrent initiatives. The bank contains project specific information including name and address of funding applicant, project description, time frames, financial data, etc.

**Class of Individuals:** Individuals and members of private and government organizations who have submitted requests for financial assistance.

**Purpose:** The information is used to evaluate the merits of the proposals and to monitor the progress of funded projects.

**Consistent Uses:** No consistent use.

**Retention and Disposal Standards:** The records are retained for 10 years after the project has been superseded, rejected or completed, then destroyed or transferred to the National Archives as historical records.

**RDA Number:** 95/030

**Related PR#:** JUS PGM 001

**TBS Registration:** 003918

**Bank Number:** JUS PPU 165

#### **Information Disclosed Pursuant to Paragraph 8(2)(m) of the Privacy Act**

**Description:** This bank contains copies of personal information disclosed pursuant to paragraph 8(2)(m) of the Privacy Act, as well as internal memoranda and correspondence with the Privacy Commissioner.

**Class of Individuals:** Individuals whose personal information have been disclosed because the public interest in disclosure clearly outweighed any invasion of privacy that could have resulted from the disclosure, or because the disclosure clearly benefited the individual to whom the information relates.

**Purpose:** The bank is used to record disclosures of personal information under paragraph 8(2)(m) of the Privacy Act and to report on the number of these requests.

**Consistent Uses:** This information is used to verify the conditions of disclosure under paragraph 8(2)(m) of the Privacy Act and to account to the Privacy Commissioner for the number of requests received annually under the Privacy Act.

**Retention and Disposal Standards:** Material is retained for two years after the last action on file, then destroyed.

**RDA Number:** 98/001

**Related PR#:** JUS ADM 040

**TBS Registration:** 003910

**Bank Number:** JUS PPU 145

#### **Information Disclosed to Investigative Bodies Pursuant to Paragraph 8(2)(e) of the Privacy Act**

**Description:** This bank contains copies of requests for disclosure of personal information submitted under paragraph 8(2)(e) of the Privacy Act by investigative bodies listed in Schedule II of the Privacy Regulations. This bank also contains the replies to such requests and particulars related to their processing.

**Class of Individuals:** Individuals about whom requests for personal information have been received from federal investigative bodies pursuant to paragraph 8(2)(e) of the Privacy Act.

**Purpose:** The bank is used to record disclosures of personal information to federal law enforcement bodies under paragraph 8(2)(e) of the Privacy Act and to report on the number of these requests.

**Consistent Uses:** The information will allow the Privacy Commissioner to audit the procedures utilized as set out in Treasury Board Guidelines 3.7.5. This information is used to verify the conditions of disclosure to federal law enforcement bodies under paragraph 8(2)(e) of the Privacy Act and to account to the Privacy Commissioner for the number of requests received annually under the Privacy Act.

**Retention and Disposal Standards:** Material is retained for two years after the last action on file, then destroyed.

**RDA Number:** 98/001

**Related PR#:** JUS ADM 040

**TBS Registration:** 003909

**Bank Number:** JUS PPU 140

#### **Information on Federally Appointed Judges**

**Description:** This bank contains information on federally appointed judges, including lists of current federally appointed judges, of current and future vacancies, of women judges, of judicial appointments, elevations and transfers, and press releases issued to announce appointments and elevations of judges. Some records include material compiled from public sources concerning potential candidates for appointment to the Supreme Court of Canada.

**Class of Individuals:** Federally appointed judges and potential candidates for appointment.

**Purpose:** The information is compiled to provide statistical information for court profiles; to assess the adequacy of judicial resources and predict vacancies; to monitor the representation of women in the federal judiciary; and to provide advice to the Minister.

**Consistent Uses:** The information in this bank is used to help the department provide legal and policy advice on matters relating to the judiciary and judicial institutions to the Commissioner for Federal Judicial Affairs, and to the Minister and Deputy Minister, as required.

**Retention and Disposal Standards:** The files are retained for 10 to 25 years, depending on subject, then transferred to National Archives as historical records.

**RDA Number:** 95/030

**Related PR#:** JUS POL 001

**TBS Registration:** 003916

**Bank Number:** JUS PPU 160

### Lawyers Appointed Agents of the Minister of Justice

**Description:** This bank contains information on lawyers appointed as agents of the Minister of Justice to assist client departments. The bank contains information on these lawyers.

**Class of Individuals:** Lawyers appointed as agents for the Minister of Justice.

**Purpose:** Records in this bank are used for internal accounting and to monitor status of cases.

**Consistent Uses:** No consistent use.

**Retention and Disposal Standards:** Records are retained for 10 years, then destroyed.

**RDA Number:** 95/030

**Related PR#:** JUS CVL 025

**TBS Registration:** 001655

**Bank Number:** JUS PPU 025

### Prosecution and Related Criminal Matters

**Description:** The information contained in this bank is used to provide legal advice and representation in criminal prosecutions and other criminal matters. The bank contains information on prosecutions for infractions of federal statutes within the jurisdiction of the Attorney General of Canada, extradition, rendition and mutual legal assistance cases. It includes briefs and written pleadings at both trial and appeal stages, subpoenas and other writs, transcripts of evidence and related memoranda of law, summaries, statements, affidavits, memoranda, legal opinions, reports and correspondence. The information is compiled from a number of sources both Canadian and foreign.

**Class of Individuals:** Canadians, persons present in Canada, and persons who have been the subject of prosecution, extradition, rendition, mutual assistance, or mercy of the Crown proceedings.

**Purpose:** The material in this bank is used to enforce or administer federal statutes (such as the Controlled Drugs and Substances Act, the Customs Act, the Excise Act) and for the

implementation of Canada's obligations under the Extradition Act and the Mutual Legal Assistance in Criminal Matters Act.

**Consistent Uses:** The greater part of the information contained in the bank is obtained from other federal institutions, provincial, municipal, and foreign governments, as authorized by sub-section 8(2)(d) of the Privacy act.

Considering the sources of personal information compiled, the social insurance number (SIN) is in some cases part of the information transmitted by institutions authorized to collect it.

**Retention and Disposal Standards:** Records are retained for 30 years then destroyed or transferred to Library and Archives Canada as historical records. Files containing material of precedential value are kept for 35 years after a legal opinion is rendered and the file is closed. These files are microfilmed with a copy kept permanently at the department, and the files transferred to National Archives as historical records.

**RDA Number:** 88/002

**Related PR#:** JUS CML 035

**TBS Registration:** 002705

**Bank Number:** JUS PPU 015

### Prosecution of Young Offenders

**Description:** This bank contains information on prosecutions under the Criminal Code only in the Yukon and Northwest Territories, and for infractions of other federal statutes throughout Canada. It includes briefs and pleadings at both trial and appeal stages, subpoenas and other writs, transcripts of evidence and related memoranda of law, summaries, statements, memoranda and correspondence.

**Class of Individuals:** Canadians and persons present in Canada who have been the subject of prosecution for an offence alleged to have been committed by a person between the ages of 12 and 18 at the time of the offence and dealt with in Youth Court.

**Purpose:** The material in this bank is used for the purpose of enforcing federal statutes.

**Consistent Uses:** The information is compiled from a number of sources, both Canadian and foreign.

**Retention and Disposal Standards:** Records are retained for varying periods depending on the circumstances then destroyed.

**RDA Number:** subsection 45(1), paragraphs (a) to (f) of the Young Offenders Act, RSC 1985, Chapter Y 1 for the criteria and limits.

**Related PR#:** JUS ADM 040

**TBS Registration:** 003004

**Bank Number:** JUS PPU 130

### Security Investigations

**Description:** This bank contains investigative reports and correspondence with respect to security incidents, allegations and threats against employees of the Department of Justice.

**Class of Individuals:** Current or former employees and members of the public.

**Purpose:** The information is compiled to carry out necessary investigations and may be shared with other federal Departmental Security Officers and/or police departments.

**Consistent Uses:** The information is used to inform the Deputy Minister of security incidents, allegations and threats against employees.

**Retention and Disposal Standards:** Records are retained for five years then destroyed.

**RDA Number:** 98/001

**Related PR#:** JUS ADM 035

**TBS Registration:** 003915

**Bank Number:** JUS PPU 155

### Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records and Information Management Systems

Electronic Network Monitoring Logs

Executive Correspondence Management Systems

Internal Disclosure of Wrongdoing in the Workplace

Security Video Surveillance & Temporary Visitor Access Control Logs & Building Passes

### Classes of Personal Information

#### Mailing List

This class of personal information contains the names and addresses of individuals who are on mailing lists to receive publications and other publicly available materials relating to departmental activities. The lists are used by all sectors of the Department and are updated on a continuing basis. The correspondence and request cards from individuals used for amending addresses and to add or delete individual names on mailing lists are retained until the mailing lists have been amended.

### Management Effectiveness Survey (Upward Feedback)

This class of information contains employees' attitudes regarding management effectiveness with regards to work supervision, communications, training and development. The results of questionnaires serve as a catalyst to improve management practices within work units. Information from the questionnaires without respondent identifier is retrievable by location (client department) except for units having five employees or less, in which case the information is available by groups of three units without respondent identifier.

### Subject Files and Routine Correspondence

Some departmental programs and activities result in the accumulation of personal information which is not contained in the personal information banks described above. This personal information is stored within subject files described as part of the Department's Information Holdings where records are not normally retrieved by the name of the individual or other personal identifier. This form of personal information consists of enquiries concerning particular justice matters, as well as requests for publications and reports. The information is normally retrievable only if specifics are provided concerning the subject matter. Retention of this form of personal information is controlled by the records schedules of the subject files in which the information is stored.

### Manuals

- Access to Information and Privacy Administrative Procedures Manual
- Contracting for Services Manual
- Dispute Resolution Reference Guide
- Procedures Manual - Central Registry of Divorce Proceedings
- Procedures Manual - Family Orders and Agreements Enforcement Assistance Unit
- Security Manual

### Additional Information

The headquarters of the Department is located in Ottawa where additional information about the Department of Justice may be obtained from:



Communications Branch  
4th Floor, East Memorial Building  
284 Wellington Street  
Ottawa ON K1A 0H8  
Tel.: (613) 957-4222  
[www.canada.justice.gc.ca](http://www.canada.justice.gc.ca)

## **Reading Room**

National Capital Region  
Room A-238, East Memorial Building  
284 Wellington Street  
Ottawa ON K1A 0H8

# Environment Canada

## Chapter 58

### General Information

#### Background

The Department of the Environment was established by the Government Reorganization Act, 1970-71-72, ch. 42 on June 10, 1971. The Department, also known as Environment Canada, has as its primary duties renewable resources management and the protection of Canada's air, water and land resources. The departmental organization has three principal services: Environmental Protection which concentrates on response strategies and behavioural changes to prevent pollution of air, land and water ecosystems; Environmental Conservation which focuses on sustainable development of environmental resources; and Meteorological Service of Canada which focuses on integrated monitoring, atmospheric sciences, and services to Canadians.

The information holdings of the department are largely integrated and are often the product of more than one region or service. For example, Environmental Protection Service will benefit from science done in Environmental Conservation Service and Meteorological Service of Canada.

#### Responsibilities

The primary objective of the Department of the Environment is to preserve and enhance the quality of the environment for the benefit of present and future generations of Canadians. Departmental programs are designed to promote the establishment or adoption of objectives and standards relating either to environmental quality or pollution control, to ensure the wise management and use of renewable resources and to provide Canadians with environmental information in the public interest. As well, the department ensures that new federal projects, programs and activities are assessed early in the planning process for potentially adverse effects on the environment.

#### Legislation

- Arctic Waters Pollution Prevention Act
- Canada Water Act
- Canada Wildlife Act

- Canadian Environmental Protection Act
- Canadian Environment Week Act
- Fisheries Act
- Game Export Act
- International River Improvements Act
- Lac Seul Conservation Act
- Lake of the Woods Control Board Act
- Migratory Birds Convention Act
- National Round Table on the Environment and the Economy Act
- National Wildlife Week Act
- Navigable Waters Protection Act
- Resources and Technical Surveys Act
- Species at Risk Act (SARA)
- Transportation of Dangerous Goods Act
- Weather Modification Information Act
- Wild Animal and Plant Protection and Regulation of International and Interprovincial Trade Act

#### Organization

##### Environmental Conservation Service

The goal of the Environmental Conservation Service (ECS) is to ensure that future generations of Canadians inherit a natural environment as rich as the one we enjoy today. Working with many partners - individual Canadians, other federal departments, environmental and community groups, Aboriginal peoples, industry, other levels of government, and international organizations, ECS focuses on: wildlife conservation; science for decision-making; and ecosystem conservation. ECS consists of four directorates and one Branch: Canadian Wildlife Service, Conservation Strategies Directorate, National Water Research Institute, Water policy and Coordination Directorate, and the Science Policy Branch.

##### Canadian Wildlife Service

The Canadian Wildlife Service manages domestic and international wildlife and other wildlife related matters that are the responsibility of the federal government, such as management of migratory birds, species at risk, and conserving nationally significant habitat.

### **Conservation Strategies Directorate**

The Conservation Strategies Directorate provides policy analysis and advice on a range of environmental areas. Staff work closely with other departments, jurisdictions, and non-governmental organizations to develop federal policies and strategies to conserve nature, focusing on nature priorities such as invasive species and managing horizontal programs such as pesticides science funding. The Biodiversity Convention Office, located within the directorate, ensures follow-up on commitments made under the United Nations Convention on Biological Diversity. The directorate also acts as the secretariat for the Office of the Assistant Deputy Minister, providing corporate and planning support for the Service.

### **National Water Research Institute**

The National Water Research Institute (NWRI) conducts research in every region of Canada, investigating environmental issues such as impacts of agriculture, industry, and urbanization on water quality; the effects of contaminants in lakes, rivers, groundwater, and sediments; the extent of atmospherically transported persistent organic pollutants and metals in aquatic ecosystems; and the potential impact of climate change on water quantity and quality. Its two main centres are located at the Canada Centre for Inland Waters on the shores of the Great Lakes in Burlington, Ontario and the other one at the National Hydrology Research Centre, in the heart of the Canadian Prairies in Saskatoon, Saskatchewan.

### **Water Policy and Coordination Directorate**

The Water Policy and Coordination Directorate (WPCD) works toward a vision of clean, safe, and secure water for Canadians and ecosystems by providing a focal point for the development of policy, integrated approaches, and governance related to the quality, quantity and sustainable use of water, nationally and on the global stage. WPCD works directly with the Canadian Council of Ministers of the Environment on a water action plan, that includes water quality guidelines and guidance on source-to-tap water management, and provides technical and secretariat support in federal engagement in Canada's regional water boards. In carrying out these activities, the Directorate provides leadership and support to EC Regions and Services, other federal departments, and our external partners in protecting water resources at home and internationally.

### **Science Policy Branch**

The Science Policy Branch provides science and technology policy services to the department. These support departmental management efforts to ensure the excellence of Environment Canada's Science and Technology and the effectiveness of the federal government's Science and Technology policies.

### **Environmental Protection Service (EPS)**

The focus of the EPS mandate is on the assessment and management of risk associated with domestic and international sources of pollution. The range of activity is broad: assessment of substances and practices that pose a risk to the environment, development and implementation of environmental protection measures including pollution prevention, regulations, permits and technology advancement; and ensuring compliance with federal pollution laws. These activities lead to improvements in environmental quality which helps to support the health and safety of Canadians and their economic security. A large part of the EPS mandate involves carrying out environmental protection obligations under the Canadian Environmental Protection Act and the pollution prevention provisions of the Fisheries Act. EPS consists of six directorates: Air Pollution Prevention Directorate, Environmental Technology Advancement Directorate, National Programs Directorate, Pollution Prevention Directorate, Risk Assessment Directorate and Strategic Priorities Directorate.

### **Air Pollution Prevention Directorate**

The Air Pollution Prevention Directorate manages, coordinates and supports pollution prevention activities for global air issues (ozone depletion), transboundary air issues (smog, acid rain, particulates, and hazardous air pollutants), pollution data (National Pollutant Release Inventory, greenhouse gases and Criteria Air Contaminants), transportation systems and related industries, and oil, gas and energy industries.

### **Environmental Technology Advancement Directorate**

The Environmental Technology Advancement Directorate (ETAD) helps protect the environment through Canadian science, technology and know-how. ETAD provides: specialized and applied Science and Technology (S&T) services to support environmental programs and regulatory functions; knowledge and assessment of technology options for Environmental Protection

(EP); and S&T expertise to build capacity in Canada in Environment Canada (EC) priority areas. ETAD partners, at home and abroad, with other parts of EC, other federal government departments and agencies, as well as provinces, territories, municipalities, Aboriginal governments, non-government organizations and environmental non-government organizations. The Directorate continuously strives to engage the public and private sectors in developing, transferring, and implementing technology based solutions for EP.

### **National Programs Directorate**

The National Programs Directorate develops policies and programs, and provides functional management to promote consistent national results for: environmental assessment, compliance assurance, enforcement, emergencies and security measures.

### **Pollution Prevention Directorate**

The focus of the Pollution Prevention Directorate is to protect Canadians and their environment from threats posed by pollution by: establishing EPS-wide priorities for action to reduce the release of toxic substances; designing and implementing programs to reduce releases from: key industrial sources; use of products and; management of wastes.

### **Risk Assessment Directorate**

The Risk Assessment Directorate (RAD) determines the issues and risks associated with toxics and other substances of concern. RAD works collaboratively with Health Canada to perform risk assessments of existing substances and both the risk assessments and management of new substances (including animate products of biotechnology) in support of the implementation of the Canadian Environmental Protection Act, 1999 (CEPA 1999).

### **Strategic Priorities Directorate**

The Strategic Priorities Directorate provides policy and business planning advice on matters of strategic interest to EPS, including the Canadian Environmental Protection Act, 1999 (its review and operations), biotechnology, the EPS regulatory agenda and smart regulations, infrastructure programming, environmental protection on Aboriginal lands and interjurisdictional matters, as well as direction to the longer term planning and program integrity of EPS and the Clean Environment Business Line.

### **Human Resources and Service Innovation**

The mandate of Human Resources and Service Innovation is to lead the department in

modernizing its human resources functions, to leverage the knowledge of its people more effectively, and to promote and develop innovative and transformative services internally and externally. This mandate is characterized by an integrated approach towards people, knowledge, outreach and service.

### **Administrative Services and Environmental Management**

Material and Contract Management; Real Property, Security, Accommodations, Records and Mail, Environmental Management Systems; Sustainable Development in Government Operations; Federal House in Order.

### **Client Service Transformation**

Leadership, policy and strategic direction in support of EC's commitment to provide more effective and efficient citizen-centred service through multi-channel service delivery.

Functional leadership and coordination in support of the Department's Internet presence at [www.ec.gc.ca](http://www.ec.gc.ca), a key delivery channel for providing environmental information to Canadians as well as its equivalent Intranet for EC employees.

### **Coordination of the Government Online (GOL) initiative**

Functional direction for departmental outreach initiatives particularly the EcoAction Community Funding Program, the Environmental Learning Framework, and the Youth Round Table on the Environment.

### **Corporate Management and Review**

Operational Planning and Program Integration, Corporate Accounting and Review, Audit and Evaluation.

### **Corporate Secretariat**

Ministerial Correspondence; Parliamentary Relations, Scheduling and Briefing; Access to Information and Privacy.

### **Financial Services**

Financial Planning and Resource Analysis; Financial Policy, Systems and Accounting; Service Financial Advisors.

### **Human Resources**

Classification and Staff Relations (Classification; Policies, Procedures and Guidelines); Human Resources Management (Human Resources Strategic Planning, Staffing and Work Force Adjustment, Continuous Learning, Official

Languages); HR Information Systems; Senior Management Development and Services (management of executive group); Human Resources Operations (NCR) (Service to all NCR Clients).

### **Information Management and Information Technology**

Information Management Practices, IT Business Strategies, Business Systems Support, IT Operations, and Library.

### **Knowledge Integration**

Canadian Information System on the Environment (CISE) Secretariat, Knowledge Coordination Office, National Indicators and Assessment Office, Ecological Monitoring and Assessment Office.

### **Meteorological Service of Canada**

The Meteorological Service of Canada (MSC) delivers, with the regions, the Atmospheric Environment Program (AEP). AEP's main activities include services related to monitoring and forecasting air quality, weather, climate and ice conditions, and to monitoring of water quantity and quality. AEP also carries out research in atmospheric sciences to improve our understanding of the atmosphere and to help Canadians understand how they affect the environment.

While the regions are responsible for observation and most service production and delivery, MSC is responsible for AEP's overall direction and standards, for specialized services like ice services, for support services – for example, super-computing, forecast guidance, and climatological and hydrological data archiving – and for most atmospheric research. MSC is also responsible for international affairs, including relations with the World Meteorological Organization, program plans, and performance measurement. It contributes, through its science and activities such as science assessment, to the development of the department's policies dealing with the atmospheric environment.

The Meteorological Service of Canada consists of five directorates that strive toward providing Canadians – as citizens, clients or decision-makers – with enough information to enable them to make wise decisions about their health, their safety and the environment.

### **Atmospheric and Climate Science**

Working closely with Canadian universities and international scientific organizations, this directorate researches the mechanisms that

control atmospheric and climate processes. This information is used to forecast atmospheric changes and help Canadians adapt to them, and to prevent or mitigate atmospheric catastrophes.

The Air Quality Research Branch does research on important atmospheric constituents such as ozone and greenhouse gases, and on atmospheric pollutants, such as acid rain, smog and toxics, and particulate matter, including their transport, deposition and transformation.

The Climate Research Branch does research on three main areas: producing numerical models to see how climate variations or the production of greenhouse gases will affect our climate in the future; monitoring and analyzing climates, principally in Canada and the Arctic; and examining climate processes, such as land-surface atmospheric exchanges, which are crucial in our ability to understand and simulate its evolution.

The Meteorological Research Branch does research to help the weather and environmental services program improve the accuracy and timeliness of its analyses and forecasts. It focuses on data assimilation and remote sensing, numerical weather prediction and physical atmospheric processes. It does so in close collaboration with the Canadian Meteorological Centre.

The Adaptation and Impacts Research Group looks at the socio-economic impacts of climate change and atmospheric pollution and develops adaptation strategies for Canadians.

The Science Assessment and Integration Branch produces full science assessments and other science-based documents pertaining to the atmospheric sciences relevant to selected air issues such as stratospheric ozone depletion, acid rain, ground-level ozone and particulate matter, and climate change. As well, the Branch uses the implications of the science assessments to mediate the development of appropriate policies, guidelines and objectives with a wide range of stakeholders, including provincial, federal and national policy-makers, industry representatives and environmental organizations.

### **Atmospheric Environment Prediction Directorate**

This Directorate provides leadership for all prediction activities of the Atmospheric Environment Program and is responsible for numerical weather prediction, national informatics and telecommunications. It includes four

branches: National Prediction Programs and three others that form the Canadian Meteorological Centre (CMC) -- Informatics, Operations and Development. The National Prediction Programs Branch leads and coordinates prediction programs among regional and central components. It also develops common approaches and promotes collaboration in the areas of production and dissemination systems and programs.

The Canadian Meteorological Centre provides forecast guidance to national and regional prediction centres. The Centre is responsible for the national telecommunications and data management systems and for the national meteorological and environmental predictions. CMC also co-ordinates national and international support to environmental emergencies. The Centre gathers, archives, analyses and disseminates data related to climate, stratospheric ozone, ultraviolet radiation and air quality. The CMC plays a primary role in technology transfer to regions. Some of the clients for this specialized information include Transport Canada (Nav Canada), National Defense, other government departments and agencies, several airlines, the media and many private companies. It is made up of three branches:

The Informatics Branch provides centralized computing and telecommunications services to meet the Atmospheric Environment Programs' objectives, support other departmental operations, and assist other approved users. It operates and maintains the supercomputer facility in Dorval and various telecommunications networks.

The Operations Branch is responsible for the operation of the weather, climate and air quality programs at the Canadian Meteorological Centre, and for the national and international Environmental Emergency Response service.

The Development Branch ensures that research findings are transferred into the operations of the Canadian Environmental Forecasting Systems, develops systems and products for the Canadian Environmental Forecasting Systems, and advises senior managers on forecasting techniques and related infrastructure.

### **Atmospheric Monitoring and Water Survey**

This directorate provides national leadership to ensure that monitoring systems and related information services are provided to all Canadians. The directorate's goal is to ensure that nationally coherent, cohesive and cost-effective monitoring systems and related information services meet national and

international standards and fulfill present and future user requirements.

The directorate is comprised of four branches and three divisions reporting to the Director General.

The National Weather and Climate Networks Branch provides functional leadership and coordination for the national weather and climate networks, strategic engineering and test and evaluation support.

The National Radar Project is responsible for the project management, coordination and implementation of the National Doppler Radar Plan (NRP).

The Water Survey Branch provides functional leadership and coordination for water survey networks and hydrology programs.

The National Archives and Data Management Branch is responsible for the national archives, the provision of national climate services and related data management activities. This branch provides functional leadership, advice and coordination to ensure effective data management, life cycle management support systems and data access.

The Data Standards and Quality Management Division establishes performance standards and operating procedures, and manages related documentation. In addition, the division is responsible for monitoring network performance in real-time and for central coordination of problem response actions.

The National Weather and Climate Operations Division contributes to the sustainable operation of Canada's atmospheric monitoring networks by providing engineering and technical support and procurement services.

### **Policy and Corporate Affairs**

This directorate provides an ongoing assessment of the health of the Weather and Environmental Prediction program. This broad focus is reflected in the directorate's activities. International Affairs and relations with the planning and policy functions of Environment Canada are at its core. It also handles strategic capital planning and the overall stewardship of national standards and performance assessment reporting.

Through the planning process, this directorate helps to implement the changes resulting from the Alternative Service Delivery initiative and is also responsible for the Weather and Environmental Prediction Table and overall strategic planning with the regions.

The Business Planning and Development Branch provides planning support for the Weather and Environmental Predictions (WEP) program, including measuring program results to ensure they meet performance targets. The group also provides a program evaluation service for all national and regional components of WEP, and is the corporate secretariat for the Atmospheric Environment Service and WEP.

The Policy and International Affairs Branch ensures the WEP program is represented at international fora such as the World Meteorological Organization (WMO) and acts as a liaison for policy initiatives inside and outside Environment Canada that relate to WEP. The branch also handles ministerial correspondence and provides support for the ADM's corporate role.

The Strategic Capital Planning Branch oversees the administration and management of major capital investments related to WEP.

The Climate Change Action Fund (CCAF) was established by the federal government to help Canada meet its commitments under the Kyoto Protocol to reduce greenhouse gas emissions. The CCAF is intended to support early actions to reduce greenhouse gas emissions and to increase understanding of the impact, the cost and the benefits of the Protocol's implementation and the various implementation options open to Canada. One component of the Fund addresses Science, Impacts and Adaptation and is co-managed by EC (MSC) and Natural Resources Canada. Climate processes research, climate modeling and monitoring, impact studies and adaptation research are all supported.

### **Services, Clients and Partners**

This directorate focuses on the needs of clients and partners and acts as a conduit for communications between clients, partners and the Atmospheric Environment Program (AEP). It also provides direct services to major clients through the Canadian Ice Service and the Interagency Service Branch.

The Meteorological Services Branch focuses on the relationship with public good clients and ensures their perspective is represented in policies.

The Interagency Services Branch manages the relationship with National Defence and NAV CANADA, and coordinates national delivery of services to them.

The Canadian Ice Service Branch delivers services to the Canadian Coast Guard concerning

the movement of ice processes. It does so in close collaboration with the Canadian Meteorological Centre.

The Specialized Clients and Partners Branch maintains contact with all cost-recovery clients and helps to develop and implement a cost recovery framework.

The Revenue Management Branch advises on major contract renewals and sets up a cost accounting system.

The Performance Monitoring and Standards Branch systematically monitors performance to ensure MSC is meeting its targets for quality service.

### **Policy & Communications**

Policy and Communications helps define, promote and support Ministerial and departmental priorities, policy directions and helps ensure that the department presents these priorities in a consistent, coherent and coordinated manner within the federal government as well as nationally and internationally. It does this through a combination of communications and consultations, by coordinating and guiding environmental policy within the department and across government, and by representing departmental interests at national and international levels. Policy and Communications also coordinates specific programs which support and encourage environmentally friendly actions, and which promote the department's and the private sector's environmental expertise in the global market. Policy and Communications consists of the six directorates: Climate Change Bureau, Communications Directorate, Economic and Regulatory Affairs Directorate, International Relations Directorate, Policy Research Directorate and Strategic Policy and Partnerships.

#### **Climate Change Bureau**

The Climate Change Bureau leads the development and implementation of plans and actions to meet Canada's commitments in the Kyoto Protocol. The Bureau manages public education and outreach activities such as the One-Tonne Challenge. The Bureau leads Canadian participation in international negotiations on climate change and the implementation of international aspects of the Kyoto Protocol.

#### **Communications Directorate**

The Communications Directorate and Regional Communications units at Environment Canada are responsible for providing strategic and operational

communications advice and services to the Minister, senior departmental officials, business lines and service areas. This includes product development, speech writing, media relations, event planning, issues management, media monitoring, and the coordination of public opinion research.

The DG of Communications reports to the ADM Policy and Communications Service, and is responsible for promoting and ensuring effective and coordinated communications across the department. The Communications Directorate works closely with the senior management team of EC and with the Privy Council Office and other departments to ensure that communications strategies, products and resources are developed and deployed to effectively support well-defined departmental and Government of Canada priorities.

The Department's core communications units coordinate the strategic planning and operational implementation functions of the department's national and regional communications services and horizontal communications in delivering on the Government of Canada's environmental agenda.

### **Economic and Regulatory Affairs Directorate (ERA)**

The Economic and Regulatory Affairs Directorate provides policy, economic analysis and regulatory advice and support for environmental issues, strategic policy development and implementation. ERA fosters policy innovation in the area of economy-environment integration (trade, budget, economic instruments); contributes to policy priorities (e.g., climate change, international agenda); promotes sound regulatory development (regulatory impact assessments, regulatory reform); develops and applies economic analytical tools in support of policy development (e.g., cost and benefit models, valuation).

### **International Relations Directorate**

The International Relations Directorate provides strategic coordination and policy advice to ensure coherence between domestic and international policy and programs and also among international activities of the department. It also supports Environment Canada's, and in some cases the government's, involvement with United Nations organizations (United Nations Environment Programme, Commission on Sustainable Development); the environment and sustainable development work of the OECD; the North American Commission on Environmental

Cooperation (CEC); and G-8. The Directorate also manages key bilateral relations with countries such as U.S., China, Russia, Mexico, Chile, Costa Rica and the European Union.

### **Policy Research Directorate**

The Policy Research Directorate supports Environment Canada's investment in environmental knowledge management by guiding the development of an overall framework and by creating knowledge products that help integrate and explain Canadian policies with respect to the environment (e.g., priority-setting tools such as trend and survey analyses and indicators).

### **Strategic Policy and Partnerships**

The Strategic Policy and Partnerships assists the Minister and the department in defining policy objectives and priorities and identifies opportunities to advance these interests within the federal government. It plays a strong role in federal, provincial and Aboriginal relations and in consultations with key stakeholders and organizations. It works to ensure coherence and consistency in departmental and federal policy, particularly in areas related to sustainable development.

## **Information Holdings**

### **Program Records**

#### **Environmental Conservation Service**

#### **Canadian Wildlife Service**

#### **Aboriginal Affairs**

**Description:** Information and correspondence on comprehensive land claim final agreements, self-government agreements, and aboriginal harvest surveys.

**Topics:** Council for Yukon First Nations Umbrella Final Agreement; Inuvialuit Final Agreement; Nunavut Land Claim Agreement; Gwich'in (NWT) Agreement; Sahtu Dene and Metis Agreement; Tlicho Agreement; Nisga'a Treaty; James Bay and Northern Quebec Agreement; Naskapi Agreement; Labrador Inuit Agreement; Nunavik Inuit Agreement-in-Principle; Labrador Innu (AIP negotiations); Deh Cho (AIP negotiations); Akaitcho (AIP negotiations) and Northwest Territory Metis Nation (AIP negotiations). Other topics are hunting rights (migratory birds), Acts and Regulations, Protocol Amending the Migratory Birds Convention, and (Aboriginal) harvest surveys.

**Access:** Files and documents are available at the



headquarters of the Canadian Wildlife Service, Environment Canada, Gatineau, PC.

**Program Record Number:** ENV ECS 115

### **Biodiversity**

**Description:** Information on biodiversity conservation and the sustainable use of biological resources.

**Topics:** Wide range of biodiversity related issues including Agenda 21, agriculture, biotechnology, business and economy, ecosystems, education, extinction of species, fisheries, forestry, wildlife and species at risk, genetic resources, parks and protected areas, populations and consumption, and sustainable development. Also, includes national and international biodiversity strategies.

**Access:** Files are arranged by subject and listed by author or subject. Available at the Biodiversity Convention Office (BCO).

**Program Record Number:** ENV ECS 125

### **Federal Policy on Wetland Conservation**

**Description:** Information on the roles and responsibilities of federal agencies, commitments of federal government and strategies to promote wetland conservation nationally and internationally; the development and assessment of federal projects affecting wetlands; analysis and advice to provincial and territorial jurisdictions with regard to wetland policy development; implementation of national and international wetland programs with partner agencies; interaction with North American Waterfowl Management Plan; provision of advice to the public, Parliament and Minister on the Policy and other initiatives affecting wetland conservation; development of selection criteria for Ramsar sites; publications and public and scientific events on wetland and habitat conservation.

**Topics:** Biodiversity conservation, Ministerial enquiries; Ramsar Convention on Wetlands of International Importance; policy advice to federal agencies.

**Program Record Number:** ENV ECS 500

### **Habitat Conservation**

**Description:** Information on habitat strategies, plans and data banks; research on habitat impacts from exotic species and land use changes; resource strategies and methodologies to monitor habitat changes/impacts; provision of land management services and advice to federal departments and agencies responsible for administering federal lands located in the provinces or specially dedicated lands located in the territories. National co-ordination of Ramsar Convention and delivery of Federal Policy on Wetland Conservation.

**Topics:** Habitat planning and management; resource management data; federal land data; public awareness; policy research and coordination; Canada Committee on Ecological Areas.

**Program Record Number:** ENV ECS 165

### **Migratory Bird Surveys**

**Description:** Information on the biometry of migratory birds.

**Topics:** Migratory game birds hunting permits; waterfowl harvest; breeding bird surveys; data processing.

**Program Record Number:** ENV ECS 105

### **National Wildlife Areas and Migratory Bird Sanctuaries**

**Description:** Public information and correspondence at all levels, concerning policies and regulations that govern land use activities on these designated nationally significant wildlife habitat areas. Activities also include development of selection criteria for both terrestrial and marine areas, consultation and development of management plans, progress reporting and scientific research and data collection.

**Topics:** Agreements; policy; regulations; rentals; leases.

**Program Record Number:** ENV ECS 135

### **North American Waterfowl Management Plan (NAWMP)**

**Description:** Information on the development, coordination and planning of the North American Waterfowl Management Plan (NAWMP).

**Topics:** Joint ventures; implementation agreements (multilateral, internal); NAWMP committees; long-term and annual work plans; funding arrangements; communications and general correspondence.

**Program Record Number:** ENV ECS 170

### **Ornithology**

**Description:** Information on all aspects of migratory birds and their conservation.

**Topics:** Migratory Birds Convention Act and Regulations; waterfowl hunting; North American Waterfowl Management Plan; bird banding programs; reports, studies and surveys; sanctuaries; migratory bird sanctuaries regulations; damage to crops by birds; Canadian Landbird Conservation Strategy; songbirds, seabirds, shorebirds; permits; research on species; use of birds; waterfowl kill statistics; waterfowl populations; breeding ground survey; breeding bird survey; brood production survey; waterfowl status reports. Correspondence with provinces, United States Fish and Wildlife Service; Mexico; and states on migratory birds and their

conservation.

**Access:** Files are arranged by name and geographic locations.

**Program Record Number:** ENV ECS 120

### Toxicology Network

**Description:** Activities supporting the Toxicology Network, a network of scientists in Canadian universities conducting toxicology research in response to Canadians' concerns about toxic substances and risks posed to human health and the environment.

**Topics:** Toxicology research; toxic substances.

**Program Record Number:** ENV ECS 100

### Transboundary Wildlife

**Description:** Public information and correspondence on the proposal by the United States to explore for and develop potential oil and gas reserves in the sensitive calving grounds of the migratory Porcupine caribou herd on the coastal plain of the Arctic National Wildlife Refuge (ANWR) in northeast Alaska.

**Topics:** Porcupine Caribou; Arctic National Wildlife Refuge; United States.

**Program Record Number:** ENV ECS 575

### Wildlife Management

**Description:** Information on the federal participation and responsibilities in the management of wildlife.

**Topics:** Species at Risk Programme; Policies development for the implementation of the Species at Risk Act (SARA); Committee on the Status of endangered Wildlife in Canada (COSEWIC); Recovery of Nationally Endangered Wildlife (RENEW); Endangered Species Recovery Funds; transboundary wildlife; Porcupine Caribou Management Agreement; Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); Wild Animal and Plant Protection and Regulation of International and Interprovincial Trade Act (WAPPRIITA); Canada Wildlife Act; Conservation of Arctic Flora and Fauna; Federal-Provincial Agreements; Correspondence on wildlife conservation issues; Canada/US Framework; Trilateral Canada/Mexico/US.

**Program Record Number:** ENV ECS 150

### Wildlife Toxicology

**Description:** Information and advice on the impacts of pesticides and pest control practices, environmental contaminants and other toxic substances on birds, other vertebrates wildlife (but not fish) and their habitats and foods (biodiversity).

**Topics:** Predicting and evaluating wildlife effects of toxic substances for support of environmental

conservation and protection policy and regulation development. Research to establish cause-effect relationships for toxic substances and wildlife, to identify toxic substances in the environment and their sources, to develop and apply assessment methodology including modelling and tests methods, and to select indicators of environmental quality and health of wildlife. Wildlife disease issues and federal contact point with the Canadian Cooperative Wildlife Health Centre. Biomonitoring of contaminant trends and effects in wildlife in Arctic, Great Lakes-St. Lawrence, Marine and other Canadian ecosystems. Laboratory services for measurement of selected contaminant residues, biomarkers and bioassays and quality assurance management. National Specimen Bank of more than 30,000 frozen specimens (mainly birds) dating from around 1970 and specimen preservation technology. National database of toxic chemicals residues in wildlife (primarily birds). Contaminants in waterfowl and wildfoods for human consumption.

**Access:** By subject.

**Program Record Number:** ENV ECS 145

### Conservation Strategies Directorate

#### Canadian Biodiversity Strategy

**Description:** Supporting documentation for Canadian Biodiversity Strategy and the Convention on Biological Diversity.

**Topics:** Reports on ten expert focus groups convened to provide input into the CBS; a compilation of recommendations relevant to biodiversity already being undertaken by governments; an inventory of current government policies, programs and legislation relevant to biodiversity; and preparatory documentation for the drafting of the convention on Biological Diversity.

**Access:** Available at the Biodiversity Convention Office.

**Format:** Inventory information is available on computer database.

**Program Record Number:** ENV ECS 130

#### Ecosystem Initiatives

**Description:** Ecosystem initiatives are partnership programs that have been put in place over the past ten years to address environmental, economic and social challenges in targeted geographic areas across Canada. They focus on issues involving air and water quality, resource use, human health and nature in an integrated manner responding to the unique problems of particular ecosystems and the unique needs of communities.

**Topics:** Ecosystems; partnership programs; air quality; water quality; resource use; human health

and nature.

**Program Record Number:** ENV ECS 210

### National Water Research Institute

#### Atmospheric Transported Contaminants

**Description:** Research to investigate ecosystem-scale aquatic effects resulting from regional stressors such as the long-range transport of acidifying and persistent organic pollutants; information assessing aquatic ecosystem contaminants and their distribution, determining and modeling the factors controlling ecosystem responses (including pollutant fate and cycling), detecting and predicting trends, evaluating (with others) the environmental health of aquatic ecosystems, and providing technical advice to environmental managers.

**Topics:** Great Lakes, Acid Rain Hazardous Air Pollutants and Arctic programs of Environment Canada and Northern Contaminants Program of Department of Indian Affairs and Northern Development (DIAND).

**Program Record Number:** ENV ECS 680

#### Ecosystem Health Objectives and Indicators

**Description:** Information on integration of social, environmental and economic factors in developing objectives and indicators to enhance, protect and sustain the health of Canadian ecosystems.

**Topics:** Ecosystem approach; a framework for developing ecosystem health goals, objectives and indicators: tools for Ecosystem-Based Management.

**Program Record Number:** ENV ECS 495

#### Effects of Toxic Substances

**Description:** Information on techniques to screen and assess priority substances and effluents for their potential to cause effects on aquatic biota, chemicals responsible for physiological and reproductive impacts, information to measure and predict exposure to a wide variety of contaminants in support of various national and regional ecosystem programs, e.g., CEPA, TSMP, EEM and Great Lakes 2000; assessments of priority substances and their impacts on the survival, growth and reproduction of biota. Future emphasis will shift toward the development of techniques to screen chemicals, effluents and environmental samples for physiological and reproductive impairment in aquatic biota, including fish and higher organisms. The development of methods to isolate and identify chemicals responsible for biological impacts in the environment will lead to the remediation of contaminated products, effluents and sites. More accurate prediction of exposure and effects of contaminants will greatly enhance our ability to

assess their environmental hazard.

**Topics:** Priority substances assessment; effluent assessment.

**Program Record Number:** ENV ECS 675

#### Environmental Effects Monitoring

**Description:** Information on potential adverse effects in aquatic environments from point source discharges. The information/scientific data generated is used to assess the adequacy of regulations and other pollution control approaches (e.g. for the Canadian pulp and paper industry), to aid in the development and assessment of environmental protection policies (e.g. for metal mining industry) and to provide benchmarks for Canadian industry in demonstrating their environmental stewardship.

**Topics:** Environmental effects of industrial discharges (pulp and paper, mining, etc.); National EEM Database; Science-based decision-making; Expert working groups; Technical guidance document development; National coordination.

**Program Record Number:** ENV ECS 640

#### Groundwater Assessment and Remediation

**Description:** Research to assess and to develop techniques to remediate contaminated groundwater resources in Canada; information on the process of contaminant transport and transformation in a variety of groundwater environments; information on new techniques for isolating or remediating existing groundwater contamination; research on the role played by groundwater in regional water budgets and wetlands to support regional activities within Environment Canada such as the Great Lakes 2000 program, the Atlantic Coastal Action Program and the Canadian Environmental Protection Act (CEPA); research in the areas of groundwater/wetlands interactions and the contaminant hydrogeology of fractured media. New research will emphasize remediation of both nonaqueous and aqueous phase contamination in complex groundwater environments and the characterization of groundwater resources in relation to climate change. Emphasis will be placed on the development of user-friendly software packages for hydrogeological applications.

**Topics:** Contaminated Groundwater; remediation.

**Program Record Number:** ENV ECS 685

#### Hydrological and Ecological Impacts of Atmospheric Change on Aquatic Ecosystems

**Description:** Research to develop a predictive understanding of how climate change influences the hydrologic and chemical cycles at regional and

local scales, and, subsequently, how it affects the structure and function of aquatic ecosystems, particularly in northern environments; and to develop improved indicators, models and integrated assessment techniques for more accurate prediction of climate change impacts on the hydrology and ecology of aquatic ecosystems.

**Topics:** Climate change; hydrology; aquatic ecosystems.

**Program Record Number:** ENV ECS 660

### **Impact of Increased UV-B Radiation on Aquatic Ecosystems**

**Description:** Information to assess and predict the impacts of atmospheric ozone depletion (enhanced ground level ultraviolet radiation fluxes) on aquatic ecosystems; the impacts of UV-B on algal photosynthesis, bacterial growth, dissolved organic matter and forest stream ecosystems. Particular emphasis is directed at wetlands and prairie lakes. Research into UV-B effects on the impact on wetlands; information on the national Atmospheric Change - Ozone Depletion/UV-B initiative; research to determine the relationships among the biogeochemical changes occurring within aquatic ecosystems, particularly wetlands; UV-B-related research with other government and university scientists. Increased focus will be directed towards wetlands, carbon cycle dynamics, and the quantification of direct-dose response of aquatic organisms to manipulated radiation fields.

**Topics:** Atmospheric Ozone depletion; Aquatic ecosystems; UV-B radiation.

**Program Record Number:** ENV ECS 665

### **Lake Assessment and Remediation**

**Description:** Research to assess and remediate highly degraded aquatic ecosystems including large lakes, such as the Great Lakes, to smaller water bodies, including riverine lakes and reservoirs, to wetlands. The main focus is on the Areas of Concern (AOCs) in the Great Lakes and the development and implementation of Remedial Action Plans (RAPs) and on the development of Lakewide Management Plans (LAMPs) for the most degraded Great Lakes (Erie and Ontario), under the Great Lakes Action Plan. Research to provide knowledge and advice to the Great Lakes 2000 program on Lakewide Management Plans, and Remedial Action Plans. Increasing effort will be directed to efforts such as the PSL-2 (CEPA) national study on nutrients in the environment.

**Topics:** Aquatic ecosystems; Lake assessment and remediation; Great Lakes.

**Program Record Number:** ENV ECS 690

### **Land Use Impacts: Forestry, Agriculture, Mining, Energy and Waste Management**

**Description:** Research on land-use stressors such as forestry, agriculture, mining, energy development, waste management and urbanization, addressing the complex interactions between hydrological processes and ecological responses. Information to identify the impacts of such stresses on the health and sustainability of Canada's ecosystems and to foster sustainable development of Canadian resources through development of science-based best practices. The work supports Environment Canada mandates: e.g., the Canadian Environmental Protection Act (CEPA), Priority Substance List (PSL) regulations, and the Biodiversity Convention.

**Topics:** Land use impacts; sustainability of Canada's ecosystems.

**Program Record Number:** ENV ECS 655

### **Sediment Assessment and Remediation**

**Description:** Research to assess sediment quality and toxicity, leading to remediation of contaminated sediments. Multidisciplinary studies are carried out on the effects of sediment associated nutrients, organic chemicals and metals in aquatic ecosystems. New techniques are developed and tested to treat in-situ contaminated sediments, involving bench and pilot scale operations. Knowledge generated from the research is used to support programs such as Great Lakes Action Plan, Fraser River Management Plan, CEPA and Environment Canada regional activities. Research relevant to the assessment of contaminated sediment quality and remediation. Development of techniques for safe disposal of metal rich wastes. Studies of mercury methylation under different environmental conditions. Negotiations for full-scale treatment of contaminated sites for oil, PAHs or odour will continue while other treatments, such as metal fixation and sediment stabilization, are being studied.

**Topics:** Sediment quality and toxicity; remediation of contaminated sediments; Disposal of metal rich wastes.

**Program Record Number:** ENV ECS 695

### **Sources and Fate of Toxic Substances**

**Description:** Research on fundamental mechanisms governing the persistence and fate of toxic chemicals in aquatic environments to assess the hazards posed by toxic chemicals released to the aquatic environment; scientific information to support decision making for the Toxic Substances Management Policy (TSMP), the Canadian Environmental Protection Act (CEPA), the Pest

Control Products Act (PCPA), the regional ecosystems programs, and ecosystem indicators; research on the occurrence, pathways and fate of present and future priority toxic substances in aquatic ecosystems; information on biological effects, especially the determination of chronic exposure to toxic chemicals (e.g. genotoxicity, reproductive toxicity, immunotoxicity, neurotoxicity, thyroid toxicity, etc.); priority substance assessment programs; advice to Environment Canada management; methods of destruction of toxic chemicals by physical, chemical, photochemical and biological means.

**Topics:** Toxic chemicals in aquatic environments.

**Program Record Number:** ENV ECS 670

#### **Technology Development - Wastewater**

**Description:** Information on development and demonstration of waste water pollution control technology; technology development assistance programs; technical training; technology transfer; program planning and evaluation.

**Topics:** Program planning and evaluation; technology assistance program; waste water technology.

**Access:** Files are arranged by company.

**Program Record Number:** ENV ECS 265

#### **Urbanization**

**Description:** Information on large-scale aquatic ecosystems impacted by stresses from non-point sources of pollution from agriculture, industry and urban developments; the development of water management plans for large regional ecosystems, such as those studied under the Fraser River Action Plan (FRAP) and the Great Lakes 2000 Plan; research on non-point source contaminant pathways and controls in large ecosystems, sustainable sectors and technology transfer to the Canadian environmental industry. Research.

**Topics:** transport of pesticides and nutrients in soil, vegetation and water; fine sediment trapping by vegetated channels and flood plains; flows over porous boundaries; initiation of sediment transport in steep channels; floc and contaminant-binding mechanisms; roles of flocculation mechanisms and biofilms in sediment/contaminant transport; advanced Best Management Practices for controlling stormwater impacts on receiving waters; and development of designer flocs for environmental industry applications.

**Program Record Number:** ENV ECS 650

#### **Water Resources Modeling and Analysis**

**Description:** Development, maintenance, updating and application of water management computer models. Models include one-dimensional hydrodynamic river simulation with

optional water quality routine, a generalized model using a network flow optimization algorithm and a heuristic database for both planning and water use and users conflict resolution, applying operational modeling of flow regulation and multiple-use, multi-reservoir/channel network, a water resources planning model which integrates water supply and demand considerations into a basin water balance and overall management framework, and a transient (dynamic) simulation model in which major ice phenomena and processes are considered (currently under development). Responsibilities also include provision of models, technical assistance and advice for water quantity, water quality, water demands, flow regulation and optimization to federal, provincial, private consultants and other agencies/organizations, collaboration with other federal departments, private and academic institutions in applied research into climate change impacts on water resources and adaptation strategies, as well as providing specialized expertise to Canadian aid agencies and other international organizations.

**Topics:** river hydraulics, one dimensional hydrodynamic modeling of river (and estuaries) flows, water quantity and quality, methodologies for simulating ice and groundwater impacts on water quality, water use forecasting on river basin basis, basin water balance, optimization of flow regulation and multiple-use, multi-reservoir/channel networks, flow regulation and water use planning, basin-wide operational flow regulation, water conservation, modelling of the integrated impacts of climate change on water use, water supply and basin water balance.

**Format:** CD's, disks, computer files, printed and electronic manuals and reports.

**Program Record Number:** ENV ECS 205

#### **Water Policy Coordination Directorate**

##### **Canada-United States and Interjurisdictional Waters**

**Description:** Information on activities carried out under specific Canada-United States agreements or arrangements such as investigative, control, or surveillance board activities for the International Joint Commission (IJC) or in other bilateral Canada-United States situations; studies and implementation programs under formal federal-provincial arrangements under the Canada Water Act; and Canada-United States activities on shared river basins. Data collection and research carried out as a part of any of these formal arrangements are included as well as specific federal-provincial agreements required to carry out Canada's obligations in boundary waters

(Canada-Ontario Agreement on the Great Lakes Ecosystem) and interprovincial arrangements (Prairie Provinces Water Board; Mackenzie River Basin Board; Ottawa River Regulation Planning Board). Information is also available on water use for selected years and geographic areas.

**Topics:** IJC investigations relating to boundary water removals; progress on Federal Water Policy and freshwater issues; St. Lawrence-Great Lakes programs and studies; Red River Basin studies and agreements including issues in midwest U.S. (Devils Lake / Garrison Diversion Unit / Northwest Area Water Supply Project) impacting on the basin in Canada; apportionment in Prairie waters, and the regulation of flows and levels in the Lake of the Woods and Ottawa River basin; and other international and interprovincial waters.

**Access:** Files are arranged by subject and project in electronic form; most reports and agreements are available in paper and / or electronic form.

**Program Record Number:** ENV ECS 175

#### **Ecological Applications Research**

**Description:** Information on production of nationally consistent spatial data on the ecological characteristics and resource potentials of land, dissemination of scientific knowledge, methods and techniques used for surveying and classifying land, including wetlands, by ecological characteristics, for assessing resource potentials, impacts and hazards and for increasing knowledge of land and land/water process linkages of concern in environmental management; assessment of potential climate change of the vegetative and land base of Canada and consequent implications for resource management.

**Topics:** General correspondence; public awareness; inter-regional projects; wetlands and acid rain sensitivity; climate change; Canada Committee on Ecological Areas.

**Program Record Number:** ENV ECS 160

#### **Environmental Quality Guidelines**

**Description:** Information on national science-based guidelines/standards for soil quality, water quality, sediment quality and tissue quality to protect and sustain terrestrial and aquatic ecosystems and their beneficial uses; scientific assessments of toxic substances; national protocols.

**Topics:** Environmental effects of toxic substances; National environmental quality guidelines and protocol publications including Canadian Water Quality Guidelines for the protection of raw drinking water quality, recreational water quality, aquatic life, livestock

water, and irrigation water; Sediment Quality Guidelines for the protection of aquatic life and wildlife; Tissue Quality Guidelines for the protection of aquatic life and wildlife; and soil quality guidelines for agricultural, residential/parkland, commercial and industrial land uses; guidance for setting site-specific environmental quality objectives; ecological risk assessment guidance.

**Program Record Number:** ENV ECS 490

#### **Flood Damage Reduction**

**Description:** The federal/provincial/ territorial Flood Damage Reduction Program (FDRP) has finished. Most of the flood-prone municipalities have been mapped. Information available: policy and scientific and technical advice on flood mitigation related to federal jurisdiction in water management; a coordination mechanism with other federal departments, territorial and provincial governments on flood damage reduction policies; information to the public on policies, programs and locations where floodplain mapping is available; and, assistance for defining the requirements for environmental assessments of flood control measures. A website is also maintained with flood related information, achievements of the FDRP, designated municipalities, how to obtain maps, contacts and links to provincial and other related sites.

**Topics:** Floods, flood damage reduction, flood plain mapping, designations.

**Access:** Files are arranged by subject, geographic location and annual reports; a FDRP website is available:

**Program Record Number:** ENV ECS 180

#### **Freshwater Outreach**

**Description:** The freshwater outreach program aims to provide Canadians with the knowledge, capacity, motivation and means to act appropriately in ways to protect, conserve, and sustain our water resources. This requires changing attitudes, values and behaviours through providing information and incentives for action and engaging in meaningful dialogue.

**Topics:** Environment Canada has provided an in-house water outreach program since the late 1960's, with a major effort taking place in the 1990's. Program activities have been based on developing products and partnerships and have resulted in the production of a number of publications, the promotion of water awareness messages at many events, and the creation of a large, national Web site on freshwater issues.

**Program Record Number:** ENV ECS 560

### Source-To-Tap Protection

**Description:** In consultation with partners in Federal/Provincial/Territorial Committees, Health and Environment Departments, provide guidance to drinking water system owners and operators, as well as the public, on how to apply the concept of the multi-barrier approach (MBA) to delivering safe drinking water to Canadians. Guidance on source water protection component of the MBA and its integration with the remaining components.

**Topics:** Provide continuous guidance and technical support to stakeholders for the purpose of implementing a MBA approach in their perspective efforts. Coordinating efforts with other government departments in implementing source water protection on federal lands. Develop source water guidelines.

**Program Record Number:** ENV ECS 700

### Sustainable Water Use

**Description:** Information on the ways in which water is used by individuals, industry and farmers. A particular emphasis is placed on the need to promote the efficient use of water and to reduce the amount of waste or unnecessary use through demand management strategies.

**Topics:** Outreach publications and partnerships have promoted the wise use of water. In addition, Environment Canada leads a socio-economic research project in which municipalities are asked to provide details as to their water utility. Questions on a survey, which has been conducted every 2 -3 years since the early 1980's, relate to water and wastewater – use, treatment and pricing. The information collected and reported is general in nature and is primarily aimed at the production of aggregate and summary statistics used in national trends and indicator work. The recent emphasis has been focused on the municipal sector however future work with other federal agencies will be targeted at the agricultural and industrial sectors.

**Program Record Number:** ENV ECS 155

### Water Pollution Programs

**Description:** Information on federal/provincial programs; pollution control in coastal areas; International Joint Commission programs; data management; Arctic water programs coordination; program evaluation; interservice and interagency program coordination; program planning and development.

**Topics:** Program coordination and evaluation; coastal zone; data management and analysis.

**Program Record Number:** ENV ECS 270

### Water Priorities

**Description:** Information on strategic policy analysis and integration, maintaining departmental, federal, and national water policy networks, and corporate support. The intent is to enhance the policy basis for federal government action on water issues by: coordinating strategic water policy, establishing key results that support EC business Lines; building on the Canadian Water Quality Guidelines as a pillar of water policy at the EC, federal, and intergovernmental levels; integrating departmental and interdepartmental work on the international water file; enhancing strategic capacity to respond to emerging water issues.

**Topics:** Water policy.

**Program Record Number:** ENV ECS 580

### Science Policy Branch

#### Science Policy

**Description:** Policy for the strategic management of the Department's science and technology activities and integration with federal Science and Technology (S&T) policy.

**Topics:** Departmental S&T management system; in particular, the work of the S&T Executive Committee, S&T Management Committee, and the Deputy Minister's S&T Advisory Board. Departmental contributions to and implementation of federal S&T policy; in particular, the S&T Assistant Deputy Minister (ADM) Committee, the S&T ADM Integration Board, and the S&T ADMs Advisory Committee on Human Resources.

**Program Record Number:** ENV ECS 645

### Environmental Protection Service

#### Air Pollution Prevention Directorate

##### Acid Rain

**Description:** Information on the implementation of the Canada Wide Acid Rain Strategy for Post-2000; development of federal/provincial agreements to implement the Strategy; and development of and support to international agreements.

**Topics:** Acid Rain; Canada Wide Strategy.

**Program Record Number:** ENV EPS 235

#### Electricity and Industrial Combustion

**Description:** Information on activities which promote pollution prevention, energy efficiency, appropriate supply options and pollution control actions to efficiently reduce air pollution from electric power generation and industrial combustion sources. Tools include support for research and development, information sharing, public reporting and a range of policy instruments such as: guidelines for new thermal power plants,

guidelines for stationary combustion turbines and protocol for continuous emission monitoring.

**Topics:** Pollution Prevention; energy efficiency.

**Program Record Number:** ENV EPS 535

### **Hazardous Air Pollutants**

**Description:** Information on the negotiation of international agreements on persistent organic pollutants and heavy metals, development of federal/provincial/territorial strategies and plans for implementing Canada's commitments under international agreements, reporting on progress in meeting international commitments.

**Topics:** Hazardous Air Pollutants; Persistent Organic Pollutants (POPs).

**Program Record Number:** ENV EPS 280

### **International Smog**

**Description:** Information focused on transboundary air pollution, including acid rain and ground-level (tropospheric) ozone and inhalable particles, the major components of smog.

Administration of the Canada-U.S. Air Quality agreement and the Ozone Annex, including reporting on progress in meeting the international commitments, exploring with the U.S. issues of joint interest such as emissions trading.

**Topics:** Transboundary air pollution; smog; Canada-US Air quality Agreement; Ozone Annex.

**Program Record Number:** ENV EPS 365

### **National Pollutant Release Inventory (NPRI)**

**Description:** For 2002, collecting, analyzing and reporting on-site releases, offsite transfers in waste, and off-site transfers for recovery, re-use and recycling, and energy recovery of 273 pollutants from more than 4000 individual facilities on an annual basis. NPRI-listed substances include CEPA toxics and criteria air contaminants.

**Topics:** Information publications, web sites, electronic tools and maps on sources of emissions or pollutant releases, pollutant or substance transfers and pollution prevention by facilities and/or sectors in Canada, based on the National Pollutant Release Inventory, air pollutant inventories and greenhouse gas emissions inventories; guidance manuals, software, tools and technical support reporting of pollution and emissions data.

**Program Record Number:** ENV EPS 565

### **Oil, Gas and Energy**

**Description:** Information on activities to reduce air pollution from the upstream and downstream petroleum and fuels sectors through research and development, pollution prevention and control instruments, information sharing and by increasing the proportion of Canadian renewable low-impact electricity (green power). Expertise includes

developing and administering regulations and standards, codes of practice, and complementary measures to regulation; as well as providing broader policy advice, economic analysis, and technical guidance. Recent initiatives include: Benzene in Gasoline Regulations, Sulphur in Gasoline Regulations, Sulphur in Diesel Fuel Regulations, CCME National Framework for Petroleum Refinery Emission Reductions, activities relating to CO<sub>2</sub> Capture and Storage, and the Green Power Procurement and Market Incentive programs. Through the Environmental Choice Program, a registry of renewable low-impact electricity generators and products is maintained.

**Topics:** Air Pollution; Petroleum and fuels sectors.

**Program Record Number:** ENV EPS 420

### **Stratospheric Ozone**

**Description:** Information on the implementation of Canada's commitments under international programs, negotiation of international agreements, and achievement of domestic phase-out targets; EC's contribution to the Montreal Protocol and the Multilateral Fund.

**Topics:** Stratospheric Ozone; Montreal Protocol.

**Program Record Number:** ENV EPS 570

### **Transportation Systems**

**Description:** Information dealing with the assessment of the environmental impact of transportation systems in Canada and internationally and developing policies, programs and regulations aimed at mitigating the impact. Working with other government departments, vehicle and fuels industries, provincial and municipal governments and the environmental community. Addressing a broad array of issues such as tougher vehicle emissions standards, alternative fuels, inspection and maintenance programs, urban transit and public education.

**Topics:** Environmental impacts of transportation systems; vehicle emissions standards; alternative fuels; inspection and maintenance programs; urban transit.

**Program Record Number:** ENV EPS 510

### **Urban Smog**

**Description:** Information on the development and implementation of federal action plans and negotiation of federal/provincial and international agreements on air pollution; Implementation of federal commitments and initiatives under the Canada-wide Standards for PM and Ground-Level Ozone; Development of emission guidelines and fuel standards related to creation of smog precursors; Publication of progress reports



regarding implementation of the Government of Canada's Interim Plan 2001 on Particulate Matter and Ozone.

**Topics:** Urban Smog; Canada Wide Standards for PM; Ground Level Ozone.

**Program Record Number:** ENV EPS 260

### **Environmental Technology Advancement Directorate**

#### **Building Technologies and Environmental Systems**

**Description:** Information on activities which contribute directly to the daily operation, recapitalization or modernization of service owned special purpose facilities.

**Topics:** Special Purpose facilities; modernization.

**Program Record Number:** ENV EPS 630

#### **Environmental Monitoring**

**Description:** Information on all activities which support the quantification and geographical location of releases of pollutants into all media in the environment including programs such as the National Air Pollution Surveillance (NAPS) Network, Greenhouse Gases from Municipal Landfills, Light and Heavy Duty Engine Emission Testing, and Construction Equipment Retrofit and Emissions Testing.

**Topics:** Pollution; air pollution surveillance; emission testing.

**Program Record Number:** ENV EPS 525

#### **Environmental Research, Technology and Support**

**Description:** Information on activities which support the development of methods, regulations, guidelines and standards to measure, prevent, control and manage toxics in air, water and soil including stationary and mobile source emissions, contaminated sites, oil and chemical spills, hazardous wastes, and wastewater.

**Topics:** Environmental research, environmental technology.

**Program Record Number:** ENV EPS 620

#### **Environmental Science and Technology Centres of Expertise**

**Description:** Information on activities at the Environmental Technology Centre and Wastewater Technology Centre which support the service and department in specialized technical and research and development such as technologies for the measurement of air pollutants in ambient air and from mobile and stationary sources; the analysis of organic and inorganic components in diverse sample matrices; the assessment, management and remediation of leaking hazardous waste and other contaminated

sites; the prevention and response to pollution emergencies such as oil and chemical spills; the assessment, evaluation and optimization of wastewater treatment plants; and the use of microwaves to enhance biological, chemical, and physical processes.

**Topics:** Environmental technology, wastewater technology.

**Program Record Number:** ENV EPS 625

#### **Program on Energy Research and Development**

**Description:** Information on research activities: efficient energy use, in the areas of combustion efficiency, heat management and cross-sectoral energy efficiency technologies applicable to a broad range of industries, processes and energy sources; energy and climate change: understanding the role of greenhouse gases (GHG) in climate change, especially CO<sub>2</sub> in the sea, air and biota in, and surrounding, Canada; and, technologies for GHG capture and disposal; hydrocarbons and the environment: research addresses remediation and prevention technologies in atmospheric, marine and terrestrial environments; sustainable/renewable energy sources including bioenergy, small and large hydro, solar energy, wind and hydrogen from renewable resources; and sustainable transportation, including reducing energy demand, improving efficiency, and preparing for long-term sustainable transportation through advanced power systems and an eventual hydrogen-electricity energy economy.

**Topics:** Energy research.

**Program Record Number:** ENV EPS 635

#### **Technology Transfer and Capacity Building**

**Description:** Information on activities which support the transfer of technology and build of capacity in the community, government and industry domestically and globally including programs such as Good Laboratory Practices, Multilateral Fund of the Montreal Protocol, Green Corps, Environmental Technology Verification, Climate Change Technology, Environmental Technology Trade Missions, Memoranda of Understanding on Environmental Cooperation, International Environmental Youth Corps, Technology Partnerships Canada, and Publications.

**Topics:** Technology Transfer.

**Program Record Number:** ENV EPS 615

#### **National Programs Directorate**

##### **Emergencies Operations**

**Description:** Information from the operation of a 24 hour, 7 day a week national environmental

emergencies hotline for Environment Canada. Coordination of the provision of support and technical advice on the environmental aspects of emergencies. Statistical information on spills obtained from historical spill report data.

**Topics:** Environmental emergencies.

**Program Record Number:** ENV EPS 590

### **Emergencies Preparedness**

**Description:** Information on inter-agency arrangements and contingency plans which contribute directly to increasing the capacity of responders and advisors to prepare for and mitigate the effects of environmental emergencies.

**Topics:** Emergency preparedness; contingency planning; environmental emergencies.

**Program Record Number:** ENV EPS 595

### **Emergencies Prevention**

**Description:** Information on activities to prevent and reduce the frequency, severity and consequences of sudden or unplanned releases of hazardous substances (risk management). These activities are generic and not associated with a specific incident.

**Topics:** Emergency preparedness.

**Program Record Number:** ENV EPS 285

### **Environmental Assessment**

**Description:** Development of policy and legally sound guidance; provision of expert advice to other government departments, clients and partners; verification and reporting on EC's compliance with CEAA; and implementation of EC's CEAA responsibilities and Cabinet Directive on policies and programs.

**Topics:** Information on provisions of legislation, policies, procedures and methodologies pertaining to EC's Environmental Assessment Program. Information on compliance with the 1990 (Revised 1999) Federal Cabinet Directive on Environmental Assessment of Policies and Programs. Topics include: Environmental Assessment studies of major development projects in Canada; regulations; guidelines; electronic data inventory; policies; links to international conventions. Also, Environment Assessment Infobase (EA Info); National Environmental Assessments System (NEAS); EC Referral Tracking System (RTS).

**Program Record Number:** ENV EPS 600

### **EP Enforcement (Regulatory Guidelines)**

**Description:** Information on activities which contribute directly to the enforcement of environmental protection and wildlife legislation, including the development of enforcement policy guidelines and protocols, training programs and information management systems, as well as their implementation.

**Topics:** Information on enforcement of departmental legislation and regulations, CEPA, pollution prevention provisions of the Fisheries Act, Migratory Birds Convention Act, 1994; Canada Wildlife Act, Wild Animal and Plant Protection and Regulation of International and Interprovincial Trade Act; the National Environmental Management Information System and Intelligence System (NEMISIS); Successful Historical Prosecutions since 1988; On-going Prosecutions; Compliance and Enforcement Report, National Inspection Plan and Compliance Promotion Plan.

**Program Record Number:** ENV EPS 110

### **Pollution Prevention Directorate**

#### **Disposal at Sea**

**Description:** Disposal at sea permit system under CEPA 1999; development of policies, guidelines and protocols; support of international commitments under the London Convention 72 and 1996 Protocol; conducting annual monitoring studies at representative disposal sites.

**Topics:** National Ocean Disposal Database Network (NODNET).

**Program Record Number:** ENV EPS 215

#### **Hazardous Wastes**

**Description:** Information on Transboundary issues (Basel, OECD Council Acts, Can/US Bilateral Agreement); Environmentally Sound Management and liability regimes; hazardous waste computerized tracking system; hazardous waste imports and exports permitting; development and implementation of regulations (e.g. hazardous waste and PCB).

**Topics:** CEPA Regulations, Basel, OECD Council Acts, Can/US Bilateral Agreement

**Access:** Organized by subject matter.

**Format:** Paper copy, Canadian Notice and Manifest Tracking System (CNMTS). TMB Internet site, PCB Internet site :

**Program Record Number:** ENV EPS 230

#### **Land-based Sources of Marine Pollution**

**Description:** Information on the implementation of international and domestic marine obligations and commitments; participation in integrated coastal management; communications and outreach to improve awareness of the impacts of land-based activities on the marine environment; pollution prevention activities related to: sewage, POPs, radionuclides, heavy metals, oil, nutrients, contaminated sediments, litter, habitat destruction under Canada's National Programme of Action for Protection of the Marine Environment from Land-based Activities (NPA).

**Topics:** Coastal management; land-based sources

of marine pollution.

**Program Record Number:** ENV EPS 250

### **Pollution Prevention**

**Description:** Information on pollution prevention planning under CEPA; Environmental performance agreements; Canadian Pollution Prevention Information Clearinghouse; Pollution Prevention Success Stories; participation in international fora (OECD/UNEP); and the development of information and training materials on pollution prevention.

**Topics:** Information publications, websites, activity posters, electronic learning and implementation tools related to pollution prevention planning.

**Access:** By topic, by industry sector, by substance, by management tool, by title.

**Format:** Electronically, hard copy [fact sheets, handbooks, guidelines, FAQs, policy frameworks, annual reports, strategies, agreements and plans

**Program Record Number:** ENV EPS 605

### **Risk Management of Toxic Substances**

**Description:** Information on the development of options for the management of the threats to human health and/or the environment posed by toxic substances ; and development of risk management measures (including guidelines/codes of practice/standards/ economic instruments/regulations to prevent or minimize the use and releases of toxic substances.

**Topics:** Toxic substances.

**Access:** By substance and by source.

**Format:** Electronically: website

**Program Record Number:** ENV EPS 245

### **Risk Assessment Directorate**

#### **New Substances Notification, Assessment and Management**

**Description:** Information for determining, in conjunction with Health Canada, whether new chemical, polymer or biotechnology substances may pose a risk to the environment or to human health; managing risk of substances where there is a suspicion of toxicity; administering the New Substances Notification Regulations (NSNR), processes and data systems, as well as the Domestic Substances List (DSL) and the Non Domestic Substances List (NDSL); engaged internationally to develop cooperative approaches to the assessment and risk management of new substances.

**Topics:** Search Engines for: DSL/ NDSL for Chemicals and Polymers; Confidential DSL/ NDSL for Chemicals, Polymers, Organisms and Microorganisms; DSL/ NDSL for Enzymes,

Organisms and Microorganisms.

**Program Record Number:** ENV EPS 300

### **Non-Hazardous Waste Management**

**Description:** Information on the development of policies and programs relating to product policy; life-cycle management; extended producer responsibility; waste treatment/disposal and development and implementation of regulations for export and import of prescribed wastes.

**Topics:** CEPA Regulations.

**Access:** Organized by subject matter.

**Format:** Paper copy.

**Program Record Number:** ENV EPS 610

### **Scientific Assessment of Substances**

**Description:** Priority substances Assessments; categorization of the Domestic Substances List; screening level and other assessments.

**Topics:** Priority substances; Domestic substances.

**Program Record Number:** ENV EPS 290

### **Water Quality Protection (Shellfish)**

**Description:** National coordination of program which monitors shellfish growing waters for bacterial contamination, and classification of areas based on water quality survey and pollution source identification under a MOU for the Canadian Shellfish Sanitation Program led by the Canadian Food Inspection Agency.

**Topics:** Shellfish; Canadian Shellfish Sanitation Program.

**Program Record Number:** ENV EPS 255

### **Strategic Priorities Directorate**

#### **Biotechnology Secretariat**

**Description:** Information on the coordination of the Department's efforts in addressing science and policy issues on biotechnology, and increases its influence on the interdepartmental agenda.

**Topics:** Biotechnology.

**Program Record Number:** ENV EPS 220

#### **CEPA Review Office**

**Description:** Information on the Canadian Environmental Protection Act review conducted by the Parliamentary Standing Committee on Environment and Sustainable Development Program.

**Topics:** Canadian Environmental Protection Act (CEPA).

**Program Record Number:** ENV EPS 555

#### **Intergovernmental Harmonization Branch (IHB)**

**Description:** guidance and support on federal/provincial aspects of EPS initiative. More specifically, IHB houses the secretariat for the CEPA National Advisory Committee which is one of Environment Canada's major forums for

federal/provincial/territorial consultation on CEPA related initiatives. The branch also supports EPS input to CCME and coordinates the development of multi and bilateral administrative and equivalency agreements with provinces and territories. Preparation of the CEPA Annual report is also coordinated through IHB.

**Topics:** CEPA consultations; CEPA National Advisory Committee.

**Program Record Number:** ENV EPS 275

#### **Office of Biosafety**

**Description:** Information on the Cartagena Protocol on Biosafety, and the coordination of government activities relating to the Protocol's ongoing development and operations.

**Topics:** Biosafety; Cartagena Protocol.

**Program Record Number:** ENV EPS 225

#### **Planning**

**Description:** Information on the design and implementation of the planning, reporting and accountability systems and processes that support the Clean Environment Table decision-making.

**Topics:** Clean Environment Table; Planning.

**Program Record Number:** ENV EPS 240

#### **Regulatory Affairs**

**Description:** Records on the development and approval of regulatory initiatives within EPS.

**Topics:** Environmental Protection Regulations.

**Program Record Number:** ENV EPS 320

#### **Strategic Policy**

**Description:** Strategic policy advice on a number of horizontal issues: Aboriginal Issues: Supports the development and implementation of a consistent Environment Canada (EC)/Environment Protection Program approach to managing environmental protection issues on Aboriginal lands, and working with other federal departments (particularly INAC), so that the environmental conditions on Aboriginal lands have the same level of environmental quality as non-aboriginal lands.

Corporate Environmental Innovation (CEI): Aims to accelerate innovation and improved environmental performance in the corporate sector by encouraging and supporting corporate sustainability leadership.

Infrastructure: Aims to ensure the environmental sustainability of federal infrastructure programming, including project selection criteria, resource allocation and performance measurement. Ensures strategic linkages are made to Departmental priorities, such as climate change, clean air, and water quality.

**Topics:** Aboriginal Issues; Corporate

Environmental Innovation.

**Program Record Number:** ENV EPS 305

#### **Human Resources and Service Innovation**

##### **Disclosure of Information to an Investigative Body**

**Description:** Information on requests for disclosure of personal information to investigative bodies under paragraph 8(2)(e) of the Privacy Act.

**Topics:** Personal Information; investigative bodies; law enforcement.

**Program Record Number:** ENV HRSI 710

##### **Knowledge Integration**

**Description:** Information on the management, integration and dissemination of scientific and environmental information and knowledge. Promotion of the use of standards and protocols for the management of information and development of infrastructure.

**Topics:** Knowledge management.

**Program Record Number:** ENV HRSI 405

##### **Program Evaluation**

**Description:** Evaluation frameworks, assessments and studies of departmental components, and related data.

**Topics:** Departmental components that have been subject to one or more of these evaluation activities.

**Access:** Reports are classified by evaluation component.

**Format:** Hardcopy. (In many cases, only single copies exist.)

**Program Record Number:** ENV HRSI 520

#### **Meteorological Service of Canada**

##### **MSC HQ - Projects**

**Description:** Information on satellite activity reports; data collection platforms; SDL Staffing; SDL GOES; Meso-met Network; Wind Energy Field Studies investigations.

**Topics:** Reporting; data collection.

**Program Record Number:** ENV MSC 370

##### **Communications - Computing Services**

**Description:** Information on communications and communications-programming.

**Topics:** Communications.

**Program Record Number:** ENV MSC 470

##### **Marine Meteorology**

**Description:** Information on TOVS.

**Topics:** Marine Meteorology.

**Program Record Number:** ENV MSC 355

##### **Meso-Meteorology**

**Description:** Information on the Meso-met Network.

**Topics:** Operation; data.

**Program Record Number:** ENV MSC 360

### **Oil and Gas Exploration and Development**

**Description:** Information on oil spill trajectories, freezing spray, ice and sea state models.

**Topics:** modelling.

**Program Record Number:** ENV MSC 415

### **Atmospheric and Climate Science**

#### **MSC Headquarters - Projects Research**

**Description:** Information on computerized and man-machine mix system; module component development and design; research data set development; also implementation and joint projects with forecast operations.

**Topics:** Systems design for automated weather forecasting procedures; creation of research data sets for weather forecasting research.

**Program Record Number:** ENV MSC 400

#### **Meteorological Research**

**Description:** Major areas of activity include numerical modelling of the atmosphere for the purpose of developing new weather forecast techniques and improving existing ones (from short to extended range); data assimilation and satellite meteorology with a focus on the development of techniques for both quantitative application of operational satellite data to weather forecasting and making use of new satellite data; and atmospheric processes research studies of the interactions of airborne pollutants with clouds and precipitation, and the utilization of Doppler radar to recognize severe weather and its precursors.

**Topics:** Weather forecasting research.

**Program Record Number:** ENV MSC 460

#### **Research - Air Quality**

**Description:** Information on air quality, pollutant transport, dispersion, chemical transformations, and deposition, monitoring and the development of measurement techniques, modelling, and field and laboratory experimental studies.

**Topics:** Acid rain, toxic chemicals, photochemical smog, stratospheric ozone, and greenhouse gases.

**Program Record Number:** ENV MSC 315

#### **Research - Climate**

**Description:** Information on climate, circulation modelling (numerical modelling of the general circulation of the atmosphere, ocean, land surface, and cryosphere) with special interest on modelling ocean circulation, the middle atmosphere, and regional-scale systems; climate processes research conducted into the study of the energy and water cycle, surface processes,

precipitation-runoff relationships, and climate-cryosphere interactions; and climate variability and change, and extreme and anomalous events.

**Topics:** Climate Modelling.

**Program Record Number:** ENV MSC 455

#### **Research - Environmental Adaptation**

**Description:** Information on research to improve understanding of socio-economic and ecosystem impacts of atmospheric change and to generate knowledge that will help to improve decision-making and facilitate adaptive response; integrated climate impact assessment at regional (Mackenzie Basin, Great Lakes) and national (Canada Country Study) scales is an important focus.

**Topics:** Research on the impacts of atmospheric change.

**Program Record Number:** ENV MSC 325

#### **Research Management and Policy**

**Description:** Information on meteorological, environmental adaptation and other related environmental and technological research and development; research and related support activities of a general management nature - decisions and large-scale agreements; special problems of the Arctic; training for research and grants for research outside the federal government which support the objectives and policies for climate and atmospheric research in Canada; mechanisms for better transfer of technology to and from government research laboratories; contracting-out of federal research and development; relationship with the Canadian Space Program.

**Topics:** Agreements; treaties; studies; committees; plans and programs; fellowships; training and development; grants; unsolicited proposals; contracting; technology transfer.

**Program Record Number:** ENV MSC 310

#### **Atmospheric Environment Prediction Directorate**

##### **Communications - Facsimile**

**Description:** Information on Satellite Data Laboratory Operations.

**Topics:** Satellite data.

**Program Record Number:** ENV MSC 330

##### **Data Acquisition**

**Description:** Information on land surface networks; upper air and aerological networks; Voluntary Observing Ship Program; remote sensing; environmental network.

**Topics:** Station classification; site information; meteorological and aerological instruments; codes; data standards; data reduction; quality

assurance; equipment supply; development and testing; lists of ships participating; satellite ground stations; APT, weather radar; signal processing; data transmissions; maintenance; plans and policies.

**Program Record Number:** ENV MSC 440

#### **Data Acquisition Networks**

**Description:** Information on atmospheric environment operations, overall policy, operational performance, procedures and standards.

**Topics:** Atmospheric environment operations.

**Program Record Number:** ENV MSC 480

#### **Forecast Procedures**

**Description:** Information on meteorological models, procedures and techniques in support of forecast production.

**Topics:** Maps, charts and forms; satellite operations; plans and programs.

**Program Record Number:** ENV MSC 430

#### **Hemispheric Observations**

**Description:** Observed data, hemispheric surface synoptic reports.

**Topics:** Hemispheric observations.

**Format:** Coded forms.

**Program Record Number:** ENV MSC 450

#### **Meteorology Aviation**

**Description:** Information on the Rockcliffe STOL Project.

**Topics:** Meteorology aviation.

**Program Record Number:** ENV MSC 350

#### **Telecommunications**

**Description:** Operational, alpha-numeric and facsimile information distributed by dedicated or dial-up communication lines.

**Topics:** Facsimile contracts; installations; procedures; traffic; teletype contracts - installations, procedures, traffic; computer aspects.

**Program Record Number:** ENV MSC 425

#### **Weather Forecast**

**Description:** Digital information about global observational data sets (1992-present), digital gridpoint information about global analyses (1983-present) and forecasts (selected fields for last 5 years), and about regional analyses and forecasts (selected fields for last 5 years), of heights, temperature and moisture on mandatory pressure levels (currently 16 levels from 1000-10 hPa) as well as several surface based fields. The information is kept online in real time and then a subset is stored on digital tape. There are digital archives of weather maps and bulletins issued as well as historical records of verification statistics. There are microfilms of weather maps (1957-

March, 1994) of hemispheric analyses of the surface, 850, 700, and 500 hPa levels.

**Topics:** Weather forecast archives.

**Format:** Microfilm, digital tapes.

**Program Record Number:** ENV MSC 445

#### **Atmospheric Monitoring and Water Survey**

##### **Canadian National Climate Archive**

**Description:** The National Climatological Archive (NCA) contains data sufficient to define the general climate of Canada. Data are retained in three forms - paper, microform and digital. This archive contains the majority of the long-term atmospheric data collected in Canada. The Digital portion of the archive contains data from about 6000 stations from all provinces and territories of Canada. About half are currently active stations. Data covers the period from 1840 to present.

**Topics:** Climatological data; data elements include temperature and precipitation, plus a number of other meteorological parameters such as winds, humidity, solar radiation, snow depth and soil temperature. Elements include monthly means daily climate parameters, and hourly elements. The archive also contains upper air information, ozone measurements, and air quality data.

**Access:** On-line interactive access to National Climate database; also computer print-outs, copies of original paper documents, microfiche, digital diskette and CD-ROM through DOE regional climate services offices and DOE MSC Headquarters - Climate Information Branch.

**Format:** Computer database, microfiche, paper documents.

**Program Record Number:** ENV MSC 550

##### **Instruments**

**Description:** Information on Aeromet Facility Instrumentation.

**Topics:** Instrumentation.

**Program Record Number:** ENV MSC 345

##### **Instruments and Instrument Systems**

**Description:** Information on instruments; general, humidity, evaporation, precipitation, marine, physical phenomena, pressure, radiation, atmospheric sounding wind.

**Topics:** Instrumentation.

**Program Record Number:** ENV MSC 485

##### **Radar**

**Description:** Information on the MOT Radar and Satellite System.

**Topics:** Radar.

**Program Record Number:** ENV MSC 375

### Satellites

**Description:** Information on satellite programs.

**Topics:** Cost recovery; staffing the SKL; ICS Submission; MSC Satellite Programs; SDL Operations; NOSS; SURSAT.

**Program Record Number:** ENV MSC 380

### Water Quality Management Data

**Description:** Information and interpretive reports on the quality of surface and ground waters based on analysis of samples; information on field surveys and analytical methods, and on quality control; water quality guidelines for protection of uses, and water quality objectives for specific surface waters. It does not include water quality objective work done under specific international or federal-provincial basin studies, nor research related to water quality management.

**Topics:** Water pollution, water quality surveys, analytical methods, quality of surface waters, rain water and snow water quality, water quality guidelines, water quality monitoring programs.

**Access:** Files are arranged by subject, geographic location and title in the national and regional ENVIRODAT databases.

**Format:** On-line in the national and regional ENVIRODAT database.

**Program Record Number:** ENV MSC 185

### Water Quantity Management Data

**Description:** Information on data collection, hydrometric and water levels, and sediment, as well as the management and operation of data systems and interpretive reports. These data include data collection under specific international or federal-provincial water management or planning studies and data collection carried out as an integral part of other studies.

**Topics:** Gauging stations, international gauging stations, gauging stations inventory, hydrometric investigations, hydrologic interpretive and analytical reports, sediment links to water quality, sediment surveys, remote sensing, watershed research, tidal gauge records, tidal surveys.

**Access:** Files are arranged by subject, geographic location, river and site location with interactive online access to the national databases HYDAT AND HYDEX.

**Format:** Computer print-outs, microfiche, CD-ROM, online database.

**Program Record Number:** ENV MSC 200

### Services, Clients and Partners

#### Contracts - Satellites

**Description:** Information on contracts for satellite systems; also contracts for satellite research and development - TOVS, RAINSAT, ICE STATUS.

**Topics:** Satellite contracts.

**Access:** Files are arranged by subject and company.

**Program Record Number:** ENV MSC 335

#### Ice

**Description:** Information on regional ice models.

**Topics:** Ice modelling.

**Program Record Number:** ENV MSC 410

#### Ice Information, Consultation and Advice

**Description:** Information on ice forecasting and services, ice research, climatology and Observing Program (reconnaissance).

**Topics:** Ice.

**Program Record Number:** ENV MSC 465

#### Ice Observing Programs - Reconnaissance

**Description:** Information on verification of satellite data.

**Topics:** Ice observing; satellite.

**Program Record Number:** ENV MSC 340

#### Meteorology Training

**Description:** Information on professional training, development, technical training in meteorology.

**Topics:** Training; meteorology.

**Program Record Number:** ENV MSC 475

#### Weather Service

**Description:** Information on RAINSAT.

**Topics:** Weather service.

**Program Record Number:** ENV MSC 385

#### Weather Service - Air Transportation

**Description:** Information on MOT Radar and Satellite System.

**Topics:** Air transportation.

**Program Record Number:** ENV MSC 390

#### Weather Services

**Description:** Information on policies, standards, procedures and guidance concerning the provision of weather services.

**Topics:** General weather services; public weather services; air, marine and road transportation; agriculture; forestry; climatology; preflight weather information service; radio and television broadcasting; scientific support units; weather service outlets.

**Program Record Number:** ENV MSC 435

### Ontario Region

#### National Nuclear Program

**Description:** Ensuring a comprehensive national nuclear approach; directing the examination of environmental impacts of specific nuclear activities, policies and technologies; and reviewing plans, proposals, applications and reports on nuclear industry to ensure consistency with policies of EC. This particular program is run from the Ontario Region as part of their work on

environmental contaminants and sediments.

**Topics:** Environmental impacts of nuclear activities.

**Program Record Number:** ENV ONT 295

## Policy & Communications

### Communications Directorate

#### Communications

**Description:** Information on communications in general and on strategic communications advice, products and support services on key policy (including international affairs and federal-provincial relations) and corporate issues (including corporate planning and internal communications).

**Topics:** Communications.

**Program Record Number:** ENV PAC 530

#### Consultations

**Description:** Information on the public consultation policies, practices and activities of the department.

**Topics:** Public consultations.

**Access:** Environmental Consultations Calendar and other reports.

**Program Record Number:** ENV PAC 545

### Economic and Regulatory Affairs Directorate (ERA)

#### Economic Issues Branch (EIB)

**Description:** Information on economic aspects of departmental policies and programs as well as on integration of environmental considerations into economic decision-making (e.g. making trade and environment policies mutually compatible); associated information on reports, events, announcements; and related information on expert groups within organizations such as the Organization for Economic Co-operation and Development (OECD).

**Topics:** Sustainable development; economic instruments; trade and environment; environment and competitiveness; economics of climate change; OECD reports available for public distribution.

**Program Record Number:** ENV PAC 190

#### Environmental Economics Branch (EEB)

**Description:** Conducts environmental economic research, and policy analysis to support Canadian government policy. This branch has developed expertise and has documentation in the area of economic instruments for environmental policy. EEB has reports and data on the 1981, 1987 and 1991 surveys on the importance of wildlife to Canadians and on the 1996 survey on the importance of nature to Canadians. The branch has reports and data on municipal and industrial

water demand surveys for 1999 and previous surveys conducted every two to three years since 1983. EEB has empirical information and documents related to the economic value and green national accounting of water as natural capital. Documentation and data is available for the Environmental Valuation Reference Inventory (EVEI) which is a storehouse of valuation studies, and the Air Quality Valuation Model (AQVM), which estimates benefits of air pollution policies.

**Topics:** Economic instruments, natural capital, socio-economic indicators of sustainability, Environmental Valuation Reference Inventory, importance of wildlife to Canadians, importance of nature to Canadians, water uses and pricing, benefits transfer.

**Program Record Number:** ENV PAC 585

### Regulatory and Economic Analysis Branch (REAB)

**Description:** Provides strategic economic analysis, advice and support for various environmental issues, including policy development, the implementation and promotion of environment-economy integration, implementation of the environmental management tool box (e.g., economic instruments), development of modelling tools (e.g., AERCo\$t), and the use of cost and benefit valuation. REAB has developed expertise in the areas of cost-benefit analysis, competitiveness analysis, risk management strategies, Regulatory Impact Analysis Statements (RIAS), and impact assessments. REAB also has the responsibility of providing advice on regulatory policy and process issues. The major focus of the work performed by the Branch is in support of the toxic substances and air issues programs led by the Environmental Protection Service (EPS).

**Topics:** Economic and regulatory analysis.

**Program Record Number:** ENV PAC 195

#### Trade and Environment Branch (TEB)

**Description:** Information on trade and investment in the context of environmental policies, issues in various forums: World Trade Organization (WTO), Organization for Economic Co-operation and Development (OECD), North American Free Trade Agreement (NAFTA), Asia-Pacific Economic Co-operation Agreement (APEC), various regional and bilateral negotiations and agreements. Integration of environmental considerations into Canadian trade policy development and decision-making to ensure that trade, investment and the environment are mutually supportive (e.g. current negotiations).

**Topics:** trade and environment; multilateral,



regional and bilateral trade and investment negotiations and disputes; environmental implications of trade and investment policies and trade implications of environmental policies, including Multilateral Environmental Agreements (MEAs).

**Program Record Number:** ENV PAC 705

### **International Relations Directorate**

#### **International Policy and Cooperations Branch**

**Description:** Information on broad policies and strategies relating to DOE's international relations, key international organizations, meetings and agreements dealing with the environment.

**Topics:** International and Bilateral Agreements, and International Multilateral Institutions.

**Access:** Files arranged by subject.

**Program Record Number:** ENV PAC 540

### **Strategic Policy and Partnerships Directorate**

#### **Aboriginal Affairs Branch**

**Description:** Information on relationships between Environment Canada and Aboriginal people in the delivery of our legislation, policies and programs; and environmental management aspects of government-wide Aboriginal policies.

**Topics:** Canada's Aboriginal Action Plan-Gathering Strength, comprehensive land claims and self-government agreements, political accords with national Aboriginal organizations (e.g. Assembly of First Nations, Congress of Aboriginal Peoples).

**Program Record Number:** ENV PAC 140

#### **Federal-Provincial Relations Branch**

**Description:** Information on the broad policy aspects of the relationship between the federal and provincial/territorial governments on environmental issues.

**Topics:** Harmonization; the Canadian Council of Ministers of the Environment; Canada-Wide Standards; Wildlife Ministers Council of Canada.

**Access:** Files arranged by subject.

**Program Record Number:** ENV PAC 505

### **Strategic Policy/Sustainable Development Branches**

**Description:** Information on departmental directions and policies.

**Topics:** Sustainable development; strategic directions, action plans and activities carried out by the department; amendments to the Auditor General Act creating a Commissioner of the Environment and Sustainable Development and requiring departmental sustainable development strategies; relations with clients and stakeholders.

**Access:** Files are arranged by subject.

**Program Record Number:** ENV PAC 515

## **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Business Continuity Plans (BCP)

Classification of Positions

Co-operation and Liaison

Electronic Network and Monitoring Logs

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

Vehicles

## Personal Information Banks

### Applications for Research Grants Science Subventions

**Description:** Each entry in the bank contains information of the following type: educational, financial support for research, new scientific concepts, personal statement of productivity, third party evaluation of the entry. All assessments and grants are processed at Atmospheric Environment Service headquarters from Canadian university faculty members.

**Class of Individuals:** Faculty members of Canadian universities in the environmental sciences or faculties related thereto.

**Purpose:** To provide information used in the annual selection of research proposals to be funded by this institute.

**Consistent Uses:** To assess research proposals in order to award research funds.

**Retention and Disposal Standards:** Maximum five years, destroyed after two years.

**RDA Number:** 78/001

**Related PR#:** ENV MSC 310

**TBS Registration:** 001394

**Bank Number:** ENV PPU 010

### Applications for Studentship in Meteorology or Atmospheric Science

**Description:** To provide personal and academic information used in the annual selection for the provision of studentships at Canadian universities.

**Class of Individuals:** Canadian citizens and permanent residents who have graduated with 3.5 courses in physics and 4.5 courses in mathematics with a 66% average.

**Purpose:** To assess potential recipients of studentships.

**Consistent Uses:** To assess applications for MSC Studentships.

**Retention and Disposal Standards:** Records are retained for a period of two years and are then destroyed. If the applicant becomes an employee, the application is placed on his/her personnel file.

**RDA Number:** 78/001

**Related PR#:** ENV MSC 310

**TBS Registration:** 001397

**Bank Number:** ENV PPU 025

### Applications for Visiting Fellowship Awards

**Description:** Contains information of the following types: demographics, employment, educational, personal references, third party evaluations. All assessments are processed at

Atmospheric Environment Service headquarters. Awards are granted to visiting fellows for their work at headquarters.

**Class of Individuals:** Generally restricted to environmental scientists who have recently completed their doctoral degrees.

**Purpose:** To provide personal and academic information used in the annual selection of visiting fellows to this institute.

**Consistent Uses:** To assess potential candidates for visiting fellowship awards. The file is shared with NSERC.

**Retention and Disposal Standards:** Maximum five years, destroyed after three years.

**RDA Number:** 78/001

**Related PR#:** ENV MSC 310

**TBS Registration:** 001395

**Bank Number:** ENV PPU 015

### Employment Applications

**Description:** This bank can contain employment applications, personal information and curricula vitae from people wishing to work for the Department. All the applicants are registered in the bank. It is established on a regional basis, by service. The bank is used to hold information sent by the candidates.

**Class of Individuals:** Anyone applying for employment with the Department.

**Purpose:** The information contained in this bank is used for staffing purposes.

**Consistent Uses:** Limited to present and future staffing purposes.

**Retention and Disposal Standards:** Maximum five years, destroyed after two years.

**RDA Number:** 78/001

**Related PR#:** ENV PRN 920

**TBS Registration:** 001402

**Bank Number:** ENV PPU 080

### Information Disclosures to Investigative Bodies

**Description:** This bank contains copies of privacy requests and replies as well as requests for disclosure to federal investigative bodies, forwarded by investigative bodies as listed in Schedule II of the Privacy Act under paragraph 8(2)(e) of the same Act. This bank also contains the replies to such requests and gives information related to their processing. It is used to verify the conditions of disclosure to federal law enforcement bodies which are stated in paragraph 8(2)(e) of the Privacy Act, and to report to the Privacy Commissioner on the number of access requests received annually. This bank is comprised solely of requests concerning persons for the purpose of law enforcement, and the replies to such requests.

**Class of Individuals:** Individuals about whom requests for personal information have been received pursuant to paragraph 8(2)(e) of the Privacy Act from federal investigative bodies for the purpose of enforcing a law of Canada or a province, or carrying out a lawful investigation.

**Purpose:** The purpose of this bank is to permit the Privacy Commissioner to review disclosures made under paragraph 8(2)(e) of the Privacy Act to federal investigative bodies for the purpose of enforcing a law of Canada or a province or for carrying out a lawful investigation.

**Consistent Uses:** No consistent uses at this time.

**Retention and Disposal Standards:** Records are retained for five years and are then destroyed.

**RDA Number:** To be determined.

**Related PR#:** ENV HRSI 710

**TBS Registration:** 002326

**Bank Number:** ENV PPU 072

### Post-graduate Fellowships

**Description:** Post-graduate fellowships are intended to provide financial assistance to Canadian citizens and permanent residents who are enrolled in an MSc or PhD program in Meteorology and Atmospheric Services.

**Class of Individuals:** Canadian citizens and permanent residents who have completed undergraduate degrees.

**Purpose:** To provide information in the annual selection of candidates for post-graduate fellowship awards.

**Consistent Uses:** Primary use is to assess fellowship applications.

**Retention and Disposal Standards:** Maximum five years, destroyed after two years.

**RDA Number:** 78/001

**Related PR#:** ENV MSC 310

**TBS Registration:** 001396

**Bank Number:** ENV PPU 020

### Wildlife Permit Information

**Description:** This bank contains information gathered from permits required by Act of Convention for the purposes of protecting, managing, and regulating the use of certain species of birds or animals and their habitat. Specific information includes the Migratory Birds Permit information, which is gathered under the legal requirements of the Migratory Birds Convention Act such as avicultural permits, taxidermists permits, scientific permits, migratory bird damage permits, airport permits, eiderdown permits, Cap Tourmente hunting permits, Migratory Birds Convention Act permits; banding and collecting permits, migratory game birds hunting permits and special permits. Information

obtained through the system permit for the import, export or transit of endangered species is also contained in this database.

**Class of Individuals:** Information such as names, addresses, telephone numbers, occupations, and type of permit requested are kept on individuals applying for Migratory Birds Permits in the five Canadian regions (Pacific and Yukon, Western and Northern Ontario, Québec, and Atlantic Regions); information on banding permits and Migratory Game Bird Hunting Permits is kept at Headquarters.

**Purpose:** To compile information under the Migratory Birds Convention Act if any enquiries are made for legal or other purposes.

**Consistent Uses:** No consistent uses at this time.

**Retention and Disposal Standards:** Retention of 15 years; active for five years and dormant for ten years, then transferred to the National Archives of Canada for selective retention.

**RDA Number:** 84/024

**Related PR#:** ENV EPS 110

**TBS Registration:** 001393

**Bank Number:** ENV PPU 005

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests  
 Business Continuity Planning (BCP)  
 Electronic Network Monitoring Logs  
 Executive Correspondence Management Systems  
 Hospitality  
 Internal Disclosure of Wrong Doing in the Work-Place  
 Relocation  
 Security Video Surveillance & Temporary Visitor Access Control Logs & Building Passes  
 Travel

## Classes of Personal Information

### General Correspondence and Enquiries

Personal information is also stored within subject files where records are not normally retrieved by the name of the individual or other personal identifier. This form of personal information consists of requests for publications, reports etc. and enquiries for information of a general nature.

It is normally retrievable only if specifics are provided concerning the subject matter. Retention of this form of personal information is controlled by the records schedules of the subject files in which the information is stored.

### **Ministerial Correspondence**

This class of information contains correspondence addressed to the Minister and/or the Deputy Minister and received by the Departmental Correspondence Unit from external organizations and individuals in the form of requests for information, complaints, opinions and other submissions related to a broad range of policy issues pertaining to Environment Canada's activities, wherein some unsolicited personal information has been provided by the correspondent. This form of information would be retrievable only if specifics of name, date of communication and subject were provided; it is not arranged or retrievable by personal identifiers. The retention period of these classes of personal information are controlled by the records schedules of the subject files in which the information is stored.

### **Manuals**

- Abstracting Recorded Precipitation - AE209
- A Guide to the New Substances Fees Regulations for the Notification of Chemicals and Polymers and other Services
- Analytical Methods Manual (for water quality)
- Biological Test Method: Acute test for sediment toxicity using marine or estuarine amphipods. 1992 EPS 1/RM/26
- Biological Test Method: Fertilization assay using echinoids (sea urchins and sand dollars). 1992 EPS 1/RM/27
- Biological Test Method: Reference method for determining the toxicity of sediment using luminescent bacteria in a solid-phase test. 2002 EPS 1/RM/42
- Biological Test Method: Sub-lethal toxicity tests to assess sediments intended for disposal at sea. 2001 EPS 1/RM/40
- Biological Test Method: Reference method for determining acute lethality of sediment to marine or estuarine amphipods. 1988 EPS 1/RM/35
- Biological Test Method: Toxicity test using luminescent bacteria (photobacterium phosphoreum). 1992 EPS 1/RM/24
- Canadian Wildlife Service Sign Manual
- CITES Identification Guide - Birds
- CITES Identification Guide - Butterflies
- CITES Identification Guide - Crocodylian
- CITES Identification Guide - Hunting trophies
- CITES Identification Guide - Sturgeons and paddlefish
- CITES Identification Guide - Tropical woods
- CITES Identification Guide - Turtles and tortoises
- CITES Reports
- Climate Change Plan for Canada
- Climatological Studies - AE222
- Conversion Tables
- COSEWIC Operation and Procedures Manual
- Evaporation - AE016
- Federal Guidelines for the National Flood Damage Reduction Program
- Guidance Document on the Collection and Preparation of Sediments for Physicochemical Characterization and Biological Testing. EPS 1/RM/29
- Guidance Manual for the Categorization of Organic and Inorganic Substances on Canada's Domestic Substances List
- Guide for Reporting to the National Pollutant Release Inventory
- Guidelines for Joint Federal-Provincial River Basin Planning Projects
- Guidelines for the Notification and Testing of New Substances: Chemicals and Polymers
- Guidelines for the Notification and Testing of New Substances: Organisms
- Guidelines for Reporting for the Domestic Substances List
- Guidelines for Wildlife Policy in Canada
- Hinterland Who's Who
- Hydrodynamic Model Documentation Manual
- Hydrologic Design Methodologies for Small Scale Hydro at Ungauged Sites
- Hydrometric Surveys - Field and Office Manual (approximately 45, including manuals on HYDAT - a database for stream flow and water level data)
- Manual of Climatological Observations

- Manual of Marine Weather Observing (MANMAR) - AE003
- Manual of Standard Procedures for Issuing Aviation Forecast Bulletins, Advisories and Messages (MANAIR) - AE005
- Manual of Surface Weather Observations (MANOBS) - AE001
- Manual of Upper Air Observations (MANUPP) - AE002
- Manual of Word Abbreviations (MANAB) - AE205
- Migratory Birds - Bird Banding Manual
- Monograph Series
- NAQUADAT - Guide to Interactive Retrieval (for water quality data)
- National Environmental Indicator Series
- National Guidelines for Monitoring Dredged and Excavated Material at Ocean Disposal Sites. EPS M-386
- National Reports on Climate Change
- Reference Guide to Automatic Weather Observing System Reports - AE017
- Sampling for Water Quality
- Scientific and Technical Publications Report Series
- Small-Hydropower Handbook for British Columbia
- Snow Surveying - AE208
- Soil Temperature - AE015
- Solar Radiations
- Storm Rainfall in Canada - AE230
- Sunshine - AE012
- Transactions of Federal-Provincial Wildlife Conferences (Last publication 1989)
- Trends in Canada's Greenhouse Gas Emissions
- Water Management Model Manual
- Water Use Analysis Model Manuals
- Wind - AE207

## Additional Information

Requests for further information about the Department's programs and functions may also be directed to the following addresses:

### Atlantic Region

Environment Canada  
Queen's Square, 15th Floor  
45 Alderney Drive  
Dartmouth NS B2Y 2N6  
Tel.: (902) 426-7231

### Meteorological Service of Canada

Environment Canada  
4905 Dufferin Street  
Downsview ON M3H 5T4  
Tel.: (416) 739-4826

### Canadian Meteorological Centre

Environment Canada  
Suite 300  
2121 Trans Canada Highway  
North Service Road  
Dorval QC H9P 1J3  
Tel.: (514) 421-4601

### Electronic Communications

Access to Environment Canada's Green Lane on the Information Highway  
(Web Site: [www.ec.gc.ca](http://www.ec.gc.ca))

### Environmental Conservation Service

Communications  
Place Vincent Massey, 9th floor  
351 St. Joseph Boulevard  
Gatineau QC K1A 0H3  
Tel.: (819) 994-0011

### Environmental Protection Service

Communications  
Place Vincent Massey, 12th floor  
351 St. Joseph Boulevard  
Gatineau QC K1A 0H3  
Tel.: (819) 997-6555

### General Enquiries

Inquiry Centre  
Place Montcalm III  
7th floor  
70 Cremazie  
Gatineau QC K1A 0H3  
Tel.: (819) 997-2800  
Toll-free: 1-800-668-6767  
Fax: (819) 953-2225  
Web Site: [www.ec.gc.ca](http://www.ec.gc.ca)

### Ontario Region

Environment Canada  
4905 Dufferin Street  
Downsview ON M3H 5T4  
Tel.: (416) 739-4994

**Pacific and Yukon Region**

Environment Canada  
Suite 201, 401 Burrard  
Vancouver BC V6C 3S5  
Tel.: (604) 664-9100

**Prairie and Northern Region**

Environment Canada  
4999 – 98th Avenue  
Edmonton AB T6B 2X3  
Tel.: (780) 951-8600

**Quebec Region**

Environment Canada  
1141 Route de l'Église, 7th floor  
P.O. Box 10100  
Ste-Foy QC G1V 4H5  
Tel.: (418) 648-7204

**Reading Room****National Capital Region**

Departmental Library  
Place Vincent Massey, 2nd Floor  
351 St. Joseph Boulevard  
Gatineau QC K1A 0H3  
Tel.: (819) 997-1767

# Export Development Canada

## Chapter 59

**Note:** This institution is not subject to the Access to Information Act.

### General Information

#### Background

Export Development Canada (“EDC”) was named Export Development Corporation prior to December 21, 2001. EDC was established on October 1, 1969, by the Export Development Act and is an agent of Her Majesty in right of Canada. EDC is a Crown corporation whose shares may be owned only by Canada and is accountable for its affairs to Parliament through the Minister for International Trade. Both Export Development Canada and its predecessor, the Export Credits Insurance Corporation which commenced operations in 1944, were created to facilitate and develop trade between Canada and other countries.

#### Responsibilities

EDC is devoted exclusively to providing trade finance services to support Canadian exporters and investors in some 200 markets.

The Corporation achieves this through a wide range of flexible and innovative financial solutions to exporters across Canada and their customers around the world. Its risk management services – including insurance, financing and guarantees – have become an integral part of the export strategies of many large and small Canadian companies.

#### Legislation

- The Export Development Act

#### Organization

Office of the President and CEO of EDC

Business Development

Business Solutions and Technology

Corporate Secretariate and Legal Services

Finance

Financial Services

Human Resources

### Information Holdings

**Note:** This institution is not subject to the Access to Information Act

#### Personal Information Banks

##### Access Request Data Bank

**Description:** This bank contains the access request forms sent by individuals requesting information about themselves held by the Corporation; the replies to such requests and information related to their processing.

**Class of Individuals:** Current and former employee and the general public.

**Purpose:** For processing access requests only and to report on the number of requests received annually. Records are maintained in chronological order under the name of the individual requesting the information.

**Consistent Uses:** None

**Retention and Disposal Standards:** Records retained for two years or until such time as the individual has had the opportunity to exercise all his or her rights under the Privacy Act.

**RDA Number:** 98/001

**Related PR#:** EDC 114 and EDC 502

**TBS Registration:** 000150

**Bank Number:** EDC PPU 005

##### Financing, Insurance and Equity Programs

**Description:** This bank contains records such as application forms, financial statements, credit reports and other information relating to the administration of EDC’s financing, insurance and equity programs.

**Class of Individuals:** Individuals who have applied for EDC’s support under its financing, insurance and equity programs. Further, personal information about other individuals may also be accumulated in this bank as it is more fully described under the “Classes of Personal Information” heading.

**Purpose:** To determine the eligibility for EDC’s support under offered programs and, as the case may be, facilitate the administration of a transaction.

**Consistent Uses:** The information may also be used for statistical research purposes, and for planning, implementing and evaluating various programs offered by EDC. With the agreement of the applicant, EDC may disclose selected personal information about a successful applicant. This information includes: the name of the principal counterparty involved in the transaction;

the EDC financial service provided; a general description of the commercial transaction/project; the amount of EDC support in an approximate dollar range; and the name of the applicant.

**Retention and Disposal Standards:** Records are retained for two years after the last administrative action on file, at which time the records are destroyed.

**RDA Number:** 98/001

**Related PR#:** EDC 700 and EDC 800

**TBS Registration:** 005224

**Bank Number:** EDC PPU 015

### Canadian Legislation Compliance Program

**Description:** This bank contains personal information collected by EDC from the outside sources described below, under the authority of a program established for the purpose of ensuring that EDC complies with United Nations Suppression of Terrorism Regulations made pursuant to the United Nations Act as well as the Anti-Terrorism Act and Regulations made there under. This personal information consists of a list of names of suspected terrorists and in some cases includes alias, date and country of birth. The sources of such personal information are a) the United Nations Suppression of Terrorism Regulations made pursuant to the United Nations Act which refer to i) the list established by the Committee of the Security Council of the United Nations and ii) names listed pursuant to the said Regulations and b) the Regulations Establishing a List of Entities made pursuant to the Anti-Terrorism Act which lists names. This bank may also contain other records relating to the administration of the program such as exchange of correspondence with security and intelligence authorities. The information in this bank is linked to EDC Financing, Insurance and Equity Program database (EDC PPU 015).

**Class of Individuals:** 297 names are currently on the list established pursuant to the United Nations Act and the United Nations Suppression of Terrorism Regulations and 77 names are listed pursuant to the Anti-Terrorism Act and Regulations made thereunder. Many names appear in more than one list.

**Purpose:** The purpose of this bank is to ensure that EDC does not transact business with or involving individuals who are suspected of being engaged in terrorist activities and identified as such pursuant to the United Nations Suppression of Terrorism Regulations as well as the Anti-Terrorism Act.

**Consistent Uses:** The bank may also be used to: (i) authenticate decisions on refusing to provide any financial or related services for the benefit of

any listed person; (ii) determine whether EDC is in possession or control of any property owned or controlled by or on behalf of a person listed in the Regulations, and, (iii) report to the security and intelligence authorities any information collected or generated by EDC with respect to any listed person.

**Retention and Disposal Standards:** Personal information collected from outside sources is retained as long as necessary to comply with Canadian legislation. Other personal information is retained for two years after the last administrative use at which time the records are destroyed.

**RDA Number:** 98/001

**Related PR#:** EDC 2014 and EDC 2600

**TBS Registration:** 005340

**Bank Number:** EDC PPU 100

### Telephone Services Audit Database

**Description:** This bank contains records of the use of EDC's telephone services. In particular, it contains details of telephone calls placed from and to EDC telephones and may include the name of the individual associated therewith, the incoming and outgoing call telephone number, the length of the call, the date and time of the call and the cost associated therewith. This information is also available for calls placed via EDC's calling card program.

**Class of Individuals:** Individuals placing a call from and to EDC telephones and employees using a calling card issued by EDC.

**Purpose:** To manage, control, forecast, plan and analyze the performance of EDC's telephone services.

**Consistent Uses:** The information is provided routinely and as required to responsibility centre managers to enable them to manage and control telephone usage, allocate costs internally and ensure the appropriate use of the services.

**Retention and Disposal Standards:** This information is maintained for two years after a report is issued and then destroyed.

**RDA Number:** 98/001

**Related PR#:** EDC 426

**TBS Registration:** 005341

**Bank Number:** EDC PPU 105



## Classes of Personal Information

In the course of conducting the programs and activities of Export Development 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 EDC's program services. This form of personal information is retrievable if specifics are provided concerning transactions filed e.g. names of exporters, countries and 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, accounts payable and library files. 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.

### Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Privacy Act.

Requests for further information about the department and its programs and activities may be directed to:

Privacy Coordinator  
Export Development Canada  
151 O'Connor Street  
P.O. Box 655  
Ottawa ON K1P 5T9  
Tel.: (613) 598-2899

# Farm Credit Canada

## Chapter 60

### General Information

#### Background

Established in 1959 under the Farm Credit Act, Farm Credit Canada (formerly Farm Credit Corporation) (FCC) is a federal Crown corporation reporting to Parliament through the Minister of Agriculture and Agri-Food.

Amendments passed in 1993 changed the act to the Farm Credit Corporation Act.

On June 14, 2001 Royal Assent was given to amendments to the Farm Credit Corporation Act. The Farm Credit Canada Act broadened FCC's mandate to provide more financial and business management options for Canadian producers and farm-related businesses. At the same time the word Canada was added to the corporation's name.

#### Responsibilities

The purpose of FCC is to enhance rural Canada by providing specialized and personalized business and financial services and products to farming operations, including family farms, and to those businesses in rural Canada, including small and medium-sized business, that are related to farming. The primary focus of the activities of FCC shall be on farming operations, including family farms.

#### Legislation

- Farm Credit Canada Act

#### Organization

A Board of Directors comprised of up to 12 members governs FCC. The Board of Directors is responsible for overseeing FCC's management and business in the best interest of FCC and the long-term interest of the Government of Canada as required and set down in the Farm Credit Canada Act and the Financial Administration Act.

#### Chief Executive Officer

Working with the Board of Directors, FCC's President and Chief Executive Officer (CEO) is responsible for the strategic leadership of the corporation.

#### Office Locations

FCC has approximately 1,100 staff located in approximately 100 offices across Canada serving its customers. FCC's Corporate Office is located in Regina, Saskatchewan.

#### Operating Structure

##### National Sales & Services

National Sales and Services is mandated to anticipate market trends, customers needs and to deliver the right products and services to FCC's customers at the right cost. The main focus is to provide financing and financial solutions to FCC customers and potential customers.

##### FCC AgExpert

FCC's AgExpert division provides accounting and field management software that helps farmers enhance management practices

##### Enterprise Integration & Innovation

Responsible for the business and technical requirements of the corporation, at the enterprise level, so as to optimize integration between processes and systems and enhance the customer's experience across channels. Also responsible for the internal management and review of FCC's business and activities and rethinking and redesigning business processes throughout FCC to achieve improvements in critical measures of performance.

##### Finance

Responsible for managing the transactional risk and overseeing national portfolio quality, loan administration, financial management and management reporting, managing debt issuance, cash flow and liquidity, dealer and investor relationships, investment portfolio and interest rate risk.

##### Human Resources & Organizational Development

The purpose of Human Resources is to provide FCC with services in human resource planning and information, organizational development, staffing, compensation and benefits including pensions and employee relations to ensure that FCC has a competitive and diverse workforce.

This division is also responsible for national facilities management and the management of Corporate Office functions such as the mailroom,

reception, and administrative policies and procedures, including travel and expense and relocation.

### Information Technology

This division provides seamless and reliable computing infrastructure, applications and support services to the corporation.

### Legal Services

Legal services provides advice, interpretation and guidance on legal matters affecting the corporation.

### Partners and Channels

Traditionally, FCC has conducted business directly with customers through a network of offices strategically located across Canada. This division's objective is to improve and expand the products and services available to the agriculture industry and individual producers by encouraging potential partners to complement FCC's service offerings and to improve customer choice by developing alternate delivery channels.

### Strategy, Knowledge, & Reputation

Responsible for managing FCC's reputation through strategies such as media relations, public relations and public affairs. It also manages the corporation's official languages program. It leads FCC's strategic and corporate planning process, and maintains effective government and parliamentary and industry relations. Strategy, Knowledge & Reputation is responsible for developing and implementing FCC's knowledge management strategy.

### FCC Ventures

FCC Ventures is the venture capital/private equity division of Farm Credit Canada. FCC ventures invests in Canadian businesses that are dedicated to serving and advancing agriculture in Canada and throughout the global economy. FCC Ventures focuses on providing equity and quasi-equity financing to small and medium-sized companies.

## Information Holdings

### Program Records

#### Administration Services

**Description:** Administrative services generally; mail, messenger and postal services; records management; security services; telecommunications; travel and transportation services, receptionist services; buildings and

properties generally; procurement policy; and employee relocation.

**Topics:** Security Policy, internal telephone lists, telecommunications contracts; Travel Policy, mileage rates, facilities management including lease management, alterations, contracts, maintenance and furniture acquisition, site design, employee relocation information.

**Access:** Files arranged alphabetically.

**Format:** Paper and electronic.

**Program Record Number:** FCC HR ADM 100.04/05

#### AgExpert

**Description:** Correspondence, policy, procedures and records related to the development and publishing of agricultural management software for farmers, ranchers and agricultural producers. Information on customers and potential customers.

**Topics:** Agricultural / farming accounting, production, planning, analysis information.

**Access:** Files are stored alphabetically and numerically.

**Format:** Paper and electronic.

**Program Record Number:** FCC AgEx 100.04/05

#### Agri-Assurances

**Description:** Insurance coverage program for FCC customers. Life insurance studies, tenders, operations, rulings, interpretations, reports and claims, sales program, and policy.

**Topics:** Applications for Life Insurance; products offered; general correspondence; life insurance reports; outstanding claims.

**Access:** Files arranged by subject and province.

**Format:** Paper and electronic.

**Program Record Number:** FCC LifeIns 100.04/05

#### Agricultural Statistics and Economics

**Description:** Statistical data, reports, forecasts, trends, related correspondence.

**Topics:** Agricultural statistics and economics; economic and market outlook; interest rate trends; farm product prices; farm income and costs; forecasting on Farm Credit Canada lending; land values; financial markets; financial instruments; quota values.

**Access:** Files arranged numerically by subject.

**Format:** Paper, electronic and publications.

**Program Record Number:** FCC ADM 045

#### AgriSuccess

**Description:** Correspondence, policy, procedures and records related to the development of education, training and tools for individuals involved in agriculture. Participant lists.

**Topics:** Workshop and seminar information; presenters; participant lists; business planning award program; publications; FCC partners.

**Access:** Files are stored alphabetically and numerically.

**Format:** Paper and electronic.

**Program Record Number:** FCC BusServ 100.04/05

### **Collections and Recovery**

**Description:** Information on collection matters including policies, directives, rulings, reports, instructions, legal procedures, statistics, taxes, acquisition and disposition of property, analyses, estimates.

**Topics:** Policies; correspondence; collection procedures; taxes on security; arrears reports; foreclosures, power of sale, quit claims; bankruptcies; legal action reports; recovery action summaries; forecasts of losses.

**Access:** Files arranged by subject and province.

**Format:** Paper and electronic

**Program Record Number:** FCC ADM 105

### **Financial Model**

**Description:** Information on the financial model used to develop interrelated balance sheet, income statement and financial ratios.

**Topics:** FCC financial policies and directives, guidelines for preparing financial reports.

**Access:** Files arranged by subject.

**Format:** Paper and computer.

**Program Record Number:** FCC FIN 100.04/05

### **Farm Credit Canada - Lending Policy**

**Description:** Policy directives, rulings and reports on Farm Credit Canada's lending policy.

**Topics:** Correspondence; guidelines; eligibility; purposes; amount, terms and conditions of loans; interest rates; forms and procedures; loan monitoring; customer support strategy.

**Access:** Files arranged numerically by subject.

**Format:** Paper and electronic.

**Program Record Number:** FCC LOM 100.04/05

### **Farm Credit Canada - Loan Administration**

**Description:** Information on policy, rulings, fire insurance, forms and procedures, disbursements, notices, statements, security, legal opinions, suspense and liaison related to administration of loans under the Farm Credit Canada Act.

**Topics:** Correspondence; policy; fire insurance; new loan documentation; Commodity-based loans; Shared Risk Mortgage loans; retained funds; installment notices; activity statements; retired and assumed loan documentation; collateral security; partial interest, surface leases and easements; legal opinions; suspense funds disbursements; liaison.

**Access:** Files arranged by subject and province.

**Format:** Paper and electronic.

**Program Record Number:** FCC ADM 090

### **Official Languages**

**Description:** Official languages generally; identification and designation of bilingual positions and offices; language testing, language training.

**Topics:** Correspondence; test results; language training participants; translation statistics; translation requests.

**Access:** Files arranged numerically and alphabetically.

**Format:** Paper and electronic files;

**Program Record Number:** FCC OffLang&Trans 100/03\_04

### **Research**

**Description:** Research reports, studies, data and correspondence.

**Topics:** Research projects; farm financial surveys; surveys – financial conditions; loan risk analysis; farm management initiatives.

**Access:** Files arranged numerically by subject.

**Format:** Paper.

**Program Record Number:** FCC ADM 050

### **Farm Credit Canada - Valuations**

**Description:** Correspondence and information on valuation support services for FCC program operations. FCC's Valuations prepares and publishes Farm Land Value Reports semi-annually.

**Topics:** Aerial photographs, valuations, sales research, land values.

**Access:** Files arranged numerically by geographic area and subject.

**Format:** Paper and electronic.

**Program Record Number:** FCC VAL 100.04/05

### **Venture Capital**

**Description:** Correspondence, policy, procedures and records related to the disbursement and monitoring of funds where there is an investment or venture capital factor.

**Topics:** Enquiries; submission and authorization procedures, policy and procedures on superseding and supplementary proposals; disbursements; monitoring of investments; underwriting; mergers, acquisitions and divestitures, arrears, category classification, write-offs.

**Format:** Electronic and Paper

**Access:** Files are arranged alphabetically and numerically.

**Program Record Number:** FCC Ventures 100.04/05

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Audits

Budgets

Employment and Staffing

Finance

Human Resources

Pensions and Insurance

Personnel

Procurement

Training and Development

## Personal Information Banks

### Applications for Employment

**Description:** This bank contains recruitment documents or applications for employment with FCC and any related correspondence. This bank may also contain personnel or staffing interviews, psychological tests, test results and analysts' reports.

**Class of Individuals:** Potential FCC employees.

**Purpose:** To meet the human resources needs of FCC.

**Consistent Uses:** Information may be transferred to an employee bank if the individual is offered and accepts employment. This information may also be used for research, planning, evaluation and statistical purposes.

**Retention and Disposal Standards:** Individual application/resumes that are not considered during a staffing process are retained for six months after receipt of the application and then destroyed. Applications/Resumes considered during a staffing process are retained for 2 years following the expiry of the eligibility list or after the last administrative use and then destroyed.

**RDA Number:** 98/001

**Related PR#:** FCC ADM 920

**TBS Registration:** 003008

**Bank Number:** FCC PPU 015

### Loan and Lease Administration – Client Files

**Description:** This bank contains information relating to farmers who have loans under the Farm Credit Canada Act, the Farm Credit Corporation Act, the Farm Credit Act and the Farm Syndicates Credit Act and farmers who

lease property from FCC. The information consists of loan documentation, loan assumptions, loan renewals, financial statements and arrangements, leases, property management and administration, legal documentation and copies of correspondence relating to the ongoing administration of FCCA, FCA and FSCA loans and FCC properties.

**Class of Individuals:** Farmers who have loans under FCCA, FCA and FSCA and tenants of FCC properties.

**Purpose:** The purpose of this bank is to administer and monitor client loans and FCC properties.

**Consistent Uses:** Information in this bank is used for statistical purposes, monitoring, renewals, collections and legal recovery actions, Loan Review Board and Farm Debt Review Board hearings and the general administration of loan accounts and properties.

**Retention and Disposal Standards:** Records on approved loans are retained for a maximum period of 32 years, or two years from the date the loan is fully repaid, whichever is the lesser period, and then destroyed. Files for abortive/cancelled loans, or withdrawn/rejected applications are kept a maximum of two years from date of such action and then destroyed.

**RDA Number:** 97/027

**Related PR#:** FCC ADM 090

**TBS Registration:** 003006

**Bank Number:** FCC PPU 010

### Loan Applications – Client Files

**Description:** This bank contains information relating to individuals who apply for loans under the Farm Credit Canada Act and information relating to individuals who applied for loans under the Farm Credit Corporation Act, the Farm Credit Act and the Farm Syndicates Credit Act. The information consists of loan application forms, financial statements, farm appraisal reports, personal income and other client profile information, client appeals, copies of correspondence relating to the repayment and ongoing administration of FCCA, FCA and FSCA loans and related legal documentation.

**Class of Individuals:** Farmers who apply for loans under FCCA and those who applied for loans under FCA and FSCA .

**Purpose:** The purpose of this bank is to determine eligibility for loans and the administration of loans.

**Consistent Uses:** Information in this bank is used for statistical purposes, monitoring, loan renewals, collection and recovery administration and Loan Review Board and Farm Debt Review

Board hearings.

**Retention and Disposal Standards:** Records on approved loans are retained for a maximum period of 32 years, or two years from the date the loan is fully repaid, whichever is the lesser period, and then destroyed. Files for abortive/cancelled loans, or withdrawn/rejected applications are kept a maximum of two years from date of such action and then destroyed.

**RDA Number:** 97/027

**Related PR#:** FCC ADM 090

**TBS Registration:** 003937

**Bank Number:** FCC PPU 005

### Loan Review Board Members

**Description:** This bank contains information relating to individuals who are members of the Loan Review Board. The information consists of biographical data.

**Class of Individuals:** Individuals who are members of the Loan Review Board.

**Purpose:** The purpose of this bank is to collect background information on Loan Review Board members.

**Consistent Uses:** None.

**Retention and Disposal Standards:** This information is retained throughout the appointment period and destroyed 3 years after the end of the appointment.

**RDA Number:** To be determined

**Related PR#:** FCC ADM 090

**TBS Registration:** 003650

**Bank Number:** FCC PPU 050

### Mailing Lists

**Description:** This bank contains mailing lists with the names and addresses of individuals, academic and farming organizations, firms, companies, groups, etc.

**Class of Individuals:** Individuals, academic and farming organizations, firms, companies, groups, government officials, etc.

**Purpose:** To maintain standard lists of individuals, organizations, groups, businesses, etc. for the purpose of mailing publications, reports, newsletters, press releases and other documentation on FCC's activities, programs and marketing.

**Consistent Uses:** The information is used to mail and distribute documentation to individuals on the mailing lists.

**Retention and Disposal Standards:** Records are updated continuously and the information is kept until deleted from list or superseded.

**RDA Number:** 98/001

**Related PR#:** FCC ADM 903

**TBS Registration:** 003009

**Bank Number:** FCC PPU 020

### Requests from Federal Investigative Bodies

**Description:** This bank contains requests for personal information pursuant to paragraph 8(2)(e) of the Privacy Act by federal investigative bodies, the replies to such requests, the records of information disclosed, any correspondence with the Privacy Commissioner and all records relating to the processing of the requests.

**Class of Individuals:** Individuals being investigated by federal investigative bodies.

**Purpose:** The purpose of this bank is to meet the requirements of the Act.

**Consistent Uses:** Compiling statistics relating to requests from federal investigative bodies.

**Retention and Disposal Standards:** Files are retained for two years after their last administrative action and are then destroyed.

**RDA Number:** 98/001

**Related PR#:** FCC ADM 130

**TBS Registration:** 003010

**Bank Number:** FCC PPU 025

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

## Manuals

- Lending Manual
- Administration Policy Manual
- Human Resource Policy Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Farm Credit Canada under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Farm Credit Canada.

The public may direct enquiries for information about the Corporation and its policies and procedures to:

**Farm Credit Canada**

Attn: Privacy Officer  
1800 Hamilton Street  
P. O. Box 4320  
Regina SK S4P 4L3

Tel.: (306) 780-8100

**Reading Room**

Corporate Office boardrooms (located at the address listed above under Additional Information) have been designated under the Access to Information Act as public reading rooms.

# Federal Bridge Corporation Limited

## Chapter 61

### General Information

#### Background

The Federal Bridge Corporation Limited (FBCL) was established in 1998 under the Canada Business Corporations Act, and is designated a proprietary corporation (Schedule III, Part 1) within the meaning and purpose of the Financial Administration Act.

#### Responsibilities

The Corporation was incorporated with the mandate to replace The St. Lawrence Seaway Authority as the corporate body with the responsibility for superintending the Authority's non-navigational assets. The St. Lawrence Seaway Authority was dissolved on December 1, 1998 pursuant to provisions of the Canada Marine Act. The management of the Authority's navigational assets was transferred to a not-for-profit corporation while the Authority's non-navigational assets were transferred to FBCL.

FBCL also ensures the acquisition of lands for the construction, maintenance and operation, alone or in conjunction with an appropriate authority in the United States, of bridges connecting Canada with the United States; and the acquisition of lands for, and construction or acquisition, maintenance and operation of such bridges and works or other property as the Governor in Council may deem necessary. FBCL reports to Parliament through the Minister of Transport.

The Seaway International Bridge Corporation, Ltd.: An FBCL subsidiary with a head office, located in Cornwall, Ontario, operates and manages an international toll bridge system between Cornwall, Ontario and Rooseveltown, New York, on behalf of the owners – The Federal Bridge Corporation Limited of Canada and the Saint Lawrence Seaway Development Corporation of the United States.

The St. Mary's River Bridge Company, owner of the portion of the Sault Ste. Marie International Bridge situated in the Province of Ontario, and an FBCL subsidiary, entered into an agreement for the maintenance and operation of the Bridge with the Michigan Department of Transportation. This international bridge links Sault Ste. Marie, Ontario and Sault Ste. Marie, Michigan.

The Jacques Cartier and Champlain Bridges Incorporated, an FBCL subsidiary, was established to provide the public with a safe and efficient transit across the Jacques Cartier, the Champlain and the Honoré – Mercier Bridges, along the Bonaventure Autoroute, the Champlain Bridge Jetty (cyclists) and through the Melocheville Tunnel, structures situated in the Greater Montreal region.

The main business involvement of FBCL at the Thousand Islands Bridge is the operation of the Canadian portion of the Thousand Islands Bridge System at Ivy Lea, Ontario which is administered for FBCL on a contract basis, by the Thousand Islands Bridge Authority of the United States.

#### Legislation

- Financial Administration Act
- The Jacques Cartier and Champlain Bridges Inc. Regulations SOR/98-568
- The Seaway International Bridge Corporation, Ltd. Regulations, SOR/98-569 and SOR/99-140

#### Organization

The full-time President, appointed by Order-in-Council, and two part-time Directors, appointed by the Minister of Transport, constitute the Corporation's board of directors. The President, the Corporate Secretary and Legal Counsel, the Vice-President, Engineering and Construction, the Vice-President, Communications, the Director of Administrative Services, the Senior Director of Human Resources, the Director, Engineering and Construction, the Administrator, Leases and Licenses and the Records Manager are located in the Corporation's head office in Ottawa.

#### Corporate Services

Support the board of directors and staff by providing specialized services, analytical skills, expertise, assistance and advice in the technical and management areas of the Corporation's organization to respond effectively to the Corporation's business needs and objectives. Provide pro-active leadership and facilitation skills in formulating corporate-wide policies, programs, standards, procedures and policies.

Assist the board of directors and staff in determining strategic directions for the Corporation. Provide input and leadership in the determination of strategic objectives and help



develop action plans and tactical strategies to meet objectives. Monitor and respond to external legislation and regulations affecting the Corporation. Effect research and feasibility studies that could have corporate-wide implications, and assist in their implementation.

### Engineering and Construction

This service is in charge of realizing engineering studies, see to the conception of plans and term of references, put out call for tenders, manage construction projects related to bridge rehabilitation. Provide technical support to the subsidiaries.

### Administrative Services

These services include Purchasing and Office Support, Real Property Management, Records Management and Risk Management.

Facilitate the setting of corporation-wide standards for asset management. Facilitate the contract tendering process. Manage the administration, the development, leasing or disposal of corporation-wide owned property. Facilitate and coordinate the Risk Management Program and Insurance Portfolio.

### Employee Relations/Human Resources Services

Manage the negotiations of all Collective Agreements and represent the Corporation in the settlement of grievances and other labour issues at the final level. Establish and manage benefits and compensation programs. Coordinate and facilitate the assessment of management training and development needs.

### Finance and Accounting Services

Oversee the integrity of the Corporation's financial statements and report to the board of directors on the financial performance of the organization. Manage the Corporation's treasury portfolio; administer the daily cash flow and project funding requirements; initiate investments for short and long term needs. Plan and coordinate the Corporation's budget process and provide input into the Corporate Plan.

### Subsidiaries and Other Interests

The Corporation has three subsidiaries: The Seaway International Bridge Corporation, Ltd., The Jacques Cartier and Champlain Bridges Incorporated and The St. Mary's River Bridge Company.

The Thousand Islands Bridge is administered by the Thousand Islands Bridge Authority in the

United States under a management agreement between FBCL and the Thousand Islands Bridge Authority.

## Information Holdings

### Program Records

#### Champlain Bridge and Jetty

**Description:** Information about the administration of the Champlain Bridge and Jetty (includes a portion of the Bonaventure Autoroute).

**Topics:** Champlain Bridge and Jetty – general; maintenance and repair contracts; professional service contracts; studies; traffic control; commercial and traffic signs; complaints.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL CHA 010

#### Jacques Cartier Bridge

**Description:** Information about the administration of the Jacques Cartier Bridge.

**Topics:** Jacques Cartier Bridge – general; maintenance and repair contracts; professional service contracts; leases; studies; commercial and traffic signs; accidents; complaints.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL JCB 015

#### Melocheville Tunnel

**Description:** Information about the administration of the Melocheville Tunnel.

**Topics:** Melocheville Tunnel – general; maintenance and repair contracts; professional service contracts; lighting.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL TM 001

#### The Seaway International Bridge

**Description:** Information on the Seaway International Bridge Corporation, Ltd., the South Channel Bridge, the North Channel Bridge and tolls.

**Topics:** Operation and maintenance; agreement with the United States Saint Lawrence Seaway Development Corporation, bridge passes, shareholders' and directors' meetings; studies.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL SEA 020

#### The Thousand Islands Bridge

**Description:** Information on the Thousand Islands Bridge Authority, the Thousand Islands Bridge, leases and tolls.

**Topics:** Operation and maintenance; agreement with the Thousand Islands Bridge Authority, directors' meetings.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL TIB 025

### **The Sault Ste Marie International Bridge**

**Description:** Information on the St Mary's River Bridge Company; the Sault Ste Marie International Bridge; tolls.

**Topics:** Operation and maintenance; agreement with the St Mary's River Bridge Company; shareholder's and directors' meetings; auditing.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL SSM 002

### **Studies**

**Description:** Information relating to studies involving the Corporation.

**Topics:** National Capital Region bridges studies; low rail train (LRT)-Jetty study.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL 117 100

### **Administrative Services**

**Description:** Information relating to the organisation and operation of the Corporation.

**Topics:** Link the activities between the different government departments; committees and board of Directors minutes; information on legal matters of the Corporation; leases and licences management and records management.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL 100 101

### **Financial Services**

**Description:** Information relating to the financial management of the Corporation.

**Topics:** Establishing the budget; payroll management; book-keeping and financial statements.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL 400 102

### **Communications**

**Description:** Information on the external communications of the Corporation.

**Topics:** Publishing such as the annual report and the corporate plan; public and media relations.

**Access:** The information is filed with the concerned department.

**Program Record Number:** FBCL 200 103

## **Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Hospitality

Relocation

Travel

## **Personal Information Banks**

### **Contract files**

**Description:** Information concerning Corporate contracts in order to obtain professional services, construction services, leases and licences and agreements. It contains information such as: Board submissions, signed contracts, tenders, correspondence relating to the contract, company insurance documents, renewal letters.

**Class of Individuals:** General public.

**Purpose:** Maintain information on the call and awarded contracts, the type, duration and cost.

**Consistent Uses:** May be used for research purpose for future contracts.

**Retention and Disposal Standards:** Retained 6 years after the outcome. Then destroyed except documents pertaining to capital assets which are retained indefinitely.

**RDA Number:** TBD

**Related PR#:** FBCL 100 101

**TBS Registration:** 005305

**Bank Number:** FBCL PPU 015

### **Tender files**

**Description:** Information concerning the call for tenders, the terms of reference, the analyses of the submitted tenders.

**Class of Individuals:** General public.

**Purpose:** Maintain information on the call for tenders and the terms of reference.

**Consistent Uses:** May be used for research purpose for future call for tenders and terms of reference.

**Retention and Disposal Standards:** Retained seven years and then destroyed.

**RDA Number:** TBD

**Related PR#:** FBCL 100 101

**TBS Registration:** 005304

**Bank Number:** FBCL PPU 025

### **Consultation request files**

**Description:** Information concerning requests submitted for access to records of the Corporation and personal information files, the replies to such requests and any other information relevant to their processing.

**Class of Individuals:** General public.

**Purpose:** Maintain information on the requests made under the Access to Information and Privacy Acts.

**Consistent Uses:** May be used to reply to information requests and to prepare annual reports on the number of requests received.

**Retention and Disposal Standards:** Retained eight years after the outcome. Then destroyed except access requests having received decision of the Commissioner which are retained indefinitely.

**RDA Number:** TBD

**Related PR#:** FBCL 100 101

**TBS Registration:** 005317

**Bank Number:** FBCL PPU 010

#### Financial files

**Description:** Information concerning record program expenditures and revenues. It contains the names and addresses of firms and individuals, invoices and amounts owing and any supporting documentation to substantiate the account.

**Class of Individuals:** General public, Corporation and Employees.

**Purpose:** Maintain information on the payment of accounts owing to firms and individuals, for the reimbursement of travel expenses to corporate employees, on the recovery or payment of monies owing to the Corporation.

**Consistent Uses:** May be used for accounting, reference and statistical purposes.

**Retention and Disposal Standards:** Retained seven years and then destroyed except some type of documents that are retained indefinitely like budget, financial statement, auditing and property assessment.

**RDA Number:** TBD

**Related PR#:** FBCL 400 102

**TBS Registration:** 005316

**Bank Number:** FBCL PPU 020

#### Application for Employment files

**Description:** Information on employment applications, resumes and replies to applications.

**Class of Individuals:** Individuals seeking employment.

**Purpose:** To retain applications for employment.

**Consistent Uses:** To support decisions regarding the referral of candidates for staffing purposes.

**Retention and Disposal Standards:** Retained two years and then destroyed.

**RDA Number:** TBD

**Related PR#:** FBCL 100 101

**TBS Registration:** 005307

**Bank Number:** FBCL PPU 005

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality

Relocation

Travel

## Manuals

- The Federal Bridge Corporation Limited
- Canada Labour Code
- Policy Manual
- Ontario Property Tax Assessment
- Ontario Assessment Legislation
- Ontario Assessment Act
- Ontario Municipal Act
- Ontario Payments in Lieu of Taxes Act and related Regulations
- Quebec Municipal Code
- Cities and Towns Act
- Corporate Classification Plan and Retention Schedule
- Multi-Institutional Disposition Authorities and Supporting Documentation
- WSIB
- CSST
- Canadian Labour Arbitration
- Canadian Health and Safety Law
- Compensations and Benefits Guide
- Canadian Pay Roll Manual
- National Building Code of Canada
- Contract Administration for Project Managers Manual
- Canadian Highway Bridge Design Code
- Ontario Structure Inspection Manual
- New York State Bridge Inspection Manual
- AASHTO Bridge Design Specifications

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Federal Bridge Corporation Limited under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Federal Bridge Corporation Limited.

Requests for further information may be directed to:

The Federal Bridge Corporation Limited  
Counsel and Secretary  
55 Metcalfe Street, Suite 1210  
Ottawa ON K1P 6L5  
Tel.: (613) 993-6880  
Web Site: [www.federalbridge.ca](http://www.federalbridge.ca)

The Seaway International Bridge Corporation, Ltd.  
Counsel and Secretary  
55 Metcalfe Street, Suite 1210  
Ottawa ON K1P 6L5  
Tel.: (613) 993-6880

The Jacques Cartier and Champlain Bridges  
Incorporated  
General Manager  
111 St. Charles Street West  
West Tower, Suite 600  
Longueuil QC J4R 5G4  
Tel.: (450) 651-8771  
Web Site: [www.jccbi.ca](http://www.jccbi.ca)

## Reading Room

In accordance with the Access to Information Act, an area on the premises of each of the following institutions has been designated as a public reading room. The addresses are:

The Federal Bridge Corporation Limited  
55 Metcalfe Street  
Suite 1210  
Ottawa, Ontario

The Seaway International Bridge Corporation, Ltd.  
Administration Building  
Cornwall Island  
Cornwall, Ontario

The Jacques Cartier and Champlain Bridges  
Incorporated  
1111 St. Charles Street West  
West Tower, Suite 600  
Longueuil, Quebec

# Financial Consumer Agency of Canada

## Chapter 62

### General information

#### Background

The Financial Consumer Agency of Canada (FCAC) was established under the Financial Consumer Agency of Canada Act, on October 24, 2001 as an agency responsible for strengthening the oversight of consumer protection measures in the federally regulated financial sector and for expanding consumer education activities. The federally regulated Canadian financial services sector includes all banks and all federally incorporated or registered insurance, trust and loan companies and co-operative credit associations.

#### Responsibilities

The FCAC is responsible for:

supervising financial institutions to determine whether they are in compliance with the consumer provisions applicable to them; promoting the adoption by financial institutions of policies and procedures to implement consumer provisions applicable to them; monitoring the implementation of financial institutions' publicly available voluntary codes of conduct that are designed to protect the interests of their customers, and to monitor any public commitments made by financial institutions to protect the interests of their customers; promoting consumer awareness about the obligations of financial institutions under consumer provisions applicable to them; and fostering an understanding of financial services and issues relating to financial services, in co-operation with any department, agency or agency corporation of the Government of Canada or of a province, financial institutions and consumer and other organizations.

#### Legislation

- Bank Act
- Co-operative Credit Associations Act
- Financial Consumer Agency of Canada Act
- Insurance Companies Act
- Trust and Loan Companies Act

#### Organization

##### Executive Services

The Agency is headed by the Commissioner who has the rank and powers of a deputy head of a department. He is responsible for exercising the powers, duties and functions assigned to him under the Act and is assisted by a Deputy Commissioner.

##### Legal Services

This Branch is responsible for providing or obtaining legal advice and services pertaining the interpretation of statutes, regulations, and other legal instruments. It is also responsible for providing advice on policy development and preparing legal documents.

##### Administrative Services

This Branch is responsible for providing the administrative services required by the Agency including, human resources and financial services (contracted out to OSFI), access to information and privacy, materiel management, facilities management, records management, informatics (contracted out to PWGSC - GTIS), security, occupational health and safety, and mail and messenger services.

##### Compliance and Industry Relations

This Branch oversees compliance by Federally Regulated Financial Institutions (FRFI's) with the consumer provisions of the legislation applicable to them and monitors adherence with FRFI's Codes of Conduct and Public Commitments that protect the interests of consumers.

##### Consumer Education and Public Affairs

This Branch is responsible for promoting consumer awareness about obligations of financial institutions under the consumer provisions applicable to them and for fostering, in cooperation with other stakeholders (federal/provincial/territorial government departments or agencies, financial institutions, consumer and other organizations) an understanding of financial services and issues relating to financial services. The Branch is also responsible for responding to the financial consumer general service complaints and enquiries service, managing the correspondence unit and for the Web site design and management.

## Information Holdings

### Program Records

#### Compliance and Industry Relations

**Description:** Information on the Agency's relations with the Federally Regulated Financial Institutions (FRFI's) concerning compliance with the consumer provisions contained in their respective legislation and in the FCAC Act as well as correspondence with industry and consumer associations.

**Topics:** Monitoring and compliance general correspondence; research and analysis; complaint information; investigations and examinations; reports and statistics; mystery shopping; financial institution public accountability statements; financial institution annual reports; financial institution complaint procedures; voluntary codes of conduct; financial institution public commitments; branch closures; industry and consumer associations; relations with other countries.

**Access:** Files are arranged by subject and where feasible broken down by institution or organization name.

**Format:** Paper and EDP systems

**Program Record Number:** FCAC CIR 5000

#### Public Affairs and Consumer Education

**Description:** Information on the consumer education program, the outreach program, the financial consumer general service complaints and enquiries service, the correspondence unit and the Web-site design and management.

**Topics:** Design and development of education programs and publications for financial consumers, media relations, call centre, special events such as outreach programs and conferences, surveys and statistics, co-operation and liaison with other federal departments, associations and agencies.

**Access:** Files are arranged by subject.

**Format:** Paper and EDP systems

**Program Record Number:** FCAC PACE 6000

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration and Management Services

Audits

Automated Document, Records, Information Management Systems

Budgets

Buildings and Properties

Business Continuity Plans (BCP)

Classification of Positions

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

### Personal Information Banks

#### Complaints (possible breaches)

**Description:** This bank contains complaints submitted by individuals concerning possible breaches of the consumer provisions related to Federally Regulated Financial Institutions (FRFI's); it includes the name, address, telephone numbers (home and/or work), fax number and e-mail address (as applicable); the nature of the complaint; information related to the investigation and processing of the complaint and replies to the complainant. This information is maintained in our automated Case Management System (WebCims) and may be maintained in paper files.

**Class of Individuals:** Individuals submitting complaints to the FCAC.

**Purpose:** The information is used to determine possible breaches to the consumer provisions contained in the applicable FRFI legislation.

**Consistent Uses:** Information contained in this bank is used to investigate complaints and to determine whether a FRFI was in contravention of the consumer provisions contained in its applicable legislation and, where necessary, to provide evidence for a decision that is appealed to the Federal Court. The information is also used to track and monitor cases, produce statistical reports and trend analysis.

**Retention and Disposal Standards:** Simple case files (i.e. those that are withdrawn or those that are determined not to be breaches of consumer provisions) are retained for five years then destroyed. Cases that are deemed to be possible breaches are retained for 10 years. The information in the Case Management System is retained for 10 years after the last action. Disposal authority has not been given to the Agency yet.

**RDA Number:** TBD

**Related PR#:** FCAC CIR 5000

**TBS Registration:** 005297

**Bank Number:** FCAC PPU 010

### General Complaints (non-breaches), Enquiries / Correspondence

**Description:** This bank contains general complaints, enquiries or requests received from individuals; it includes the name, address, telephone numbers (home and/or work), fax number and e-mail address (as applicable); information related to the processing of requests or enquiries and replies to their enquiries or requests. This information may be maintained in paper files and in our automated Case Management System (WebCims).

**Class of Individuals:** Individuals submitting complaints, enquiries or requests.

**Purpose:** The information is used to prepare replies concerning general enquiries and requests for such things as the role of the FCAC, requests for publications and financial services information.

**Consistent Uses:** The information contained in this bank is used to document general enquiries and requests and replies. The information is also used to track and monitor requests and enquiries, produce statistical reports and trend analysis.

**Retention and Disposal Standards:** These records are retained for five years and then destroyed. The information in the Case Management System is retained for 10 years after the last action.

**RDA Number:** TBD

**Related PR#:** FCAC PACE 6000

**TBS Registration:** 005299

**Bank Number:** FCAC PPU 015

### Contact Database

**Description:** This bank contains information related to FCAC contacts and subscribers to publications. The bank contains names, addresses, date of subscription, and if applicable, titles, name of the organization, telephone and fax numbers and e-mail addresses.

**Class of Individuals:** Individuals who have requested a subscription to our publications and FCAC contacts in financial Institutions, other government organizations, consumer groups and other stakeholders.

**Purpose:** The information is used to maintain mailing lists for the distribution of our publications and contact information.

**Consistent Uses:** The information is used to produce mailing lists and labels for our publications and for distributing correspondence to our contacts in financial institution consultations.

**Retention and Disposal Standards:** These records are retained until superceded.

**Related PR#:** FCAC PACE 6000

**TBS Registration:** 005298

**Bank Number:** FCAC PPU 020

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Administration and Management Services

Automated Document, Records, Information Management Systems

Business Continuity Planning (BCP)

Electronic Network Monitoring Logs

Executive Correspondence Management Systems Logs

Hospitality

Relocation

Security Video Surveillance & Temporary Visitor Access Control Logs & Building Passes

Travel

## Classes of Personal Information

### Other Personal Information Holdings

Some personal information may be gathered by the FCAC while conducting investigations and

examinations. Such information is stored as part of the investigation or examination file where the records are not retrieved by the name of the individual or other personal identifier. The retention periods for these classes of personal information are controlled by the retention period of the subject files in which they are stored.

## Manuals

- Compliance Framework

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Financial Consumer Agency of Canada (FCAC) may be obtained by contacting:

Financial Consumer Agency of Canada  
6th Floor, Enterprise Building  
427 Laurier Avenue West  
Ottawa ON K1R 1B9

### General Enquiries

Tel.: (Toll-free (English) within Canada) 1-866-461-FCAC (3222)

Tel.: (outside Canada): (613) 996-5454

Fax: (Toll free within Canada)  
1-866-814-2224

Fax: (613) 941-1436

E-mail: [info@fcac-acfc.gc.ca](mailto:info@fcac-acfc.gc.ca)

Web Site: [www.fcac-acfc.gc.ca](http://www.fcac-acfc.gc.ca)

Publications: [pub@fcac-acfc.gc.ca](mailto:pub@fcac-acfc.gc.ca)

Access to Information inquiries should be directed to:

Access to Information and Privacy Coordinator  
Financial Consumer Agency of Canada  
6th Floor, Enterprise Building  
427 Laurier Avenue West  
Ottawa ON K1R 1B9  
Tel.: (613) 941-1425

### Reading Room

In accordance with the Access to Information Act, the FCAC has a designated public reading room located at:

6th Floor, Enterprise Building  
427 Laurier Avenue West  
Ottawa, Ontario



# Financial Transactions and Reports Analysis Centre of Canada

## Chapter 63

### General Information

#### Background

The Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) was established by the Proceeds of Crime (Money Laundering) Act (PCMLA), Chapter 17, Statutes of Canada 2000. The PCMLA was proclaimed on July 5, 2000. The PCMLA was amended by the Anti-Terrorism Act, Chapter 41, Statutes of Canada 2001, proclaimed on December 24, 2001. The amendments allowed for the extension of the mandate of FINTRAC to cover matters involving the detection and deterrence of the financing of terrorist activity and matters relating to the security of Canada. The amendments also changed the name of the Act to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA).

The key objectives of the Act are: To implement specific measures to detect and deter money laundering and terrorist financing and to facilitate the investigation and prosecution of money laundering and terrorist financing offences; To fight organized crime by organized crime by providing those responsible for the application of the law with the information they need to deprive criminals of the proceeds of their criminal activities while ensuring the appropriate safeguards are in place to protect personal privacy; To assist Canada in fulfilling its international commitments in the fight against transnational organized crime and terrorist activity.

#### Responsibilities

FINTRAC's legislative mandate is to:

collect, analyse, assess and, where appropriate, disclose information relevant to the investigation and prosecution of money laundering and terrorist financing offences; act at arm's length from law enforcement agencies and other entities (i.e. police, Canada Revenue Agency (CRA), Canada Border Services Agency (CBSA), Canadian Security Intelligence Service (CSIS) and Citizenship and Immigration Canada (CIC)) to which it is authorised to disclose information; ensure that personal information under its control is protected from unauthorised disclosure; enhance public awareness and understanding of

matters related to money laundering and terrorist financing; and ensure compliance with the record keeping and reporting obligations.

In operationalizing the legislative mandate, FINTRAC has adopted the following principles. FINTRAC: Strives to become a centre of expertise in the analysis of financial and other data to identify suspicious transactions associated with money laundering and terrorist financing activities, and to enhance awareness and understanding of matters related to money laundering and terrorist financing; Safeguards the personal privacy of individuals and protect their records from unauthorized disclosure; Operates at arms length from law enforcement agencies; Develops relationships with domestic and international entities to obtain and exchange data, information, and knowledge.

#### Legislation

- Proceeds of Crime (Money Laundering) and Terrorist Financing Act, Chapter 17, Statutes of Canada 2000, Chapters 12, 27, 32 and 41, Statutes of Canada 2001.

#### Organization

FINTRAC is headed by a Director appointed by Governor in Council who has all the powers of a deputy head of a department, as well as those of a separate employer. FINTRAC is comprised of four functional areas – Financial Intelligence Analysis, External Relationships, Information Technology, and Corporate Management – each headed by a Deputy Director. The following provides an overview of the responsibilities and activities of each of the four areas.

#### Financial Intelligence Analysis

Financial Intelligence Analysis is responsible for the analysis of the data reported to FINTRAC by reporting entities pursuant to the Act and Regulations. This work includes analysis to determine whether transactions provide reasonable grounds to suspect that the transaction is related to the commission of money laundering or terrorist financing offences, assess general trends and patterns of activity, and prepare recommendations for disclosures to law enforcement and other appropriate agencies.

## External Relationships

The External Relationships area is comprised of four main sections.

International Relationships deals with establishing and maintaining international networks and multi-lateral relationships.

Domestic Relationships is responsible for FINTRAC's relationships with domestic partners and stakeholders. Domestic partners include law enforcement agencies, intelligence agencies and those government departments that are part of the National Initiative to Combat Money Laundering: the Department of Finance, the Canadian Customs and Revenue Agency (CCRA), Citizenship and Immigration Canada (CIC), the Canadian Security and Intelligence Service (CSIS) and the Royal Canadian Mounted Police (RCMP). Domestic Relationships is also responsible for FINTRAC's relationships with reporting entities and other stakeholder groups.

Through Communications, FINTRAC uses a strategic communications approach to inform and educate its stakeholders and the general public on FINTRAC's activities in combating money laundering and terrorist financing in Canada and abroad. FINTRAC has a web site to disseminate information to reporting entities and other stakeholder groups, and create outreach products and training tools to assist in liaison and compliance activities.

Compliance has the responsibility of ensuring that reporting entities meet the requirements of the PCMLTFA. The Compliance Sector works closely with reporting entities to support their efforts to implement a compliance regime to assist them in meeting their obligations under the Act and Regulations. As stated earlier, failure to report prescribed or suspicious financial transactions can result in significant fines or jail terms.

## Information Technology

The Information Technology area is charged with developing and applying information management and information technology methodologies that will support and advance FINTRAC's objectives. This area will design and implement procedures and controls to ensure and protect the safety and security of all information, while also ensuring the secure transmission of data between reporting entities and FINTRAC. It is also responsible for designing, maintaining and implementing Corporate Management database management systems and building and managing custom applications to meet internal and external end user requirements.

Corporate Management encompasses Human Resources, Finance and Administration, Security, ATIP and the Library. Human Resources ensures that appropriate HR systems, policies and procedures are in place to promote FINTRAC as an employer of choice, to respect employee rights, and to foster organizational wellness.

The Financial, Administrative and Strategic Planning branch of Corporate Management advises FINTRAC's managers on all financial and administrative aspects of strategic and operational planning and priorities. It is also responsible for coordinating and delivering all required reporting to Parliament.

Security is responsible for designing, managing and monitoring policies and procedures to protect FINTRAC's premises, information systems and provide secure access to employees and other authorised persons.

The Senior Advisor, Access to Information and Privacy Acts (ATIP) and Library works in close collaboration with the Information Management branch of the Information Technology Sector.

## Information Holdings

### Program Records

#### Financial Intelligence Analysis

**Description:** Information relating to the analysis of the transaction reports received from reporting entities, in both paper and electronic form, as required by Parts 1 and 2 of the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA). Reporting entities include the following institutions and individuals such as financial entities (including banks, credit unions, caisses populaires, trust and loan companies and agents of the Crown that accept deposits liabilities); life insurance companies, brokers or agents; securities dealers, portfolio managers and investment counsellors who are provincially authorized; persons engaged in the business of foreign exchange dealing; money services businesses; accountants and/or accounting firms (when carrying out certain activities on behalf of their clients); real estate brokers or sales representatives (when carrying out certain activities on behalf of their clients); casinos; and individuals or entities when importing or exporting large amounts of currency or monetary instruments into or out of Canada. The kind of reports that are received includes suspicious transaction reports (STRs), large cash (over

\$10,000) transaction reports (LCTRs), cross-border currency (over \$10,000) reports (CBCRs), international electronic funds (over \$10,000) transfers (EFTs), receipt of voluntary information from law enforcement agencies, the public and foreign financial intelligence units with whom the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) has signed an Memorandum of Understanding (MOU). Part 3 of the PCMLTFA also permits FINTRAC to collect information relevant to money laundering activities or the financing of terrorist activities that is publicly available, including commercially available databases, or that is stored in databases maintained by the federal, provincial or territorial governments for purposes of law enforcement. Agreements and MOUs must be entered into with such governments before FINTRAC can receive this information. Also, FINTRAC has signed information exchange agreements with foreign financial intelligence units (FIUs) worldwide, enabling it to provide financial intelligence to its counterparts and to receive similar information.

**Topics:** These reports along with information available from the databases referred to above are received in electronic form and become part of the Financial Intelligence Analysis database. FINTRAC's analysts then analyze the database to extract financial intelligence that would be relevant to the investigation or prosecution of money laundering offences, terrorist activity financing offences and threats to the security of Canada. When FINTRAC is satisfied that there are reasonable grounds to suspect that information would be relevant to an investigation or prosecution of one of the offences listed earlier, it discloses this financial intelligence to the RCMP, provincial and municipal police agencies, CSIS, CBSA and CIC.

**Format:** Computerized database and paper case files.

**Program Record Number:** FINTRAC FIA 010

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Business Continuity Planning

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Information Technology Services

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

## Personal Information Banks

### Financial Intelligence Analysis Database

**Description:** This database contains reports about financial transactions that the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA) requires institutions carrying out financial transactions to send to FINTRAC. These reports include: banking transactions involving amounts of \$10,000 or more; international electronic funds transfers involving amounts of \$10,000 or more; copies of terrorist property reports sent to the RCMP or CSIS; import or export of currency or monetary instruments of \$10,000 or more in value, sent to FINTRAC by the Canada Border Services Agency (CBSA); financial transactions for which there are reasonable grounds to suspect are related to the

commission of a money laundering offence, a terrorist activity financing offence or threats to the security of Canada, regardless of the value of the transactions, and voluntary information about suspicions of money laundering or of the financing of terrorist activities regardless of the value of the activities. The personal information that is recorded on a transaction report includes information about the individual who carried out the transaction (client) and, where applicable, information about the person or entity on whose behalf the transaction (beneficiary) was carried out. The following personal information must be provided about the client: name, client number (if available), full address, country of residence, citizenship, home telephone number, what was used to identify the client (identifier) such as a provincial or territorial health card, a driver's licence, etc. and the number on the identifier, date of birth, occupation, employer's name, address and telephone number. If the transaction is being carried out on behalf of beneficiary that is an entity, information about the beneficiary must also be provided to FINTRAC. In respect of a beneficiary that is an entity, this includes the name of the business, corporation or other entity, the type of business, full business or corporate address, telephone number, incorporation number, person(s) authorized to conduct transactions through the beneficiary's account. If the beneficiary is a person, the same information about the individual must be provided as was provided for the client, except the date of birth is not required.

**Class of Individuals:** Individuals are those involved in financial transactions that the PCMLTFA requires to be reported to FINTRAC. This can include the employees, clients and beneficiaries of the following institutions: financial entities (such as banks, credit unions, caisses populaires, trust and loan companies and agents of the Crown that accept deposit liabilities); life insurance companies, brokers and agents; securities dealers, including portfolio managers and investment counsellors; persons engaged in the business of foreign exchange dealing; money services businesses (including Canada Post for money orders); accountants (when carrying out certain activities on behalf of their clients); real estate brokers or sales representatives (when carrying out certain activities on behalf of their clients); and certain casinos.

**Purpose:** The data that is collected and maintained by FINTRAC is analyzed (through the use of specially-designed technological tools) for unusual patterns of transactions. The information analyzed includes the financial information the

Centre receives from reporting entities and the Canada Border Services Agency (CBSA), information provided by federal, provincial, territorial and municipal police and other domestic and international government organizations, as well as information available from public or commercially-available databases.

**Consistent Uses:** FINTRAC must disclose designated information to the appropriate police force, whether federal, provincial, territorial or municipal, when it has reasonable grounds to suspect that the information would be relevant to the investigation or prosecution of a money laundering offence, a terrorist activity financing offence or threats to the security of Canada. The following information, which is referred to as "designated information" in the PCMLTFA, is disclosed: information that identifies the person(s) involved in the transaction(s), where and when the transaction(s) took place, and certain other details about the transaction(s).

**Retention and Disposal Standards:** The PCMLTFA sets out the retention and disposal periods for the information contained in the reports sent to FINTRAC by reporting entities. The reports and the information in them must be destroyed five years after the date the report and the information were received by FINTRAC. This includes the original reports as well as the information contained in the reports that has been entered into the FIA database. If the information contained in the report is included in a disclosure, that report and information must be destroyed eight years after the date the report was received by FINTRAC.

**RDA Number:** 2001/003

**Related PR#:** FINTRAC FIA 010

**TBS Registration:** 006293

**Bank Number:** FINTRAC PPU 020

### Applications for Employment

**Description:** The records related to this bank contain information on individuals who have submitted applications for employment and related correspondence. The records may contain letters, completed application forms, résumés, letters of reference and letters from the Centre acknowledging receipt of applications. The types of personal information collected include: applicant's name, mailing address, telephone number, e-mail address, employment status and history, marital status, age, sex, country of birth, citizenship, social insurance number, educational background and letters of recommendation.

**Class of Individuals:** Individuals seeking employment with FINTRAC.

**Purpose:** To maintain an inventory of potential

candidates that may be considered for use in a staffing purpose when vacancies arise within the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC).

**Consistent Uses:** Relevant information may be transferred to an employee personnel record if the individual is offered and accepts employment. This information may also be used for planning and evaluation purposes.

**Retention and Disposal Standards:** Individual applications for employment that are not considered during a staffing process are retained for six months after receipt of the application and then destroyed. Applications considered during a staffing process are retained for 2 years following the expiry of the staffing process or eligibility list or after the last administrative use and then destroyed.

**RDA Number:** 99/004

**Related PR#:** FINTRAC PRN 920

**TBS Registraton:** 006292

**Bank Number:** FTRAC PPU 015

### Personal/Professional Services Contracts

**Description:** The purpose of this bank is to keep records of all personal and professional service contracts entered into by FINTRAC. It contains information such as requests for services, Requests for Proposals (RFPs), RFP evaluations, original contractual documents, invoices and records of payment for individual and professional services. The personal information contained in the records includes name, mailing address, phone number, e-mail, work history, references, educational backgrounds, hobbies and interests.

**Class of Individuals:** Information relates to individuals from the private sector under contract for services to FINTRAC.

**Purpose:** The information is used for selection and management of contracts, to administer the contracts, to validate services received through the contract, payment for services rendered and to maintain information on all service contracts entered into by FINTRAC.

**Consistent Uses:** Relevant information may be transferred to an employee personnel record if the individual is offered and accepts employment. This information may also be used for planning and evaluation purposes.

**Retention and Disposal Standards:** Individual contracts are retained for two years after completion of the contract and then destroyed.

**RDA Number:** 99/004

**Related PR#:** FTRAC PRN 912

**TBS Registraton:** 006291

**Bank Number:** FTRAC PPU 010

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Personal Information Banks.

Access to Information and Privacy Requests

Business Continuity Planning

Electronic Network Monitoring Logs

Hospitality

Relocation

Security Video Surveillance and Temporary Visitor Access Control Logs and Building

Travel

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information on the Financial Transactions Reports and Analysis Centre of Canada should be directed to:

### Communications

FINTRAC

Ottawa ON K1P 1H7

Tel.: 1-866-346-8722

Web Site: [www.fintrac.gc.ca](http://www.fintrac.gc.ca)

### Reading Room

Contact FINTRAC ATIP Coordinator

Joanna Leslie

613-943-1347

[lesliej@fintrac.gc.ca](mailto:lesliej@fintrac.gc.ca)

# Fisheries and Oceans Canada

## Chapter 64

### General Information

#### Background

The Constitution Act, 1867 gives Parliament jurisdiction over "Sea Coast and Inland Fisheries." The Fisheries Act, 1868 was enacted in accordance with this responsibility. The Department of Fisheries and Oceans Act, 1978 - 79 established the Department and provides jurisdiction over sea coast and inland fisheries, fishing and recreational harbours, hydrography and marine sciences and the coordination of policies and programs of the Government of Canada respecting oceans. The Canadian Coast Guard, formerly a part of Transport Canada, merged with DFO on April 1, 1995. On December 12, 2003, the policy functions related to pleasure craft, marine navigation services, pollution prevention and response, and navigable waters were transferred to Transport Canada. The Constitution Act, 1982, the Canada Shipping Act, the Arctic Waters Pollution Prevention Act, the Navigable Waters Protection Act, the Department of Transport Act and the National Transportation Act are the principal Acts governing marine transportation activities. The Fisheries Act is the primary piece of legislation for managing fisheries and the Oceans Act lays out the foundation for the department's oceans agenda.

#### Responsibilities

While other government departments contribute to the management of Canada's water-based activities, the primary focus of Fisheries and Oceans is on water and the resources it contains. It has responsibility for all matters respecting oceans not by law assigned to any other department. The scope of this responsibility and the extent to which it is exercised by the federal government have been determined by judicial interpretation, agreements with provinces and the evolution of public policy.

Specific responsibilities include:

Provision of programs for the provision of water transportation system and services interests contributing to safe, efficient and economical conduct of marine activities, protection of the marine environment in Canadian waters and, where appropriate, undertaking development,

operation and maintenance of specific elements of the marine transportation system.

Scientific research respecting stock assessment and resource conservation requirements, aquaculture regulation and development, primary production, physical oceanography and limnology (studies in freshwater), hydrographic surveying and charting, environmental issues and the behaviour and effects of marine contaminations, and administration of various Federal acts, regulations and policies designed to conserve and protect the aquatic habitat.

#### Legislation

- Aboriginal Communal Fishing Licences Regulations
- Alberta Fishery Regulations
- Arctic Waters Pollution Prevention Act
- Atlantic Fisheries Restructuring Act
- Atlantic Fishery Regulations, 1985
- Bait Services Fee Order
- British Columbia Sport Fishing Regulations
- Canada Shipping Act
- Coastal Fisheries Protection Act
- Coastal Fisheries Protection Regulations
- Department of Fisheries and Oceans Act
- Fish Health Protection Regulations
- Fish Toxicant Regulations
- Fisheries Act
- Fisheries Development Act
- Fisheries Improvement Loans Act
- Fisheries Improvement Loans Regulations
- Fishery (General) Regulations
- Fishing and Recreational Harbours Act
- Fishing and Recreational Harbours Regulations
- Fishing Vessel Insurance Regulations
- Fishing Zones of Canada (Zone 6) Order
- Fishing Zones of Canada (Zones 1, 2 and 3) Order
- Fishing Zones of Canada (Zones 4 and 5) Order

- Foreign Vessel Fishing Regulations
- Freshwater Fish Marketing Act
- Great Lakes Fisheries Convention Act
- Kenney Dam and Skins Lake Spillway Orders and Regulations
- Management of Contaminated Fisheries Regulations
- Manitoba Fishery Regulations, 1987
- Marine Mammal Regulations
- Maritime Provinces Fishery Regulations
- Metal Mining Effluent Regulations
- Nautical Charts and Related Publications Fees Order
- Newfoundland Fishery Regulations
- Northwest Territories Fishery Regulations
- Ocean Data and Services Fees Order - SI/86-133
- Oceans Act
- Ontario Fishery Regulations, 1989
- Pacific Fishery Management Area Regulations
- Pacific Fishery Regulations
- Quebec Fishery Regulations
- Saskatchewan Fishery Regulations
- Species at Risk
- Territorial Sea Geographical Coordinates Order
- Yukon Territory Fishery Regulations

## Organization

There are five major activities under the departmental mandate which are administered by Assistant Deputy Ministers (ADMs) who are responsible for broad policy formulation, strategic and operational planning, resourcing, scientific and technical services and functional guidance. to the Regional Directors General who provide for Program delivery.

### Deputy Minister

In accordance with Section 3 of the Department of Fisheries and Oceans Act, the Deputy Minister of Fisheries and Oceans is the deputy head of the Department. The Office of the Deputy Minister develops, coordinates and implements the Departmental Program consistent with the powers, duties and functions outlined in Section 4 of the Act and provides administrative support to

Crown Corporations for which the Minister has responsibility. Program objectives are carried out by one Associate Deputy Minister (Associate DM) and five Assistant Deputy Ministers (ADMs) located at headquarters in Ottawa, Ontario and six Regional Directors General (RDGs) located across the country. In addition to the Associate DM, ADMs and RDGs, the Director General - Communications, the Director General -Executive Secretariat and General Counsel also report directly to the Deputy Minister.

Executive Secretariat provides support to the Offices of the Minister, the Deputy Minister and the Associate Deputy Minister. The Executive Secretariat is responsible for: Cabinet and Parliamentary Affairs including the provision of advice and briefings on policy issues, coordination of Question Period briefing materials; liaison with the Minister's office; management of Ministerial and Departmental correspondence and related processes; Access to Information and Privacy; and associated administrative functions.

The Communications Branch houses the department's expertise for providing a broad range of internal and external communications advice, strategies, products and services.

General Counsel - Department of Justice legal services attached to DFO provide legal counsel on all matters touching the operation and administration of the Department.

### Associate Deputy Minister

The Associate Deputy Minister supports the Deputy Minister in managing all aspects of departmental business. In this context, the Associate DM's duties include leadership of various specific initiatives, and a special focus on priority areas, as requested by the Deputy Minister. These specific duties include a focus on: capital planning processes, which the Associate DM helps oversee as chair of the department's Investment Management Board; legal risk management, in the Associate DM's capacity as chair of the department's Litigation Committee; aquaculture, which the Associate DM helps oversee as chair of the Departmental Management Committee Subcommittee on Aquaculture; and human resources modernization initiatives, which have in the past included oversight and management of a departmental mentoring program, competency-based learning and development strategy, and workplace health and wellness initiative.

The Associate DM also has direct responsibility for two key areas of the department. First, the

Associate DM oversees the Audit and Evaluation Directorate, which carries out the functions of evaluation and internal audit across the department, and serves as a focal point for audits conducted by the Auditor General. Second, the Office of Early Conflict Resolution reports directly to the Associate DM. This office provides departmental employees with a non-adversarial mechanism to address any concerns they may have about conflicts or potential conflicts in the workplace. The Office of Early Conflict Resolution also provides the department's Disclosure function, as set out in the Treasury Board's Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace.

### **Human Resources and Corporate Services**

The ADM, Human Resources and Corporate Services is responsible for providing human resource management, advice and services for human resource planning, HR Strategies and Programs, organization and classification, recruitment and staffing, executive resourcing, labour relations, compensation, learning and recognition, employment equity, official languages, employee assistance program, career counselling, and HR management systems. The ADM, Human Resources and Corporate Services provides executive direction, coordination and corporate administrative services in support of Program objectives. The Sector is also responsible for:

Coast Guard College -prepares Officer Cadets for a career in the Coast Guard, provides training in search and rescue, Marine Communications and Traffic Services, marine engineering, navigation, shipboard management and provides residential facility for conferences and meetings in the Maritimes.

Finance and Administration -provides advice and services in areas of resource management, financial planning, accounting and reporting, policy and systems, contracting and procurement, asset management (not including Small Craft Harbours) and administration and security.

Information Management and Technology Services -provides advice and services in the areas of application development, information and data management (including libraries), computer processing and telecommunications.

The Real Property, Safety and Security (RPSS) Branch provides advice and services in the areas of Real Property management, Divestiture, Environmental Coordination and Safety & Security in accordance with a comprehensive framework

designed to manage and improve departmental performance in compliance with applicable federal statutes, policies and regulations.

Environmental Coordination Office - implementation of an environmental management framework designed to manage and improve departmental environmental performance in compliance with federal statutes and regulations.

Small Craft Harbours -administration and maintenance of a national system of harbours to provide fishers with safe and accessible facilities ranging from isolated mooring buoys to large, full service facilities. Small Craft Harbours (SCH) is also responsible for the Harbour Authority (HA) Program, which encourages and supports the formation of non-profit corporations (i. e. , harbour authorities) to assume the day-to-day management and operation of fishing harbours. SCH is responsible for the Recreational Harbour Divestiture Program, which oversees the transfer of recreational harbours to local communities or other interests. Small Craft Harbours is responsible for the rationalization of its fishing harbours, keeping only those active harbours that meet present and future industry needs.

Newfoundland Bait Program (NBP) - unique to Newfoundland, this program exists to provide a bait purchase and sale function from as many as 25 locations across the Province. Legal authority for this program exists within the Terms of Union between Newfoundland and Canada. At present, facility ownership rests with Fisheries and Oceans Canada while day-to-day service delivery is provided by a private sector contractor.

Strategic Management - leads and facilitates change management initiatives and provides advisory support services internally to the department for the identification, analysis and resolution of strategic issues related to department-wide administration, management and governance matters. Strategic Management also coordinates Employment Equity and Official Languages reporting, performance measurement and business planning for the sector. The Office of Modern Comptrollership leads, coordinates and facilitates DFO's response to broader government-wide initiatives.

### **Fisheries and Aquaculture Management**

The ADM, Fisheries and Aquaculture Management is responsible for:

Aboriginal Policy and Governance -develops Aboriginal fisheries policies, administers the Aboriginal Fisheries Strategy, the Marshall response initiative, the Aboriginal Aquatic



Resources and Oceans Management Program and negotiates provisions of land claims related to DFO's mandate.

Coordination of the annual seal hunt.

Atlantic Fisheries and Pacific Region Licensing Appeal Boards - hear appeals from fishermen dissatisfied with departmental licensing decisions and consider general problems on licensing policy.

Conservation and Protection - ensures compliance with legislation, policies and programs in support of conservation and sustainable fisheries resources through educational and enforcement programs in both tidal and non-tidal waters except in Ontario, Quebec and the Prairie Provinces. Fishery management plans, policies, programs and regulations ensure sustainability of stocks and fair distribution of harvestable surpluses.

Fisheries Policy Development -The Atlantic Fisheries Policy Review (AFPR) has been established to develop a consistent and cohesive policy framework for the management of Canada's East Coast fish stocks. The work of the AFPR is being done in two phases: Phase I delivers a long-term policy framework and has been completed. Phase II establishes priorities and begins to operationalize elements from the policy framework developed in Phase I. Work also has been undertaken to establish a national fisheries policy framework.

International Affairs - the role is to direct the conduct of international relations to advance Canada's fisheries conservation interests and work to assert Canadian interests with respect to internationally managed fish stocks. This includes the negotiation and administration of international treaties and agreements affecting conservation, allocations, the conduct of bilateral and multilateral fisheries relations with other countries, the settlement of issues related to maritime boundary disputes as well as the formulation and presentation of international fisheries conservation and allocation advice to the Minister.

Licensing - provides a means for regulating participation in and access to the fishery to ensure that the harvest remains within conservation limits and promotes economic viability.

Responsible Fishing Programs -contributes to resource conservation of fish stocks through the development and industry use of selective fishing practices.

The Freshwater Fish Marketing Corporation - advice and analysis of issues relating to the operations and mandate of this Crown Corporation are provided to the Minister on an ongoing basis. The Department coordinates on an annual basis the development and approval by Treasury Board and the Department of Finance of the corporate plan and operating and capital budgets of this Corporation.

Aquaculture Management Directorate (AMD) – AMD provides departmental focus and strategic direction on the aquaculture file. Helps to create an enabling regulatory environment so the industry can succeed sustainably. Pursues stronger collaboration with federal and provincial partners through the Canadian Council of Aquaculture Ministers Aquaculture Task Group and other federal-provincial mechanisms, to bring about an integrated governmental response to the emerging needs and priorities of the aquaculture industry, such as food safety, traceability, business risk management and aquatic animal health. Establishes mechanisms to reach aquaculture stakeholders, listening and acting on their concerns, and contributing to an informed public dialogue and strengthened public and consumer confidence by providing factual information about aquaculture challenges and opportunities. Participates in key international aquaculture policy and research with a view to sharing Canadian expertise and values, and maintaining Canada's leadership in sustainable development.

### **Canadian Coast Guard**

NOTE: On December 12, 2003, the policy functions related to pleasure craft, marine navigation services, pollution prevention and response, and navigable waters were transferred to Transport Canada.

The Commissioner, Canadian Coast Guard, develops and operates the national marine transportation system and is responsible for:

Icebreaking and Arctic Operations -provides, operates and maintains icebreaking ships, facilities and services, manages a program of route information, ice management, vessel escort and harbour breakout, supports other government departments and agencies in safe and efficient movement of marine traffic in ice-infested waters, supports other government marine related activities, including sovereignty in the Canadian Arctic and operates a program to minimize the effect of flooding caused by ice jams on the upper St. Lawrence River.

Marine Navigation Services - provides, operates and maintains a system of short and long range aids to navigation, oversees private aids to navigation systems, provides public safety information services and provides waterways management.

Marine Communications and Traffic Services - provides communications and traffic services for the marine community and for the benefit of the public at large. Ensures safety of life at sea in response to international agreements through the provision of a Distress and Safety radio service, protects the marine environment and enhances the efficient movement of shipping through the provision of traffic management systems in offshore, coastal, riverine and port waters, provides support for business, other government departments and the national interest by the provision of a marine information management system, and provides a public correspondence system to facilitate ship shore radio communications for the private sector and fleet operations.

Integrated Technical Support – As the National Technical Authority for the CCG, ITS is responsible for the design and effective and efficient materiel support of all CCG's physical assets throughout their life. These assets include vessels, aids to navigation and communication, navigation surveillance and information systems which provide service to CCG and DFO programs and external clients. ITS is responsible for the business management of CCG's technical program, the management of acquisition projects, the establishment and maintenance of standards and processes for engineering. Life Cycle Materiel Management, and Integrated Logistics Support.

Rescue and Environmental Response -provides marine search and rescue capability within the Canadian area of responsibility as defined under International Maritime Organization agreements and in Canadian waters of the Great Lakes and St. Lawrence system, promotes safety to the marine public in order to minimize loss of life and injury as well as the loss of property, provides emergency planning and environmental response to clean up pollution from shipping incidents, on a cost recovery basis and carries out a monitoring and oversight role as part of the joint Industry/Government partnership on spill response.

Fleet - provides the national policy, planning requirements, professional staff support and safety management functions of national fleet

management for Canadian Coast Guard ships and aircraft used to support the marine activities of the Department, other government departments and the safety and sovereignty requirements of the citizens of Canada.

## Oceans

The ADM, Oceans ensures the development of an integrated departmental approach to the discharge of our oceans and freshwater responsibilities, and is responsible for:

Habitat Management Directorate - design, development, implementation and coordination of policies, plans and programs related to the protection and conservation of aquatic habitats; investigation and monitoring of biological and physical conditions which affect the quality of the aquatic environments; environmental assessments of projects impacting the aquatic environment; compiling information in support of sustained economic utilization of Canada's renewable aquatic resources; and monitoring the management of the quality of the aquatic habitat.

Oceans Directorate - the implementation of Canada's Oceans Strategy and the Oceans Action Plan, and the development and management of Marine Protected Areas, Integrated Management and Marine Environmental Quality programs. The Directorate is also responsible for promoting ocean stewardship programs and initiatives, supporting the Minister's Advisory Council on Oceans (MACO) and supporting global oceans governance.

## Policy

The ADM, Policy is responsible for:

Economic and Policy Analysis - provides social and economic analysis, statistical services and policy advice on a wide range of domestic economic and international fisheries and oceans issues, including commercial fishing licence fees and other user charges, fisheries policy renewal, oceans industries, and international trade. Promote Canadian interests through participation in major international economic organizations. Manage, facilitate and coordinate policy and program development on key horizontal issues within DFO and across government. Establish and participate in policy research networks. Facilitate the development and coordination of international policy positions. Coordinate DFO's participation in Team Canada Inc. trade missions and in the National Voluntary Sector Initiative.

Governance - provides a single focus of expertise to support the development of new governance

models in areas already identified for change; advises the department on horizontal governance initiatives that affect DFO programs and mandate.

Policy, Coordination and Liaison - leadership in developing legislative and regulatory instruments to support the fishery of the future, and other departmental and government-wide priorities for renewal and enhanced performance; policy and regulatory analysis in support of legislative initiatives led by other sectors, including amendments to the Coastal Fisheries Protection Act, and the Canada Shipping Act; policy leadership on the development and implementation of mechanisms for intergovernmental cooperation including the Canadian Council of Fisheries and Aquaculture Ministers, the Atlantic Council of Fisheries and Aquaculture Ministers; and the Pacific Council of Fisheries and Aquaculture Ministers policy leadership and support to promote the full and productive implementation of the Canada-B.C. Agreement on the management of Pacific salmon; policy development in the area of freshwater and professionalization of fish harvesters.

Strategic Priorities and Planning - lead a coordinated approach to developing strategic priorities and cross-cutting policy issues; develop mechanisms and processes to promote inter-sectoral cooperation in the development of policy initiatives (e.g. Shadow/Policy Committees); coordinate the department's strategic planning process; promote an integrated approach to departmental planning and reporting; provide tools and resources in support of strategic planning (e.g. annual environmental scans, quarterly scanning reports); coordinate and provide support to Departmental Management Committee Retreats.

### **Science**

The ADM, Science ensures the highest standard of scientific information for use in developing policies, regulations and legislation regarding oceans and aquatic life and is responsible for: fisheries research – providing advice on the status of fish stocks and on conservation objectives, as well as information on marine ecosystem issues and species at risk; environmental and biodiversity science – monitoring chemical, physical and biological conditions that affect the aquatic environment and biodiversity; oceanography – conducting physical and biological oceanographic research, including ocean climate studies, and providing environmental descriptions, in addition to advice on environment/ecosystem interactions; aquaculture – monitoring wild and cultured stocks

of finfish and shellfish for disease, conducting research on biological and sustainable production, fish health, and environmental interactions, and transferring technology to Canada's aquaculture industry; hydrography – The Canadian Hydrographic Service surveys and describes the physical features of Canada's navigable waters; acquires supplementary data from other sources; manages and integrates the data and makes this hydrographic information available in the most suitable form. CHS provides hydrographic information to all marine traffic in Canadian waters to ensure safe and efficient navigation in Canadian waters while increasing knowledge of these waters for the sustainable development of resources. The hydrographic data and products also support sovereignty and national security.

### **Regional Offices**

Regional Directors General are responsible for Program Delivery in meeting the mandate of the Department under the functional guidance of the Deputy Minister, the SADM and the ADMs. Each Region is described hereunder:

Central and Arctic Region - encompassing Alberta, Saskatchewan, Manitoba, Ontario, the Northwest Territories and Nunavut, it contains about 67% of Canada's freshwater and seven of the 14 largest lakes in the world, emphasizing cleanup and preservation initiatives in the Great Lakes. It accounts for about 60% of Canada's recreational fishing which exceeds the commercial fishery catch. Some 50% of the commercial catch is marketed through the Freshwater Fish Marketing Corporation. In marine transportation it directly supports shipping with nearly 200 icebreaking responses, over 1,800 search and rescue responses and it maintains nearly 7,200 navais. It provides primary marine pollution response North of 60. Search and rescue services in the Great Lakes are provided to the highest concentration of pleasure craft in the country and the Region supports commercial marine traffic to the North American heartland.

Gulf Region - encompassing the northern and eastern portion of New Brunswick, Prince Edward Island, and a portion of Nova Scotia adjacent to the Gulf of St. Lawrence. The Region is responsible for the management of many groundfish and pelagic species such as cod, herring, tuna, halibut and flounder. Commercially imported invertebrates' species found throughout the Region include lobster, snow crab, and molluscs such as oysters, mussels, clams, and scallops. In addition, several of the southern Gulf tributaries act as important spawning rivers for

anadromous species including Atlantic salmon, trout, and alewife. The DFO Regional Office is located in Moncton, N.B., with three area offices which are located in Tracadie-Sheila, N.B., Charlottetown, P.E.I., and Antigonish, N.S. With 12,300 commercial fishers and over 4,200 vessels involved in the southern Gulf of St. Lawrence fishery, the approximate landings of fish products for 2002 were 157,000 metric tons worth 396 million dollars.

Québec Region - encompassing the Province of Quebec, it covers more than 6,000 kilometres of coastline. Fisheries sector includes over 4,000 fishermen, nearly 1,600 vessels, nearly 100 processing plants and over 200 small craft harbours. A marine science research centre, the Maurice-Lamontagne Institute, Mont-Joli, provides fisheries, oceanographic and hydrographic research. DFO manages the entire marine fishery in the region except for anadromous and catadromous species which are managed by the Province. In marine transportation, it directly supports shipping with nearly 500 icebreaking and vessel escort responses, over 1,200 search and rescue responses and it maintains more than 2,550 navais. It ensures year-round access to the Port of Montreal and other ports on the St. Lawrence. Due to its icebreaking program, it safeguards susceptible water-side communities which may experience the effects of floods.

Maritimes Region - Scotia-Fundy fisheries management sector encompasses part of Nova Scotia and New Brunswick from the northern tip of Cape Breton to the New Brunswick-Maine border and adjacent waters to the 200-mile limit of the economic zone. The region has a very active diverse commercial fishery on the Bay of Fundy, Gulf of Maine and the Scotian Shelf. This commercial fishery includes 13,947 full and part-time fishers on over 5,040 vessels, some 232 harbours, and a commercial fishery that landed some 371,000 tonnes of product for a preliminary landed value of \$713,000,000 in 2002.

In addition, the aquaculture industry (Maritimes Region) was valued at approximately 300 million dollars in 2002.

Coast Guard programs are delivered through three major land bases; 6,104 fixed and floating aids to navigation as well as 5 DGPS transmission sites; a regional fleet consisting of 8 major and 18 small vessels (including 9 lifeboat stations); 7 helicopters with 4 helicopter hangars; 3 Marine Communication and Traffic Centres; a Regional Operations Centre; a Joint Rescue and Coordination Centre; 6 inshore rescue boats;

Canso Canal; 4 Emergency response equipment depots; and a coast guard auxiliary.

Newfoundland and Labrador Region - encompassing the province of Newfoundland and Labrador along with adjoining marine waters, the shoreline covers nearly 29,000 km. More than 95% of the province's communities are scattered along the coast and thousands of fishing and recreational craft navigate the region's waters. A distributed rural population and many isolated communities mean a dependence on ocean transport and the fishery. Gales, storms, ice, icebergs and fog are some of the challenges the region faces in delivering its services. In marine transportation, Coast Guard directly supports shipping with nearly 125 icebreaking responses, over 600 search and rescue responses, marine communications and traffic services, environmental response and the maintenance of nearly 1,600 navais. Coast Guard's programs are delivered through a regional fleet consisting of 14 vessels and 3 helicopters. As well, CG coordinates the Coast Guard Auxiliary which is comprised of 1000 members.

Pacific Region - comprising British Columbia and the Yukon, it is entrusted with managing and protecting Pacific marine fish stocks, covering 105 river systems in British Columbia, as well as eight northern transboundary rivers, the Stikine, Taku, Alsek, Chilkat, Whiting, Unuk, Chicamin and Yukon. This region supports commercial, recreational and aboriginal fisheries and significant Canadian oceans science and technology industries. In marine transportation it directly supports shipping with over 2,200 aeronautical and maritime search and rescue responses and it maintains more than 1,950 navais.

## Information Holdings

### Program Records

#### Office of the Associate Deputy Minister Corporate Review

**Description:** Review.

**Topics:** Information on studies conducted on management challenges, results and other dimensions of performance of internal programs, policies, operations, systems and practises.

**Access:** alphabetical

**Format:** Computer and paper files

**Program Record Number:** DFO CRP 210

**Evaluation**

**Description:** Program evaluation.

**Topics:** Evaluation on the relevance, success and cost-effectiveness of internal departmental programs and activities.

**Access:** alphabetical

**Format:** Computer and paper files

**Program Record Number:** DFO CRP 220

**Internal Audit**

**Description:** Internal Audit.

**Topics:** Information on the efficiency, economy and effectiveness of internal management policies, practises and controls: improvements required.

**Access:** alphabetical

**Format:** Computer and paper files

**Program Record Number:** DFO CRP 215

**Human Resources and Corporate Services**

**National Project Management Office for Year 2000 -This program has ended, but records remain.**

**Description:** Information on all aspects of the DFO Year 2000 project including (but not limited to) project planning, business continuity planning, standards and guidelines, regional information, project funding, Year 2000 product compliance letters, and related topics.

**Topics:** Year 2000 and its complexities as it affected both Department Wide Mission Critical and Government Wide Mission Critical functions within the Department. The files created during this project are classified using the departmental records management policy.

**Program Record Number:** DFO CRP 500

**Real Property**

**Description:** Legal documents.

**Topics:** Agreements, easements, land title documents, acquisition and disposal of real property, and environmental information.

**Program Record Number:** DFO CRP 520

**Small Craft Harbours**

**Description:** Information on the administration and management of fishing and recreational harbours. Schedule I of the Fishing and Recreational Harbours Regulations lists all harbours administered by DFO, with amendments published as required in the Canada Gazette.

**Topics:** Facilities, harbour authorities.

**Program Record Number:** DFO CRP 540

**Fisheries and Aquaculture Management  
Aboriginal Policy and Governance**

**Description:** Information on aboriginal fishing policies, programs and issues.

**Topics:** Aboriginal fishing issues and programs; land claims.

**Program Record Number:** DFO MAN 320

**Enforcement**

**Description:** Conservation and protection of fisheries, surveillance and enforcement records.

**Topics:** Offshore, inshore and inland surveillance and enforcement activities.

**Program Record Number:** DFO MAN 305

**Fisheries Policy Development**

**Description:** Policy preparations in support of fisheries renewal, reports, discussion document and brochure developed by AFPR, summary of policies affecting management of fisheries on Canada's Atlantic coast.

**Topics:** Fisheries management policy on Canada's Atlantic coast, National fisheries management policy framework, Independent Panel on Access Criteria (IPAC).

**Program Record Number:** DFO MAN 335

**Fisheries Licence Appeal Board**

**Description:** Information on fisheries licences (Atlantic and Pacific).

**Topics:** Appeals from fishermen dissatisfied with departmental licensing decisions; licensing policy; recommendations to the Minister.

**Program Record Number:** DFO MAN 310

**Fisheries and Aquaculture Management**

**Description:** Management of the fisheries, including resource rehabilitation.

**Topics:** Resource management; allocation and regulations development; licensing; Aboriginal affairs - food fisheries; land claims negotiations and implementation; employment; band by-laws.

**Program Record Number:** DFO MAN 315

**Responsible Fishing Programs**

**Description:** Reports, guidelines, protocols, mandates, administration, support initiatives throughout the fishing industry.

**Topics:** Code of Conduct for Responsible Fishing Operations, Program for Energy Research and Development. These Programs cover areas such as Responsible Fishing, gear development, implementation of the Canadian Code of Conduct, and partnering with industry.

**Access:** Records arranged according to document management criteria set out by the Department.

**Format:** Some on EDP database; others hard copy.

**Program Record Number:** DFO MAN 330

**Structural Adjustment Programs**

**Description:** Information on advice and analysis of issues relating to the operations and mandate

of the Freshwater Fish Marketing Corporation (FFMC).

**Topics:** Corporate Plans, and Operating and Capital Budgets of the FFMC Corporations.

**Program Record Number:** DFO MAN 325

### Canadian Coast Guard

NOTE: On December 12, 2003, the policy functions related to pleasure craft, marine navigation services, pollution prevention and response and navigable waters were transferred to Transport Canada.

#### Aids to Navigation -Marine

**Description:** Information on the establishment, operation and maintenance of visual, audio and electronic aids to navigation.

**Topics:** Buoys; lights; beacons; fog signals; radio communication systems; notices to shipping; notices to mariners; site acquisitions; buildings; structures; service contracts, dredging fees.

**Access:** By subject and geographic site.

**Format:** EDP systems and microfilm.

**Program Record Number:** DFO CCG 105

#### Ice Operations

**Description:** Information on icebreaking, ice routing advice, ice escorting and the International Ice Patrol.

**Topics:** Icebreaking; ice routing advice; reconnaissance; ice escorting; International Ice Patrol; methods and equipment.

**Program Record Number:** DFO CCG 130

#### Marine Communications and Traffic Services

**Description:** Information on the establishment, operation and maintenance of Marine Communications and Traffic Services infrastructure.

**Topics:** Marine Radio Communications and Vessel Traffic Services Systems, notices to shipping and notices to mariners, buildings, structures, remote sites, services contracts.

**Program Record Number:** DFO CCG 205

#### Pollution

**Description:** Includes emergency plans and operations concerning the clean-up of oil or other pollutants.

**Topics:** plans; operations; reports; methods and equipment.

**Program Record Number:** DFO CCG 150

#### Search and Rescue - Coast Guard

**Description:** This class covers information relating to search and rescue operations, and lifesaving stations.

**Topics:** Lifesaving stations; search and rescue; equipment and supplies.

**Access:** Files arranged by subject, and

geographically.

**Program Record Number:** DFO CCG 155

#### Ships and Aircraft -Canadian Government

**Description:** Information on the management, operations, functions and services performed by the Canadian Coast Guard fleet of ships and aircraft; vessel and aircraft support to CCG Marine Programs such as Navigation Systems (Aids to Navigation and Icebreaking), Safety, Environmental Response Systems (Search and Rescue, Marine Communications and Traffic Services, Environmental Response/Protection); support to Oceans sector, Fisheries Management and Science sectors, including Hydrographic Services. This includes information on management strategies, planning, policies, scheduling, costs, crewing practices, performance measures and safety (ISM Code) procedures.

**Topics:** Strategic Planning, Business Planning, Performance Management, Crewing, Charters, Fleet List, Fleet Program Delivery Plans, Services, Service Accords/MOU's, Fuel, Operational Requirements, Capital Planning, and Helicopter Management.

**Access:** Files arranged by subject and name of Coast Guard vessel.

**Program Record Number:** DFO CCG 165

#### Telecommunications and Electronics -Marine

**Description:** Information on the life cycle management including establishment, design, procurement of equipment, operation and maintenance of stations and systems that provide communications and electronic navigation aids to the Canadian Coast Guard and marine transportation.

**Topics:** Life cycle management establishment; construction; operation; maintenance; services; buildings; site acquisitions; concessions and leases; apparatus; supplies; equipment; utilities; security and frequencies.

**Access:** Files arranged by subject, geographical location and name of Coast Guard ship.

**Format:** EDP systems and microfilm.

**Program Record Number:** DFO CCG 200

#### Waterways

**Description:** Information on water on St. Lawrence waterways.

**Topics:** Water levels St. Lawrence waterways; and St. Lawrence ship channel.

**Program Record Number:** DFO CCG 106

#### Oceans and Habitat

##### Oceans

**Description:** Lead and facilitate the development of an Oceans Action Plan for Canada; develop and implement integrated oceans management

plans; designate Marine Protected Areas; establish marine environmental quality guidelines and criteria.

**Topics:** Canada's Oceans Strategy, Marine Protected Areas, Coastal Zone Management, Oceans Act, Oceans Action Plan.

**Access:** Organized by subject matter

**Format:** Paper and electronic records

**Program Record Number:** DFO OCE 005

### Habitat Management

**Description:** Information on habitat management, protection, restoration and development; review of referred development activities in or near water; federal environmental assessment; scientific research on fish habitat, changes to or destruction of fish habitat and chemical contamination of fish habitat resulting from human activity.

**Topics:** Habitat protection, operations, planning, restoration and development; resource rehabilitation and enhancement; carrying capacity of fish habitat; physical alteration of fish habitat; toxic chemicals; contaminants.

**Access:** files arranged by subject

**Format:** Paper, electronic and database

**Program Record Number:** DFO OCE 010

### Policy

#### Economic and Policy Analysis

**Description:** Information on policies, programs and activities in the areas of socio-economic analysis and policy development.

**Topics:** Socio-economic analysis and policy; fisheries statistics; fisheries international trade databases; banks of information relating to the Surveys of Atlantic Salmon Anglers, 1988 and the Surveys of Atlantic Fishermen, 1984, 1988; the Surveys of Recreational Fishing in Canada, 1975, 1980, 1985, 1990, 1995, 2000; Surveys of Oceans Industries, 1996, 2000.

**Access:** Alphabetically, numerically and chronologically.

**Format:** Paper and electronic format.

**Program Record Number:** DFO POL 510

#### Intergovernmental Affairs

**Description:** Information on federal-provincial-territorial agreements and cooperative arrangements adopted by the Department.

**Topics:** Interdepartmental and intergovernmental cooperation in fisheries and aquaculture; frameworks for federal-provincial consultation and liaison; federal-provincial-territorial economic and constitutional issues.

**Access:** Alphabetically, numerically and chronologically.

**Format:** Paper and electronic format.

**Program Record Number:** DFO POL 515

### Legislation and Regulation

**Description:** Coordination, development and review of legislative and regulatory instruments within the department's fisheries, aquaculture, oceans and Coast Guard mandate.

**Topics:** Legislative and regulatory initiatives related to Fisheries and Aquaculture Management, Oceans and Habitat Management, Science and Small Craft Harbours.

**Access:** Alphabetically, numerically and chronologically.

**Format:** Paper and electronic format.

**Program Record Number:** DFO POL 525

### Science

#### Fisheries, Environment and Biodiversity Science

**Description:** Records relate to the acquisition of the knowledge-base and provision of scientific advice in the management and development of fisheries and other renewable and non-renewable marine and freshwater resources, and in conservation of aquatic species and ecosystems.

**Topics:** Resource assessment; marine ecology; freshwater ecology; conservation and protection of fish, fish habitat and aquatic ecosystems; biodiversity; and species at risk.

**Access:** Alphabetically, numerically and chronologically.

**Format:** Paper and electronic format.

**Program Record Number:** DFO SCI 610

#### Marine Environmental Data Services

**Description:** MEDS' mandate is to manage and archive ocean data collected by DFO, or acquired through national and international programs conducted in ocean areas adjacent to Canada, and to disseminate data, data products, and services to the marine community in accordance with the policies of the department.

**Topics:** Physical, Chemical and Biological data: Contaminants, Oceanographic Profiles, Tides and Water Levels, Drifting Buoy, Measured Wave and Offshore Oil and Gas Environmental Data sets.

**Access:** Raw data that can be retrieved chronologically, alphabetically, or numerically.

**Format:** Electronic format.

**Program Record Number:** DFO SCI 612

#### Hydrographic Service

**Description:** Bathymetric data; navigational charts -surveys, chart production; geophysical-hydrographic surveys; tides, currents and water levels; sailing directions; ocean mapping; navigation.

**Topics:** Navigation charts -surveys, production;

tides, currents, and water levels; sailing directions; ocean mapping; navigation.

**Access:** Files arranged by geographic location.

**Format:** Full size graphics, micrographics and EDP format.

**Program Record Number:** DFO SCI 615

## Regional Offices

### Arctic and Inland Fisheries

**Description:** Information on policy and program coordination and delivery in the Arctic and Inland Fisheries sector of the Department.

**Topics:** Marine mammal stock assessment and surveys; inland fisheries management; fish habitat disruption; conservation of fishery and marine mammal resources in the Northwest Territories and Nunavut.

**Program Record Number:** DFO RDG 055

### Fisheries Resource Allocation

**Description:** Management, conservation, protection, enhancement and allocation of all species of the fisheries resource throughout Canada.

**Topics:** Resource management, allocation, licences, registration of fishers and vessels, quota monitoring, stock enhancement, observer programs, test fisheries, consultation and negotiation, Aboriginal Fisheries Strategy, Salmonid Enhancement Program, regulation amendments, habitat rehabilitation, MOUs and agreements, Advisory Boards and Committees.

**Access:** Records stored by Region, numerically and by subject.

**Format:** Records in paper, microfiche, and EDP format.

**Program Record Number:** DFO RDG 060

### Sector Management (Seals and Marine Mammals)

**Description:** Information on the Atlantic coast seal hunt and marine mammal conservation issues and activities.

**Topics:** Seal catch statistics and seal licensing policy, development projects under the Assistance to the Sealing Industry Program; bycatch of marine mammals, recreational observation of marine mammals, strandings, live capture and export of marine mammals; and laws and regulations pertaining to marine mammals.

**Program Record Number:** DFO RDG 065

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Access to Information and Privacy Requests

Acts and Legislation

Administration

Administration and Management Services

Automated Document, Records, Information Management System

Budgets

Buildings

Buildings and Properties

Business Continuity Planning

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Procurement

Proactive Disclosure

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

Vehicles

## Personal Information Banks

### Human Resources and Corporate Services Harbour Managers

**Description:** Information on Harbour Managers appointed by the Minister in accordance with the Fishing and Recreational Harbours Act, namely: name, address, identification number, badge



number, date of appointment (and cancellation) and remuneration.

**Class of Individuals:** Harbour Managers.

**Purpose:** Active and historic information from this bank is required for administration purposes.

**Consistent Uses:** This information is used for administrative purposes and for other such purposes as allowed under sub-section 8(2) of the Privacy Act.

**Retention and Disposal Standards:** The retention and disposal information in this bank is to be determined with departmental records management and the National Archives of Canada.

**RDA Number:** Under development

**Related PR#:** DFO CRP 540

**TBS Registration:** 003624

**Bank Number:** DFO PPU 070

### Manuscript Reviews

**Description:** A list of qualified referees (specialists in a variety of disciplines along with records of the receipt, review and appraisal of manuscripts selected for publication or rejected).

**Class of Individuals:** A list of qualified referees (specialists in a variety of disciplines).

**Purpose:** To maintain a list of qualified referees.

**Consistent Uses:** To record receipt of manuscripts and organize assignment of reviews and appraisals of manuscripts selected for publication or rejection.

**Retention and Disposal Standards:** Six years after publication (or non-publication), transfer to Historical Records Section of National Archives of Canada for selective retention.

**RDA Number:** 98/001

**Related PR#:** DFO SCI 610:

**TBS Registration:** 003613

**Bank Number:** DFO PPU 020

### Real Property Records

**Description:** This bank contains leases, licences and agreements issued in accordance with the Fishing and Recreational Harbours Act and Regulations, for the occupancy and use of harbour property. Names, addresses, telephone numbers, description of property, length of term, rental and other considerations are included. Also contained in this bank are legal title documents covering federal ownership of property.

**Class of Individuals:** The information contained in this bank relates to governments, Harbour Authorities, commercial entities and private individuals.

**Purpose:** The information in the bank is used for administrative purposes, to ensure controlled use of harbour property, accounting records and audit purposes.

**Consistent Uses:** This information is used for other such purposes as allowed under sub-section 8(2) of the Privacy Act.

**Retention and Disposal Standards:** To be determined.

**RDA Number:** Under development

**Related PR#:** DFO CRP 520

**TBS Registration:** 003630

**Bank Number:** DFO PPU 065

## Fisheries and Aquaculture Management

### Commercial Fishing Licence Databases

**Description:** The bank contains an alphabetical listing of Atlantic and Pacific licensed commercial fishermen along with fishing vessel profiles. Key data elements are name, address, homeport, fishing category (full-time or part-time), fees paid, vessel name, vessel specifications, species licence entitlements, individual quotas, actual catch figures and DFO identification number, as well as a listing of all purchasers of fishing net labels and replacement labels.

**Class of Individuals:** Commercial fishermen.

**Purpose:** To develop fishing plans, to assess fish stocks, to assist DFO in the issuance of fishing net labels and replacement labels, to provide for vessel safety inspections and provide a database of information in cases of emergency.

**Consistent Uses:** This bank may be used as a source of information for other banks such as Surveys (DFO PPU 075). For the purposes of enforcement and conducting investigations in accordance with Canadian fisheries legislation, data DFO Violations (DFO PPU 060) is linked with this bank. Data from this bank is also shared with various provincial departments under section 8(2)(f) of the Privacy Act, for the purposes of administering a law or conducting a legal investigation and may also be shared with approved local fishing organizations in specific provinces in order to assist DFO in the issuance of fishing net labels and replacement labels. The data in this bank is also shared with the Department of National Defence for its National Search and Rescue (SAR) Management System (DND PPU 550). Vessel specific personal information may be shared with other agencies in SAR situations.

**Retention and Disposal Standards:** The records in this databank are of historical significance and will be retained indefinitely.

**RDA Number:** Under development

**Related PR#:** DFO MAN 315

**TBS Registration:** 003621

**Bank Number:** DFO PPU 010

**DFO Violations**

**Description:** The bank contains enforcement data on individuals/ companies, including detailed information on offences committed under Canadian fisheries legislation.

**Class of Individuals:** Individuals, with or without a fisherman's licence, and companies.

**Purpose:** Activities surrounding enforcement and conduct of investigations in accordance with Canadian fisheries legislation.

**Consistent Uses:** To compile various statistics to determine compliance and surveillance levels, to have an historical database to help identify problem areas for planning purposes. Data is also linked with Catch and Effort (DFO PPU 055) and Commercial Fishery Licence Databases (DFO PPU 010).

**Retention and Disposal Standards:** The length of retention is to be established with Departmental Records Manager and National Archives of Canada.

**RDA Number:** Under development

**Related PR#:** DFO MAN 305

**TBS Registration:** 003620

**Bank Number:** DFO PPU 060

**Fisheries Improvement Loan Program**

**Description:** The bank contains individual loan files on borrowers with defaulted outstanding loans that have been guaranteed under the Program.

**Class of Individuals:** Information relates to fishermen with loans guaranteed under the Fisheries Improvement Loans Program.

**Purpose:** The purpose of the bank is to administer the Fisheries Improvement Loans Program and to safeguard the interest of the Crown by collecting outstanding debts.

**Consistent Uses:** None identified

**Retention and Disposal Standards:** To be determined.

**RDA Number:** Under development

**Related PR#:** DFO MAN 315

**TBS Registration:** 003617

**Bank Number:** DFO PPU 035

**Fishing Licence Appeal Boards**

**Description:** Information on Canadian fishers appealing Departmental decisions respecting the issue, reissue and transfer of fishing licences along with decisions respecting fishers' categorisation and registration of vessels (Atlantic and Pacific).

**Class of Individuals:** Canadian Fishermen.

**Purpose:** Process appeals sought by fishers through the appropriate licence appeal board.

**Consistent Uses:** None identified

**Retention and Disposal Standards:** To be

determined

**RDA Number:** Under development

**Related PR#:** DFO MAN 310

**TBS Registration:** 003618

**Bank Number:** DFO PPU 090

**Canadian Coast Guard**

NOTE: On December 12, 2003, the policy functions related to pleasure craft, marine navigation services, pollution prevention and response and navigable waters were transferred to Transport Canada.

**Record of Canadian Coast Guard Command Certificates**

**Description:** This information forms a register of the Command Certificates of Competency issued by the Canadian Coast Guard. It is maintained under the authority of Canadian Coast Guard Fleet Order No. 530. The register contains names, social insurance numbers, birth dates, date and place of examination, date of issue and certificate numbers.

**Class of Individuals:** Personnel who have obtained the qualification, generally middle to senior navigation officers or commanding officers.

**Purpose:** The bank is a record of the number of Command Certificates issued to date and to whom they have been issued.

**Consistent Uses:** None identified.

**Retention and Disposal Standards:** Files are transferred to the National Archives of Canada after 50 years.

**RDA Number:** 77/018

**Related PR#:** DOT MSS 200

**TBS Registration:** 001052

**Bank Number:** DFO PPU 115

**Record of Canadian Coast Guard Watchkeeping Certificates and Operations Endorsement**

**Description:** This information forms a register of the Coast Guard Watchkeeping Certificates of Competency and Operations Endorsements issued by the Canadian Coast Guard. It is maintained under the authority of Canadian Coast Guard fleet Order No. 530. The register contains names, social insurance numbers, birth dates, date and place of examination, date of issue and certificate numbers.

**Class of Individuals:** Personnel who have acquired the necessary sea service and have subsequently successfully passed examinations.

**Purpose:** The bank is a record of the number of certificates issued to date and to whom they have been issued.

**Consistent Uses:** None identified

**Retention and Disposal Standards:** Files are

transferred to the National Archives of Canada after 50 years.

**RDA Number:** 77/018

**Related PR#:** DOT MSS 200

**TBS Registration:** 001051

**Bank Number:** DFO PPU 120

## Policy

### Statistics Program

**Description:** The Department collects commercial fishing "Catch and Effort Data" from commercial licence holders, commercial fish buyers and vessel skippers and the Dockside Monitoring Program (DMP). The information identifies, but is not limited to, individual vessel and commercial buyers, species weight and information on amount paid (except for DMP data), areas of catch and fishing effort where applicable, on a trip by trip basis (from log books). The statistics system is decentralized, operating from regional offices. National statistics are developed in Ottawa using regional contributions. The databases include: Commercial Fishing Registration and Licensing Data; Domestic Quota System; Permis-pêcheur-bateau; Commercial Fishing Licence Data; Tidal Water Sport Fishing Licence Data; Licensing; Foreign Licensing and Surveillance System Flash; Aquaculture Licence; Complaint Control System; Import Rejection.

**Class of Individuals:** Commercial licence holders, Commercial fish buyers, vessel owners/skippers, DMP Companies.

**Purpose:** Stock assessment and quota monitoring purposes, international fisheries agreements, economic and statistical analysis, policy development and analysis.

**Consistent Uses:** In support of enforcement and the conduct of investigations in accordance with Canadian fisheries legislation, data is linked with the Commercial Fishing Licence Databases (DFO PPU 010), the Catch and Effort Data (DFO PPU 055) and DFO Violations (DFO PPU 060). Used for annual reporting on Canadian fisheries data to NAFO, OECD and FAO. Also used for economic analyses and program evaluations of various segments of the fisheries and for fisheries management purposes as authorised by the Fisheries Act and other related acts of Parliament. Some personal information maintained in the bank is shared with the Nova Scotia Department of Fisheries with the written consent for disclosure from the individual to whom the information relates. In all the above areas, data are produced in reports containing no personal information. However, personal information is maintained in the bank.

**Retention and Disposal Standards:** Information

in this bank will be held indefinitely due to the historical value of the information.

**RDA Number:** Under Review

**Related PR#:** DFO MAN 315

**TBS Registration:** 003622

**Bank Number:** DFO PPU 055

## Surveys

**Description:** From time to time, surveys are carried out by the Department to obtain information. These surveys include: Commercial Fishing Registration and Licensing Data; Domestic Quota System; Permis-pêcheur-bateau; Commercial Fishing Licence Data; Tidal Water Sport Fishing Licence Data; Licensing; Foreign Licensing and Surveillance System Flash; Aquaculture Licence; Complaint Control System; Import Rejection; Plant Capacity Survey; Vessel Performance Studies; Angler Diary; National Survey of Recreational Fisheries; Coûts et revenus des entreprises de Pêche; Costs and Earning Survey of Commercial Fishermen; Survey of Pacific Costs and Earnings; Fisherman's Income Survey; Atlantic Canada Sport Catch Data. Other similar surveys may occur as the need arises. Information may be gathered through the Catch and Effort Data (DFO PPU 055) and Commercial Fishing Licence Database (DFO PPU 010) banks. Much of this data is published in a statistical format, with all personal identifiers removed. For example, Newfoundland region publishes occasionally its "Costs and Earnings" Survey.

**Class of Individuals:** Information in this bank relates to clients of departmental fisheries programs and sports fishermen.

**Purpose:** The information is compiled to provide the Department with the statistical or economic information it requires to manage its programs effectively.

**Consistent Uses:** None identified

**Retention and Disposal Standards:** Information in this bank will be held indefinitely due to the historical value of the information.

**RDA Number:** Under Review.

**Related PR#:** DFO MAN 315

**TBS Registration:** 003626

**Bank Number:** DFO PPU 075

## Executive Secretariat

### Personal Information Disclosed to Federal Investigative Bodies

**Description:** In accordance with subsection 8(4) of the Privacy Act and pursuant to paragraph 8(2)(e), this bank is comprised of copies of requests received from authorized federal investigative bodies along with all records relating to the processing of those requests.

**Class of Individuals:** Individuals about whom requests for personal information have been received pursuant to paragraph 8(2)(e) of the Privacy Act from federal investigative bodies for the purpose of enforcing a law of Canada or a province or carrying out a lawful investigation.

**Purpose:** The purpose of this bank is to permit the Privacy Commissioner to review disclosures made under paragraph 8(2)(e) of the Privacy Act.

**Consistent Uses:** Compiling statistics relating to requests from federal investigative bodies.

**Retention and Disposal Standards:** Records kept two years after resolution then destroyed.

**RDA Number:** 98/001

**Related PR#:** DFO MAN 315

**TBS Registration:** 001741

**Bank Number:** DFO PPU 085

## Science

### Fish Health Officials

**Description:** The bank contains applications for recognition as Fish Health Officials under the Fish Health Protection Regulations and lists of recognised Fish Health Officials, with specimen signatures.

**Class of Individuals:** Applicants include federal and provincial government employees as well as persons in the private sector in Canada, and from other countries. The bank relates to professionals with specific education and experience in fish disease diagnostics.

**Purpose:** By comparison with specimen signatures, to verify authenticity of Fish Health Certificates that are required before import permits can be issued for importation or transfer into Canada or between provinces of cultured Salmonid fish.

**Consistent Uses:** Basis for decision to accept or reject applicants requesting recognition as Fish Health Officials along with a record of qualified individuals.

**Retention and Disposal Standards:** Personal files of Fish Health Officials (FHO's) and master copies of lists of FHO's will be held in a central registry in the Fisheries and Oceans Science Directorate. FHO files will be destroyed five years after cancellation as an FHO.

**RDA Number:** Under Review

**Related PR#:** DFO SCI 610

**TBS Registration:** 003615

**Bank Number:** DFO PPU 040

### Requests for Oceanographic Data

**Description:** This bank contains data concerning requests for services and information.

**Class of Individuals:** Information relates to government departments, universities, consultants, general public, construction firms,

publishing houses and regional offices.

**Purpose:** The bank is used as a measure of services to the public, to evaluate the type of service required by users, and to trace requests when necessary.

Consistent Uses : None identified.

**Retention and Disposal Standards:** Request forms destroyed after two years; summary statistics undetermined.

**RDA Number:** Under Review

**Related PR#:** DFO SCI 612

**TBS Registration:** 003627

**Bank Number:** DFO PPU 045

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems

Business Continuity Planning

Electronic Network Monitoring Logs

Executive Correspondence Management System

Internal Disclosure of Wrong Doing in the Work-Place

Hospitality

Relocation

Security Video Surveillance & Temporary Visitor Access Control Logs & Buildines Passes

Travel

## Manuals

- A practical Guide to the Fisheries Act
- Access Near Aquatic Areas: A Guide to Sensitive Planning, Design and Management
- Arctic Marine Emergency Plan
- Atlantic Recreational Fishing Licence Program
- Calendar of Courses –Sydney
- Canada's Oceans Strategy (NL)
- Canadian Aids to Navigation System
- Canadian Coast Guard Fleet Orders (CGFOs)
- Canadian Shellfish Sanitation Program -Manual of Operations
- Careers -Canadian Coast Guard

- Cartographic Standing Orders
- CCG Careers: Engineering Technician, Electronics Technician, Marine Traffic Regulator, Professional Engineer, Radio Operator
- CCG Ships Crew Officers Training Program - Documentation
- CCG Ships Crew Officers Training Program - Practical Training Manual
- CCG Technical Bulletins
- CCG Technical Standards
- CEAA Guide: Applying the Canadian Environmental Assessment Act for the Fish Habitat Management Program (Draft, August 2000)
- Chemical Methods
- Coast Guard Fleet Logistics Standards
- Community-Based Coastal Resource Inventories in Newfoundland and Labrador - Procedures Manual (NL)
- Community Greenways: Linking Communities to Country and People to Nature
- Community Stewardship: A Guide to Establishing Your Own Group
- Competency Standard for Ships' Crew
- Conservation and Protection Administration
- Conservation and Protection Operations
- Constructions Standards for Small Vessels
- Decision Framework for the Determination and Authorization of Harmful Alteration, Disruption or Destruction of Fish Habitat (1998)
- DFO 5693 Ships of Canadian Coast Guard
- DFO Habitat Protection and Conservation Guidelines 1986/1994
- DFO Underwater Video Site Survey Guidelines
- Directive on the Issuance of Subsection 35(2) Authorizations -CEAA (May 25, 1995)
- Directorives Manual, Conservation & Protection (Gulf)
- Diving and Shipwrecks
- The Dock Primer: A cottager's guide to waterfront-friendly docks
- Dockside Monitoring Program Policy and Procedures (including Regional Annexes) (Gulf)
- The Drain Primer: A Guide to Maintaining and Conserving Agricultural Drains and Fish Habitat
- Dynamically Supported Craft Training Program Manual
- Employees Guide on Work Force Adjustment
- Facilities Inspection
- Finance and Materiel Management Manual
- Fish Habitat Conservation and Protection: Guidelines for Attaining No Net Loss [National]
- Fish Habitat Conservation and Protection: What the Law Requires
- Fish Habitat Protection Guidelines: Irrigation Developments
- Fish Habitat Protection Guidelines: Overhead Powerlines
- Fish Habitat Protection Guidelines: Sand and Gravel Pits
- Fish Health Protection Regulations -Manual of Compliance
- Fish Products Inspection Manual -Policy and Procedures
- Fish Products Standards and Methods
- Fishery Officer's Guide for Habitat Management and Protection
- Fishing and Recreational Harbours Administrative Instructions
- Fleet Contingency Plan -Fleet Bulletins
- Fleet Safety Manual
- Foreign Observer Program Operations Manual
- Forms Management Manual
- Freshwater Intake End-of-Pipe Fish Screen Guidelines
- Good Manufacturing Practices (GMP) -Crab Processing
- Good Manufacturing Practices (GMP) -Lobster Processing
- Good Manufacturing Practices (GMP) -Shrimp Processing
- Guide for Diving Safety
- Guide to Helicopter/Ship Operations
- Guide to ISM Code
- Guidelines for the Protection of Fish and Fish Habitat: The Placement and Design of Large Culverts

- Guidelines for the Use of Explosives In or Near Canadian Waters [National]
- Guidelines to Protect Fish and Fish Habitat from Treated Wood used in Aquatic Environments in the Pacific Region
- Habitat Conservation and Protection Guidelines (1998, Second Edition)
- Habitat Stewardship Bylaws: A Guide for Local Government
- Harbour Authorities Manual
- Harbour Managers Manual
- Healthy Lifestyle Recipes
- Helicopter Maintenance Engineer Shipboard Manual (TP- 4986)
- Hydrographic Tidal Manual
- Ice Navigation in Canadian Waters
- Index to Notices to Mariners (annual)
- Information Management Manual -Vol 1 -Policy
- Information Management Manual -Vol 2 - Standards and Procedures
- Inspection Memoranda of Understanding and Agreement
- International Code of Signals
- Joint Canada/US Marine Pollution Contingency Plan
- Laboratory Manual for Chemistry
- Laboratory Safety
- Land Development Guidelines for the Protection of Aquatic Habitat -Lower Fraser Area -Fisheries Act and the Project Review Process
- List of Lights, Buoys and Fog Signals (4 Vol: Atlantic, Newfoundland, Inland, Pacific)
- Lower Fraser Area -Project Review Information Requirements for Works Affecting Fish
- Marine Forecast Reports
- Marine Protected Areas Policy
- Marine Protected Areas -A Strategy for Canada's Pacific Coast
- Marine Protected Areas (MPA's) Discussion Paper (January 1997)
- Marine Protected Areas Factsheets (Endeavour Hot Vents, Gabriola Passage, Bowie Seamount, Basin Head, Race Rocks, Sable Gully, Manicouagan, Musquash Estuary, Leading Tickles, Gilbert Bay, Eastport)
- MCTS Standards Manual -DFO 5608
- Metal Can Defects Manual
- National Marine Emergency Plan
- National Framework for Establishing and Managing Marine Protected Areas
- National Program for Action for the Protection of the Marine Environment from Land-Based Activities (NPA)
- National Search and Rescue Manual
- National Training Plan: Coast Guard Emergencies
- New Canadian Buoyage System
- Notices to Mariners (annual) -(TP-0390)
- Notices to Mariners (monthly) -(TP-0136)
- Observer Program Training Manual - Newfoundland Region
- Observers' Field Manual Domestic/Foreign Fishing Vessels
- Occupational Health and Safety Manual
- Occupational Health and Safety Manual -Pacific Region
- Oceans Program Activities Tracking Brochure
- Officer Cadet Sea Training Manual -Engineering
- Officer Cadet Sea Training Manual -Navigation
- Operational Guidelines for Search and Rescue Units
- Owners' Guide to Private Aids to Navigation
- Pacific General Ships' Orders
- Personnel -Policy and Procedures
- Petroleum Refinery Liquid Effluent Regulations
- PISCES IV Standard Operations Procedures
- Policy and Operational Framework for the Integrated Management of Estuarine Coastal and Marine Environments in Canada (NL)
- Policy for the Management of Fish Habitat (1986)
- Practitioner's Guide to Habitat Compensation
- Practitioner's Guide for Writing Letters in Fisheries Act Reviews
- Practitioner's Guide to Writing a Subsection 35(2) Fisheries Act Authorization

- Procedures Manual for Design and Review of Marine Short-Range Aids to Navigation
- Pulp and Paper Effluent Regulations
- Radio Aids to Marine Navigation
- Records Management Manual
- Road Maintenance Activities and the Fisheries Act: a Guidance Document to Avoiding Conflict
- Safe Waterways – Guidelines for the Design of Commercial Shipping Channels
- Safety Bulletins
- Security Manual
- SAR Skills Training Standard
- SAR Seamanship Reference Manual (available electronically on the Internet)
- Service Standards, Canadian Hydrographic Service
- Ship's Crew On-The-Job Training Manual
- Ship's Environmental Manual -DFO 5326
- Shipboard Helicopter Information & Procedures Manual
- The Shore Primer -A cottager's guide to a healthy waterfront
- Staff Relations Guide for Commanding Officers
- Standard Marine Navigational Vocabulary
- Standard Procedures for Bacteriological Analysis
- Stewardship Options: For Private Land Owners in British Columbia
- Stewardship: Working with Canadians to safeguard our marine and Freshwater legacy
- Stewards of Canada's Waters
- Stream Stewardship: A Guide for Planners and Developers
- Summary of (T) and (P) Notices to Mariners (annual)
- Survey Standing Orders
- Users Guide -Marine Environmental Data Service
- Vessel Traffic Services Zones Regulatory Specifications -DFO 5765
- Watercourse Crossings, Second Edition
- Watershed-Based Fish Sustainability Planning: Conserving BC Fish Populations and their Habitat
- Watershed Stewardship: A Guide for Agriculture
- Wetlandkeepers Handbook: A Practical Guide to Wetland Care
- Working Together for Marine Protected Areas -A National Approach
- Working Together to Protect and Promote Canada's Oceans

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Department and its functions may be directed to:

Head Office  
 Communications Directorate  
 Ottawa ON K1A 0E6  
 Tel.: (613) 993-0999  
 Fax: (613) 990-1866  
 TDD — General Enquiries  
 Tel.: (613) 941-6517 (D)  
 DFO Web Site: [www.dfo-mpo.gc.ca](http://www.dfo-mpo.gc.ca)  
 CCG Web Site: [www.ccg-gcc.gc.ca](http://www.ccg-gcc.gc.ca)  
 CHS Web Site: [www.charts.gc.ca](http://www.charts.gc.ca)

Oceans and Fish Habitat Web Site: [www.dfo-mpo.gc.ca/canwaters-eauxcan](http://www.dfo-mpo.gc.ca/canwaters-eauxcan)

MEDS Web Site: [www.meds-sdmm.dfo-mpo.gc.ca](http://www.meds-sdmm.dfo-mpo.gc.ca)

SCH Web Site: [www.dfo-mpo.gc.ca/sch](http://www.dfo-mpo.gc.ca/sch)

### Central and Arctic Region

201 N. Front St.  
 Sarnia ON N7T 8B1  
 Tel.: (519) 383-1810  
 Fax: (519) 464-5128  
 Web Site: [www.dfo-mpo.gc.ca/regions/central/ca.e.htm](http://www.dfo-mpo.gc.ca/regions/central/ca.e.htm)

Web site for the Canada Centre for Inland Waters:  
[www.cciw.ca](http://www.cciw.ca)

Web site for Central and Arctic Region Science:  
[http://www.dfo-mpo.gc.ca/regions/central/science\\_e.htm](http://www.dfo-mpo.gc.ca/regions/central/science_e.htm)

Web site for Central and Arctic Region Hydrography: [www.dfo-](http://www.dfo-)

[mpo.gc.ca/regions/central/science/chs-shc/index\\_e.htm](http://mpo.gc.ca/regions/central/science/chs-shc/index_e.htm)

Web site for Central & Arctic Region Coast Guard:  
[www.ccg-gcc.ca/cen-arc/main.html](http://www.ccg-gcc.ca/cen-arc/main.html)

Web site for the Coast Guard Auxiliary:  
[www.ssimicro.com-coastguard/](http://www.ssimicro.com-coastguard/)

### Québec Region

104 Dalhousie Street  
Quebec QC G1K 7Y7  
Tel.: (418) 648-4158  
Fax: (418) 648-4758  
Web Site: [www.qc.dfo.ca](http://www.qc.dfo.ca)

Web site for CHS: [www.qc.dfo-mpo.gc.ca/iml/en/sciences/hydrographique.htm](http://www.qc.dfo-mpo.gc.ca/iml/en/sciences/hydrographique.htm)

### Maritimes Region

P. O. Box 1035  
176 Portland Street  
Dartmouth NS B2Y 4T3  
Tel.: (902) 426-2581  
Fax: (902) 426-3479  
Web Site: [www.mar.dfo-mpo.gc.ca](http://www.mar.dfo-mpo.gc.ca)

Web site for Maritimes CCG: [www.mar.dfo-mpo.gc.ca/cg/ops/index.htm](http://www.mar.dfo-mpo.gc.ca/cg/ops/index.htm)

Web site for St. Andrews Biological Station:  
[www.mar.dfo-mpo.gc.ca/sabs/index-e.htm](http://www.mar.dfo-mpo.gc.ca/sabs/index-e.htm)

Web site for CCG College: [www.cgc.ns.ca](http://www.cgc.ns.ca)

Web site for Bedford Institute of Oceanography:  
[www.bio.gc.ca/enter/index\\_eng.htm](http://www.bio.gc.ca/enter/index_eng.htm)

Web site for Oceanographic and Fisheries Research: [www.bio.gc.ca/oceans/oceans.htm](http://www.bio.gc.ca/oceans/oceans.htm)

Web site for Canadian Hydrographic Services:  
[www.charts.gc.ca](http://www.charts.gc.ca)

Web site for SCH Maritimes: [www.mar.dfo-mpo.gc.ca/sch/](http://www.mar.dfo-mpo.gc.ca/sch/)

### Gulf Region

P.O. Box 5030  
343 Université Avenue  
Moncton NB E1C 9B6  
Tel.: (506) 851-7747  
Fax: (506) 851-2435  
Web Site: [www.gfc.dfo.ca](http://www.gfc.dfo.ca)

### Newfoundland and Labrador Region

P. O. Box 5667  
St. John's NL A1C 5X1  
Tel.: (709) 772-4423  
Fax: (709) 772-4880  
Web site: [www.nfl.dfo-mpo.gc.ca/](http://www.nfl.dfo-mpo.gc.ca/)

### Pacific Region

401 Burrard Street  
Vancouver BC V6C 3S4  
Tel.: (604) 666-0384  
Fax: (604) 666-1847  
Web Site: [www.pac.dfo-mpo.gc.ca](http://www.pac.dfo-mpo.gc.ca)

Pacific Communications Web site:  
[www.comm.pac.dfo-mpo.gc.ca](http://www.comm.pac.dfo-mpo.gc.ca)

Institute of Ocean Sciences Web site: [http://www-sci.pac.dfo-mpo.gc.ca/sci/facilities/ios\\_e.htm](http://www-sci.pac.dfo-mpo.gc.ca/sci/facilities/ios_e.htm)

CHS, Pacific Web site: [www-sci.pac.dfo-mpo.gc.ca/Charts/home\\_e.htm](http://www-sci.pac.dfo-mpo.gc.ca/Charts/home_e.htm)

CCG, Pacific Web site: [www.pacific.ccg-gcc.gc.ca/index\\_e.htm](http://www.pacific.ccg-gcc.gc.ca/index_e.htm)

Conservation and Protection Web site:  
[www.pac.dfo-mpo.ca/ops/cp](http://www.pac.dfo-mpo.ca/ops/cp)

Fisheries Management Web site: [www.pac.dfo-mpo.gc.ca/ops/fm](http://www.pac.dfo-mpo.gc.ca/ops/fm)

Acoustical Oceanography Research Group Web site: [pinger.ios.bc.ca](http://pinger.ios.bc.ca)

Habitat and Enhancement Web site:  
[www.heb.pac.dfo-mpo.gc.ca](http://www.heb.pac.dfo-mpo.gc.ca)

Oceans Program Web site: [www.pac.dfo-mpo.gc.ca/oceans](http://www.pac.dfo-mpo.gc.ca/oceans)

Science Branch Web site: [http://www-sci.pac.dfo-mpo.gc.ca/sci/default\\_e.htm](http://www-sci.pac.dfo-mpo.gc.ca/sci/default_e.htm)

Pacific Biological Station Web site:  
[http://www.pac.dfo-mpo.gc.ca/sci/pbs/default\\_e.htm](http://www.pac.dfo-mpo.gc.ca/sci/pbs/default_e.htm)

### Reading Room

The Department's libraries have been designated under the Access to Information Act as reading rooms. They are the main repository for publications, reports and studies pertinent to the management of the fisheries and oceans of Canada. They are information resource centres where access forms are available and assistance can be obtained to ascertain if the information requested is already available in the public domain and does not require formal access procedures. The addresses of departmental regional libraries are:

#### Central and Arctic Region

The Eric Marshall Aquatic Research Library  
Freshwater Institute  
501 University Crescent  
Winnipeg MB R3T 2N6  
Tel.: (204) 983-5170  
Fax: (204) 984-4668



**Headquarters Region**

Library Policy and Services  
200 Kent, 7th Floor  
Ottawa ON K1A 0E6  
Tel.: (613) 993-2950  
Fax: (613) 990-4901

**Québec Region**

Maurice Lamontagne Institute Library  
850 Route de la Mer  
P. O. Box 1000  
Mont-Joli QC G5H 3Z4  
Tel.: (418) 775-0551  
Fax: (418) 775-0538

Web site for CHS: [www.qc.dfo-mpo.gc.ca/iml/en/sciences/hydrographique.htm](http://www.qc.dfo-mpo.gc.ca/iml/en/sciences/hydrographique.htm)

**Maritimes Region**

Maritimes Region Library  
Bedford Institute of Oceanography  
P. O. Box 1006  
Dartmouth NS B2Y 4A2  
Tel.: (902) 426-3683  
Fax: (902) 496-1544 or 426-7827

Coast Guard College Library  
P. O. Box 4500  
1190 Westmount Road  
Sydney NS V1P 6L1  
Tel.: (902) 564-3660  
Fax: (902) 564-3672

Maritimes Region Biological Station Library  
Brandy Cove Road  
St. Andrews NB E0G 2X0  
Tel.: (506) 529-8854 ext. 5909  
Fax: (506) 529-5862

**Gulf Region**

Gulf Fisheries Centre Library  
343 Université Avenue  
P. O. Box 5030  
Moncton NB E1C 9B6  
Tel.: (506) 851-6264  
Fax: (506) 851-2766

**Newfoundland and Labrador Region**

Regional Library  
Northwest Atlantic Fisheries Centre  
P. O. Box 5667  
St. John's NL A1C 5X1  
Tel.: (709) 772-2022  
Fax: (709) 772-2575

**Pacific Region**

Pacific Biological Station Library  
Hammond Bay Road  
Nanaimo BC V9R 5K6

Tel.: (250) 756-7071  
Fax: (250) 756-7053

Institute of Ocean Sciences Library  
9860 West Saanich Road  
P. O. Box 6000  
Sidney BC V8L 4B2  
Tel.: (250) 363-6392  
Fax: (250) 363-6749

Fisheries Management Regional Library  
300- 555 West Hastings Street, Room 430  
Vancouver BC V6B 5G3  
Tel.: (604) 666-3851  
Fax: (604) 666-3145

# Fraser River Port Authority

## Chapter 65

### General Information

#### Background

The Fraser River Port Authority was proclaimed May 1, 1999 pursuant to the Canada Marine Act, 1998. The Port Authority is a continuation of the Fraser River Harbour Commission which was established under the Harbour Commissions Act, 1965. Prior to 1965, the agency was known as the New Westminster Harbour Commissioners as created by federal legislation in May 1913.

The Fraser River is a major river transportation route in the Province of British Columbia with good harbour facilities available from Steveston (9 km from the mouth) to New Westminster (35 km from the mouth).

#### Responsibilities

The Fraser River Port Authority, also referred to as Fraser Port, is responsible for administering the lower portion of the main arm of the Fraser River from Kanaka Creek (near Haney, BC) downstream to the mouth of Fraser River. In addition, Fraser Port's jurisdiction includes a small portion of the North Arm of the Fraser River, a portion of the Pitt River from Pitt Lake to the Pitt River's confluence with the Fraser River, and from the mouth of the Fraser River, south to Brunswick Point in Canoe Pass.

Fraser Port, as the lead agency, works in conjunction with the nine municipalities that border the Fraser River, and numerous local, Provincial and Federal agencies, to coordinate harbour operations and developments, as well as to maintain sustainability of the Fraser River and harbour facilities within the jurisdiction of the Port Authority.

#### Legislation

- Canada Marine Act, S.C.1997-98, c.10
- Port Authorities Management Regulations
- Port Authorities Operations Regulations

#### Organization

The President and Chief Executive Officer of the Fraser River Port Authority is the Head of the Institution for the purposes of the Access to Information Act and the Privacy Act and exercises

all the powers and responsibilities pertaining to this function under the Acts in question.

#### Business Development

Responsibilities of the department are to develop new business opportunities, market strategies and implementation plans; to review and maintain awareness of contracts, agreements, negotiations in progress, and geographic market segments; to maintain awareness of missions, objectives and key priorities of Fraser Port; to review and assess the overall strengths and weaknesses of the organization; to identify key issues and external events which are of significance to Fraser Port; and to develop awareness of opportunities for market development and expansion for all divisions.

#### Finance and Administration

Responsibilities of the department are to develop corporate policies, standards and programmes related to organizational structure and processes; to review and develop information and data processing requirements and systems; to review and develop human resources, resource planning, career planning and succession policies; to review and develop purchasing policies, procedures and controls; and to review, plan, and develop financial standards, policies, procedures and controls.

#### Operations

Responsibilities of the department are to review and maintain awareness of environmental and land maintenance issues; to review and develop awareness of vessel programs; to develop channel strategy policies; and to administer environmental matters relating to leasing, permitting, and licensing of tenants and activities along the Crown portions of the Fraser River.

#### Property Development

Responsibilities of the department are to review and maintain awareness of land development opportunities; to administer capital projects; to review and address property issues; to resolve administrative processing inconsistencies; and to administer the leasing, permitting, and licensing of tenants and activities along the Crown portions of the Fraser River.

#### Public Affairs

Responsibilities of the department are to coordinate preparation and distribution of the

Annual report; to answer external requests for information at the Corporate level; to coordinate printing and distribution of Corporate Information brochures; and to coordinate advertising and publicizing the Fraser River Port Authority.

## Information Holdings

### Program Records

#### Property

**Description:** Information relating to the acquisition, disposal, exchange, leasing, construction, engineering and development of water-front, waterlot areas and upland properties within the jurisdiction of Fraser Port.

**Topics:** Agreements for development and/or service of real estate including habitat preservation; the acquisition or exchange of properties to facilitate harbour access and port business; the leasing and/or permitting of tenants along Fraser River; and the development of physical assets including buildings and service infrastructures such as roads and sewers.

**Access:** By Subject

**Format:** Paper Files

**Program Record Number:** FRPA PRO 700

#### Operations

**Description:** Information relating to the general operations of Fraser Port including environmental audits, management plans and committees, dredging activities, maintenance of harbour structures, navigation on the river, and safety and security of docks.

**Topics:** Environmental audits of lease areas; monitoring events such as regattas; marine incidents; maintenance engineering of docks, dock equipment and infrastructures such as bridges and roads; maintenance dredging; navigation soundings; safety programs; and operation statistics.

**Access:** By Subject

**Format:** Paper Files

**Program Record Number:** FRPA OPS 000

#### Public Affairs

**Description:** Information relating to media relations, press releases, client relation, advertising, promotional events, and community relations.

**Topics:** Media Clippings; advertising; corporate identity; publications; speeches and presentations; promotions and events.

**Access:** By Subject

**Format:** Paper Files

**Program Record Number:** FRPA PAF 000

#### Finance

**Description:** Information relating to Accounting, Finance, Internal Audits, Budgeting, Risk Management and Taxation.

**Topics:** Accounts Payable, Accounts Receivable, Banking, Budgets, Insurance.

**Access:** By Subject

**Format:** Paper files

**Program Record Number:** FRPA FIN 000

#### Administration

**Description:** Information relating to corporate policies, organizational structure and processes, acts and regulations, corporate by-laws. Includes Board of Directors, Corporate Secretary, Committee Minutes, Orders in Council appointing Board members and office administration.

**Topics:** Submissions; jurisdiction; patents; copyright; trademarks; legislation.

**Access:** By Subject

**Format:** Paper Files

**Program Record Number:** FRPA ADM 000

#### Information Systems

**Description:** Information relating to the area of information management including; hardware, software, information systems, security and access, departmental requirements, and networks.

**Topics:** Development projects; inventory; operations; security & integrity; standards; support.

**Access:** By Subject

**Format:** Paper Files

**Program Record Number:** FRPA INF 000

#### Business Development

**Descriptions:** Information relating to developing new business opportunities, market strategies, geographic market segments, cargo commodities, transportation related topics.

**Topics:** Cargo Statistics, marketing trips

**Access:** By Subject

**Format:** Paper Files

**Program Record Number:** FRPA BUD 000

#### Human Resources

**Description:** Information relating to the area of Human Resource Management, including professional development and human resource programs.

**Topics:** Employment & staffing; training & development; salary & wages; benefits & compensation; responsibilities & mandates.

**Access:** By Subject

**Format:** Paper Files

**Program Record Number:** FRPA HUR 000

## Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts & Accounting

Administration & Management Services

Audits

Automated Document, Records, Information Management Systems

Budgets

Business Continuity Plans (BCP)

Employment & Staffing

Finance

Hospitality

Human Resources

Information Technology Services

Physical Security

Procurement

Relocation

Salaries and Wages

Training and Development

Travel

## Personal Information Banks

### Accounts Payable Files

**Description:** This bank contain the names and addresses of firms and individuals who have provided services or products, details of the amounts paid and any supporting documentation to substantiate the account. Access to this bank will require a name, address and the date of the account. Original accounts payable vouchers, together with supporting documentation, are maintained in hard copy and are filed by date of payment.

**Class of Individuals:** Individuals and companies providing services or products.

**Purpose:** The purpose of this bank is to maintain information on the payment of accounts to individuals or companies for services or products provided to Fraser Port.

**Consistent Uses:** None

**Retention and Disposal Standards:** The retention period is seven years and then destroyed.

**RDA Number:** 2002/001

**Related PR#:** FRPA FIN 000

**TBS Registration:** 004301

**Bank Number:** FRPA PPU 010

### Accounts Receivable Files

**Description:** This bank contain the names and addresses of firms and individuals, details of the amount owing and any supporting documentation to substantiate the account. Manual files exist to maintain hard copy documentation. Access to this bank will require a name and address.

**Class of Individuals:** Individuals and companies owing services or supplies to Fraser Port.

**Purpose:** The purpose of this bank is to maintain information on monies owing to Fraser Port.

**Consistent Uses:** None

**Retention and Disposal Standards:** The retention period is seven years and then destroyed.

**RDA Number:** 2002/001:

**Related PR#:** FRPA FIN 000

**TBS Registration:** 004302

**Bank Number:** FRPA PPU 015

### Property Database

**Description:** This bank contains a property inventory with vital information including street addresses, legal descriptions, and land title registrations. In addition, the bank contains references to all agreements, leases, licenses, and permits for all properties used and owned by Fraser Port. Manual files exist to maintain hard copy documentation. Access to this bank will require a name and address as well as prior written approval for any third-party requests.

**Class of Individuals:** General public.

**Purpose:** The purpose of this bank is to maintain information on all property related transactions; to compile leases, licenses, permits, and environmental audits; to compile financial billings/receipts directly related to leases, licenses, and permits; and to track renewals.

**Consistent Uses:** The information in this bank is used to document the decision process in property matters.

**Retention and Disposal Standards:** The retention period is permanent. The information is not destroyed

**RDA Number:** 2002/001

**Related PR#:** FRPA PRO 700

**TBS Registration:** 004303

**Bank Number:** FRPA PPU 020

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems

Business Continuity Plans (BCP)

Electronic Network Monitoring Logs

Executive Correspondence Management Systems

Hospitality

Internal Disclosure of Wrong Doing in the Work-Place

Relocation

Security Video Surveillance & Temporary Visitor Access Control Logs & Building Passes

Travel

## Classes of Personal Information

In the course of conducting the programs and activities of Fraser Port, categories of personal information may be accumulated which are not contained in the specific personal information banks described above. Such personal information includes expressions of public support, offers of services, and complaints. This information is stored as part of the general subject files where records are not normally retrieved by name of the individual or other personal identifiers.

Personal information is normally retrievable only if specifics are provided concerning the subject matter, the related program activity, and the approximate date on which the information would have been received by Fraser Port. The retention periods for these classes of personal information are controlled by the Records Retention Schedules for the general subject files in which they are stored.

## Manuals

- Corporate Policies and Procedures Manual
- Internal Operations Policies and Procedures Manual
- Emergency Procedures Manual
- Records Management Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Please note: Requests made to the Fraser River Port Authority under the Access to Information Act must be accompanied by an application fee of \$5.00, made payable to the Fraser River Port Authority.

Requests for further information about the Fraser River Port Authority and its various programmes and functions may be directed to:

Public Relations  
 Fraser River Port Authority  
 500 - 713 Columbia Street  
 New Westminster BC V3M 1B2  
 Tel: (604) 524-6655  
 Fax: (604) 524-1127  
 E-mail: [fraserport@frpa.com](mailto:fraserport@frpa.com)  
 Web Site: [www.fraserportauthority.com](http://www.fraserportauthority.com)

## Reading Room

Under the Access to Information Act, the Fraser River Port Authority has designated an area on the premises as the public reading room. The address is:

5th Floor  
 Fraser River Port Authority  
 500 - 713 Columbia Street  
 New Westminster BC V3M 1B2

# Freshwater Fish Marketing Corporation

## Chapter 66

### General Information

#### Background

The Freshwater Fish Marketing Corporation (FFMC) was established in 1969 under the authority of the Freshwater Fish Marketing Act. The Act gives the FFMC the exclusive right to interprovincial and export trade in designated products of the freshwater fisheries supplied from the three Prairie Provinces, the Northwest Territories, and part of northern Ontario. The FFMC is a federal crown corporation listed under Schedule III, Part I of the Financial Administration Act.

#### Responsibilities

The objectives of the Corporation are: to market fish in an orderly manner; to increase returns to fishermen; and to promote markets and export trade in fish.

The Act requires the FFMC to purchase all legally caught fish offered for sale by licensed fishermen, subject to price and terms and conditions of purchase (including quality provisions). It must conduct its operations on a self-sustaining financial basis without appropriations by Parliament.

#### Legislation

- Freshwater Fish Marketing Act (1969)

#### Organization

The FFMC is managed by an eleven member board of directors composed of a Chairman, a President, one director for each participating province/Territories and four other directors. The Chairman and the President are appointed by the Governor-in-Council. The remaining directors are appointed by the Minister of Fisheries and Oceans with the approval of the Governor-in-Council. Directors from a participating province are appointed on the recommendation of the Lieutenant Governor in Council of the participating province. The board of directors is supported and advised by an Advisory Committee composed of fifteen members appointed by the Governor-in-Council.

### Information Holdings

#### Program Records

##### Fishing Statistics

**Description:** History case files maintained on 13 fish species. Files include information on species and fish grade, i.e. quality of fish caught; catch weight, etc., all of which is used to determine prices paid to fisherman for their catches. Also includes information about the various fishing locations and types of fish caught in these bodies of water

**Topics:** Fish values, fish stocks, payments to fishermen, lake and river data, etc.

**Program Record Number:** FWF FIS 005

#### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance  
 Personnel  
 Proactive Disclosure  
 Procurement  
 Relocation  
 Salaries and Wages  
 Staff Relations  
 Training and Development  
 Travel  
 Utilities  
 Vehicles

## Personal Information Banks

### Fishermen's Records

**Description:** This bank contains data on purchases of fish made by the Corporation from fishermen in the areas it serves. The data include the quantity and monetary values of fish purchased from each fisherman.

**Class of Individuals:** Fishermen from whom the Corporation has purchased fish.

**Purpose:** This information is maintained in a database and is used for administrative and statistical purposes and as a basis for distribution of additional payments to fishermen as part of the Corporation's responsibilities. This information is used to determine who fished, what the fisher delivered by species and quantity, and what they were paid in order to determine any final payment.

**Consistent Uses:** This information may be used to contact fishers regarding any program changes or issues.

**Retention and Disposal Standards:** Information is retained for seven years and is then destroyed.

**RDA Number:** TBD

**Related PR#:** FWF FWF 005

**TBS Registration:** 002566

**Bank Number:** FWF PPU 005

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Hospitality  
 Relocation  
 Travel

## Additional Information

Any cheques should be made payable to the "Freshwater Fish Marketing Corporation".

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Corporation may be directed to:

Freshwater Fish Marketing Corporation  
 1199 Plessis Road  
 Winnipeg MB R2C 3L4  
 Tel.: (204) 983-6600

## Reading Room

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:

1199 Plessis Road  
 Winnipeg, Manitoba

# Great Lakes Pilotage Authority Canada

## Chapter 67

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

As a result of recommendations made by a Royal Commission on Pilotage in Canada, the Pilotage Act was assented to by Her Majesty and the Governor-in-Council and proclaimed in force February 1, 1972.

The Pilotage Act created four pilotage regions with specific authorities, thereby replacing a large number of local pilotage districts. The four Pilotage Authorities - Atlantic, Laurentian, Great Lakes and Pacific - are Crown corporations, responsible to Parliament through the Minister of Transport.

The Great Lakes Pilotage Authority, Ltd. was established in February 1972 pursuant to the Pilotage Act, incorporated as a limited company in May 1972, and was continued under the Canada Business Corporations Act. Until October 1st, 1998, it operated under the name of Great Lakes Pilotage Authority, Ltd. Pursuant to the Marine Act, which received Royal Assent on June 11 1998, the name of the Authority was changed to Great Lakes Pilotage Authority and the Authority is deemed to have been established under subsection 3(1) of the Pilotage Act. The Authority is a Crown corporation listed in Schedule III, Part I of the Financial Administration Act. On October 1st, 1998, the Authority ceased to be a subsidiary of the St. Lawrence Seaway Authority and has initiated a process to surrender its charter under the Canada Business Corporations Act.

#### Responsibilities

The role and objectives of the Authority are to establish, operate, maintain and administer, in the interest of safety, an efficient and economical pilotage service within its geographical boundaries; all waters in the Province of Quebec south of the northern entrance to St. Lambert Lock and all Canadian waters in and around the provinces of Ontario and Manitoba. Pilotage in the international waters within the boundaries is shared with United States of America Pilot

Corporations, which are under the direction of the United States Coast Guard, as agreed under a memorandum of arrangements between Canada and the United States. The Authority prescribes tariffs of pilotage charges that are to be fair, reasonable and consistent with providing revenues sufficient to permit the Authority to operate on a self-sustaining financial basis.

#### Legislation

- Authority By-Laws
- Canada Shipping Act, RSC, 1985, c. S-9
- General Pilotage Regulations
- Great Lakes Pilotage Regulations
- Memorandum of Arrangements between the Minister of Transport, Canada and the Secretary of Transportation, U.S.A.
- Pilotage Act, RSC, 1985, c. P-14

#### Organization

The Great Lakes Pilotage Authority consists of a part-time Chairman and six members appointed by the Governor in Council with a full time Chief Executive Officer appointed by the Board of Directors. The Authority's head office is located in Cornwall, Ontario. The Eastern District operations office is located at headquarters and the Western District operations office in St. Catharines, Ontario. All management, administrative, personnel, financial contracts and purchasing services are provided by the Cornwall office. The Authority is a Crown corporation, responsible to Parliament through the Minister of Transport.

#### Administration Branch

This Branch provides administrative and financial services as required to operate within accepted corporate business procedures.

#### Operations Branch

This Branch provides pilotage service by assignment, and dispatches qualified pilots to ships navigating within the boundaries of the Great Lakes Pilotage Authority.



## Information Holdings

### Program Records

#### Pilotage Services

**Description:** Information on provision of pilotage services within the Great Lakes region.

**Topics:** Dispatching records; pilotage licences; tariff charges; assignments of pilots to vessels; collective agreements; international shipping affairs.

**Program Record Number:** GLP OPE 005

#### Tariffs

**Description:** Information on setting of tariffs for the provision of pilotage services; also conduct and results of negotiations on setting of tariffs in various districts throughout the region as well as results of Canadian Transport Commission hearings.

**Program Record Number:** GLP OPE 010

### Personal Information Banks

#### Accounts Payable Files

**Description:** Files contain the names and addresses of firms and individuals, invoices for services rendered or products provided, detailing the amount owing and any supporting documentation to substantiate the account.

Original accounts payable vouchers, together with supporting documentation, are maintained in hard copy and are filed by date of payment. Access to this bank will require a name, address and the date of the account.

**Class of Individuals:** Individuals, firms, employees.

**Purpose:** The purpose of this bank is to maintain information on the payment of accounts to firms or individuals for services or products provided to the Authority.

**Retention and Disposal Standards:** Original accounts payable vouchers, together with supporting documentation is seven years.

**RDA Number:** TBD

**Related PR#:** GLP OPE 005

**TBS Registration:** 004077

**Bank Number:** GLP PPU 020

#### Accounts Receivable Files

**Description:** Files contain the names and addresses of firms and individuals, details of the amount owing and any supporting documentation to substantiate the account. Manual files exist to maintain hard copy documentation. Access to this bank will require a name and address.

**Class of Individuals:** Individuals and firms

**Purpose:** The purpose of this bank is to maintain

information on monies owing to the Authority.

**Retention and Disposal Standards:** The retention period is six years

**RDA Number:** TBD

**Related PR#:** GLP OPE 005

**TBS Registration:** 004076

**Bank Number:** GLP PPU 015

#### Application for Employment File

**Description:** This bank contains completed application forms, letters and curricula vitae of persons interested in working for the Authority. Access to this bank will require a name, address and date of birth.

**Class of Individuals:** Individuals seeking employment.

**Purpose:** The purpose of this bank is to maintain a record of information relating to applications for employment received from the general public.

**Consistent Uses:** To support decisions regarding the referral of candidates for staffing purposes.

**Retention and Disposal Standards:** The retention period for this bank is two years.

**RDA Number:** TBD.

**Related PR#:** GPL OPE 005

**TBS Registration:** 004078

**Bank Number:** GLP PPU 025

#### Procurement

**Description:** Files contain a requisition describing the items to be purchased, quotations/tenders received, an analysis of the prices received, documentation leading up to the award of an order, delivery follow-up and correspondence on price escalation. Access to this bank will require purchase order number and the name and address of suppliers.

**Class of Individuals:** Contracting firms

**Purpose:** The purpose of this bank is to maintain information on quotations/tenders received and the award of orders for the purchase or supply of commodities, materials and equipment.

**Consistent Uses:** The files may be used as research for future purchases.

**Retention and Disposal Standards:** The retention period for purchase orders and supporting documents is five years

**RDA Number:** TBD.

**Related PR#:** GLP OPE 005

**TBS Registration:** 004075

**Bank Number:** GLP PPU 010

#### Register of Pilots

**Description:** This bank contains information on physical characteristics, licences, certificates and pilots' accidents and incidents. Access to this bank will require a name and address.

**Class of Individuals:** Pilots.

**Purpose:** The purpose of this bank is to retain a register of certificates and qualifications for pilots required under the Pilotage Act. Access to this bank will require a name and address.

**Consistent Uses:** The information is used for reference purposes.

**Retention and Disposal Standards:** Information in this bank is retained permanently for archive purposes.

**RDA Number:** TBD.

**Related PR#:** GLP OPE 005

**TBS Registration:** 004079

**Bank Number:** GLP PPU 030

### Service Contracts

**Description:** The files contain the list of prospective tenderers, the tenders submitted, an analysis of the tenders received, documentation leading to the award of the contract and the signed contract between the contractor and the Authority. Access to the bank will require the contract number and description of the service.

**Class of Individuals:** Firms.

**Purpose:** The purpose of this bank is to maintain information on the tenders and award of contracts for the supply of such services as land transportation and water transportation.

**Consistent Uses:** The files may be referred to for future contracts.

**Retention and Disposal Standards:** The retention period for service contracts is ten years

**RDA Number:** TBD.

**Related PR#:** GLP OPE 005

**TBS Registration:** 004074

**Bank Number:** GLP PPU 005

## Manuals

- Accounting Procedures
- Administrative Directives
- Collective Agreements
- Dispatching Procedures
- Pilot Licence Register
- Pilotage Tariffs
- Service Contracts
- Working Rules

Requests for further information about the Authority and its functions may be directed to:

Great Lakes Pilotage Authority  
202 Pitt Street, 2nd Floor  
P.O. Box 95  
Cornwall ON K6H 5R9  
Tel.: (613) 933-2991

## Reading Room

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:

202 Pitt Street East  
2nd Floor  
Cornwall, Ontario

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

# Gwich'in Land and Water Board

## Chapter 68

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

The Gwich'in Land and Water Board (GLWB) is a regulatory authority established pursuant to the Gwich'in Comprehensive Land Claim Agreement (GCLCA) and given effect on December 28, 1998 by the Mackenzie Valley Resource Management Act (MVRMA) (Bill C-6).

#### Responsibilities

The GLWB was established to provide for an integrated and coordinated system of land management in the Mackenzie Valley of the Northwest Territories.

The object of the GLWB is to provide for conservation, development and utilization of the land and water resources in the Gwich'in settlement area in a manner that will provide the optimum benefit for present and future residents of the settlement area and the Mackenzie Valley and for all Canadians.

The MVRMA authorizes the GLWB to regulate the use of land and water by issuing, amending, renewing and suspending Land Use Permits and Water Licences throughout the Gwich'in settlement area, which includes all Crown, Gwich'in settlement land, or any other private lands.

The MVRMA further prescribes that the Mackenzie Valley Land Use Regulations, the Northwest Territories Waters Act and the Northwest Territories Waters Regulations as the principle regulatory instruments for Board use.

#### Legislation

- The Mackenzie Valley Resource Management Act
- The Northwest Territories Waters Act

#### Organization

The GLWB is comprised of five members including, apart from the Chairperson, two

Members appointed on the nomination of the Gwich'in Tribal Council (GTC), one Member appointed on the nomination of the Government of the Northwest Territories (GNWT) and one Member appointed on the nomination of the Federal Government. The Chairperson is appointed on the nomination of the appointed Members.

The offices of the GLWB is located on the second floor of the Chief Jim Koe Zheh in Inuvik NT.

The office personal include an Executive Director, an Office Manager, a GIS Technician, an Integrated Resources Manager and a Land and Water Technician.

### Information Holdings

#### Program Records

##### Board Records of Decision

**Description:** Public Registry - this contains correspondence and information from government departments, correspondence and information generated by the Board, correspondence and information from companies, aboriginal organizations and concerned individuals relating to land use permits and water licences.

**Access:** The Public Registry is open to the public.

**Program Record Number:** GLW BRD 005

#### Manuals

- Gwich'in Land and Water Board Operation and Administration Manual
- Application Process and Guidelines for a Land Use Permit and/or Water License in the Gwich'in Settlement Area
- Rules for Public Hearings (draft)

### Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Gwich'in Land and Water Board  
Chief Jim Koe Zeh  
2nd Floor  
Box 2018  
Inuvik NT X0E 0T0  
Tel.: (867) 777-7960  
Fax: ( 867) 777-7970  
E-mail: [glwbpermit @ inuvik.net](mailto:glwbpermit@inuvik.net)  
Web Site: [www.glwb.com](http://www.glwb.com)

# Gwich'in Land Use Planning Board

## Chapter 69

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

The Gwich'in Land Use Planning Board is an institution of public government provided for by the Gwich'in Comprehensive Land Claim Agreement (1992) and established by the Mackenzie Valley Resource Management Act (1998). The Gwich'in Interim Land Use Planning Board was incorporated as a society in 1993 and acted in the Board's capacity until 1998.

#### Responsibilities

The Planning Board is responsible for developing and implementing a land use plan for the Gwich'in Settlement Area that provides for the conservation, development and use of land, water and other resources.

#### Legislation

- Mackenzie Valley Resource Management Act
- Gwich'in Comprehensive Land Claim Agreement

#### Organization

The Board is composed of five members including, apart from the chairperson, two members appointed on the nomination of the Gwich'in Tribal Council, one member appointed on the nomination of the Government of the Northwest Territories. One member is appointed by the Federal Government. A Chairperson is appointed after nomination by the members. All appointments are by the Minister of Indian Affairs and Northern Development.

The Gwich'in Land Use Planning Board has an office in Inuvik, staffed by a Land Use Planner.

### Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

The Planner at the Gwich'in Land Use Planning Board may be contacted by:

Mail: P.O. Box 2478  
 Inuvik, NT X0E 0T0  
 Tel.: (867) 777-7936  
 Fax: (867) 777-7970  
 E-mail: [planner@gwichinplanning.nt.ca](mailto:planner@gwichinplanning.nt.ca)  
 Web Site: [www.gwichinplanning.nt.ca](http://www.gwichinplanning.nt.ca)

#### Reading Room

The Board maintains a small library of materials related to land use planning and the Gwich'in Settlement Area at our office in Inuvik. These materials are accessible to the public.

# Halifax Port Authority

## Chapter 70

### General Information

#### Background

The Halifax Port Authority was established pursuant to the Canada Marine Act which received Royal Assent on the 11th day of June 1998 and came into force with respect to Port Authorities on the 1st day of March, 1999. This Act repealed the Canada Ports Corporation Act of 1983 which amended the National Harbours Boards Act of 1936, the Government Harbours and Piers Act and the 1964 Harbour Commissions Act.

The Canada Marine Act created 18 Port Authorities with their own specific Letters Patent and are responsible to Parliament through the Minister of Transport.

#### Responsibilities

The roles of the Halifax Port Authority is to facilitate and expand the movement of cargo and passengers through the Port of Halifax, provide facilities, services, and technologies that are competitive, safe, commercially variable, dependable and customer oriented and to operate with board public support in the best interest of Canadians.

#### Legislation

- Canada Marine Act, R.S.C. 1998, chapter C-10
- Management Regulations
- Operating Regulations

#### Organization

##### President and Chief Executive Officer

The President and Chief Executive of the Halifax Port Authority, who is the Head of the Institution for the purposes of the Access to Information Act, exercises all the powers and responsibilities pertaining to this function under the Act in question.

##### Operations Department

This Department consists of Operations, Engineering, Maintenance, and Security.

##### Real Estate

The department is responsible for the Authority's Real Estate, Leasing, and Port Safety.

##### Finance and Administration Department

This Department consists of Accounting, Administration, Human Resources, Finance, Information Technology, Internal Audit; Planning and Statistics.

##### Marketing Department

This Department is responsible for the Authority's communication plan, government relations, community relations, media relations, business communications, and corporate communications.

### Information Holdings

#### Program Records

##### Applications for Employment

**Description:** Information relating to applications received from the general public for possible employment with the Halifax Port Authority.

**Topics:** employment

**Format:** electronic

**Record Number:** HALPA HRM 373

##### Cruise Industry

**Description:** Information relating to arrival, departure, and promoting of the Cruise Ships Industry under the administration of the Halifax Port Authority.

**Topics:** cruise ships

**Format:** electronic

**Program Record Number:** HALPA TRA 776

##### Construction and Maintenance

**Description:** Information relating to construction and maintenance of port property and facilities under the administration of the Halifax Port Authority.

**Topics:** construction, maintenance

**Format:** electronic

**Program Record Number:** HALPA RPR 420

##### Board of Directors

**Description:** Information relating to nominees, the Orders-in-Council appointing members, brief biographies and statements of qualifications under the administration of the Halifax Port Authority.

**Topics:** board of directors

**Format:** electronic

**Program Record Number:** HALPA ADM 155

##### Environmental

**Description:** Information relating to environmental assessment finding, issues and checklists, and projects under the administration of the Halifax Port Authority.

**Topics:** environmental, assessments

**Format:** electronic

**Program Record Number:** HALPA RPR 494

### Handling Facilities (Cargo)

**Description:** Information relating to handling facilities, storage, transfer, cargo, commodities, transportation and other related subjects under the administration of the Halifax Port Authority.

**Topics:** cargo, storage, transportation, commodities

**Format:** electronic

**Program Record Number:** HALPA TRA 744

### Information Technology

**Description:** Information relating to hardware, software, information systems, security and access systems, departmental requirements, and networks under the administration of the Halifax Port Authority.

**Topics:** technology

**Format:** electronic

**Program Record Number:** HALPA MMA 831

### Leases & Agreements

**Description:** information relating to the agreement of property leasing, licenses, and easements under the administration of the Halifax Port Authority.

**Topics:** leases, agreements

**Format:** electronic

**Program Record Number:** HALPA RPR 474

### Port Development

**Description:** Information relating to Halifax Port Authority growth through capitalization, future planning, and overall development. Includes land use plans, development projects and inquiries under the administration of the Halifax Port Authority.

**Topics:** port development

**Format:** electronic

**Program Record Number:** HALPA TRA 725

### Properties

**Description:** Information relating to the administration of Authority properties, property leases licenses, easements, and title searches under the administration of the Halifax Port Authority

**Topics:** real estate

**Format:** electronic

**Program Record Number:** HALPA RPR 490

### Public Affairs and Marketing

**Description:** Information relating to media relations, press releases, client relations, overseas missions, marketing analysis advertising, promotional events, and community relations under the administration of the Halifax

Port Authority.

**Topics:** marketing, public Affairs

**Format:** electronic

**Program Record Number:** HALPA TRA 700

### Security

**Description:** Information relating to investigations, security systems, and liaison under the administration of the Halifax Port Authority.

**Topics:** security

**Format:** electronic

**Program Record Number:** HALPA ADM 284

### Tariffs Notice

**Description:** Information relating to charges and procedures for vessels under the administration of the Halifax Port Authority.

**Topics:** tariff, rates, charges

**Format:** electronic

**Program Record Number:** HALPA TRA 720

### Tenders

**Description:** information relating to procedures and information for advertising and awarding tender contracts

**Topics:** tenders

**Format:** electronic

**Program Record Number:** HALPA MMA 802

### Transit Sheds

**Description:** information relating to maintenance and repairs to particular storage sheds under the administration of the Halifax Port Authority.

**Topics:** storage sheds

**Format:** electronic

**Program Record Number:** HALPA RPR 512

### Waterlots

**Description:** Information relating to location and size of waterlots under the administration of the Halifax Port Authority.

**Topics:** waterlots

**Format:** electronic

**Program Record Number:** HALPA RPR 539

### Wharves- Jetties- Piers

**Description:** information relating to location, maintenance & repair of wharves, Jetties or piers under the administration of the Halifax Port Authority.

**Topics:** jetties, wharves, piers

**Format:** electronic

**Program Record Number:** HALPA RPR 546

## Standard Program Records

Please see the introduction to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Access to Information & Privacy Requests  
 Administration and Management Services  
 Attendance and Leave  
 Audits  
 Budgets  
 Classifications of Positions  
 Conflict of Interest and Post-  
 Employment Code  
 Employee Assistance  
 Employee Equity Program  
 Employee Personnel Record  
 Employment and Staffing  
 Finance  
 Grievances  
 Hospitality  
 Human Resources  
 Occupational Health, Safety and  
 Welfare  
 Occupational Safety and Health  
 Official Languages  
 Pay and Benefits  
 Pension and Insurance  
 Performance Review and Employee Appraisals  
 Personnel  
 Procurement  
 Relocation  
 Salaries and Wages  
 Service Contracts  
 Staffing  
 Training and Development  
 Travel

## Personal Information Banks

### Applications for Employment

**Description:** The bank contains applications received from the general public for possible employment with the Halifax Port Authority.

**Class of Individuals:** General Public.

**Purpose:** Information may be used to fill vacancies in the Halifax Port Authority for which applicants have suitable qualifications.

**Consistent Uses:** This bank is used to record

individuals who have applied for employment within the Halifax Port Authority.

**Retention and Disposal Standards:** Records are retained for two years then destroyed.

**RDA Number:** 98/005

**Related PR#:** HALPA PRN 920

**TBS Registration:** 004296

**Bank Number:** HALPA PPU 010

### Board of Directors

**Description:** This bank contains correspondence relating to nominees, the Orders-in-Council appointing members, brief biographies and statements of qualifications.

**Class of Individuals:** Candidates for appointment and appointees to the Board of Directors.

**Purpose:** The purpose of this bank is to assist in the appointment of individuals as directors of the Halifax Port Authority.

**Consistent Uses:** This bank is used to access personal information relating to the nomination or appointment of individuals who have potential of being a port authority director. The directors are appointed through the process for selecting directors is outlined in the Canada Mine Act.

**Retention and Disposal Standards:** Records are retained for five years then transferred to National Archives.

**RDA Number:** 98/001

**Related PR#:** HALPA PRN 902

**TBS Registration:** 004297

**Bank Number:** HALPA PPU 015.

### Properties

**Description:** This bank contains information on owners or tenants of properties.

**Class of Individuals:** General public.

**Purpose:** This bank is used to document property transactions between the Authority and the general public such as leases, licenses, sale, exchange or purchase of land.

**Consistent Uses:** This information is used for accounting purposes.

**Retention and Disposal Standards:** Records are then retained for two years after the lease expires and then destroyed.

**RDA Number:** 2001/002

**Related PR#:** HALPA RPR 490

**TBS Registration:** 004298

**Bank Number:** HALPA PPU 020

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.



Travel

Hospitality

Relocation

## Manuals

- PC Payroll (Royal Bank) ADP
- Canadian Payroll Manual
- Corporate Planning Procedures Manual
- Port of Halifax Contingency Plan Manual
- Superannuation Insurance
- Administration Manual
- Financial Management Policies and
- Guidelines

## Additional Information

Please see the introduction to this publication for information on access procedures under the provision of the Access to Information Act and the Privacy Act.

Requests for future information about the Halifax Port Authority and its various programs and functions may be directed to:

Halifax Port Authority  
P.O. Box 336  
Ocean Terminals  
Halifax NS B3J 2P6  
Tel: (902) 426-8222  
Fax: (902) 426-7335

## Reading Room

Halifax Port Authority has designated a conference room under the Access to Information Act as a public reading room. The address is :

1st Floor  
1215 Marginal Road  
Halifax, Nova Scotia

# Hamilton Port Authority

## Chapter 71

### General Information

#### Background

The Hamilton Harbour Commissioners was established in 1912 pursuant to the Hamilton Harbour Commissioners Act. On May 1, 2001, the port authority was continued as the Hamilton Port Authority pursuant to the Canada Marine Act, which received Royal Assent on the 11th day of June 1998.

The Canada Marine Act established 18 Port Authorities with their own specific Letters Patent. Each Port Authority is responsible to Parliament through the Minister of Transport.

#### Responsibilities

The mission of the Hamilton Port Authority is to promote and develop the movement of cargo and people while advancing the economic interests of the Hamilton region. The Hamilton Port Authority must take into consideration community interests and the local environment while ensuring profitability of the Authority. To this end, the HPA ensures that the Port is cost-effective, develops and manages its assets efficiently, stimulates industrial activity and business growth, is innovative within the port and transportation fields and preserves the port's heritage. The port authority develops opportunities including industrial parks, recreational facilities and commercial development on the Harbour.

The role of the Hamilton Port Authority is to facilitate and expand the movement of cargo through the Port of Hamilton, provide facilities and services that are competitive, safe and commercially viable. The Port manages marine navigation and safety issues within port boundaries and develops marine-related businesses on the lands that it owns or manages.

The Port Authority provides leadership and maintains a marine infrastructure that: satisfies the needs of users; offers, in a commercially viable manner, the best terminal handling operations and services; encourages responsible and sustainable property development; provides for a high level of safety and environmental protection; and supports the achievement of local, regional and national socioeconomic objectives.

#### Legislation

- Canada Marine Act, R.S.C. 1998, chapter C-10
- Letters Patent
- Management Regulations
- Operations Regulations

#### Organization

##### Board of Directors

The Hamilton Port Authority is managed by a seven-member board of directors. The federal, provincial and municipal government each appoint one member. The other four members are selected from among nominees advanced to the federal government by the standing Hamilton Port Authority Nominating Committee. Candidates are the nominees of the Port's three User Group categories and appointed by the Minister of Transport. The Board elects a Chair from amongst its members.

##### Executive Office

The President and CEO is the head of the corporation and exercises all the powers and responsibilities pertaining to this function under the Act, the Regulations and the Letters Patent. The President and CEO monitors outside legal services, corporate secretarial services at all Board of Directors meetings, the development of corporate policy, and liaison with all levels of government and other port authorities. The President and CEO leads a team of Managers consisting of the Vice President, Finance and Administration, the Vice President, Operations/Harbour Master, and the Manager, Marketing and Trade Development. In addition, this department is responsible for the management and maintenance of the Harbour-West Marina, and identifying and developing business opportunities for recreational and commercial markets within the authority of the corporation.

##### Finance and Administration

This department is responsible for general accounting, financial analysis, budget forecasts, preparing of financial reports and the five-year business plan, cash management, insurance, administering capital projects, purchasing and supplies, information technology, and human resources.

## Operations

The Operations department comprises the divisions of the business briefly summarized below:

Within the Harbour Master's division, responsibilities include marine traffic management within the harbour limits, Port Security, enforcement of regulations as a port authority as well as emergency planning.

Within the Property division, responsibilities include review and awareness of land development opportunities, addressing property issues, administering leases, permits and licenses of tenants and activities along the Crown portion of the harbour.

Within the Engineering division, responsibilities include implementation of capital works projects, construction coordination with new and existing tenants, and management of navigable channels.

Within the Maintenance and Purchasing division, responsibilities include overseeing of all maintenance and repair to port authority leased or owned properties, buildings and vehicles, leadership and participation in health and safety initiatives and training, and managing the purchase of goods and services.

### Marketing

This department is responsible for business development, tariffs, customer relations, community relations, sponsorships and donations, media relations, business communications, corporate events and communications, promotional affairs and advertising.

## Information Holdings

### Program Records

#### Operations

**Description:** Information relating to security, Port Security Plan, movement of traffic, vessels, safety, pollution, debris control, emergency planning.

**Topics:** ISPS Code and compliance information, security issues and procedures, incidents, patrol operations, permits, marine emergency plan, aids to navigation.

**Program Record Number:** HPA HMO 001

#### Property

**Description:** Information relating to the administration of properties, leases and agreements, purchases, sales.

**Topics:** lease agreements, title information,

insurance, appraisals, purchases, sales.

**Program Record Number:** HPA PRO 001

#### Engineering

**Description:** Information relating to harbour projects design and construction.

**Topics:** environmental initiatives, landscaping, dredging, land fill, designs, plans and drawings, Engineering Library.

**Program Record Number:** HPA ENG 001

#### Maintenance

**Description:** Information relating to maintenance of port authority-owned and leased land, buildings and vehicles.

**Topics:** maintenance, purchasing, repairs, labour, vehicles.

**Program Record Number:** HPA MTC 001

#### Marketing

**Description:** Information relating to advertising, customers, promotional events, media, community relations, and press releases.

**Topics:** advertising, publications, corporate newsletter, sponsorships, donations, media clippings, tariffs.

**Program Record Number:** HPA MKT 001

#### Harbour-West Marina

**Description:** Information relating to Harbour-West Marina and its customers.

**Topics:** slip rental rates, advertising, publications, boat show, brokerage business.

**Program Record Number:** HPA HWM 001

#### Legal and Corporate Secretarial

**Description:** Information relating to acts and regulations, legal opinions, litigation and research. Includes Board of Directors and Committee minutes and Orders in Council appointing Board members.

**Topics:** Acts, regulations, HPA Letters Patent, Board of Directors meetings agendas and minutes, Board of Directors appointments.

**Program Record Number:** HPA COR 001

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Accounts and Accounting

Administration and Management Services

Audits

Budgets

Buildings and Properties

Employment and Staffing

Finance  
Human Resources  
Pensions and Insurance  
Physical Security  
Salaries and Wages  
Staff Relations

Fax: (905) 528-6282  
E-Mail: [info@hamiltonport.ca](mailto:info@hamiltonport.ca)  
Web: [www.hamiltonport.ca](http://www.hamiltonport.ca)

## Reading Room

The Hamilton Port Authority has designated a room on the premises at the above address as the public reading room.

## Classes of Personal Information

In the course of conducting the programs and activities of the Port, categories of personal information may be accumulated which are not contained in the specific information banks described above. Such personal information includes: requests for information, expressions of public support, offers of services and complaints. This information is stored as part of the general subject files, where records are not normally retrieved by name of individual or other identifier.

This form of personal information is normally retrievable only if specifics are provided concerning the subject matter, related program activity, as well as the date the information was received by the Hamilton Port Authority and the name of the person to whom it was addressed. The retention periods for these types of personal information are controlled by the records disposal schedules of the general subject files in which they are stored.

## Manuals

- Board of Directors Manual
- Emergency Contingency Manual
- Health and Safety Manual
- Port Security Plan
- Hamilton Port Authority Policy Manual

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Hamilton Port Authority and its various programs and functions may be directed to:

Hamilton Port Authority  
605 James St. N., 6th Floor  
Hamilton ON L8L 1K1  
Tel: (905) 525-4330

# Hazardous Materials Information Review Commission

## Chapter 72

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

The Hazardous Materials Information Review Commission (HMIRC) was established by the Hazardous Materials Information Review Act, assented to on June 30, 1987 and proclaimed on October 1, 1987. The Commission is part of the Workplace Hazardous Materials Information System (WHMIS) which requires that information about the hazards of materials produced or sold in Canada or used in Canadian workplaces be provided by suppliers to employers and, in turn, by employers to employees.

#### Responsibilities

As a vital and independent agency, accountable to Parliament through the Minister of Health, the mission of the Commission is to: ensure a balance between industry's right to protect confidential business information and the right of employers and workers to know about the hazardous materials they deal with in the workplace; provide a trade secret mechanism within WHMIS; resolve complaints and disputes impartially, fairly and promptly through statutory or alternate means.

To achieve its mission, the Commission carries out the following mandate under the authority of the Hazardous Materials Information Review Act and the provincial and territorial occupational health and safety acts: to formally register claims for trade secret exemptions, and issue registry numbers; to issue decisions on the validity of claims for exemption using prescribed regulatory criteria; to make decisions on the compliance of material safety data sheets (MSDSs) and labels within the WHMIS requirements as set out in the Hazardous Products Act and Controlled Products Regulations and various provincial and territorial occupational health and safety acts; and to convene independent, tripartite boards to hear appeals from claimants or affected parties on

decisions and orders issued by the Commission.

#### Legislation

- Hazardous Materials Information Review Act [R.S.C. 1985, c. 24 (3rd Supp.), Part III]
- Hazardous Materials Information Review Regulations (SOR/88-456, August 25, 1988; amendment: SOR/88-510, September 29, 1988; SOR/89-288, June 1, 1989; SOR/91-419, June 20, 1991; SOR/93-234, May 11, 1993)
- Hazardous Materials Information Review Act Appeal Board Procedures Regulations (SOR/91-86, January 7, 1991)

#### Organization

The Commission is governed by a Council of Governors, consisting of members representing workers, suppliers, and employers, and the federal, provincial and territorial governments. Each governor is appointed by the Governor in Council to hold office for up to a three-year term. The Council is headed by a Chairperson chosen by the governors for a term of one year.

The Council is responsible for making various recommendations to the Minister of Health, including changes to the regulations respecting the Commission's fee structure, to procedures for reviewing claims for exemption and to appeal procedures.

The President and CEO is appointed by the Governor in Council, and has the authority and responsibility to supervise and direct the organization's work on a day-to-day basis. The President is accountable to the Council of Governors and the Minister of Health. The President's Office acts as Secretariat to the Council of Governors.

The Commission is organized into two branches: Operations and Corporate Services and Adjudication.

#### Operations

The Vice-President, Operations, has the authority and responsibility to supervise and direct the work within the Client Services and MSDS Compliance business lines.

## Client Services

The aim of Client Services is to assist suppliers or employers in protecting their products' confidential business information while allowing them to meet their disclosure obligations under the WHMIS.

Client Services involves the formal registration of claims for exemption, the issuance of registry numbers, and the security of claim-related information. Service to clients begins when the Commission is contacted by a company wanting to make a claim and needing to know what the process involves.

Client Services assists companies in protecting confidential business information while at the same time meeting their WHMIS obligations. Information is provided that can help companies present complete and accurate MSDSs with their claims. Our Web site helps share this information with industry and labour. Once the application is accepted as complete, we issue the company a registry number for the claim in no more than seven days.

Screening officers have the statutory responsibility to decide whether claims are valid, and for determining whether MSDSs or labels submitted with the claims comply with the WHMIS legislation.

The decision on claim validity is reached by reviewing supporting information from the claimant against the criteria prescribed in the Hazardous Materials Information Review Regulations.

## MSDS Compliance

The aim of MSDS Compliance is to regulate, in the public interest, the maximum health and safety benefits in the workplace.

Screening officers review claim related MSDSs and, in some cases, labels pursuant to the Hazardous Products Act, the Canada Labour Code, and provincial and territorial occupational health and safety legislation, and decide whether they are within the WHMIS regulatory requirements. Such decisions take into account health and safety advice prepared by scientific evaluators in the MSDS Compliance Division.

When work begins on a file, the first step is to build a collection of scientific information relevant to each of the product's ingredients. The evaluator will be alert for new information or information of which the company might not have been aware, trying to ensure that the MSDS reflects the current state of knowledge

about the hazards that may be associated with a product.

Evaluators assess this information and prepare an advice document for the screening officers on the health and safety hazards posed by the product which have not been adequately disclosed on the MSDS. The screening officers offer claimants, and any affected party who has made representation to the screening officer following publication of the Notice of Filing in the Canada Gazette, an opportunity to review and comment on the health and safety information and advice provided by the evaluators. In the case of the latter, sharing an advice document with an affected party must respect the legislative provisions which protect the confidentiality of information received from a claimant.

At the conclusion of the claim and MSDS review process, a formal Statement of Decision is forwarded to the claimant. Should a claim be ruled invalid, an order is issued to the claimant to disclose the confidential business information which was the subject of the claim. Where the MSDS or label does not meet the WHMIS requirements, the screening officer orders that changes be made to bring about compliance. All orders specify the period during which various changes must be made if the product is to continue to be sold in Canada.

A notice is published in the Canada Gazette to make public the decisions and orders issued by the screening officer, and to initiate the time during which the claimant and affected parties may appeal the decisions or orders. If no appeal is filed, the claimant must provide a copy of the amended MSDS to the screening officer, who reviews it to ensure compliance with the order.

## Corporate Services and Adjudication

The Vice-President, Corporate Services and Adjudication, who is also the Chief Appeals Officer, has the authority and responsibility to supervise and direct the work within the Dispute Resolution business line and Corporate Services.

## Dispute Resolution

The aim of Dispute Resolution is to provide all parties with a range of options for discussion on issues arising from decisions and orders of the Commission in order to prevent disputes from arising and where they do arise, to address them as early and effectively as possible.

The Commission is in the process of designing and developing, through tripartite consultation, a Dispute Resolution system which will supplement and work in conjunction with the current appeals process.

The appeals process includes the convening of independent tripartite boards to hear appeals from claimants or affected parties. An appeal may relate to the compliance of an MSDS, the rejection of a claim or to request disclosure in confidence, for reasons of health and safety in a workplace, of information in respect of which a claim for exemption is made. For each appeal filed, a Notice of Appeal is published in the Canada Gazette to provide affected parties with an opportunity to make representations to the appeal board.

An appeal board is comprised of a Chairperson appointed by the Chief Appeals Officer, and two members appointed by the Chairperson: one representing suppliers and/or employers, and the other, workers. Board members are selected from lists of potential nominees established in accordance with the Hazardous Materials Information Review Act.

The final outcome of the appeals process is a decision by the appeal board to dismiss the appeal and confirm the decisions or orders of the screening officer; or to allow the appeal and either vary or rescind the decisions or orders being appealed. A Notice of Decision, including the purport and reasons, is published in the Canada Gazette.

### Corporate Services

The Corporate Services Division has been mandated with a very important role: ensuring the success of the three core business lines. Corporate Services provides a full range of services to the Commission including finance, records and facilities management, security, management services, information technology, administration, human resources, communications and strategic planning.

## Information Holdings

### Program Records

#### Accommodation and Buildings

**Description:** Information relating to the acquisition of accommodation.

**Topics:** Purchase or rental of existing buildings; office floor plans; moving arrangements; fire prevention; utilities; requests

for new accommodation.

**Program Record Number:** HMI ADM 500

#### Acts and Legislation

**Description:** General information relating to the legislative process, regulatory development and review, delegation of authority, legal advice and opinions and material specific to the Hazardous Materials Information Review Act (HMIRA) and related regulations.

**Topics:** Federal Regulatory Process, policies and Annual Plan; correspondence and supporting documentation related to the development and amendment of HMIRA and Hazardous Materials Information Review Regulations and HMIRA Appeal Board Procedures Regulations; correspondence concerning amendments to the Hazardous Products Act, Controlled Products Regulations, Canada Labour Code and Provincial and Territorial Occupational Safety and Health Acts and Regulations, and related legal opinions.

**Program Record Number:** HMI ADM 040

#### Administration

**Description:** General subjects and information relating to administrative responsibilities of the Hazardous Materials Information Review Commission.

**Topics:** Access to Information and Privacy requests and materials; communications strategies and projects; organizational charts; Memoranda of Understanding between the Commission and other federal/provincial governments; security matters, including policies related to physical and personnel security.

**Program Record Number:** HMI ADM 040

#### Appeals

**Description:** Information concerning the activities and functions of the appeals process.

**Topics:** Policies and procedures for the establishment of appeal boards; lists of potential appeal board members and Chairpersons, by province; hearing room accommodation; physical and personnel security requirements for hearings, enhanced reliability security checks on board members; and appeals administration and budget information.

**Program Record Number:** HMI APP 010

#### Equipment and Supplies

**Description:** Information relating to purchasing, procurement, planning and inventory of office equipment and supplies.

**Topics:** Suppliers information and catalogues; PWGSC procurement and requisition; maintenance and repair of equipment and

furniture; inventory of supplies; office furniture and furnishings.

**Program Record Number:** HMI ADM 550

### **Financial Management**

**Description:** Information relating to all aspects of finance.

**Topics:** Budgets; accounting; financial statements and reports; multi-year operational plans; directives and guidelines; contracts and contractor records; cost-recovery; revenue processing; Treasury Board submissions and decisions; travel and transportation allowances and expenses.

**Program Record Number:** HMI ADM 700

### **Information Resource Management**

**Description:** Information relating to the management of information.

**Topics:** Library services; mail, messenger and telecommunications services; forms management; records and correspondence management; and information systems development and implementation.

**Program Record Number:** HMI ADM 800

### **Organizations – Governmental and Non-Governmental**

**Description:** General information relating to federal and provincial organizations and private sector groups and professional associations responsible for or involved in issues concerning occupational safety and health, chemical products manufacturing, etc.

**Topics:** Organizations and associations concerned with occupational health and safety.

**Program Record Number:** HMI ADM 050

### **Operations Branch**

**Description:** Information concerning the activities of the Operations Branch.

**Topics:** Policies and procedures related to the review of claims for exemption and decision-making criteria; Issue Resolution Sheets.

**Program Record Number:** HMI COM 030

### **Personnel Management**

**Description:** Information relating to the administration of personnel management activities.

**Topics:** Staffing; staff relations; pay and benefits; classification of positions; person-year allotments; job descriptions; official languages; training and development.

**Program Record Number:** HMI ADM 900

### **Registry/Application Assessment**

**Description:** Information concerning the activities of the Registry and Application

Assessment Sections.

**Topics:** Claims registration and procedures; Notice of Filing in the Canada Gazette; policies regarding the withdrawal of claims; policies and procedures relating to the review of MSDSs and labels; inter-departmental meetings; and general correspondence to all claimants.

**Program Record Number:** HMI OPR 020

### **Workplace Hazardous Materials Information System (WHMIS)**

**Description:** Information of both a general and specific nature related to WHMIS activities, at the federal and provincial/territorial level, including tripartite committees on which the Commission sits as a member.

**Topics:** General WHMIS publications and instruction manuals produced by the provincial OSH agencies, federal departments or private publishing firms; Interdepartmental WHMIS Coordinating Committee; Current Issues Committee and related sub-committees; WHMIS Exclusion Review Committees; international harmonization initiatives; WHMIS contact list (provincial and federal); WHMIS Policy Issue Sheets; WHMIS Reference Manual.

**Program Record Number:** HMI ADM 060

### **Personal Information Banks**

#### **Appeal Board Member Nominees**

**Description:** This bank contains names, addresses, work experience, qualifications (curricula vitae), reliability check results and availability status pertaining to each nominee. Information is organized according to province, role of the member on the board (i.e. Chairperson, industry or worker representative) and relevant act under appeal (Hazardous Products Act or Canada Labour Code).

**Class of Individuals:** Potential appeal board nominees, including Chairpersons and industry and labour representatives, for appeals relating to the Hazardous Products Act and Canada Labour Code, as recommended by the nominating organization or provincial/federal minister.

**Purpose:** This bank provides a list of potential Chairpersons and board members and relevant selection criteria to facilitate their appointment to tripartite boards to hear appeals of decisions or orders of screening officers of the Commission.

**Consistent Uses:** Information in the bank may be used to determine appointments to appeal boards.



**Retention and Disposal Standards:** The files on individuals are retained for two years after the termination of their nomination as potential appeal board Chairperson or member.

**RDA Number:** 2003/001

**TBS Registration:** 002882

**Bank Number:** HMI PPU 020

### Requests for Access to Information and Privacy

**Description:** This bank contains request forms received by the Commission for access to information, including personal information, requests for corrections, answers to requests, results of consultation with other departments, and information related to their processing.

**Class of Individuals:** General public.

**Purpose:** The purpose of this bank is to answer requests received under the Access to Information Act and the Privacy Act, and to prepare annual reports in accordance with the provisions in these acts.

**Consistent Uses:** The information may be transmitted to other departments for consultation purposes.

**Retention and Disposal Standards:** The files are arranged in numerical order, by request number. The records are retained for two years.

**RDA Number:** 2003/001

**TBS Registration:** 002880

**Bank Number:** HMI PPU 005

### Manuals

- Appeals Branch Manual
- Classification and Designation Guide

- Compliance Manual and Screening Guidelines
- Quality Assurance Manual
- Registry Policy and Procedures Manual
- Security Policy Manual

### Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Commission and its activities may be directed to:

Hazardous Materials Information Review Commission  
427 Laurier Avenue West, 7th Floor  
Ottawa ON K1A 1M3  
Tel: (613) 993-4331  
Fax: (613) 993-5016  
E-Mail: [hmirc-ccrmd@hc-sc.gc.ca](mailto:hmirc-ccrmd@hc-sc.gc.ca)  
Web site: [www.hmirc-ccrmd.gc.ca](http://www.hmirc-ccrmd.gc.ca)

### Reading Room

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:

427 Laurier Avenue West, 7th Floor  
Ottawa ON K1A 1M3

# Health Canada

## Chapter 73

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

Health Canada is the federal department responsible for helping the people of Canada maintain and improve their health. For more information about the Department's structure, see About Health Canada on the web at [www.hc-sc.gc.ca](http://www.hc-sc.gc.ca).

#### Responsibilities

In partnership with provincial and territorial governments, Health Canada provides national leadership to develop health policy, enforce health regulations, promote disease prevention and enhance healthy living for all Canadians. Health Canada ensures that health services are available and accessible to First Nations and Inuit communities. It also works closely with other federal departments, agencies and health stakeholders to reduce health and safety risks to Canadians. Through its administration of the Canada Health Act, Health Canada is committed to maintaining this country's world-renowned health insurance system which is universally available to permanent residents, comprehensive in the services it covers, accessible without income barriers, portable within the country and publicly funded. Each province and territory administers its own health care plan with respect for these five basic principles of the Canada Health Act. Many factors, including family history, social or financial status, physical environment and personal lifestyle choices, influence individual health. By making Canadians more aware of dangers to their health, protecting them from avoidable risks and encouraging them to take a more active role in their health, Health Canada fosters a healthier population and contributes to a more productive country.

#### Legislation

- Canada Health Act, R.S.C. 1985, c. C-6-Extra-billing and User Charges Information Regulations, SOR/86-259

- Canadian Centre on Substance Abuse Act, R.S.C. 1985, c. 49 (4th Supp.)
- Canadian Environmental Protection Act, S.C. 1999, c. 33
- Controlled Drugs and Substances Act, R.S.C. 1985, c. C-38.8
- Department of Health Act, R.S.C. 1985, c. H-3.2
- Potable Water on Common Carriers, C.R.C. 1105
- Human Pathogens Importation Regulations, SOR/94-558
- Financial Administration Act, R.S.C. 1985, c. F-11
- Dosimetry Services Fees Regulations, SOR/94-279
- Authority to Sell Drugs Fees Regulations, SOR/95-31
- Drug Evaluation Fees Regulations, SOR/95-424
- Medical Devices Fees Regulations, SOR/95-585
- Veterinary Drug Evaluation Fees Regulations, SOR/96-143
- Licensed dealers for Controlled Drugs and Narcotics Fees Regulations, SOR/98-5
- Fitness and Amateur Sport Act, R.S.C. 1985, c. F-25
- Food and Drugs Act, R.S.C. 1985, c. F-27
- Hazardous Materials Information Review Act, R.S.C. 1985, c. H-2.7
- Hazardous Products Act, R.S.C. 1985, c. H-3
- Medical Research Council Act, R.S.C. 1985, c. -4 and the Canadian Institutes of Health Research Act, S.C. 2000 c. 6, except for sections 40, 41, 43, 45, 47, 49 and 51 which are not into force yet
- Patent Act, R.S.C. 1985, c. P-4
- Patented Medicines (Notice of Compliance) Regulations, SOR/93-133, SOR/98-166
- Patented Medicines Regulations, SOR/88-474, SOR/94-688, SOR/95-172, SOR/98-105

- Pest Control Products Act, R.S.C. 1985, c. P-9
- Pesticide Residue Compensation Act, R.S.C. 1985, c. P-10
- Quarantine Act, R.S.C. 1985, c. Q-1
- Queen Elizabeth II Canadian Research Fund Act, R.S.C. 1970, c. Q-1
- Radiation Emitting Devices Act, R.S.C. 1985, c. R-1
- Tobacco Act, R.S.C. 1985, c. T-11.5
- Tobacco (Access) Regulations, SOR/99-93
- Tobacco (Seizure and Restoration) Regulations, SOR/99-94
- Tobacco Products Information Regulations, SOR/2000-272
- Tobacco Reporting Regulations, SOR/2000-273

## Organization

### Associate Deputy Minister's Office

#### Audit and Accountability Bureau

The primary role of the Audit and Accountability Bureau is to conduct independent reviews of the Department's operations, activities, systems and functions to ensure that they support the delivery of departmental programs in an economic, efficient and effective manner. The coverage, objectives and scope of internal audits is overseen by a departmental Audit and Evaluation Committee, which also approves all audit reports and monitors the implementation of appropriate corrective action in response to audit recommendations. The Bureau also has a proactive role regarding values and ethics. The Bureau is also leading the Department's responsibility with respect to values and ethics. A Centre for Workplace Ethics has been created within AAB and was mandated to develop a strategy and to conduct a departmental-wide dialogue on values and ethics with employees throughout the Department as the first phase of this strategy. In closing, the Bureau is also responsible for implementing the new Policy on the Internal Disclosure of Information regarding Wrongdoing in the Workplace.

### Deputy Minister's Office

#### Access to Information and Privacy Division

The Access to Information and Privacy Division is responsible for coordinating, reviewing and evaluating access to information and privacy requests for the Department.

#### Executive Correspondence Directorate

The Executive Correspondence Directorate is responsible for tracking, reporting, record-keeping, editing, proofreading, writing and word processing activities, as well as coordination, analysis and advice related to the management of Ministerial, Deputy Ministerial and Associate Deputy Ministerial correspondence, on behalf of the Department. It manages write-in campaigns and tracks action requests from the Minister's, Deputy Minister's and Associate Deputy Minister's offices. The Directorate also delivers comprehensive training to Health Canada staff on correspondence activities and on the overall process. The Directorate acts as the OPI for the Management of Executive Correspondence tracking system.

#### Chief Scientist

The Office of the Chief Scientist (OCS) promotes awareness of Health Canada's science and research, it champions excellence and innovation in science and research both within and outside of Health Canada to ensure the Department has the capacity to perform, harness and translate sound science and research for evidence-based decision making. Working with Health Canada's science and policy communities, the OCS supports the Department's roles within Canada's health research and information system.

#### Corporate Services Branch

CSB provides financial planning and administration, human resources services, assets management, occupational health and safety, and security operations.

#### Assets Management Directorate

The Assets Management Directorate (AMD) supports the effective management of physical assets and the occupational health, safety, and security of the employees of Health Canada. The range of services in support of Departmental programs, includes: materiel acquisition and utilization; custodial property management, maintenance and disposal; facilities planning; building and tenant services; occupational health and safety, and security;

and environmental management. The Directorate develops and maintains policies, systems, and procedures governing the management of these services within Health Canada.

### **Departmental Planning and Financial Administration Directorate**

The focus of this Directorate is the management of departmental resources. Its role is to implement, interpret and administer the regulations, policies and processes associated with resource planning and utilization and financial administration (comptrollership) across the Department. Directorate activities include the provision of direct services such as financial planning, accounting, functional and advisory assistance to managers, and financial systems support and training to all branches.

### **Human Resources Services Directorate**

The Human Resources Services Directorate supports the effective management of human resources within Health Canada by providing a wide range of services to managers in the identification, recruitment, development and retention of employees. These include the provision of advisory and support services in the areas of organizational design, workforce planning and diversity, staffing, flexible working arrangements, healthy workplaces, employee compensation, continuous learning, the recognition of achievements and labour relations.

### **Planning and Special Projects Directorate and Office of Modern Comptrollership**

The Planning and Special Projects Directorate supports the Assistant Deputy Minister (ADM), Corporate Services Branch (CSB) and departmental senior management in the conduct and administration of a wide range of department-wide and government-wide projects through their life cycle. The Directorate undertakes special projects which support the improved delivery of Health Canada's programs, the enhanced management of its resources and the provision of quality services. On behalf of the Branch and Department the Directorate leads new initiatives being developed or introduced by central agencies to improve management efficiency and effectiveness (e.g., modern comptrollership, Year 2000, sustainable development, environmental management system, integrated risk management framework). The Directorate also serves as the Department's Office of

Modern Comptrollership (modern management practices). The Office provides a single window contact point in the Department with Treasury Board and other Departments on modern management practices. The Directorate undertakes planning activities for the Corporate Services Branch and provides leadership in the management of cross-branch projects such as internal communications, workplace health and continuous learning. The Directorate provides advice, expertise and assistance with respect to the development and maintenance of several departmental and branch databases.

### **First Nations and Inuit Health Branch**

First Nations and Inuit Health Branch works with First Nations and Inuit people to improve and maintain the health of Aboriginal peoples. It provides health services to status Indians living on reserve, communities in the territories, and to Inuit people through community-based nursing stations, health centres, and other health facilities in isolated and remote areas. The goals of the branch are to improve the health of First Nations and Inuit, support their access to quality health services and to facilitate greater control over health programs. Its regional offices are located in every province, except in the Atlantic provinces, which are represented by the Atlantic Region.

The delivery and management of Health Canada's community-based wellness programs in the territories are carried out by the Northern Secretariat. The Northern Secretariat also participates in the negotiation and implementation of self-government agreements and the strengthening of partnerships among First Nations, Inuit, territorial governments and other stakeholders.

### **Business Planning and Management Directorate**

The Business Planning and Management Directorate (BPMD) helps the First Nations and Inuit Health Branch develop and improve strategies, priorities, programs, policies and funding arrangements required to deliver health services to First Nations and Inuit. BPMD also develops accountability frameworks to support the delivery of health services to over 630 First Nations and Inuit communities in Canada.

### **Chief Executive Advisor, First Nations and Inuit Relations**

The Office of the Chief Executive Advisor for First Nations and Inuit Relations helps strengthen the First Nations and Inuit Health

Branch's policy and planning efforts by: coordinating the negotiations related to new delivery models; maintaining relations and undertaking consultations with Aboriginal groups at the national and regional levels; coordinating Branch initiatives in partnership with organizations such as the Assembly of First Nations and Inuit Tapiriit Kanatami.

### **Community Programs Directorate**

The Community Programs Directorate works in partnership with First Nations and Inuit to deliver a wide range of programs in key community health sectors. Key programs focus on children and youth, mental health and addictions, and chronic disease prevention.

### **Non-Insured Health Benefits Program**

The Non-Insured Health Benefits Program provides medically necessary health-related goods and services, not covered by other federal, provincial, territorial or third-party health insurance plans, to about 706,000 eligible registered Indians and recognized Inuit and Innu. These benefits complement provincial/territorial insured health care programs and include drugs, medical transportation, dental care, vision care, medical supplies and equipment and payment of provincial health care premiums (British Columbia and Alberta), co-insurance payment deductibles and mental health counselling.

### **Office of Community Medicine**

The Office of Community Medicine focuses on developing professional competence and leadership in the delivery of community-based health services by: establishing clinical standards in community medicine; recruiting, managing and retaining physicians; networking with First Nations and Inuit health authorities, provincial and territorial governments, and other stakeholders; providing expert advice.

### **Office of Nursing Services**

The Office of Nursing Services is responsible for nursing recruitment and retention; nursing practice, standards and competency; education and staff development; nursing management; expert advice; liaison and networking.

### **Primary Health Care and Public Health Directorate**

The Primary Health Care and Public Health Directorate is responsible for the delivery of primary health care services, prevention and health promotion programs, in partnership with

First Nations and Inuit health authorities. Activities support knowledge and capacity building among First Nations and Inuit. Key services delivered by the Primary Health Care and Public Health Directorate include home and community care, health infrastructure (such as telehealth services and electronic health records management), health human resources (including bursary and scholarship programs), infectious disease control, environmental health programming, and research and expert advice on dental and pharmacy issues.

### **Strategic Policy, Planning and Analysis Directorate**

The Strategic Policy, Planning and Analysis Directorate supports the First Nations and Inuit Health Branch by providing strategic and tactical advice, priority setting and policy coordination; providing information and analysis to carry out research, evaluate programs and manage information resources; and through the development of policies in response to emerging and long-term issues. Expertise in the Directorate is shared with First Nations and Inuit, federal, provincial and territorial government departments, and other stakeholders.

### **Health Policy and Communications Branch**

The Health Policy and Communications Branch (HPC) provides advice and support to the Minister, the departmental executive and to program branches in the areas of policy development, intergovernmental and international affairs, strategic planning and review, communications and consultation, and the administration of the Canada Health Act.

### **Communications, Marketing and Consultation Directorate**

The Communications and Consultation Directorate provides communications and consultations advice and support to the department and the Minister, implements and evaluates communications strategies, prepares communications plans for Memoranda to Cabinet, and advises senior managers on high profile public issues as they emerge. It provides advice and support for Health Canada's consultations and citizen engagement strategies for major policy and program issues and initiatives.

### **Health Care Policy Directorate**

The Health Care Directorate is responsible for providing overall policy advice and support to the Minister on Health System Renewal, which is one of the Business Lines of Health Canada. This responsibility includes providing broad advice on the financing, future directions and sustainability of the publicly funded health system, as well as specific policy advice on current health care priorities, including: primary care; health human resources; home and continuing care; palliative/end-of-life care; pharmaceuticals; acute care and health care technology; quality care and patient safety; and accountability and governance.

### **Intergovernmental Affairs Directorate**

The Intergovernmental Affairs Directorate is responsible for the administration of the Canada Health Act. It monitors provincial / territorial compliance with the criteria and conditions of the Act, informs the Minister of possible non-compliance and recommends appropriate action. The Directorate also provides policy advice concerning the Act, develops interpretations under it, provides an annual report to Parliament on the Act, and provides support to legal counsel in court cases in which the Act is involved.

The Directorate also provides strategic advice and coordination on the full range of federal / provincial / territorial issues in order to maintain effective relationships with provinces and territories while preserving the federal government interest in order to advance Health Canada's mandate. It supports the branches with respect to the federal / provincial / territorial aspects of their policies, programs and activities. The Directorate is also in charge of the organization of federal / provincial / territorial Deputy Ministers and Ministers meetings and it is the Department's focal point for issues related to the Social Union Framework Agreement.

### **International Affairs Directorate**

The International Affairs Directorate initiates, coordinates and monitors departmental policies, strategies and activities in the international field. It provides advice on the Department's strategic approach to international affairs; ensures the Department's international activities are internally coherent and consistent with government wide policies; and recommends departmental representation at international meetings.

The Directorate represents the department in international organizations, promotes the department's corporate interests abroad and ensures that Canadian health policy and priorities are reflected in the department's international activities. The directorate administers exchange agreements with other countries, manages the international components of the Tobacco and AIDS strategies, arranges visits for foreign delegates interested in health affairs, and responds to health-related information requests both from domestic and foreign clients.

### **Nursing Policy**

Established in 1999, the Office of Nursing Policy is responsible for representing the nursing perspective in policy advice and support to Health Canada. The Office contributes to health policy formulation and program development across the department. Maintaining close links with stakeholders, the Office represents Health Canada throughout the nursing and health care communities, and integrates their perspectives and priorities when developing advice for the Minister and the Department.

### **Policy, Planning and Priorities Directorate**

The Policy, Planning and Priorities Directorate provides strategic policy and planning advice to the Minister and Senior Management. In the development and coordination of policy, the directorate is guided by government priorities, the horizontal nature of policy issues, and the ongoing need for policy cohesion. Key partnerships include the other branches of the department, the central agencies, other federal departments, other levels of government, and also the non-governmental sector.

### **Legislative Renewal**

The Health Protection Legislative Renewal team has undertaken a comprehensive review of Health Canada's health protection legislation with a view to replacing outdated statutes with a new health protection legislative regime. The federal health protection statutes were developed decades ago in a piecemeal fashion. The objectives of the legislative review are to strengthen and modernize the legislation and to provide policy direction in the area of health protection.

### **Women's Health Bureau**

The main responsibilities of the Women's Health Bureau are to promote, monitor and

report on the implementation of Health Canada's Women's Health Strategy and to administer the Centres of Excellence for Women's Health Program. Its primary functions are: ensuring that women's health concerns receive appropriate attention and emphasis within the department; promoting an understanding of gender as a critical variable in health; promoting the implementation of a systematic gender-based analysis process throughout the Department; analysing and assessing the impact of programs, policies and practices in the health system, broadly defined, on women and women's health; maintaining an ongoing relationship with major health and women's organizations and promoting women's active involvement in their own health and well-being.

### **Health Products and Food Branch**

The Branch mandate is to take an integrated approach to management of risks and benefits to health related to health products and food by: minimizing health risk factors while maximizing the safety provided by the regulatory system for health products and food; and, promoting conditions that enable Canadians to make health choices and provide information so that they can make informed decisions about their health. Major programs are: Therapeutic Products; Biologics and Genetic Therapies (including blood and blood products, viral and bacterial vaccines, genetic diagnostics and therapies, tissues, organs, xenotransplantation, radiopharmaceuticals and reproductive technologies); Food; Health Products and Food Branch Inspectorate; Health products and Food Litigation; Marketed health Products; Natural Health Products; Veterinary Drugs; Policy and Strategic Planning; Issues Management; Office of Biotechnology and Science; Office of Consumer and Strategic Involvement; Office of Nutrition policy and Promotion; Office of Regulatory and International Affairs.

### **Marketed Health Products Directorate**

The MHPD is responsible for coordination of consistency of post-approval surveillance and assessment of signals and safety trends concerning all marketed health products. The MHPD works in close collaboration with other Directorates and Branches.

### **Regulatory and International Affairs**

Improves the ability and capacity of the Health Products and Food Branch to implement regulatory policy, increase knowledge and

involvement of the public, and develop consistent approaches to regulating risks. It also promotes HPFB's interests internationally.

### **Biologics and Genetics Directorate**

The Biologics and Genetics Directorate (BGTD) is the regulatory authority in Canada which is responsible for efficacy and quality of all biologics and radiopharmaceuticals for human use, marketed in Canada. These blood and blood products, viral and bacterial vaccines, genetic therapeutic products, tissues, organs and xenografts, which are manufactured in Canada or elsewhere. BGTD's work provides health care professionals, consumers, and patients with the information they need, and makes informed recommendations to Canadians about vaccines, blood products and other treatments.

### **Food Directorate**

The Food Directorate helps the people of Canada maintain and improve their health through science-based policies and advice on the safety and nutritional quality of food. We use the Health Canada integrated approach to managing risks and benefits to health by: promoting healthy behaviors, protecting Canadians against risk factors over which they have little control, and providing information and tools so that Canadians can make informed decisions about their health. In the areas of food additives, chemical and microbiological contaminants, nutrients, novel foods, including genetically modified foods, and food components and processes, the Directorate develops policies, standards and guidelines, conducts research and evaluates submissions. These responsibilities are carried out under the authority of the Food and Drugs Act and Regulations and the Department of Health Act. In addition, under the Canadian Food Inspection Agency Act, the Directorate assesses the effectiveness of the activities of the Canadian Food Inspection Agency related to food safety. Information on food safety and nutrition is available at the following Health Canada web sites: the Food Directorate site: [www.hc-sc.gc.ca/food-aliment/](http://www.hc-sc.gc.ca/food-aliment/) and the Food and Nutrition site:

### **Veterinary Drugs Directorate**

The Veterinary Drugs Directorate (VDD) ensures safety of foods such as milk, meat, eggs, fish and honey from animals treated with veterinary drugs. It also ensures that veterinary drugs sold in Canada are safe and effective for

animals. The Director General's office carries out the planning and administration and financial operations of VDD. The Directorate is comprised of five divisions:

Human Safety Division evaluates data on new drugs to assess any potential hazards to human health resulting from the use of veterinary pharmaceuticals in animals used for food, and conducts health risk assessments at the request of the Canadian Food Inspection Agency. The Division establishes mandatory withdrawal periods and sets maximum residue limits for residues of veterinary drugs in food derived from animals and develops warning statements for veterinary drug labels. In addition, the Division develops policies relating to the human safety of veterinary drugs, including antimicrobial resistance, and maintains a close working relationship with CFIA on matters of food safety.

Manufacturing and Chemical Evaluation Division examines manufacturing, quality control and packaging processes to ensure that all new veterinary drugs sold in Canada meet strict quality and manufacturing standards and maintain potency for their stated shelf life.

Clinical Evaluation Division undertakes pre-market evaluation of veterinary drugs to determine that they are safe for use with the intended species of animals, effective for claims made and that labels are clear and concise, provide adequate directions for use, including caution and warning statements. On a case-by-case basis only, the Division may authorize the sale of an unapproved veterinary drug through its Emergency Drug Release Program. The Division contributes to science-based policy development. The Division has recently established a Pharmacovigilance Unit to conduct post-market safety surveillance to improve the monitoring of veterinary drugs in Canada.

Submission and Knowledge Management Division manages activities and develops policies and procedures for the management of submissions of veterinary drugs. The Division coordinates the issuance of Notices of Compliance once the submission has been reviewed and cleared for sale in Canada. It is also responsible for the design and development of technology processes to streamline and facilitate the business of the VDD.

Strategic Planning and Stakeholder Relations Division is responsible for strategic planning and the coordination of VDD policies and procedures to ensure that they are in compliance with Departmental, other federal and international policies, acts and regulations. The Division is also responsible for public consultation on policies and regulatory amendments, and works to develop and strengthen partnerships with stakeholders and other interested groups to ensure that the goals and objectives of the VDD are understood, and that work done in collaboration with our partners balances the needs of consumers and industry to ensure the safety of food produced from animals as well as the health of animals.

### **Office of Nutrition Policy and Promotion**

The Office of Nutrition Policy and Promotion promotes the nutritional health and well-being of Canadians by collaboratively defining, promoting and implementing evidence-based nutrition policies and standards. Key activities include the planning, implementation, coordination and synthesis of research to support national policies and programs; the development and updating of dietary guidance based on current scientific knowledge, for example, Canada's Food Guide to Healthy Eating; and the dissemination of nutrition-related information. Action to improve nutrition is a shared responsibility and as such, the Office works closely with key stakeholder groups from health, industry and other government agencies and departments.

### **Health Products and Food Litigation Secretariat**

The Health Products and Food Litigation Secretariat was established in 2000 to respond to litigation initiated against Health Canada concerning Medical Devices. In partnership with the Department of Justice, the Health Products and Food Litigation Secretariat is responsible for the strategic management of litigation related to the activities of the Branch.

The Secretariat provides service to Health Canada and Justice in managing current litigation and legal risks. The functions of the Secretariat include: management of court cases; collection and analysis of documentary and witness evidence for the purpose of litigation; litigation policy development and analysis; assessment and management of strategic and legal risks.



## Natural Health Products

On March 26, 1999, Health Minister Allan Rock announced that he had accepted all 53 recommendations made in the Standing Committee report on natural health products. In accordance with the Standing Committee's report, the Minister also announced the creation of a new Office of Natural Health Products, now called the Natural Health Products Directorate (NHPD). NHPD's mission is to ensure that all Canadians have ready access to natural health products that are safe, effective, and of high quality, while respecting freedom of choice and philosophical and cultural diversity.

Following a Transition Team report and extensive national consultations, NHPD pre-published its Regulations in Canada Gazette, Part I (CGI) on December 21, 2001. The main components of the Regulations are definitions, product licensing, adverse reaction reporting, site licensing, good manufacturing practices, clinical trials, and labeling and packaging.

The Natural Health Products Regulations were published in the Canada Gazette, Part II on June 18, 2003. The Regulations will come into force on January 1, 2004, with a transition period ranging from two years (for site licensing) to six years (for product licensing, for products already issued a Drug Identification Number).

## Office of Consumer and Public Involvement

The Office of Consumer and Public Involvement promotes meaningful public and consumer participation in decision-making on priorities, policies and programs for the Health Products and Food Branch.

## Policy and Strategic Planning Directorate

This directorate is accountable for the management of key strategic policy and planning files/issues in support of and as assigned by the ADM, Health Products and Food Branch; for the integration of strategic policy and planning initiatives with departmental policies and programs; and strategic input into branch business plans, and priorities.

## Inspectorate

The primary role of the Health Products and Food Branch Inspectorate is to deliver a national compliance and enforcement program for all products under the mandate of the Branch, with the exception of food products that are the responsibility of the Canadian Food Inspection Agency. The Inspectorate is

responsible for the management of inspection, investigation, monitoring activities and enforcement strategies related to the fabrication, packaging/labeling, testing, importation, distribution and wholesaling of regulated health products for human and veterinary use.

## Regional Directors

HPFB activities are carried out through offices in the National Capital Region and five regional offices: Atlantic, Québec, Ontario and Nunavut, Manitoba- Saskatchewan and Alberta, British Columbia, the Yukon and Northwest Territories. Regional operations cover many of the Branch programs including: compliance and enforcement related to therapeutic products and food; inspections of clinical trial sites and establishments that manufacture, process, distribute and/or sell products regulated by the Branch; investigations related to product complaints; public involvement and consultation; policy development; health promotion; laboratory work including risk assessment and standard setting; and, liaising with and outreach to government and private organizations. The five regional offices are managed by Regional Directors who report to the Assistant Deputy Minister and work collaboratively with Branch and Regional Directors General.

## Therapeutic Products Directorate

The Therapeutic Products Directorate (TPD) contributes to the health of Canadians and to the effectiveness of the health care system by assessing the safety, efficacy and quality of pharmaceuticals and medical devices in a timely manner. TPD is the Canadian federal authority that regulates pharmaceutical drugs and medical devices for human use. Prior to being given market authorization, a manufacturer must present substantive scientific evidence of a product's safety, efficacy and quality as required by the Food and Drugs Act and Regulations.

The TPD is supported through the contributions of more than 400 scientists, doctors, technicians, administrators and managers, all dedicated to helping Canadians maintain and improve their health. The Directorate is comprised of 11 Bureaux and Offices.

## Office of Biotechnology and Science

The Office of Biotechnology and Science was established in October 2000 to provide a visible, integrative focal point for biotechnology within

Health Canada, the federal government and with external partners and stakeholders. The OBS provides intelligence and forecasts applications and potential impacts of biotechnology in the health sector. It also has a mandate to increase awareness of biotechnology within the Department and externally with the public. The OBS is responsible for the Science Library Network which delivers library services to the Health Canada scientific community.

### **Healthy Environments and Consumer Safety Branch**

The Healthy Environments and Consumer Safety Branch promotes healthy and safe living, working and recreational environments. It provides occupational health and safety services within the federal government and establishes public health policies and services to protect the health of the travelling public and dignitaries visiting Canada. It assesses and reduces health risks posed by environmental factors and it regulates the safety of industrial and consumer goods. The branch also regulates tobacco and controlled substances, coordinates Canada's Drug Strategy, promotes initiatives that reduce or prevent the harm associated with tobacco, alcohol and other substances, and provides expert advice and drug analysis services to law enforcement agencies across the country. Finally, it is responsible for coordinating and monitoring Health Canada's Sustainable Development Strategy.

### **Drug Strategy and Controlled Substances Programme**

The Drug Strategy and Controlled Substances Programme regulates controlled substances and promotes initiatives that reduce or prevent the harm associated with these substances and alcohol. The Programme also provides expert advice and drug analysis services to law enforcement agencies across the country.

The following are the Programme's main areas of responsibility: Office of Demand Reduction provides national leadership and coordination on the development of Canada's Drug Strategy which focuses on strategies for prevention, treatment and harm reduction, related to substance abuse. Activities in this area include: collaborating with other departments, governments and expert bodies by chairing federal-provincial-territorial committees, advisory committees and interdepartmental meetings; researching, analyzing and

distributing leading-edge information about substance abuse including best practices for prevention, treatment and rehabilitation; working multilaterally with groups, such as the United Nations Drug Control Program, and other with countries to address the global drug problem; and managing the Alcohol and Drug Treatment and Rehabilitation Program, a cost-shared contribution program involving the provinces and territories.

Office of Controlled Substances (OCS) works to ensure that drugs and controlled substances are not diverted for illegal use. This involves developing legislation, regulations, policies and programs to ensure that these drugs and substances are used only for legitimate medical and scientific purposes. Activities in this area include: licencing manufacturers and distributors of drugs and controlled substances and issuing import/export permits when necessary, to manage and track the movement of drugs and controlled substances across the Canadian border; authorizing the disposal of illegal drugs that have been discovered or seized; licencing individuals and companies to cultivate, process and sell industrial hemp products; managing an exemption process that allows individuals with legitimate scientific or medical reasons to possess a controlled substance; and working with other groups such as the law enforcement community to address compliance issues.

Office of Cannabis Medical Access (OCMA) coordinates the development of and administers the new regulatory approach permitting individuals to access marihuana (cannabis) for medical purposes. Activities in this area include: developing a regulatory scheme for individuals wishing to use marijuana for medical reasons and administering the regulations including the provision of a clear decision-making framework whereby authorizations to possess and licences to cultivate marihuana may be approved.

Research and Surveillance Programme funds clinical research to generate sound information on the risks and benefits associated with the use of marihuana for medical purposes. Trends and patterns of illicit drug use in Canada are monitored as well as policies issues and emerging trends regarding drug abuse nationally and internationally. The Programme maintains network with government and non-government stakeholders regarding data collection and information needs. The data and information gathered provide an evidence-

based platform for the decision and policy making processes and also serve to meet the Programme's international reporting obligations.

Drug Analysis Services provides drug analysis services including expert advice and analytical support to law enforcement agencies in their drug enforcement responsibilities. Activities in this area include: analyzing the content and determining the quantity of illicit drugs seized by law enforcement agencies across the country - roughly 80,000 drug samples per year - and documenting the information for use as evidence in criminal prosecutions; and assisting in the investigation and dismantling of clandestine laboratories, by gathering evidence to determine the type and quantity of drugs produced, as well as advising on any health and safety issues related to shutting down these laboratories.

### **Workplace Health and Public Safety Programme (WHPSP)**

WHPSP is responsible for helping Canadian private and public sector employers maintain and improve the health of their workers by providing leadership and policy development in the areas that affect workplace health. A major component of WHPSP's portfolio is the Public Service Health Programme. WHPSP is the principal occupational health and safety advisor to the Treasury Board Secretariat. The Programme also provides public health services including food, water and sanitation inspections on common carriers, and develops health contingency plans for Internationally Protected Persons on official visit or attending international summits hosted by the Prime Minister in Canada.

### **Workplace Hazardous Materials Information System (WHMIS)**

Pursuant to a formal agreement with the Government of each Province and Territory and with the Minister responsible for the Labour Program at Human Resources Development Canada, Health Canada's WHMIS Division serves as the national coordinator for the governance and administration of WHMIS in Canada. Also, the Division is the national secretariat for this federal, provincial and territorial (F/P/T) government partnership program. National standard for the classification of hazardous workplace materials; regulatory criteria for biohazards, chemical and acute hazards, as well as criteria for chronic health hazards including mutagenicity, carcinogenicity, embryo and reproductive toxicity, respiratory

tract and skin sensitization; national regulatory and compliance policies and guidelines for classification, labelling and material safety data sheet ("MSDS") requirements; liaison with the 13 F/P/T government bodies responsible for occupational health and safety in Canada.

### **Product Safety Programme**

The Product Safety Programme has the legislative mandate to identify, assess, and manage the health and safety hazards and health risks to Canadians associated with: new chemical substances; products of biotechnology; radiation produced by radiation emitting devices; environmental noise; solar UV radiation; consumer products (incl. cosmetics); workplace chemicals.

### **Safe Environments Programme**

The Safe Environments Programme promotes healthy and safe living, working and recreational environments through the identification and assessment of health risks posed by environmental factors. In addition to the activities carried out under its legislative mandate, the Programme develops national risk management strategies supported by scientific research to promote healthy environments and reduce the risks to human health from the environment. The Programme's main areas of responsibility include risk management initiatives associated with atmospheric factors, indoor environments and airborne contaminants; water quality, including the evaluation of water treatment processes and devices and the development of national standards in collaboration with the provinces and territories. The Programme is responsible for the implementation of the Federal Nuclear Emergency Plan and the National Dosimetry Service and Registry and for assessing and informing Canadians about the risks of radiation. The Programme conducts the environmental assessment of departmental projects and focuses on increasing knowledge of health impacts of pollutants and climate change, ecosystems and health and children's environmental health. Safe Environments Programme staff are located in the national capital region and in regional offices across Canada.

### **Tobacco Control Programme**

The goal of the Tobacco Control Programme is to reduce death and disease due to tobacco use. The Office of Regulations and Compliance administers the Tobacco Act, which regulates

the manufacture, sale, labeling and promotion of tobacco products, in order to protect Canadians, especially young people, from the health consequences of tobacco addiction. The Office of Prevention, Cessation and Education works with partners to reduce tobacco-related illness and death through prevention, protection and cessation activities and provides access to information on issues related to tobacco use and second-hand smoke. It also fosters support for tobacco control measures and contributes to an infrastructure of coordinated planning, best practices and capacity building. The Office of Policy and Planning develops the policies, strategies and frameworks that are needed to reduce tobacco use in Canada, and also promotes international cooperation for tobacco control. The Office of Research, Evaluation and Surveillance monitors and analyzes knowledge, attitudes and behaviour with respect to smoking; monitors and analyzes tobacco sales, industry practices and consumption; and works to expand knowledge of the health effects of tobacco use. The Office of Mass Media develops mail, radio, newspaper, magazine and television advertising, as well as web site information. It also develops and provides promotional materials such as information kits, posters, media kits and fact sheets to health professionals, opinion leaders, decision makers, and individual Canadians.

### **Information, Analysis and Connectivity Branch**

The Information, Analysis and Connectivity Branch (IACB) brings together, in one organization, three key levers of the information spectrum - from the creation of the knowledge and information through analytical research to the dissemination of that information through the information highway. IACB will, at the same time, build strong information management and technology networks in the department and externally with clients and stakeholders. Through IACB, the department works to: improve the analytical basis of decision-making; develop the creative use of the information highway in the health sector; and in cooperation with the provinces and territories, the private sector and international partners, provide advice, expertise and assistance with respect to information management and information technology, planning and operations.

The Branch is comprised of five Directorates and is home to the Chief Information Officer.

### **Applied Research and Analysis Directorate**

ARAD helps to build the analytical foundation for Health Canada's policy decision making and performance measurement and reporting. ARAD conducts economic analysis of health policy issues, funds external policy research in selected priority areas, and runs a policy research publications program, including publication of a Health Policy Research Bulletin. ARAD develops the department's program evaluation plan and standards, as well as conducts evaluations of key departmental policies and programs. ARAD develops the quantitative information base to support the department's and the Government of Canada's health system performance reporting commitments. ARAD develops, in collaboration with data providers, federal policy on investments in Canada's health statistics system and coordinates departmental core data requirements with data providers. ARAD has also developed a data dissemination system to give Health Canada analysts single-tool access to core data from a wide variety of sources. ARAD actively supports IACB, other branches, and regions through capacity building, partnerships, and the provision of analytical and performance information and tools.

### **Chief Information Officer**

The CIO is responsible for leading the Department's strategic IM/IT planning (including an annual work plan); establishing a common departmental architecture (including policies and standards); being a champion of the Computer Science (CS) community in fostering excellence and a shared management regime; and leading colleagues in the implementation of best practices for project management, procurement, and performance measurement.

### **Information Management Services Directorate**

Under the direction of the Chief Information Officer, IMSD is responsible for planning, directing and coordinating the department's information/knowledge management and information technology (KM/IM/IT) program. This includes coordination of a departmental planning process for information and knowledge management, development and management of a diversified technology architecture, and design and implementation of informatics

initiatives, strategies, technologies and policies in the department.

### **Office of Health and Information Highway**

OHIH is Health Canada's focal point for all matters concerning the use of information and communications technologies (ICTs) in the health sector. The strategic orientations for OHIH are knowledge development and management, partnerships and collaboration, and federal policy development. OHIH coordinates, facilitates, and manages health infrastructure-related activities, both within Health Canada and with external stakeholders. The Government On-Line Division (GOLD), which falls under the responsibility of OHIH, is the departmental focal point for the planning and implementation of Health Canada's electronic access to key programs and services. GOLD works in collaboration with Branches, Regions and Agencies to identify information and services that Canadians will be able to access electronically and to facilitate the changes required to make them available on-line.

### **Official Language Community Development Bureau (OLCDB)**

The mandate of the OLCDB is to lead Health Canada's responsibilities under Part VII of the Official Languages Act by ensuring that English and French linguistic minority communities in Canada will have access to health services and relevant information in the language of their choice wherever they reside in Canada.

### **Planning & Operations Directorate**

POD is responsible for providing the Branch with a range of planning and management services including strategic and operational planning; input to departmental planning documents, and the provision of the full range of human resource and administrative services.

### **Pest Management Regulatory Agency**

PMRA is responsible for protecting human health and the environment by minimizing the risks associated with pest control products. This is achieved through four key activities: new product evaluation leading to regulatory decisions within specified performance standards on applications for the registration of new pest control products; registered products evaluation to ensure that registered products meet current standards by periodically re-evaluating the data supporting such products according to current standards; promotion,

maintenance and enforcement of compliance with the Pest Control Products Act (PCPA) and Regulations through investigations, consultations and inspections; and the development of sustainable pest management policies and programs and the integration of sustainable pest management into regulatory decision making.

### **Population and Public Health Branch**

Population and Public Health Branch (PPHB) has a mission to work with all of our partners to safeguard the health of the people of Canada and enhance the conditions that contribute to their well-being. This includes responsibility for policies, programs and research relating to disease surveillance, prevention and control, health promotion, and community action.

The Department achieves its health promotion and protection objectives through leadership and partnerships in health promotion, protection and illness prevention and control; by creating and disseminating knowledge based on sound science, research and surveillance data; and by funding community health projects. Through our work with provinces and territories, we also translate our public health knowledge into practices and actions aimed at safeguarding the health of Canadians.

PPHB is made up of five Centres, three Directorates and two Laboratories with more than 1,300 staff located across the country, all of whom contribute to the achievement of the Branch's mission. In addition to the National Capital Region, PPHB has a presence in the Atlantic, Quebec, Ontario and Nunavut, Manitoba and Saskatchewan, Alberta and Northwest Territories, and British Columbia and Yukon Regions.

#### **Main areas of focus**

Public knowledge about the determinants of health and actions to take to maintain and improve health; access to tools to improve health; and enhanced community capacity to deal with individual and collective health issues.

Collaborations that help Canadians maintain and improve their health.

Preventive initiatives and practices that have enabled a reduction of illness, disability, injury and/or death

Improved health surveillance, emergency preparedness and response strategies.

### **Centre for Chronic Disease Prevention and Control (CCDPC)**

The Centre is the national focal point for chronic disease prevention and control. Program activities are centred around three key strategic priorities: knowledge generation and dissemination, policy and program development, and surveillance. Activities focus on building and disseminating the evidence based on best practices and lessons learned to support policies and programs for chronic disease prevention and control; facilitating the development of prevention, screening and early detection programs for chronic diseases by provinces/territories; providing project funding to community and support groups; developing national strategies for the management and control of chronic diseases; maintaining and enhancing an integrated surveillance system to assist in developing chronic disease policy; and providing a stimulus for international links in the area on chronic disease prevention and control.

### **Centre for Emergency Preparedness and Response (CEPR)**

The Centre is Canada's central coordinating point for public health security issues. Its many responsibilities include developing and maintaining national emergency response plans for Health Canada; monitoring outbreaks and global disease events; assessing public health risks during emergencies; contributing to keeping Canada's health and emergency policies in line with threats to public health security and general security for Canadians in collaboration with other federal and international health and security agencies; being responsible for the important federal public health rules governing laboratory safety and security, quarantine and similar issues; and being the health authority in the Government of Canada on bioterrorism, emergency health services and emergency response.

### **Centre for Healthy Human Development (CHHD)**

The Centre is responsible for implementing policies and programs that enhance the conditions within which healthy development takes place. Through action founded on the principles of population and public health, the Centre addresses the determinants of health and facilitates successful movement through the life stages. The Centre acts through programs addressing healthy child development, active living, families, aging and lifestyles, public information and education (Canadian Health

Network), as well as issues related to rural health.

### **Centre for Infectious Disease Prevention and Control (CIDPC)**

The Centre promotes improvement in the health status of Canadians in the area of infectious diseases through public health action. These public health actions include surveillance and epidemiology, risk management, research including laboratory science, health promotion, public health policy development, and prevention and care programs. CIDPC's objectives are to decrease transmission of infectious diseases and to improve the health status of those infected. The Centre's program areas include infectious disease surveillance and risk assessments, foodborne, zoonotic and environmentally acquired infections, immunization and respiratory infections, community acquired infections including Hepatitis C, blood safety surveillance and health care acquired infections, HIV/AIDS policy/coordination/programs, and HIV and retrovirology laboratories. The Centre works in close partnership with Canada's Provinces and Territories and with international agencies to accomplish its goals.

### **Surveillance and Risk Assessment Division – CIDPC**

The Surveillance and Risk Assessment (SRA) Division has a number of diverse roles. It conducts national surveillance of notifiable diseases and manages a regionally-based network of field surveillance officers that work with provincial and territorial authorities to improve the timeliness and completeness of surveillance data on infectious diseases. The Division is also responsible for providing national leadership in the assessment of the temporal, geographic and demographic trends in the HIV epidemic. This is done by collating and analyzing national HIV and AIDS surveillance information, by providing technical and financial support for extramural research on HIV epidemiology, by performing intramural research and analysis, and by holding national meetings on issues of importance to HIV epidemiology and surveillance. The SRA Division undertakes risk assessments and carries out modeling and projections to provide public health intelligence for effective policy and planning to control infectious diseases, with particular attention being paid to newly emerging threats. This is achieved by synthesizing multiple sources of data and

analyzing the data using modern models and methods from the field of biometric, epidemiology, econometrics and demography, translating public health information into public health options.

### **Community Acquired Infections Division - CIDPC**

The Division provides national leadership and coordination of surveillance, targeted research studies, evidence-based national standards, policy development and information dissemination for sexually-transmitted infections. It supports a holistic view of sexual and reproductive health and works to ensure access to services and programs, including sexual health education, that help Canadians improve and maintain their sexual and personal health. The Division works with provinces, non-governmental organizations, and health care providers to improve and maintain the sexual health of the Canadian population by preventing and controlling sexually transmitted diseases and their complications including infertility and cancer.

The Division designs, develops and implements programs that will prevent Hepatitis C infection, supports people infected with or affected by the disease and increases public awareness about Hepatitis C. In addition, the Division manages the financial arrangements for the Hepatitis C Settlement Agreement; administers the Hepatitis C Prevention, Support and Research Program; oversees the transfer of funds to the provinces and territories for Hepatitis C health care services and Hepatitis C look-back/trace-back initiatives. The Division is the focal point for a population health approach to Hepatitis C ensuring a coordinated and integrated federal response.

Finally, the Division provides leadership and coordination in the prevention and control of tuberculosis in collaboration with partners at the regional, provincial/territorial, national and international levels. Key activities include development of a Canadian Strategy for Tuberculosis Prevention and Control, funding and coordination of the advisory Canadian Tuberculosis Committee, and surveillance reports on TB cases, TB drug susceptibility test results and Correctional Service of Canada inmate TB cases plus latent TB infections. In addition, it sponsors targeted research, provides policy and program advice as well as training to other government departments and supports

the STOP-TB initiative to control TB in developing countries.

### **Centre for Surveillance Coordination (CSC)**

The Centre collaborates with public health stakeholders on the development, maintenance and use of health surveillance information, tools and skills to increase the capacity of public health professionals and decision makers across Canada, which enables them to protect better the health of Canadians through timely and informed decision making. The Centre provides coordination and strategic vision for the development of a Network for Health Surveillance in Canada and develops, maintains and strengthens relationships with local/regional, provincial/territorial and federal governments as well as non-governmental organizations and academia. With its partners, the Centre jointly addresses cross-cutting issues in public health surveillance. The Centre's Canadian Field Epidemiology Program (CFEP) strengthens public health practice in Canada through a training program that fosters excellence in the practice of applied epidemiology. The CFEP is part of an international network of training programs in epidemiology and public health interventions.

### **Canadian Science Centre for Human and Animal Health (CSCHAH) - Common Services**

CSCHAH - Common Services provides the state-of-the-art laboratory space, management planning and administrative support and logistics to the two client science organizations at the Canadian Science Centre for Human and Animal Health - the National Microbiology Laboratory (NML) and the National Centre for Foreign Animal Diseases (NCFAD). In addition, the Centre maintains critical operations that assure the health and safety of the occupants as well as the community.

### **Laboratory for Foodborne Zoonoses (LFZ)**

The Laboratory provides policy makers and other stakeholders with scientific information and advice on minimizing the risks of human illnesses arising from the interface between humans, animals and the environment, with special emphasis on infections due to enteric pathogens (intestinal disease-causing agents). Located in Guelph, Ontario, with satellite units in Lethbridge, Alberta, and St-Hyacinthe, Quebec, these locations provide opportunities for collaborative projects with universities,

government agencies (federal and provincial), and public health and industry partners in delivery of the program objectives.

### **Management and Program Services Directorate (MPSD)**

The Directorate is a centre of leadership and expertise that provides Branch-wide management and program services to support the population and public health mandate of the Branch in the following areas: leadership and coordination of performance measurement and evaluation; grants and contributions management; continuous learning and workplace health activities; management of the Population Health Fund; and administrative services (e.g., accommodations, informatics and information management, Ministerial and Executive correspondence).

### **National Microbiology Laboratory (NML)**

The National Microbiology Laboratory consists of five National Laboratories supported by a Division of Core Services, which includes DNA sequencing, Animal Resources and a Central Laboratory for Decontamination and Wash-up Services. The five National Laboratories are: National Laboratory for Zoonotic Diseases and Special Pathogens; National Laboratory for Bacteriology; National Laboratory for Enteric Pathogens and Foodborne Diseases; National Laboratory for Diagnostic Virology; National Laboratory for Host Genetics and Prion Diseases

These Laboratories provide expert microbiological reference testing, surveillance, and outbreak investigation support to the public health network in Canada.

### **Strategic Policy Directorate (SPD)**

The Directorate provides PPHB with policy expertise and coordination. It collaborates with analysts in all areas of the Branch to develop, articulate and integrate Branch policy. By gathering and synthesizing key policy information, creating and cultivating internal and external partnerships and providing sound, evidence-based policy advice, SPD helps to set strategic directions for PPHB and the Department.

### **Healthy Communities Division (HCD)**

This is the centre of excellence for the issues of family violence, mental health, physical activity, rural health, and injury prevention. It partners with various stakeholders including Mental Health, National Clearinghouse on Family

Violence, Office of Rural Health, Active Living, and the Physical Activity Unit ([www.hc-sc.gc.ca/hppb/mentalhealth](http://www.hc-sc.gc.ca/hppb/mentalhealth)) - Mental Health ([www.hc-sc.gc.ca/hppb/familyviolence](http://www.hc-sc.gc.ca/hppb/familyviolence)) - National Clearinghouse on Family Violence ([www.hc-sc.gc.ca/ruralhealth](http://www.hc-sc.gc.ca/ruralhealth)) - Office of Rural Health ([www.hc-sc.gc.ca/hppb/fitness](http://www.hc-sc.gc.ca/hppb/fitness)) - Physical Activity Unit

### **Regional Presence**

PPHB has a presence in all regions of Canada and with the Northern Secretariat. These offices carry out the Branch mandate through such activities as program delivery, research and knowledge development, policy analysis and development, community capacity building, and public and professional education. PPHB regional offices: Atlantic Region; Quebec Region; Ontario and Nunavut Region; Manitoba and Saskatchewan Region; Alberta and Northwest Territories Region; British Columbia and Yukon Region.

### **Regional Directors General**

Regional Directors General will become the focal point for the Department in their region, including ensuring, in their region, horizontal coordination and cohesion across both programs and issues, and in relations with provinces, territories and partners. They have also been given operational responsibility for program delivery in specific program areas.

## **Information Holdings**

### **Program Records**

#### **Associate Deputy Minister's Office**

##### **Audit and Accountability Bureau**

**Description:** Information on the operations of the Health Canada internal audit unit and audit reports on Health Canada activities, systems and functions.

**Topics:** Audit policy, audit plans, audit programs and methodologies, audit findings, audit reports, Departmental Audit and Evaluation Committee, values and ethics, and internal disclosure.

**Program Record Number:** HCan 001 005

#### **Deputy Minister's Office**

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

**Description:** Access to Information and Privacy, and information collection activities.

**Topics:** Access to Information and Privacy



requests; information collection.

**Program Record Number:** HCan 006 092

## First Nations and Inuit Health Branch

### Community Health Programs

**Description:** Information on operations of health programs and services provided to or arranged for First Nations, Inuit and northern residents.

**Topics:** Community health services, including treatment and public health activities; alcohol, drug and solvent abuse programs; dental services; environmental health and surveillance, whose objectives are to meet the health and safety requirements for protecting health and the environment, to improve environmental health awareness and promote sustainable development, as well as the safe transportation of dangerous goods; native involvement; administration.

**Program Record Number:** HCan 002 220

### The Non-Insured Health Benefits Program

**Description:** Non-Insured Health Benefits Program (NIHB) provides, to registered Indians and recognized Inuit and Innu peoples, a range of medically necessary goods and services, which supplement benefits provided through other private or provincial/territorial programs.

**Topics:** Drugs, dental care, vision care, medical supplies and medical equipment, short term mental health services, and transportation to access medical services.

**Program Record Number:** HCan 002 221

## Health Policy and Communications Branch

### Communications Strategy and Planning

**Description:** Information on the Department's policies and programs, and on issues concerning the public environment within which the Department operates.

**Topics:** Strategic Communications Plan; Operational Communications Plan; communications strategies; communications plans for Cabinet memoranda; media analysis reports; environmental scans.

**Program Record Number:** HCan 003 087

### Federal-Provincial-Territorial Liaison

**Description:** Information on the Department's interaction with other levels of government and other departments.

**Topics:** Federal-provincial territorial conferences of health ministers, federal-provincial conferences of Health Ministers and Deputy Ministers, intergovernmental committees and co-operation and liaison with

federal and provincial government departments.

**Program Record Number:** HCan 003 060

## Health Human Resources

**Description:** Information on strategies and targets for supply and training of physicians, criteria for accessing postgraduate medical training programs in the United States, and general planning activities related to other health human resources.

**Program Record Number:** HCan 003 285

## Health Insurance

**Description:** Information on the Canada Health Act, including the Annual Report to Parliament; provincial/territorial violations of the CHA; deductions to federal (CHST) transfer payments; CHA interpretations, including legal opinions; and aspects of the Canadian health care insurance system.

**Topics:** Accessibility; portability; universality; comprehensiveness; public administration; extra-billing; user charges; reciprocal billing; additional benefits programs; extended health care services; and the Health Insurance Supplementary Fund.

**Program Record Number:** HCan 003 287

## Health Policy, Planning and Priorities

**Description:** Information on research undertaken on health issues and on analyses of proposed initiatives in the health field.

**Topics:** Hospital care; medical care; cost containment; health regulations; health policy research; seniors; end of life care; health financing; home care; pharmaceuticals; new reproductive and genetic technologies; children; research; and environment.

**Program Record Number:** HCan 003 085

## Health Transition Fund

**Description:** Funding for pilot and evaluation projects to provide evidence on how our health systems can be improved.

**Topics:** Conferences on pharmacare, health information and home care; proceedings; FPT Working Group meetings; committee meetings; evidence for continued reform; outcomes of national pilot and evaluation projects; health inequities; home care and community based services; rural telehealth; Aboriginal issues; integration of services; design of a pharmacare program; evaluation; dissemination.

**Program Record Number:** HCan 003 062

## Home Care

**Description:** Collecting Information on Home and Community Care.

**Topics:** Policies, reports, committees,

meetings, conferences, workshops, consultation, communication, research, studies, surveys.

**Program Record Number:** HCan 003 188

### International Health

**Description:** Information on international relations by country and by organization.

**Topics:** World Health Organization (WHO) and WHO fellowships; Pan-American Health Organization (PAHO); the Commonwealth; bilateral and tripartite agreements; Advisory Committee on International Health Affairs; interdepartmental relations in the international relations field; miscellaneous committees, conferences and meetings.

**Access:** By country and by organization.

**Program Record Number:** HCan 003 040

### International Information

**Description:** Documentation on other countries and organizations in the fields of health; exchange of information between Canada and international organizations; personnel exchanges and visits between Canada and other countries.

**Access:** By country and by organization.

**Program Record Number:** HCan 003 065

### Media and Public Relations

**Description:** News releases, speeches, inquiries from media and general public, production and distribution of departmental publications, conferences and special events.

**Topics:** All departmental programs and activities.

**Access:** Most information is already in the public domain, available on request from headquarters and five regional communications offices.

**Program Record Number:** HCan 003 088

### Quality Care Group

**Description:** Information on health system indicators and strategies for system renewal.

**Topics:** Background papers, reports, policies, F/P/T activities; Departmental committee meetings.

**Program Record Number:** HCan 003 030

### Women's Health Bureau

**Description:** Information on health issues of concern to women, and on environmental factors that affect their well-being.

**Topics:** Mental health; drug abuse; tobacco use; reproductive health concerns; medical services for women; women's roles; economic status of Policies; reports; committee meetings and conferences; Centres of Excellence for

Women's Health; International Women Health and Development (WHD) issues; socioeconomic determinants of health; gender and workplace health; family health; family violence; reproductive health; adolescent health; visible minority women; rural women; women and AIDS; women's health research; pensions and income security; poverty; aging; women with disabilities; work and family responsibilities; aboriginal women.

**Program Record Number:** HCan 003 015

### Health Products and Food Branch

#### Adverse Drug Reactions

**Description:** Information volunteered in confidence on suspected adverse drug reactions and on alerting and surveillance programs.

**Topics:** Suspected adverse drug reactions.

**Program Record Number:** HCan 004 175

#### Biological Drugs

**Description:** Information on the licensing of biological drugs.

**Topics:** Licensing; testing; plant inspections; submissions; plant master files.

**Program Record Number:** HCan 004 145

#### Chemical Safety

**Description:** Information on the development of legal standards for chemicals in food to ensure food safety. This involves research and evaluation activities on chemicals (those deliberately added, those naturally occurring, and those inadvertently present) in foods.

**Topics:** Food additives; chemical contaminants; packaging materials; incidental additives; allergens; natural food components.

**Program Record Number:** HCan 004 110

#### Food Policy Integration

**Description:** Information on policy analysis, research and development of strategies and options to address nutrition and food safety challenges in Canada.

**Topics:** Policy development; food policy.

**Program Record Number:** HCan 004 112

#### Food Regulatory, International and Inter-Agency Affairs

**Description:** Information on the development of regulatory policy; regulatory review and reform; liaison with industry; international and domestic food standards; import surveillance strategy and processing of regulatory amendments.

**Topics:** Codex Alimentarius; food standards; food ingredients.

**Program Record Number:** HCan 004 105

### **Food Safety Assessment**

**Description:** Information on the effectiveness of the Canadian Food Inspection Agency's programs and activities aimed at contributing to the safety and nutritional quality of the food supply. Activities are based on Health Canada's Policy for the Food Safety Assessment Program.

**Program Record Number:** HCan 004 116

### **Health Products and Food Litigation**

**Description:** Information on the operations of the Health Products and Food Litigation Secretariat which supports Health Canada and Department of Justice in managing an effective response to current litigation and legal risks.

**Topics:** Establishment of the Litigation Secretariat; document collection and production; individual litigation case files by issue; analysis of acts, regulations, and legislation pertaining to litigation issues; management of legal risk.

**Program Record Number:** HCan 004 117

### **Human Nonprescription Drugs**

**Description:** Information on the review of the safety, efficacy and quality of other over-the-counter drugs and their availability.

**Topics:** Disinfectants; vitamins; minerals; advertising; labelling; drug identification numbers.

**Program Record Number:** HCan 004 125

### **Medical Devices**

**Description:** Inventory of Medical Devices in the Canadian Market Place; information on the safety and effectiveness of new devices; the development of essential performance and safety standards; labeling; and correction or regulatory action in response to evidence of device failures.

**Topics:** Device recalls and problems, performance and test data; class studies; standards; notification; media broadcast scripts; interactions with provincial departments and associations; advisory committees; coroners' inquests; regulations; international transactions; premarket review and clinical studies.

**Program Record Number:** HCan 004 195

### **Microbial Hazards**

**Description:** Information on microbial hazards in the food supply, including: developing methods to determine the type and extent of microorganisms in foods; evaluating the

significance of contamination; setting standards for microbial quality of foods; promoting voluntary compliance by manufacturers; and the Compendium of Analytical Methods, a reference of methods used by the Health Products and Food Branch (HPFB) of Health Canada for the microbiological safety and general cleanliness of foods.

**Topics:** Microorganisms; microbial toxins; contaminated foods; food poisoning; extraneous matter; potentially hazardous foods.

**Program Record Number:** HCan 004 115

### **National Surveillance Transition**

**Description:** In light of emerging challenges to public health, and the pressures of increasing globalization, some of HPFB's regulatory and organizational structures must change. It will do this by employing leading edge science and expertise, new technologies for information management and surveillance, and by creating a contemporary and streamlined legislative foundation. The Transition Team will help to strengthen Health Canada and its partners, to better manage risks to the health of Canadians into the next century. The Team also provides support to the Science Advisory Board.

**Topics:** Information management, legislative renewal, program delivery models, risk management, the Science Advisory Board, science core, and surveillance.

**Program Record Number:** HCan 004 128

### **Nutritional Sciences**

**Description:** Information on the regulations respecting the nutritional qualities of foods, including research and evaluation; the voluntary compliance by manufacturers with standards; and the promotion of consumer selection and use of food that takes account of all nutritional considerations.

**Topics:** Nutrients; nutritional quality of food; nutritional surveillance.

**Program Record Number:** HCan 004 120

### **Nutrition for Health**

**Description:** In collaboration with partners, implementation of "Nutrition for Health: An Agenda for Action" which serves as a national framework to promote the nutritional health of Canadians. Information on initiatives to public and professionals to increase awareness and adoption of healthy eating practices which include eating a variety of food, eating less fat and salt and reaching and maintaining a healthy body weight.

**Topics:** Canada's Guidelines for Healthy Eating; Canada's Food Guide to Healthy Eating;

Focus on Preschoolers; the Vitality initiative, and preconception and prenatal nutrition guidelines.

**Program Record Number:** HCan 004 310

### **Veterinary Drugs**

**Description:** Information on the safety and effectiveness of veterinary drugs available in Canada; the cause and treatment of animal diseases; adverse reactions; drug residues in food derived from livestock; medicated feeds requests; and authorization for research, testing and treatment.

**Topics:** Veterinary medicines; chemotherapy of animal disease; medication of livestock feeds; advertising; labelling.

**Program Record Number:** HCan 004 140

### **Healthy Environments and Consumer Safety Branch**

#### **Alcohol, Drugs, and Dependency Issues**

**Description:** Information on substance abuse, prevention, treatment and rehabilitation, research, policies patterns trends, risk factors, consequences, best practices, national coordination, and international collaboration. Information on substance abuse, prevention, treatment and rehabilitation, research, policies patterns trends, risk factors, consequences, best practices, national coordination, and international collaboration.

**Topics:** Canada's Drug Strategy; Canada's Alcohol and Other Drugs Survey; Harm Reduction; Alcohol and Other Drugs Issues.

**Program Record Number:** HCan 005 320

#### **Chemical Hazards**

**Description:** Information on hazards associated with chemicals and microbiological agents in the environment. The quality of the indoor and ambient environment.

**Topics:** Air; drinking and recreational water; Great Lakes - St. Lawrence - Arctic; UFFI; industrial chemicals (PCBs, waste sites, dioxins); pest control products; environmental pollutants; acid rain; ozone levels.

**Program Record Number:** HCan 005 190

#### **Consumer and Clinical Radiation Hazards**

**Description:** Files on the testing and evaluation of X-ray and non-ionizing radiation emitting devices; consumer products that emit radiation; occupational exposure and surveys.

**Topics:** X-rays; non-ionizing radiation (including ultrasound, VDTs, electromagnetic fields, lasers, ultraviolet); radiobiology.

**Program Record Number:** HCan 005 210

### **Controlled Substances**

**Description:** Information on the development of control policies regarding the social use of psychoactive drugs (cannabis), by working with other federal and provincial departments to develop legislation to minimize illegal use of psychotropic drugs.

**Topics:** Cannabis, psychoactive drugs - legislation to minimize illegal use of psychotropic drugs.

**Program Record Number:** HCan 005 151

### **Cosmetics**

**Description:** Information on cosmetic product ingredients, labelling claims, regulations and rulings, as well as files on adverse reactions, complaints, compliance and enforcement, export certificates, and enquiries from the public and from industry.

**Topics:** Cosmetics; substances; products; preservatives; microbial (bacterial) and chemical contamination; cosmetic notification; hazard information and risk assessments for cosmetic ingredients and personal care products for non-corrective contact lenses and Transmissible Spongiform Encephalopathies (TSEs).

**Program Record Number:** HCan 005 135

### **Environmental Assessment Public Registry**

**Description:** Information on projects carried out by Health Canada and which have undergone an environmental assessment consistent with the requirements of the Canadian Environmental Assessment Act.

**Topics:** Nursing Stations, Facility Transfers.

**Program Record Number:** HCan 005 203

### **Environmental Radioactivity Hazards**

**Description:** Information on levels of man-made and natural radioactivity in the environment, on resulting human exposures, on measurement of internal exposures to workers and segments of the general population, and on preparedness to respond to major nuclear accidents.

**Topics:** Environmental radioactivity, Federal Nuclear Emergency Response Plan, National Calibration Reference Centres for Bioassay and In-Vivo Monitoring, National Radioactivity Monitoring Network, radon, uranium, Chernobyl (effects on Canada), Great Lakes, Arctic, guidelines, drinking water, waste management, environmental impact assessment; Occupational radiation monitoring, National Dosimetry Services, National Dose Registry.

**Program Record Number:** HCan 005 205

### **Human Prescription Drugs**

**Description:** Information on the safety, efficacy, quality and control of prescription drugs and their availability.

**Topics:** Submissions and evaluations on new drugs, investigational new drugs, emergency drugs, drug identification number submissions, and health hazard evaluations.

**Program Record Number:** HCan 005 130

### **Narcotics, Controlled and Restricted Drugs and Targetted Substances**

**Description:** Information on the medical and scientific use of these drugs; misuse and abuse; monitoring of distribution; diversion of legal drugs.

**Topics:** Co-operation and liaison with provincial licensing bodies and professional associations; purchase records of hospitals, licensed pharmaceutical companies, provincially registered practitioners, pharmacists; analysts and researchers, transportation and shipment; illicit use and trafficking; hospitals and penitentiaries; military medical establishments; enforcement investigating and prosecution; United Nations Narcotic Commission; legal agents; liaison with other federal and provincial departments, foreign countries, educational institutions; prescribing of narcotics and controlled drugs by foreign-registered health professionals in Canada, nurse practitioners, podiatrists and others.

**Program Record Number:** HCan 005 150

### **New Substances Assessment and Control**

**Description:** Information on hazards and risks associated with new chemicals, biotechnology products and products subject to the Food and Drugs Act, in the environment, that have been notified to the government under the New Substances Notification Regulations.

**Topics:** Information on notification and testing of new chemicals, biotechnology products and products subject to the Food and Drugs Act, which include pharmaceuticals, biologics, veterinary drugs, cosmetics, novel foods, food additives, natural health products and medical devices; the New Substances Notification Regulations; liaison with Environment Canada, Office of Regulatory and International Affairs, Health Products and Food Branch, OECD, NICNAS Australia, US EPA New Chemicals, notifiers of new substances, developers of predictive models; researchers associated with the identification of micro-organisms; identification and strain history of the organism; documented involvement of the organism in adverse human; health effects; relationship to

known pathogens; tests for antibiotic susceptibility; tests for pathogenicity; potential to elicit adverse immunological reactions.

**Program Record Number:** HCan 005 156

### **Workplace Health and Public Safety Services**

**Description:** Information on occupational health programs in the public service, including workplace investigations, medical examinations of public servants and other persons, advisory services, counselling services through the Employee Assistance Program, public health inspection services.

**Topics:** Workplace investigations: methods, requirements, reports of inspections carried out; policy and procedures manuals for public health programs on common carriers; occupational health assessments: protocols, techniques, requirements,; counselling and advisory services - Employee Assistance Program: policies, training, techniques, and conferences.

**Program Record Number:** HCan 005 225

### **Occupational Radiation Hazards**

**Description:** Information on the measurement of occupational exposure of workers to ionizing radiation and studies involving all types of ionizing and non-ionizing radiation which affect the health of the population of Canada.

**Topics:** National Dose Registry.

**Program Record Number:** HCan 005 200

### **Consumer Product Safety**

**Description:** Information on compliance, enforcement and testing, statistical data and programs within product safety.

**Topics:** Standardization control; correspondence; liaison with associations; societies; institutions; boards; councils; commissions; committees; Hazardous Products Act; injury data and statistics; labelling; publicity projects; regulations; reports; Hazardous Products Program Review.

**Program Record Number:** HCan 005 070

### **Product Safety Laboratory**

**Description:** Information and files on laboratory testing and evaluation of consumer products.

**Topics:** Analytical chemistry, Mechanical Engineering testing, Flammability testing, failure and complaint investigations, textiles, toys, children's products, consumer chemicals and ignition sources such as lighters, standard test methods, societies, standard writing committees, laboratory quality system.

**Program Record Number:** HCan 005 336

### **Psychoactive Drugs**

**Description:** Information on the development of control policies regarding the social use of psychoactive drugs (cannabis), by working with other federal and provincial departments to develop legislation to minimize illegal use of psychotropic drugs.

**Topics:** Cannabis, psychoactive drugs - monitoring of use and attitudes, health effects, and legislation.

**Program Record Number:** HCan 005 160

### **Tobacco**

**Description:** Files on the development of control policies regarding tobacco products, their use, and health effects, by working co-operatively with other federal departments, provincial departments and interested parties on the development of legislation (including enforcement), practices. Information on tobacco control issues including research, and programming for smoking prevention, cessation and protection funded by Health Canada and in collaboration with provinces and voluntary health agencies.

**Topics:** Smoking in the workplace, environmental tobacco smoke, smoking behaviour of Canadian adolescents and adults. Tobacco - monitoring of use and attitudes, health effects, chemical properties, economics, sale, and legislation.

**Program Record Number:** HCan 005 315

### **Workplaces**

**Description:** Resource Information and research findings documented in best practice guides on comprehensive Workplace Health.

**Topics:** Business Case for Workplace Health; Workplace Stress Management; Fairness and Capacity in Workplaces; Comprehensive Workplace Health: physical environment, and psychosocial environment issues; System Framework and Workplace Health Models adapted for Corporations, Small Business, Farms and Agricultural Enterprise; Needs Assessment Instruments; Programme Evaluation.

**Program Record Number:** HCan 005 326

### **Information, Analysis and Connectivity Branch**

#### **Departmental Library Services**

**Description:** Library holdings in the Finance Building.

**Topics:** Full range of health topics.

**Program Record Number:** HCan 006 025

### **Evaluation Reports**

**Description:** Information on the relevance of key departmental policies and programs, their success in achieving their objectives, and their cost-effectiveness compared to alternatives.

**Topics:** Completed reports on evaluations of selected departmental policies and programs.

**Format:** Paper and computer files.

**Program Record Number:** HCan 006 010

### **National Health Research and Development Program (NHRDP)**

**Description:** Information (i.e. final reports, statistics and manuals) on contributions in support of health research activities.

**Topics:** Population health; health impact of public policies; renewal and restructuring of the health system; research on new methodologies and research on transfer and uptake of knowledge.

**Program Record Number:** HCan 006 335

### **Health Policy Research Program (HPRP)**

**Description:** Information (i.e. final reports, statistics, manuals, applications for funding, review process) on contributions in support of health policy research activities.

**Topics:** Population health; Health Canada policy issues; integration of health systems; health risks.

**Program Record Number:** HCan 006 340

### **Office of Health and Information Highway**

**Description:** Information (i.e. reports, manuals, program documentation, dockets, etc.) pertaining to the renewal and restructuring of the Canadian health system through the application of information and communications technologies.

**Topics:** Canadian health infostructure/infoway, E-health, Canadian Health Network, Canada Health Infostructure Partnerships Program, Health Infostructure Support Program, Privacy and the protection of personal health information, Health information for the public, Telehealth, Electronic Health Records, Health Surveillance, First Nations Health Information Systems, Advisory Council on Health Infostructure, Advisory Committee on Health Infostructure.

**Program Record Number:** HCan 006 334

### **Pest Management Regulatory Agency**

#### **Pesticide Evaluation**

**Description:** Information on the evaluation of pesticides and on precautions for their safe use.

**Topics:** Product chemistry; toxicology; metabolism; residues; environmental chemistry;

toxicology and efficacy.

**Program Record Number:** HCan 007 098

### **Inspection and Compliance**

**Description:** Information on the development, implementation and monitoring of a national field compliance program for registered pesticides.

**Topics:** Monitoring; Investigating; enforcement; verifications; sampling.

**Program Record Number:** HCan 007 099

### **Pest Control**

**Description:** Relates to pest control programs, diseases and external parasites of plants and animals, control methods for specific pests.

**Topics:** General information on pest control; adjuvants; industrial slime; invertebrate and vertebrate pests; materials preservation; plant diseases; water bodies; weed and plant growth control; wood preservation.

**Program Record Number:** HCan 007 081

### **Pesticide Research Permits**

**Description:** Permits to conduct research on new or registered products.

**Topics:** Policies and general information on research permits and submissions.

**Program Record Number:** HCan 007 082

### **Pesticide Statistics**

**Description:** Relates to numerical information about the number of registered pesticides, submissions, and uses.

**Topics:** Policies and general information on statistics and product developments and registrations; and uses.

**Program Record Number:** HCan 007 083

### **Registration and Fees**

**Description:** Information on the registration of pesticides under the Pest Control Products Act.

**Topics:** Application for registration; chemical specification forms; product labels; registrant correspondence; technical and scientific data in support of pesticide evaluation.

**Access:** Files arranged by registrant code and registration number.

**Program Record Number:** HCan 007 097

### **Regulatory Communication**

**Description:** Includes policies, guidelines and procedures relative to pesticides and pest management including dissemination of technical information via various media.

**Topics:** Regulatory communication; computer systems; presentations; publications; regulatory information by telephone.

**Program Record Number:** HCan 007 095

### **Regulatory Liaison**

**Description:** Relates to national and international aspects of pesticide management, coordination of policies and regulatory activities.

**Topics:** Regulatory liaison with federal, foreign, international, national and provincial organizations, governments and stakeholders.

**Program Record Number:** HCan 007 096

### **Population and Public Health Branch**

#### **Aboriginal Head Start Initiative**

**Description:** AHS is an early intervention strategy which addresses the needs of young Aboriginal children 0-6 living in urban centres and large northern communities. Projects are locally controlled and administered by Aboriginal non-profit organizations with programs designed to meet the spiritual, emotional, intellectual and physical needs of the child.

**Topics:** Culture and Language, Education, Health promotion, Nutrition, Social support programs, Parental involvement.

**Program Record Number:** HCan 008 430

#### **Breast Cancer**

**Description:** The Canadian Breast Cancer Initiative (1993-1998) and the Renewed Canadian Breast Cancer Initiative (1998-2003) are departmentally-led initiatives that involve working in partnerships with key stakeholders from the provincial territorial governments, health professionals, care providers, associations, researchers, educators, consumers and support groups, the private sector and women affected by breast cancer. The goals of the Initiative are to reduce both the incidence of breast cancer in Canada and the mortality rate, and to improve the quality of life of those directly and indirectly affected by breast cancer from prevention to palliative care. The Renewed Initiative works through five linked components: the Canadian Breast Cancer Research Initiative; Prevention, Early Detection and Quality Screening; Surveillance and Monitoring; Enhancing Quality Approaches to diagnosis, Treatment and Care; Community Capacity Building; and Evaluation and Coordination.

**Topics:** Prevention; Early Detection and Screening; Quality Management; Information Systems; Education; Awareness Raising and Recruitment; Treatment and Care; Support, Advocacy, Community Capacity Building and Networking; Policy Issues.

**Program Record Number:** HCan 008 260

### **Canadian Breast Cancer Screening Database, The (CBCSD)**

**Description:** The CBCSD is a national breast screening surveillance system designed to facilitate monitoring and evaluation of organized screening programs across Canada.

Established in 1993, it is operated and maintained by the Chronic Disease Prevention and Surveillance and Risk Assessment Divisions in the Centre for Chronic Disease Prevention and Control.

**Topics:** In addition to demographic data (such as age, ethnicity, place of residence) and risk-factor profile data (such as parity, gravidity, family cancer history) for each consenting client, the database records details pertaining to all screening episodes occurring within the programs. Hospital treatment and diagnostic databases and provincial cancer registries are linked to the CBCSD to provide diagnostic outcome data for abnormal screens. Data are available from program start date, and are updated every two years.

**Program Record Number:** HCan 008 261

### **Canada Prenatal Nutrition Program**

**Description:** Information on CPNP, a program which funds community based coalitions and agencies to establish, deliver or enhance services for at-risk pregnant women in order to improve birth outcomes. CPNP is targeted at pregnant women most likely to have unhealthy babies because of poor health and nutrition.

**Topics:** Prenatal Nutrition, Prenatal Care, Lifestyle Counselling.

**Program Record Number:** HCan 008 435

### **Canadian Strategy on HIV/AIDS**

**Description:** The Canadian Strategy on HIV/AIDS is a pan-Canadian strategy based on collaboration among all levels of governments, communities, non-governmental organizations, professional groups, institutions and the private sector.

**Topics:** Prevention; community development and support to national non-governmental organizations; care, treatment, and support; research; surveillance; legal, ethical and human rights issues; international collaboration; Aboriginal health and community development; Correctional Service Canada and consultation, evaluation, monitoring and reporting.

**Program Record Number:** HCan 008 290

### **Cancer**

**Description:** This Division develops and conducts cancer surveillance programs which address issues across the "lifecycle" of cancer

ranging from the underlying causes of cancer to access to palliative care. The outcome of these programs will provide measurement tools needed to assess needs, priorities and progress in cancer prevention and control through the creation and strengthening of Canadian information and intelligence on determinants of cancer, impact and trends, and population access to effective interventions. The Division assists decision-makers in the formulation of policies for the adoption and diffusion of effective cancer prevention and control practices in Canada. The Division encourages and participates in multi-agency and multi-disciplinary activities to support actions needed to improve national cancer surveillance systems, facilitates and coordinates development of a clearly defined national cancer prevention and control strategy including goals, objectives and strategies, and recommendations for action based on new research/surveillance findings.

**Program Record Number:** HCan 008 100

### **Cardiovascular Disease**

**Description:** The Chronic Disease Prevention Division (the Division) of the Centre for Chronic Disease Prevention and Control (the Centre) has the lead role for cardiovascular disease. This includes the overall coordination for the prevention and control of cardiovascular diseases, as well as limited surveillance and data interpretation (in cooperation with the Surveillance and Risk Assessment Division). Health Canada has had a lengthy history of involvement in cardiovascular disease and continues to work closely and collaboratively with a number of key partners. In the past, Health Canada was integrally involved in a number of initiatives, including The Canadian Heart Health Initiative (CHHI), The Cardiovascular Action Plan, targeted hypertension strategies, and the Healthy Heart Kit. In light of several environmental changes and reduced resources, many of these initiatives are in a time of transition. Health Canada recently completed a situational analysis on the CHHI and is continuing to explore opportunities to build on the past experiences and successes of the program. With respect to the Cardiovascular Action Plan, Health Canada and the other partners involved are currently revisiting the plan to ensure its effectiveness in the current health environment. There is a shared recognition that further integration with other prevention strategies will be key to the plan's implementation and



success. At present, high blood pressure continues to be a focus for Health Canada. High blood pressure is a key risk factor in the development and progression of cardiovascular disease. Health Canada has helped to establish a coalition for the prevention and control of hypertension. We are now focusing on high blood pressure as part of an integrated screening approach with the development of comprehensive screening policies. The Division is also developing a model that links behavioral science, systems theory and practice. The Centre also was a partner in the development of The Growing Burden of Heart Disease and Stroke in Canada 2003 (led by the Heart and Stroke Foundation of Canada, in collaboration with the Canadian Cardiovascular Society and Health Canada). This is the sixth in a series of biennial reports issued by the Foundation, highlighting the high cost of cardiovascular diseases to both quality of life and to Canada's health care system. The report examines the prevalence of cardiovascular risk factors—smoking, physical inactivity, being overweight, high blood pressure and diabetes—and also makes policy recommendations on how to address the growing burden presented by heart disease and stroke. As we continue to address the growing burden of cardiovascular disease, there is a recognition that the contributing risk factors are associated with a number of chronic diseases. As such, the Centre has recognized the need for a more integrated approach to the prevention of cardiovascular disease and the risk factors that contribute to it.

**Topics:** Develop information on Cholesterol, High Blood Pressure, Diabetes, Tobacco Use and Physical Inactivity, and obesity as modifiable risk factors for cardiovascular disease. Coalition building and management; research on prevention policy; coalition and dissemination of heart health interventions, children and youth, disadvantaged groups, social marketing, integrated approaches to CVD prevention at the community level, prevention and control of elevated blood cholesterol and high blood pressure.

**Program Record Number:** HCan 008 265

### **Centres of Excellence for Children's Well-being**

**Description:** Information on the Centres of Excellence for Children's Well-being program, which was created with a mandate to improve Canadian's understanding of, and responsiveness to, the physical and mental health needs of children and the critical factors

for healthy child development. Each of the five Centres focuses on a different issue associated with child and youth well-being: child welfare, communities, early childhood development, special needs, and youth engagement. Each Centre is responsible for: collecting and analysing data, conducting original research, providing policy advice, disseminating information, and developing networks of individuals and groups who are working on the same issue.

**Topics:** Children, early child development, health, youth engagement, disabilities, special needs, child welfare, child and youth centered communities, policy issues, research.

**Program Record Number:** HCan 008 338

### **Cervical Cancer**

**Description:** The Cervical Cancer Prevention Network (CCPN) is a network of federal, provincial, territorial, and non-governmental representatives which has been established to foster the development of provincially based organized quality screening programs in Canada and the development and use of information systems to enable monitoring and evaluation of the programmes through the activities of three working groups: the Quality Management Working Group, the Recruitment Working Group, the Information Systems Working Group.

**Topics:** Prevention; Early Detection and Screening; Quality Management, Information Systems; Policy Issues; Awareness Raising and Recruitment.

**Program Record Number:** HCan 008 333

### **Chronic Respiratory Diseases**

**Description:** Co-ordination of a national approach to the prevention and effective management of chronic respiratory disease in Canada.

**Topics:** National strategic plan in partnership with national coalitions for asthma and Chronic Obstructive Pulmonary Disorder (COPD), surveillance, population-based research on determinants of respiratory disease, dissemination of information on respiratory disease prevention and management.

**Program Record Number:** HCan 008 317

### **Community Action Program for Children**

**Description:** Information on CAPC, a targeted program which funds community based coalitions and agencies to establish and deliver services to meet the developmental needs of children, ages 0 to 6, and their family's living in conditions of risk; also information and reports

on the evaluation of CAPC-funded projects.

**Topics:** Parent training and support, child injury, child development, child health, prevention of abuse and neglect.

**Program Record Number:** HCan 008 337

#### **CAPC/CLNP National Projects Fund**

**Description:** The purpose of the Fund is to finance initiatives that will support the objectives of CAPC/CLNP programs and directly benefit CAPC and CLNP projects across Canada. The National Projects Fund will allow national, regional or local organizations to undertake specific, short term initiatives in support of activities that generate knowledge and action about children, families and the role of the community in supporting families.

**Topics:** The theme over the next two years is strengthening program management and the funding priorities for 2001/2003 are: human resources, training and supervision; volunteer recruitment and management; national think tank; connectivity; fetal alcohol syndrome (FAS); and support for Francophone projects outside Quebec.

**Program Record Number:** HCan 008 436

#### **Diabetes**

**Description:** The Centre for Chronic Disease Prevention and Control is responsible for delivering three of the four components of the Canadian Diabetes Strategy. The four components are: Prevention & Promotion; National Coordination; National Diabetes Surveillance System; and the Aboriginal Diabetes Initiative - the latter of which is under the purview of the First Nations and Inuit Health Branch. The major goals of the Canadian Diabetes Strategy are to address the health concerns of diabetes for the entire Canadian population, with prevention and promotion as major elements; working in partnership, to increase awareness and education of diabetes, its complications and major risk factors; share best practices; coordinate and lead diabetes efforts nationally; and assist community based prevention projects.

**Program Record Number:** HCan 008 331

#### **Chronic Disease Prevention**

**Description:** Responsibility for the integrated approach to chronic disease prevention falls within the Chronic Disease Prevention Division and the Integrated Chronic Disease Prevention and Control Policy Office. The Chronic Disease Prevention Division is a member of the Chronic Disease Prevention Alliance, a conglomerate of non-governmental organizations and

government agencies, who share a common vision for an organized, integrated system of chronic disease prevention for Canada. The Division is also the lead on an intra-departmental working group on the primary prevention of chronic disease that seeks to synergise departmental efforts in the areas of chronic disease prevention.

**Topics:** Chronic disease prevention policy, coalition building, needs assessment, stakeholder involvement, community empowerment.

**Program Record Number:** HCan 008 295

#### **Division of Aging and Seniors**

**Description:** Serves as the centre of expertise and focal point for information in areas pertaining to healthy aging and seniors. It promotes meaningful participation of seniors in federal decisions and activities that affect them. Activities include: providing advice and supporting policy development; conducting and supporting research and education activities; encouraging innovative means of improving the health of seniors in situations of risk and in preventing situations of risk from developing; and providing operational support to the National Advisory Council on Aging.

**Topics:** Research, health promotion and evaluation, policies and program development, liaison and partnerships; production and dissemination of information and operational support to the National Advisory Council on Aging.

**Program Record Number:** HCan 008 259

#### **Division of Aging and Seniors - National Advisory Council on Aging**

**Description:** Group of citizens set up to help and advise the Minister of Health on issues of aging and the quality of life of seniors.

**Topics:** Policy statements; reports; writings in gerontology; discussion papers; newsletter.

**Program Record Number:** HCan 008 095

#### **Division of Childhood and Adolescence**

**Description:** The Division serves as a centre of expertise, leadership, and coordination within the federal government and Health Canada for issues, activities and programs concerning children and youth. The Division is a focal point for policy development, research, and strategic analysis of trends regarding the broad determinants of health for children and youth in Canada.

**Topics:** Children, adolescents, healthy pregnancy, healthy child development, early

child development, children's rights, parenting.

**Program Record Number:** HCan 008 339

### Early Child Development

**Description:** Information on the Early Childhood Development Initiative (a key priority under the National Children's Agenda) which was supported at the First Ministers' Meeting in September, 2000. Beginning in April 2001, the Government of Canada increased transfers to the provinces and territories by \$2.2 billion over five years to build on existing services and supports that promote early childhood development. Provincial and territorial governments have agreed to use this increased funding to: promote healthy pregnancy, birth and infancy; improve parenting and family supports; strengthen early childhood development, learning and care; and strengthen community supports. All governments agreed to report publicly on their progress, and on how children are faring, which will allow governments, and Canadians, to track progress in improving the well-being of young children. The Government of Canada report entitled Federal/Provincial/ Territorial Early Childhood Development Agreement: Report on the Government of Canada Activities and Expenditures 2000-2001 was released in November 2001 and can be found at [www.unionsociale.gc.ca/ecd/](http://www.unionsociale.gc.ca/ecd/).

Governments have also agreed to work together on research and knowledge on ECD and to share information on effective practices to improve child outcomes. Information on the expenditures of federal departments and agencies related to ECD.

**Topics:** Children, policy issues, child welfare, indicators, health, inter-governmental issues, social policy, healthy pregnancy, maternity care, parenting, breastfeeding.

**Program Record Number:** HCan 008 336

### Emergency Services

**Description:** Information on the functions of this planning and coordinating body for cases of national emergency. Central capability is achieved by interdepartmental orientation and the continual updating of Health Canada's public health emergency health plans, training programs and exercise activities; coordination with the planning, training and exercise programs of other departments through the Office of Critical Infrastructure Protection and Emergency Preparedness, the Solicitor General of Canada and others; coordination with provincial emergency health services and

emergency social services through the Committee of Emergency Social Services Directors and the Federal/Provincial/Territorial Network.

**Topics:** Establishment, development and maintenance of national capability to provide essential health services in an emergency; establishment and maintenance of a stockpile of health supplies and equipment as part of the Department's responsibility for natural and human caused emergency planning and includes assistance to provincial and municipal governments; development and operation of training courses on emergency planning and survival, programs to ensure office procedures are followed and accounting practices are maintained.

**Program Record Number:** HCan 008 255

### Foodborne, Waterborne and Zoonotic Infections Division

**Description:** This Division implements an enhanced regionally-based capacity to conduct surveillance (data collection, analysis, interpretation, dissemination) and investigation of (a) food and waterborne diseases and (b) zoonotic diseases (diseases in domestic and wild animals relevant to human health). This work includes maintaining and developing a national food and water safety surveillance system and providing national leadership to improve enteric disease surveillance. The Division also investigates and coordinates investigations of food borne and waterborne disease outbreaks across Canada and provides guidance and direction, as requested, by the Provincial Health Authorities; facilitates and coordinates risk analysis and risk management activities with international, federal, provincial and local partner organizations; conducts, supports and coordinates targeted research in critical areas; and identifies emerging threats to the health and safety of Canadians.

**Program Record Number:** HCan 008 402

### Evidence and Information for Chronic Disease Policy Division

**Description:** Responsible for translation of scientific information into policy for chronic diseases, planning and evaluation of policy and programs, and dissemination of information and liaison with stakeholders in practice, policy and research.

**Topics:** National consortium for best practices in chronic disease prevention and control, meta-database platform for intervention strategies for chronic diseases, development of new and efficient methodologies for knowledge

translation, and network and capacity building for knowledge transfer.

**Program Record Number:** HCan 008 267

### **Environments for Health**

**Description:** Information on improving natural and built environmental conditions for better health including, information on the Healthy Environment Program and the Active Living and the Environment Program.

**Topics:** Built environments, natural environments, population health, air quality, water quality, transportation, urban planning, ultra-violet radiation, gardening, active living, pesticides, urban sprawl, Healthy Environment Program, Active Living and the Environment Program, recreation, housing, safe and accessible environments.

**Program Record Number:** HCan 008 268

### **Fetal Alcohol Syndrome / Fetal Alcohol Effects**

**Description:** In 1999, \$11 million over three years was allocated to enhance FAS/FAE activities related to: public awareness and education; training and capacity development; early identification and diagnosis; coordination; surveillance; and a strategic project fund administered by the Population Health Fund. Health Canada, through its national and regional offices, works in collaboration with Provincial/Territorial governments, a National Advisory Committee, a National First Nations and Inuit CPNP/FAS/E Steering Committee, and other federal Departments on various FAS/FAE activities.

**Topics:** healthy pregnancy, FAS/FAE, social marketing, information for professionals and front-line workers, funding.

**Program Record Number:** HCan 008 271

### **Canadian Field Epidemiology Training Program**

**Description:** This Program was created in 1975 to respond to requests for epidemiologic assistance by provinces, territories and other federal partners. Field Epidemiologists assist in investigations into risk factors, etiologies and effectiveness of control measures for both communicable and non-communicable diseases. Data collection is done on behalf of the requestor, and all data are returned to the requestor at the end of the investigation. Field Epidemiologists also evaluate surveillance systems to assess the capacity to translate data into public health action.

**Program Record Number:** HCan 008 108

### **F/I/P/T Advisory Committee on Population Health**

**Description:** The Federal / Provincial / Territorial Advisory Committee on Population Health (ACPH) is a senior policy advisory committee reporting to the FPT Conference of Deputy Ministers of Health. The goal of ACPH is to address major issues that affect the health and well-being of Canada's population as a whole, as well as groups with less favourable health status.

**Topics:** National Strategy for Healthy Child Development, National Population Health Goals, Public Health, Report on the Health of Canadians.

**Program Record Number:** HCan 008 269

### **Health Canada / Veterans Affairs Canada Falls Prevention Initiative**

**Description:** Health Canada and Veterans Affairs Canada have established a community-based, health promotion pilot initiative to help identify effective falls prevention strategies for veterans and seniors. A total of \$10 million have been committed over a four-year period, from FY 2000-2001 to FY 2003-2004, to pilot community projects in three regions-Atlantic Canada, Ontario and British Columbia-as well as at the national level. The funds will be distributed through Health Canada's Population Health Fund.

**Topics:** Falls, falls prevention, seniors, veterans, caregivers. English web pages: [www.hc-sc.gc.ca/seniors-aines/hcvac/toc\\_en.htm](http://www.hc-sc.gc.ca/seniors-aines/hcvac/toc_en.htm).

**Program Record Number:** HCan 008 274

### **Blood Safety Surveillance and Health Care Acquired Infections Division**

**Description:** Through surveillance, risk assessment and targeted research, this Division provides national leadership in the development and promotion of a national management/policy structure to reduce the risk of blood borne pathogens infections (including hepatitis, Creutzfeldt-Jakob diseases/prions, West Nile virus, and emerging pathogens), transfusion-transmitted injuries and infections resulting from the transplantation of tissues and organs. The Division also collects, analyses, interprets and disseminates epidemiological information on nosocomial and occupational infections to the Canadian population.

**Program Record Number:** HCan 008 401

### **Health Promotion**

**Description:** Health Promotion and Population Health are linked areas of health policy. Since

the early 1970's Health Canada has been an internationally renowned player for its work in the field of Health Promotion. Since the mid 1990's Health Canada's main policy direction has evolved from Health Promotion to a Population Health Approach. Health Promotion includes five key strategies: building healthy public policy; creating supportive environments; strengthening community action; developing personal skills; and reorienting health services. Three of these strategies - building healthy public policy, creating supportive environments, and reorienting health services are better addressed from a population health's systematic approach and responding to new evidence on the role played by the broad range of social, economic and environmental determinants in improving overall health.

**Program Record Number:** HCan 008 276

### **Health Surveillance and Epidemiology**

**Description:** This Division, in partnership with many stakeholders (government agencies, non-governmental organizations, academic centres, international agencies) conducts national surveillance of selected child and reproductive health issues including data collection, analysis and response. Response activities include information dissemination, policy development, prevention / intervention programs and targeted epidemiologic risk assessment studies.

**Topics:** Maternal and Infant Health Surveillance and Epidemiology, Injury Surveillance and Epidemiology, Child Maltreatment Surveillance and Epidemiology.

**Program Record Number:** HCan 008 172

### **Healthy Child Development**

**Description:** The focus is on healthy child development with a focus on the determinants of health, including physical, social, economic and mental/emotional health and well-being, family support, healthy, safe and non-violent environments, and international treaties and obligations such as Children's rights.

**Topics:** Children's rights, UN Convention on the Rights of the Child, mental health, media literacy, children's environmental health, injury prevention, active living, healthy eating, parent support and education, international treaties dealing with children, etc.

**Program Record Number:** HCan 008 171

### **Physical Activity Unit**

**Description:** The mandate of the Physical Activity Unit is to help Canadians improve their health through regular physical activity. Physical activity is positioned within the Healthy

Living Strategy - an intersectoral initiative designed to improve health outcomes and reduce disparities in health status in Canada. Phase I of the Strategy is focusing on physical activity, healthy eating and their relationship to healthy weights. The Unit's work is based on an approach to partnerships that is multi-sectorial, multi-level, and multi-disciplinary. The Physical Activity Unit works in partnership with: 1) provincial and territorial governments towards achieving the target set by Ministers to increase the physical activity levels of Canadians by 10 percentage points in each PT by 2010; and 2) non-government organizations through the Physical Activity Contribution Funding Program providing financial and technical assistance to 13 national organizations for fiscal 2003/2004. Key flagship products include: Canada's Physical Activity Guides (Children and Youth, Adults and Older Adults), the Business Case for Active Living at Work, and Stairway to Health.

**Program Record Number:** HCan 008 420

### **HIV/AIDS Policy, Coordination and Programs Division**

**Description:** The HIV/AIDS Policy, Coordination and Programs Division serves as the focal point for Health Canada in the coordination, implementation and monitoring of the Canadian Strategy on HIV/AIDS. The HIV/AIDS Division plays a central role in moving the Strategy towards a nationally shared vision with improved collaboration among all levels of governments, among communities, non-governmental organizations, professional groups, institutions and with the private sector. The division also provides national expertise on key activities under the CSHA such as: strategy management, policy development and information synthesis, prevention and care, treatment programs, marketing and communications and strategy monitoring and evaluation.

**Program Record Number:** HCan 008 405

### **HIV/AIDS, STD & TB**

**Description:** This Bureau conducts national surveillance, field investigations, development of laboratory science and applied research of the epidemiology related to HIV/AIDS, STD & TB; directed at identification and quantification of risks, assessment of proposed prevention strategies and the evaluation of existing surveillance, prevention and control activities. Investigation of HIV, STD & TB disease outbreaks are carried out as well as development of recommendations for their

control. As a UNAIDS Collaborating Centre, the Bureau is involved in international activities that include providing assistance worldwide to support the establishment of harmonized international standards for clinical immunology and facilitate regional cooperation to improve HIV/AIDS, and TB prevention and control programs in developing countries to reduce the HIV/AIDS/TB epidemics. The Bureau guarantees the quality of HIV testing in Canada, introduces new HIV testing technology and develops guidelines/recommendations for HIV/AIDS, STD & TB control in Canada through the coordination of a network of scientific experts, public health officials and advisory committees / working groups. The Bureau disseminates timely information related to public health needs, priorities and strategies.

**Program Record Number:** HCan 008 131

### **Immunization and Respiratory Diseases Division**

**Description:** The aim of the Division is to reduce or eliminate vaccine preventable and infectious respiratory diseases in Canada. In partnership with provinces and territories, the Division is responsible for the national surveillance of vaccine preventable and infectious respiratory diseases, including influenza and SARS, surveillance of vaccine associated adverse events and monitoring of immunization status, including the development of immunization registry network. It provides scientific and administrative support to the National Advisory Committee on Immunization and Pandemic Influenza Committee. The Division also investigates and coordinates investigations of vaccine preventable and infectious respiratory disease outbreaks across Canada, and provides guidance and direction, when requested, by provincial or territorial public health authorities when outbreaks of vaccine preventable or infectious respiratory diseases occur in individual jurisdictions. The Division also conducts, supports and coordinates applied public health research in the areas of immunization and infectious respiratory disease, and identifies and communicates emerging vaccine preventable and infectious respiratory disease threats to Canadians. The Division collaborates with other national governments and international organizations to prevent and control vaccine preventable and infectious respiratory diseases.

**Program Record Number:** HCan 008 404

### **Infectious Diseases**

**Description:** Surveillance for and research on the epidemiology of infectious diseases directed at identification and quantification of risks, assessment of proposed prevention strategies and evaluation of existing surveillance, prevention and control activities. Coordination of a network of scientific experts, public health officials and advisory committees / working groups to develop guidelines / recommendations for selected topics and to investigate diseases of provincial and/or national importance. Furthermore, the Blood-Borne Pathogens Division is involved in blood safety and xenotransplantation issues pertaining to transmission of infectious, chronic and degenerative diseases.

**Topics:** Immunization, food borne, waterborne and enteric diseases, nosocomial and occupations infections, respiratory diseases and bloodborne pathogens.

**Program Record Number:** HCan 008 132

### **Mental Health Promotion**

**Description:** The overall goal of the Mental Health Promotion Unit is to integrate mental health promotion principles in healthy public policy, and to facilitate research, knowledge development, evaluation, and innovative projects which promote and improve mental health and well-being, within a variety of environments.

**Topics:** Mental health status of Canadians, mental health policy, mental health promotion practices, youth empowerment, community empowerment, suicide prevention, international network for mental health promotion.

**Program Record Number:** HCan 008 270

### **Microbiology**

**Description:** The National Microbiology Laboratory provides expert microbiological reference testing, surveillance and outbreak investigation support to the public health network in Canada. The National Microbiology Laboratory is a key element in Canada's preparedness for biologic terrorism and other infectious diseases emergencies. In addition, the National Microbiology Laboratory operates six External National Reference Centres on a cost-sharing basis with the Provinces. These Centres include Parasitology (Serology), Mycology, Yersinia, Streptococcus, Rabies and Epstein Barr Virus.

**Program Record Number:** HCan 008 180

### **Middle Childhood and Adolescence**

**Description:** The focus is on research, knowledge development and dissemination, consensus building and policy development activities, focused primarily on the middle childhood and adolescence (6 to 18) stages of development, both nationally and internationally. Includes supporting opportunities and choices for youth and inter-sectoral collaboration with communities, governments and the private sector. Information on the Health Behaviours in School-Aged Children Survey and models, such as the School Health Model and Comprehensive School Health.

**Topics:** Adolescent engagement and empowerment, Comprehensive School Health, School Health Model, Health Behaviours in School-Aged Children Survey, identity development, adolescent attachment.

**Program Record Number:** HCan 008 182

### **National Children's Agenda**

**Description:** The National Children's Agenda (NCA), a co-operative effort by federal, provincial and territorial governments, was established to ensure that all Canadian children have the best opportunity to develop their potential. The governments' "shared vision" of the Agenda includes goals for all Canadian children: to be healthy (physically and emotionally), safe and secure, successful at learning, socially engaged and responsible. The vision also identifies six areas in which collaboration by governments could enhance child well-being: enhancing early child development; supporting parents and strengthening families; improving income security for families; providing early and continuous learning experiences; promoting healthy adolescent development; and creating safe, supportive and violence-free communities. Information on the process followed, results of the public dialogue held in 1999, and the revised vision issued in June 2000 by the FPT Ministerial Council on Social Policy Renewal. Working together, the governments of Canada are making progress in two important areas: fighting child poverty (through the National Child Benefit) and promoting early childhood development (through the Early Childhood Development Initiative).

**Program Record Number:** HCan 008 184

### **National Clearinghouse on Family Violence**

**Description:** National resource centre for Canadians seeking information about and resources which address violence in the family

and in other relationships of trust, dependency or intimacy. The Clearinghouse collects, develops and disseminates new informational materials on behalf of the federal Family Violence Initiative. Clients, including health and social service-providers, other front-line workers, researchers, community groups, politicians, media representatives, and the general public can access all Clearinghouse services and publications free of charge in both English and French.

**Topics:** Prevention, treatment, training and research related to family violence. Areas include but are not limited to woman abuse, child abuse, child sexual abuse, and abuse of older adults.

**Program Record Number:** HCan 008 313

### **National HIV and Retrovirology Laboratories**

**Description:** National HIV and Retrovirology Laboratory provides comprehensive expertise to national and international partners in human and emerging retrovirus testing and research. These partners include Health Canada programs (such as regulatory branches of Health Canada), laboratories associated with the provincial ministry of health, and hospital and blood-screening labs. The Laboratory provides expertise in HIV/HTLV reference service testing and national and international quality assurance programs for HIV serology, viral load testing and lymphocyte enumeration. The Laboratory also develops, evaluates and transfers related technologies to national and international partners. In addition the National HIV and Retrovirology Laboratories provides laboratory support for HIV and STD surveillance programs through the provision of the specialised laboratory testing necessary for national HIV incidence estimates as well as laboratory support of the Canadian HIV Strain and Drug Resistance Surveillance Program (CHSDRSP).

**Program Record Number:** HCan 008 185

### **Office of Rural Health**

**Description:** The Office of Rural Health provides Department-wide strategic leadership and coordination to improve the health of citizens in rural and isolated areas of Canada. The Office provides expert advice to the Department on issues related to rural health promotes action by other federal government departments and agencies on rural health; and establishes partnerships or liaises with provincial and territorial governments, rural stakeholders, professional organizations and other federal departments and agencies on rural

health issues. The Office is the Departmental focal point on research and initiatives to advance rural health, and promotes the use of the "rural lens" in the development of departmental programs and policies. The Office also provides policy and logistical support to the Ministerial Advisory Council on Rural Health.

**Program Record Number:** HCan 008 186

#### **Office of Special Health Initiatives**

**Description:** This Office provides program development for new or re-emerging public health issues through developmental and initial administrative support functions.

**Topics:** Tuberculosis Prevention and Control: All provinces and territories participate in this system by forwarding data relating to all reported cases of new active and reactivated TB cases in their jurisdiction to the TB Control Program and produces annual reports containing various analyses on the data, Global health intelligence, global and regional electronic information highways, HIV/AIDS, emerging pathogens, migration health and enforcement of the Quarantine Act.

**Program Record Number:** HCan 008 170

#### **Population Health Approach**

**Description:** The Population Health Approach towards health policy building evolved from Health Canada's Health Promotion Policy Development activities of the 1990s. Strategies are now being employed to integrate the approach into broader Health Canada activities in order to inform Canadians about both the approach and population health initiatives. This to ensure that the population health approach is considered and included in the broader federal political agenda to position population health as the new vision for health in the next century.

These strategies include a conceptual framework for thinking about health; decisions that are guided by a consideration of the evidence; a framework for taking action; actions targeted at the societal, community, structural or system level; and requirements of collaboration between multiple sectors.

**Program Record Number:** HCan 008 328

#### **Population Health Fund**

**Description:** Population Health Fund supports time-limited projects sponsored by Canadian voluntary not-for-profit organization and educational institutions. The goal of the Population Health Fund is to increase community capacity for action on or across the determinants of health. The projects develop and disseminate community-based models for

applying the population health approach, increase the knowledge base for program and policy development on population health and increase partnerships and intersectoral collaboration to address the determinants of health. Health Canada establishes priorities for funding based on identified program needs and life stages For further information refer to the Population Health Fund Guide for Applicants - 2001

**Program Record Number:** HCan 008 330

#### **Prostate Cancer**

**Description:** The Cancer Division is managing the grant \$3 million per year for the Vancouver Centre of Excellence in Prostate Cancer Research and the Canadian Prostate Cancer Initiative, for a period of five years. The purpose of this initiative is to advance research, care and treatment of prostate cancer.

**Program Record Number:** HCan 008 329

#### **Quality Care**

**Description:** Information on visions for quality in health care, case studies / inventories of quality initiatives and planning approaches, in the acute care and long term/continuing care and primary care sectors.

**Program Record Number:** HCan 008 305

#### **Sexual and Reproductive Health**

**Description:** Information on initiatives on sexual and reproductive health to increase awareness of risks and promotion of sexual and reproductive health to provinces/territories, national organizations, communities and individuals to maintain and improve the health and well-being of Canadians through improved personal health practices. Provides a resource booklet: Canadian Guidelines for Sexual Health Education.

**Topics:** STDs/I, Teen pregnancy; infertility; sexual violence; breast, cervical and prostate cancer; abortion; contraceptives; low birth weight, HIV/AIDS; and menopause.

**Program Record Number:** HCan 008 308

#### **Risk Factors**

**Description:** Through collaboration with other departmental and external experts, this project contributes to the development of quality data collection sources to enhance risk factor surveillance, evaluation and research in Canada. Lifestyle factors such as smoking, diet, physical activity, alcohol use and sun exposure are some of the most important contributors to the development of a wide range of chronic diseases. This project does not provide information directly to the public. However,



expertise is provided on data availability and interpretation to those within the department who develop public reports. This project also helps to ensure that the current and emerging data needs of the Centre for Chronic Disease Prevention and Control (CCDPC) in this area are understood and considered when developing national data collection programs.

**Program Record Number:** HCan 008 309

### Office of the Voluntary Sector

**Description:** Office of the Voluntary Sector serves as a centre of expertise, leadership and coordination within Health Canada for issues, activities and programs concerning the voluntary health sector. The Office is the lead for the Department's implementation of the Government of Canada's Accord with the Voluntary Sector and the Codes of Good Practice. The Office coordinates the Department's participation in the federal Voluntary Sector Initiative (VSI) - a \$95M major horizontal policy effort involving over 20 federal departments and agencies led by Canadian Heritage. The Office provides policy advice to the Minister who sits on the Ministerial Consultative Committee on the Voluntary Sector and the Assistant Deputy Minister of PPHB who represents the Department on senior management committees directing the VSI. Health Canada is responsible for several key projects of the VSI, such as the Policy Internships and Fellowships Pilot Project (PIAF) and several health policy projects funded under the Sector Involvement in Department Policy Development (SIDPD) Fund, including the Voluntary Organizations Involved in Collaborative Engagement (VOICE) in Health Policy Project. The Office leads the implementation of Health Canada's Framework for Building the Relationship with National Voluntary Organizations Working in Health. The Office also provides individual organizational and sector-wide development grants to small and medium National Voluntary Health Organizations representing conditions/diseases of small incidence.

**Program Record Number:** HCan 008 311

### Standard Program Records

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Classification of Positions

Employment and Staffing

Human Resources

Official Languages

Pensions and Insurance

Personnel

Salaries and Wages

Staff Relations

Training and Development

## Personal Information Banks

### Corporate Services Branch

#### Security Incident Reporting System (SIRS)

**Description:** This bank contains records which may include personal information such as the name and the description of the incident involving the individual.

**Class of Individuals:** Departmental employees and/or other individuals involved in security incidents.

**Purpose:** The purpose of this bank is to record and report all Health Canada security incidents such as theft/loss, security breach/violation, threat, violent client, physical assault, suspicious activity and vandalism.

**Consistent Uses:** The information will be used internally for program management purposes and for purposes of research, planning, evaluation, monitoring, statistics and for internal audit purposes. Statistical data may be tabulated for the Loss of Crown Assets Program. Personal information may be shared with the local police authorities, the RCMP, human resource officials and managers on a need to know basis to determine appropriate action and support decisions regarding discipline or investigations.

**Retention and Disposal Standards:** Personal information contained in the database will be retained for the five years then destroyed.

**RDA Number:** 98/001

**TBS Registration:** 004086

**Bank Number:** HCan PPU 092

### Service Contracts With Individuals

**Description:** This bank contains information on the background and experience of contractors, expected results, budgetary commitments and payment methods.

**Class of Individuals:** Only persons under contract with the branch and past contractors are included.

**Purpose:** The bank is used in the day-to-day administration of the contracts.

**Retention and Disposal Standards:** The information is retained for six years after

completion and non-renewal of contract; two years active and four years dormant. At the end of this period, the files are destroyed.

**RDA Number:** 99/004

**TBS Registration:** 000039

**Bank Number:** HCan PPU 085

## First Nations and Inuit Health Branch

### Federal Hospital Files

**Description:** This bank contains some or all of the following types of information: Admission and separation records, medical history, laboratory tests and reports, diagnostic services reports, requisitions, doctor's orders, nursing notes, counselling notes, accounting statements, x-rays, operating room reports, pharmacy, social services and other patient and treatment and services records. The records are accessible through the hospital administrator or superintendent. Persons seeking access to this bank must supply their full name, date of birth and location of the record sought.

**Class of Individuals:** Status Indians.

**Purpose:** The purpose of this bank is to maintain records for departmentally operated hospitals for inpatients and outpatients.

**Consistent Uses:** Information may be used internally for program management purposes and for purposes of research, planning, evaluation, statistics and for internal audit purposes. Information may also be exchanged with federal nursing stations and health centres, provincial health facilities, provincial and private medical insurance plans, and provincial and municipal health agencies. Information may be shared with provincial health professional regulatory bodies for quality assurance purposes.

**Retention and Disposal Standards:** Records are retained for 25 years after the last entry in the file. Upon expiry of the retention period, some of these records will then be archived and stored at the federal facility and the remainder destroyed.

**RDA Number:** To be determined

**TBS Registration:** 002724

**Bank Number:** HCan PPU 015

### Federal Nursing Stations and Health Centres Files

**Description:** This bank contains treatment and preventative nursing services records.

**Class of Individuals:** Status Indians.

**Purpose:** The purpose of this bank is to maintain records for departmentally operated nursing stations and health centres files.

**Consistent Uses:** Information may be used internally for program management purposes

and for purposes of research, planning, evaluation, statistics and for internal audit purposes. Information may also be exchanged with federal hospitals, provincial health facilities, provincial and private medical insurance plans, and provincial and municipal health agencies. Information may be shared with health professional regulatory bodies for quality assurance purposes.

**Retention and Disposal Standards:** Records are retained for 25 years after the last entry in the file. Upon expiry of the retention period, some of these records will then be archived and stored in the federal facility, and the remainder destroyed.

**RDA Number:** TBD

**TBS Registration:** 002725

**Bank Number:** HCan PPU 020

### Health Information and Claims Processing System

**Description:** This bank contains information recorded manually by regional offices and electronically in the Health Information Claims Processing System about registered Indians, Innu and recognized Inuit eligible for non-insured health benefits, including name, address, date of birth and registration numbers, information relating to payment claims and payments for non-insured health benefits including dental services, drugs, medical supplies and medical equipment; and information relating to prescriber, practitioner, provider and prescription details.

**Class of Individuals:** Registered Indians, Innu and recognized Inuit currently enrolled in a provincial or territorial health insurance plan and who continue to meet residency requirements for provincial/ territorial medicare coverage.

**Purpose:** The purpose of this bank is to maintain a record of all individuals eligible to receive non-insured health benefits; to facilitate client access to benefits to which they may be entitled; to facilitate claims processing and payment process; and to provide statistical information such as benefit utilization, and to ensure utilization is in compliance with program directives.

**Consistent Uses:** Information is used internally for program management purposes including research, statistics, planning and evaluation; information is collected by the contractor who administers the claims system for audit purposes; information may also be exchanged with goods and services providers to verify eligibility; information may be exchanged with provincially-registered practitioners,

pharmacists, and their respective health professional licensing bodies, and with the Therapeutic Products Programme, to ensure compliance with program management policies on medical necessity.

**Retention and Disposal Standards:** Records will be retained for seven years after the last payment.

**RDA Number:** TBD

**TBS Registration:** 003219

**Bank Number:** HCan PPU 016

### First Nations and Inuit Health Information System

**Description:** This bank contains information about Status and non-Status First Nations and Inuit residents of all FNIHB Regions who access health services on-reserve and / or at FNIHB health facilities off-reserve. Information includes name, address, gender, marital status, date of birth, Band registration number, resident status, Provincial health card number, immunization status as well as data pertaining to reportable and chronic diseases, mortality, medication, medication allergy and adverse reaction, test and exams, maternal, psycho social and environmental health. Information is maintained in a highly secure highly secure Intranet environment.

**Class of Individuals:** Status and non-Status First Nation people living on-reserve, and those who live off-reserve but access health services on-reserve.

**Purpose:** The purpose of this bank is to standardize and increase the reliability of collected information, facilitates case management, program planning and health surveillance. capabilities.

**Consistent Uses:** Information used for service delivery, reporting requirements, health program planning, evaluation, research and surveillance. Where permitted by legislation and / or community consent, non-nominal information may be exchanged with the provincial ministries of health for compilation of statistics.

**Retention and Disposal Standards:** Records are retained for 25 years after the last service contact and / or 10 years after the death of the client.

**RDA Number:** TBD

**Related PR#:** HCan 004 220

**TBS Registration:** 003675

**Bank Number:** HCan PPU 007

### Status Verification System

**Description:** This bank contains information about registered Indians, Innu and recognized Inuit eligible for non-insured health benefits,

including client consent, name, address, sex, marital status, date of birth, registration numbers, residence status, health care number (where available) and eligibility for non-insured health benefits.

**Class of Individuals:** Registered Indians, Innu and recognized Inuit currently enrolled in a provincial or territorial health insurance plan and who continue to meet residency requirements for provincial/territorial medicare coverage.

**Purpose:** The purpose of this bank is to maintain a record of all individuals who are or have been eligible to receive non-insured health benefits; to facilitate client access to benefits to which they may be entitled and to facilitate claims processing and payment process.

**Consistent Uses:** Information is used internally for program management purposes including research, statistics, planning and evaluation; information may be provided to the contractor administering the claims system for payment and audit purposes; information may also be exchanged with goods and services providers to verify eligibility; information may be exchanged with provincial health facilities, DIAND, provincial medical insurance plans, and provincial or municipal welfare agencies to verify eligibility and compile statistics.

**Retention and Disposal Standards:** Records will be maintained in accordance with relevant DIAND policies and procedures and other sources.

**RDA Number:** TBD

**TBS Registration:** 003220

**Bank Number:** HCan PPU 017

### Methylmercury Levels in Canadian First Nations and Inuit Peoples

**Description:** Contains the name, band number, family number, sex, birth date, region, community, sample date, sample type (blood, hair, etc.), contaminant type and level, school achievement and teacher's evaluation, neurologic test, pregnancy.

**Class of Individuals:** First Nations/Inuit peoples residing in communities, especially fish eaters, women of childbearing age, school children and fishing guides. The testing is done on voluntary basis.

**Purpose:** Monitoring of Mercury levels in First Nations/Inuit people to assess exposure.

**Consistent Uses:** Information may be shared with native communities and N.W.T. public health authorities, in regard to their residents only, for the administration of their environmental health programs. The provinces

do not have access to the data file.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives.

**RDA Number:** 61/6777

**Related PR#:** HCan 004 220

**TBS Registration:** 004114

**Bank Number:** HCan PPU 021

## Health Policy and Communications Branch

### Breastfeeding Database

**Description:** The database includes the names of individuals, organizations that they work for, complete addresses, telephone numbers and fax numbers.

**Class of Individuals:** Health Professional, such as family physicians, nurses and health personnel units.

**Purpose:** To conduct a telephone survey in order to evaluate Health Canada's 5-year breastfeeding campaign.

**Retention and Disposal Standards:** Will be retained by the Partnerships and Marketing Division, Health Canada for three years.

**RDA Number:** TBD

**TBS Registration:** 004180

**Bank Number:** HCan PPU 077

### Consultation on Health Protection Legislation

**Description:** This bank contains the names and addresses of persons to whom documents are mailed from time to time for consultations purposes or of persons who have provided their views and opinions on the renewal of federal health protection legislation.

**Class of Individuals:** Private citizens with an interest in health protection, public interest groups, health institutions, health professionals, representatives of all levels of government, members of federal departments, members of the industry, Canadian corporations and other interested parties.

**Purpose:** To create a mailing list and tracking system for consultation and follow-up purposes in the process of renewing Canada's health protection legislation, and for other consultations relating to the health protection program.

**Retention and Disposal Standards:** Records of individual replies will be retained for 10 years then National Archives will review for archival interest.

**RDA Number:** 78/010

**TBS Registration:** 004115

**Bank Number:** HCan PPU 051

## Health Products and Food Branch

### Branch Incident Reporting System

**Description:** This bank contains information about complaints or queries received in regard to actual or perceived problems or concerns with medical devices, pharmaceutical products, food and other items that are regulated by Health Canada. Information may include name, address, telephone number of the contact person, product description such as make, model, serial or other identifying number, location of incident, any follow-up action taken and other details required for any necessary intervention by Health Canada or other authorities.

**Class of Individuals:** Canadians or visitors to Canada, medical practitioners and hospital authorities, police and customs agents, coroners and provincial medical officers of health and representatives of manufacturers who may be involved with the reporting or investigation of a complaint.

**Purpose:** To investigate and track complaints received by the Department.

**Consistent Uses:** Information may be used to follow-up with complainants. It may be shared with other agencies including Agriculture and Agri-Food Canada, provincial regulatory bodies, provincial Medical Officers of Health and individual practitioners.

**Retention and Disposal Standards:** Retained for 25 years, then transferred to National Archives.

**RDA Number:** 98/019

**TBS Registration:** 004102

**Bank Number:** HCan PPU 088

### Conference and Forum Nominees (this PIB was deleted last year, but is now being reinstated)

**Description:** Contains recommendations, applications (includes demographic information), references, curriculum vitae and/or financial claims of persons applying or selected to participate in Health Canada organized conferences and fora where registration is limited or selective.

**Class of Individuals:** Persons who have applied for or been nominated to participate in Health Canada organized conferences or fora, including those who are selected. Does not include persons who attend conferences or fora where registration and selection are unlimited or by lottery.

**Purpose:** To evaluate and select delegates to conferences and fora from applications received on the basis of criteria established by the

organizing program area; to maintain an inventory of selected delegates and the activities they participate in; to process any travel claims or honorariums for selected delegates; to maintain an inventory of interested persons.

**Consistent Uses:** None.

**Retention and Disposal Standards:**

Information about unsuccessful applicants will be retained for ten years after the date of the event, and information about successful applicants will be retained for ten years after the last administrative action.

**RDA Number:** TBD

**TBS Registration:** 003887

**Bank Number:** HCan PPU 265

### Healthy Environments and Consumer Safety Branch

#### Canadian Accident Injury Reporting and Evaluation

**Description:** This bank includes the chart number, institution, age of victim, admittance date, number of days hospitalized, injury nature and cause, place of occurrence, disposition and product involved. Formerly CCA PPU 025.

**Class of Individuals:** General public.

**Purpose:** The bank was established to assist in setting of priorities and is used for internal and external data retrievals and regular publications.

**Retention and Disposal Standards:** Records are retained for a minimum of two years.

**RDA Number:** To be determined

**TBS Registration:** 002110

**Bank Number:** HCan PPU 025

#### Case-Control Study on Passive Smoking and Lung Cancer

**Description:** This bank contains demographic information, and information on exposure to passive smoking, familial history of cancer, personal history of respiratory illness, occupational history, diet, environmental exposures, residential history, and radon exposure for about 735 non-smoking lung cancer cases and about 735 controls, across Canada. This bank also contains demographic information on personal smoking history, and a brief occupational history for about 38,000 smoking lung cancer cases across Canada.

**Class of Individuals:** Individuals diagnosed with primary lung cancer between January 1, 1995 to December 31, 1996 (approx.). Controls matched to non-smoking lung cancer cases.

**Purpose:** To examine the relationship between exposure to environmental tobacco smoke and

the incidence of lung cancer, adjusting for the effects of other potential risk factors including occupation, diet, and environmental radon. To estimate incidence of smoking among lung cancer cases in Canada.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives. (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004095

**Bank Number:** HCan PPU 038

#### Child Acute Respiratory Effects Study

**Description:** This bank contains information on the respiratory illnesses and pulmonary function measures and the ages of 100 females aged 7 to 15 years attending a girl guide camp (Camp Kiawa) in July and August of 1986. Data on parental smoking habits, education and other home characteristics were collected. Allergy test and heart rate monitoring results are also recorded.

**Class of Individuals:** Girls aged 7 to 15 years who attended Camp Kiawa from July 1 to August 10, 1986.

**Purpose:** The purpose of this bank is to examine the relationship between transported air pollution and respiratory health in children.

**Consistent Uses:** There will be no disclosure of any personal information from this data bank. Only summary statistics and conclusions drawn from the study will be publicly disclosed. There will be no linking and matching of information in this data bank with any other information or data bank presently existing.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004096

**Bank Number:** HCan PPU 036

#### Children's Respiratory Health Study

**Description:** This bank contains information about children and adolescents currently residing in Saint John, New Brunswick. The data consists of questionnaires completed by parents for grade five students and self-completed by grade twelve students. In addition, students will have height, weight and their lung capacity measured. The information collected includes name, address, telephone number of the students and parent or legal

guardian and the gender of the child/adolescent.

**Class of Individuals:** Grade five children, ages nine to eleven and grade twelve students, ages sixteen to eighteen, residing in Saint John, New Brunswick.

**Purpose:** To assess the longer term effects of exposure to air pollution in children and adolescents.

**Consistent Uses:** Information may be used to contact these individuals in follow-up survey.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004097

**Bank Number:** HCan PPU 089

#### **Fish & Wildlife Nutrition Project in Areas of Concern**

**Description:** This bank contains information about Ontario anglers and consumers of aquatic wildlife in Areas of Concern. These groups may not be licensed or may otherwise be outside the mainstream due to language or ethnicity. Information includes name, address, telephone number, gender, marital status, country of birth, fish and aquatic wildlife consumption patterns, household income and language spoken in the home.

**Class of Individuals:** Ontario anglers and consumers of fish and aquatic wildlife in selected geographic locations.

**Purpose:** The purpose of this bank is to conduct research into fish and aquatic wildlife consumption patterns among high risk Ontario anglers and consumers.

**Consistent Uses:** Information may be used to contact these individuals in follow-up surveys.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**Related PR#:** HCan 003 190

**TBS Registration:** 004099

**Bank Number:** HCan PPU 079

#### **Record of Researchers**

**Description:** This bank provides a list of persons authorized to use, and who are using narcotic, controlled and restricted drugs in research work.

**Class of Individuals:** It is primarily concerned with scientists and medical and paramedical

professionals.

**Purpose:** The bank is used to ensure that persons using narcotic, controlled and restricted drugs for research purposes have been authorized to do so.

**Retention and Disposal Standards:** Records in individual cases are held for ten years.

**TBS Registration:** 002726

**Bank Number:** HCan PPU 040

#### **Great Lakes Health Effects Cohort Study**

**Description:** This bank contains basic personal information, fish consumption patterns, household income, current employment information (kind of work, exposures in the workplace), and medical history data on a sample of Ontario Sport Fish Licence holders (1988) and their families.

**Class of Individuals:** Phase I: 1988 Ontario Sport Fish Licence holders (approximately 1,000,000). Phase II: A sub-sample of Phase I, plus adult and child members of their household (approximately 100,000 records). Phase III: Further data on a sub-sample of Phase II.

**Purpose:** The data were collected for research and statistical purposes as part of a study designed to investigate the adverse health effects of Great Lakes water pollution as bio-concentrated by fish.

**Consistent Uses:** The data collected were intended to be used to determine the risk of cancer, adverse reproductive outcomes (for example, birth defects) and mortality from certain causes associated with consumption of fish caught in the Great Lakes Basin. The individuals identified in the data bank may be followed up over time by linkage to cancer incidence, congenital anomaly or mortality registries. However due to budgetary and other constraints this may not be done.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004100

**Bank Number:** HCan PPU 076

#### **Health Effects of Molds in Homes**

**Description:** This bank contains information collected since 1991 about adults and children resident in approximately 500 dwellings in Wallaceburg, Ontario, including name, address, telephone number, age, sex, general health data of the child, blood and mucous samples, audio recordings of nocturnal coughing, dust, mold and mildew samples and general

description of the home itself.

**Class of Individuals:** Residents of selected Wallaceburg, Ontario households who agree to participate in the study.

**Purpose:** To conduct research into indoor air quality and molds and their impact on childhood illness.

**Consistent Uses:** Non-personal information will be shared with Canada Mortgage and Housing Corporation, co-sponsors of the study. Information may be used to contact these individuals in follow-up surveys.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004101

**Bank Number:** HCan PPU 083

#### **Ontario Farm Family Health Study**

**Description:** Information collected from 2000 farm families, including name, address, religion, age, sex, country of birth, farm characteristics, chronic disease and accident histories of farm families participating in this study.

**Class of Individuals:** Ontario Farm Families.

**Purpose:** Information is collected for use in a study designed to assess potential exposures on the farm and health effects.

**Consistent Uses:** Research and Statistical Purposes.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives.

**RDA Number:** 61/3215

**TBS Registration:** 004104

**Bank Number:** HCan PPU 037

#### **Pesticide Exposure Assessment Pilot Study**

**Description:** Contains the name, address, sex, sample date, sample type (urine, semen, drinking water), pesticide handling practices of applicator, and pesticides used for farm families participating in this study.

**Class of Individuals:** Ontario farm families selected from the previous Ontario Farm Family Health Study (Personal Information Bank HCan-PPU-037 refers).

**Purpose:** Measure the extent to which applicators and family members are exposed to herbicides during normal handling activities on Ontario farms.

**Consistent Uses:** Research and statistical purposes. Data is linked to PPU 037 Ontario Farm Family Health Study.

**Retention and Disposal Standards:** Retained

a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**Related PR#:** HCan 003 190

**TBS Registration:** 004105

**Bank Number:** HCan PPU 035

#### **Indoor Air Quality in the Health of Infants: a birth cohort study focusing on indoor microbials**

**Description:** This bank contains information about Canadian children from birth to two years of age. Data will be collected by: questionnaire, blood samples and an instrument which records from the home. It will also contain information on the indoor environment (irritants and allergens) and healthy information on the child and the family. Blood tests will be taken for evidence of allergy and lymphocyte activation. Information will include name, address and telephone numbers of the child and the family. The Child will be followed up at two week intervals for incidence of illnesses up until the age of two years. The children are not selected based on illness.

**Class of Individuals:** Children born to mothers living in Prince Edward Island will be recruited from physician's offices.

**Purpose:** To determine the environmental factors which increase the incidence of illness in infants.

**Consistent Uses:** None. Information may be used to contact these individuals for follow-up surveys.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004103

**Bank Number:** HCan PPU 285

#### **Sales Records of Licensed Dealers**

**Description:** This bank contains sales records of narcotics and controlled drugs made by licensed dealers who are entitled to import, export, manufacture and distribute narcotic and controlled drugs under the Controlled Drugs and Substances Act and Regulations.

**Class of Individuals:** Pharmacists, physicians, dentists, veterinarians, hospitals and licensed pharmaceutical companies.

**Purpose:** This bank is used to ensure that licensed narcotic and controlled drugs dealers supply narcotic and controlled drugs only to

authorized persons.

**Consistent Uses:** It is also used to monitor and assess purchases of narcotics and controlled drugs made by pharmacists, physicians, dentists, veterinarians, hospitals and licensed pharmaceutical companies. Information from this bank may be released to provincial licensing authorities of the health professions.

**Retention and Disposal Standards:** Records on individual cases are held for three years for licensed dealers sales reports.

**RDA Number:** 98/019

**TBS Registration:** 004107

**Bank Number:** HCan PPU 045

### **Methadone Program**

**Description:** This bank contains the names and addresses of practitioners authorized to purchase, prescribe or dispense methadone.

**Class of Individuals:** Practitioners.

**Purpose:** To keep records for practitioners authorized to purchase, prescribe or dispense methadone.

**Consistent Uses:** Information from this bank may be released to provincial licensing authorities of the health professions.

**Retention and Disposal Standards:** Practitioner files are kept two years after the death of a doctor, five years after the last correspondence or last record of registration if there is no history of drug-related problems, and ten years after the last correspondence or last record of registration if there is a history of drug-related problems.

**RDA Number:** 75/021

**TBS Registration:** 002730

**Bank Number:** HCan PPU 060

### **National Dose Registry for Occupational Exposures**

**Description:** This bank currently includes information on occupational exposures to radiation. Records are kept on an individual basis and include, in addition to personal identifying information, cumulative radiation exposures and a record-by-record account of the entries into the Registry. Exposure records are inputted from the National Dosimetry Service, organizations that have their own radiation monitoring programs, and commercial dosimetry processors. Persons requesting records should include their SIN on their request form.

**Class of Individuals:** Occupationally-exposed radiation workers.

**Purpose:** To keep records for individuals whose occupational radiation exposure has

been monitored. The records are used for epidemiological and statistical studies, informational purposes, and in support of the regulatory control of occupational radiation exposures.

**Consistent Uses:** The Registry is designed and used primarily for epidemiological and informational purposes. It is also used to advise the individual, his or her employer and the appropriate regulatory authorities when the record shows that the maximum permissible dose has been exceeded or is about to be exceeded, as described in relevant provincial Acts, the Canada Labour Safety Code or Treasury Board recommendations for federal employees, and the Nuclear Safety and Control Act. Information is supplied to federal and provincial authorities responsible for the control of occupational radiation exposure and may be used in subsequent litigation relating to matters of non-compliance by industry. Upon request, it is also supplied to the Workers' Compensation Board in relation to a compensation claim.

**Retention and Disposal Standards:** Kept for 80 years.

**RDA Number:** 72/004

**TBS Registration:** 000038

**Bank Number:** HCan PPU 080

### **St. Lawrence Vision 2000 Health Components Project**

**Description:** Contains information about persons tested or interviewed pursuant to a number of research projects in the Health Component of the St. Lawrence Vision 2000 program. May include name, address, marital status, sex, language, date of birth, education, income and employment data, food and nutritional profiles, immigration data, health data, alcohol and cigarette consumption, reproductive and fertility histories, and certain very specific recreational activities. Samples may include hair, blood, urine, semen and placental tissue.

**Class of Individuals:** Only contains information about persons residing in the immediate vicinity of the St. Lawrence River in Quebec who have been interviewed by investigators.

**Purpose:** To conduct epidemiological research; to assess health risks associated with certain behaviours and environmental agents; to contribute to future health promotion activities.

**Consistent Uses:** None. There may be longitudinal surveys of some respondents.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible



transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004109

**Bank Number:** HCan PPU 084

### Surveillance of Ship-borne Illnesses

**Description:** This bank contains responses to questionnaires and/or interviews with persons who may have contracted, or are at risk of contracting, any food borne or waterborne illness while on board a cruise ship with a Canadian port of call. The questionnaire contains the name, age, sex, medical symptoms of persons on board a cruise ship. May also contain results of analytical testing of samples taken from subjects.

**Class of Individuals:** Passengers and crews of commercial cruise ships.

**Purpose:** To investigate and report on incidents and to recommend treatment and preventive measures.

**Consistent Uses:** Test results may be communicated with immigration officials, ship owners, crew representatives, medical practitioners and institutions.

#### **Retention and Disposal Standards:**

According to TB 61/6988 questionnaires and test results are retained for 10 years, then transferred to National Archives.

**TBS Registration:** 004065

**Bank Number:** HCan PPU 010

### Technical Support Files

**Description:** This bank contains environmental health surveillance reports, as well as results of tests performed on biological samples (blood, hair, urine) of individuals. Persons seeking access to this bank must supply their full name, the date the sample was submitted and the community where tested. Natives should provide their Band Number.

**Class of Individuals:** Exposed Native populations and federal government employees.

**Purpose:** This bank is used to monitor the health of individuals exposed to a wide variety of environmental and occupational hazards such as dust, mercury, PCB's, arsenic and lead.

**Consistent Uses:** Information may be used internally for program management purposes and for purposes of research, planning, evaluation, statistics and for internal audit purposes. Information may also be shared with provincial/territorial departments of health.

**Retention and Disposal Standards:** Records are retained for ten years. Upon expiry of the retention period, some of these records will be

preserved by the National Archives of Canada for archival purposes and the remainder destroyed.

**RDA Number:** TBD

**Related PR#:** HCan 005 225

**TBS Registration:** 002722

**Bank Number:** HCan PPU 005

### Authorizations for marihuana for medical use

**Description:** The office of Cannabis Medical Access, Drug Strategy and Controlled Substances Programme has the mandate to process applications from individuals residing in Canada, to possess and cultivate marihuana for their medical use. The initial process that was put in place in June 1999, is called the exemption process under section 56 of the Controlled Drugs and Substances Act (CDSA). The exemption process was replaced by the application process under the Marihuana Medical Access Regulations (MMAR) on July 30, 2001, date of the coming into force of the Regulations. Files detained by the programme contain applications documents submitted by individuals and their physicians, records of decision provided to the applicant. Records of decisions may contain one or more of the following documentation: exemption letters under section 56 to possess or to possess and cultivate marihuana for medical purposes; MMAR Authorizations to possess dried marihuana; Personal Use Production Licences; Designated Person Production Licences; and correspondence informing of refusals, when applicable. These files contain personal information, including names, addresses, date of birth, phone numbers, medical conditions, medical records, photographs, exemption letters, authorization letters, copies of ID cards and ID card numbers, correspondence from applicants and physicians and contact reports summarizing telephone conversations. Files may also contain applications to obtain marihuana seeds or dried product from the Health Canada supply, follow-up correspondence and records of decisions pertaining to possible shipment of seeds or dried marihuana.

**Class of Individuals:** Individuals requesting to use marihuana for a medical purpose.

**Purpose:** Files used to process applications under section 56 of the CDSA and under the MMAR.

**Consistent Uses:** No information contained in the files is provided without the consent of the individuals. If a Consent to Disclose Information

to Medical Practitioner and/or Representative is given, Health Canada is able to discuss the case directly with the medical practitioner (and specialist) and/or, if applicable, the representative chosen by the applicant, and to collect from them and disclose to them any personal information, including medical information, necessary to carry out the review of the application. This consent will also specifically authorize the medical practitioner and/or representative to disclose such information to Health Canada. The "representative consent" allows Health Canada to deal directly through the representative for the purposes of the application. In the case where an exemption under section 56 of the CDSA, an Authorization to Possess dried marihuana, Personal Use Production Licence or Designated Person Production Licence have been granted, and if a Consent to Disclose Information to Police Agencies is given, Health Canada is permitted to disclose personal information and the terms and conditions of the exemption under section 56 or the Authorization or Licence under the MMAR.

**Retention and Disposal Standards:** Minimum of 5 years after the date of last correspondence.

**RDA Number:** TBD

**Related PR#:** HCan 005 150

**TBS Registration:** 005331

**Bank Number:** HCan PPU 073

### Information, Analysis and Connectivity Branch

#### Applications for Contributions Files - National Health Research and Development Program (NHRDP) and Health Policy Research Program (HPRP)

**Description:** This bank contains a full description of the research to be undertaken as well as the curriculum vitae of each person responsible for the management of research projects, partnerships, conferences, etc., approved under the NHRDP and/or the HPRP. Includes the assessment made by members of the Review Committee and the external reviewers and the internal evaluation by departmental officers.

**Class of Individuals:** Persons involved in health research.

**Purpose:** The purpose of the bank is to administer the review of applications for funds from the NHRDP and the HPRP and to administer the approved funds. In future, it may be used in the internal evaluation of NHRDP and HPRP activities.

**Consistent Uses:** The information gathered in this bank is used only for the assessment of the scientific quality and policy priority of the research proposals, and the suitability of research personnel to carry out proposals. Program information is shared with the Medical Research Council.

**Retention and Disposal Standards:** Non-funded applications are held for 3 yrs, funded applications for 6 yrs before disposal; final reports are retained 50 yrs then transferred to National Archives.

**RDA Number:** 74/007

**TBS Registration:** 004087

**Bank Number:** HCan PPU 105

#### Committee Files - National Health Research and Development Program (NHRDP) and Health Policy Research Program (HPRP)

**Description:** This bank contains the curriculum vitae, education, address, employment and publications of each member of the advisory and review committees.

**Class of Individuals:** Canadian health researchers, health professionals and some representatives of interest groups promoting health research are included in this bank.

**Purpose:** The purpose of this bank is to record the background of each member of the advisory and review committees for the purpose of verifying, if requested, that the membership is representative of the health research community.

**Consistent Uses:** The information gathered is used only for obtaining internal departmental approval of committees memberships.

**Retention and Disposal Standards:** Retained 6 years, then transferred to National Archives.

**RDA Number:** 74/007

**TBS Registration:** 004088

**Bank Number:** HCan PPU 110

#### Personnel Award Application Files

**Description:** This bank contains the address, marital status, health-related employment history, educational background, publications, research and career plans, confidential assessments of candidates and letters of reference, and review committee members' comments on the application.

**Class of Individuals:** Health researchers - Canadian or landed immigrant, university graduates or applicants for graduate studies planning to begin or continue careers in health research are included in this bank.

**Purpose:** The purpose of this bank is to administer the review of applications for funds from the National Health Research and

Development Program for training, career development, and career support and to administer the approved funds. In future it may be used in the internal evaluation of the awards program.

**Consistent Uses:** The information gathered in this bank is used only for the assessment of candidates in carrying out their proposals under the National Health Research and Development Program (NHRDP).

**Retention and Disposal Standards:** Non-funded applications are held for 3 yrs, funded applications for 6 yrs before disposal; final reports are retained 50 yrs then transferred to National Archives.

**RDA Number:** 74/007

**TBS Registration:** 004090

**Bank Number:** HCan PPU 100

#### **Request for Information Pursuant to 8(2)(e) of the Privacy Act**

**Description:** This bank records all requests submitted to the Department pursuant to paragraph 8(2)(e) of the Privacy Act by an investigative body specified in the regulations to the Act for the purpose of enforcing any law of Canada or a province or carrying out a lawful investigation.

**Class of Individuals:** The information relates to those individuals who are being investigated by an investigative body specified in the regulations of the Privacy Act.

**Purpose:** This information serves to record such requests and disclosures pursuant to paragraph 8(2)(e) of the Privacy Act.

**Consistent Uses:** None.

**Retention and Disposal Standards:**

Requests submitted to the Department by an investigative body are retained for two years as specified in paragraph 7(a) of the Privacy regulations and then destroyed.

**RDA Number:** 98/001

**TBS Registration:** 002741

**Bank Number:** HCan PPU 255

#### **Requests for Information Submitted under the Provisions of the Access to Information and the Privacy Acts**

**Description:** This bank records all requests by applicants for information under the control of the Department pursuant to the Access to Information Act and the Privacy Act.

**Class of Individuals:** The information relates to those individuals who have a right to request information pursuant to section 4 of the Access Act and subsection 12(1) of the Privacy Act.

**Purpose:** This information is compiled for the purposes of the administration of the Access to

Information Act and the Privacy Act.

**Consistent Uses:** None.

**Retention and Disposal Standards:** The records are retained for a minimum of two years then destroyed.

**RDA Number:** 98/001

**TBS Registration:** 002742

**Bank Number:** HCan PPU 260

#### **Population and Public Health Branch**

##### **Canadian Childhood Cancer Surveillance and Control Program**

**Description:** This bank contains information about Canadian children under age 20 years diagnosed with cancer from 1995 on. Data are collected via questionnaire and clinical chart review. Information collected from 1995 to 2000 includes name, address, telephone number of the patient and the parent or legal guardian and health insurance number. Information collected 2001 onward does not include the above information. Other information include diagnostic, treatment, and clinical outcome data.

**Class of Individuals:** Canadian children aged 20 or less at time of diagnosis with cancer as identified via pediatric oncology centres or via provincial cancer registries, and who agree to participate in study.

**Purpose:** To facilitate development of prevention and control strategies, and to assess risk factors and to minimize long-term consequences.

**Consistent Uses:** For surveillance analysis. Information may be used to contact these individuals in follow-up surveys except after 2001, where the pediatric oncology centre will take responsibility of contacting individuals.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004092

**Bank Number:** HCan PPU 082

##### **Canadian Communicable Disease Surveillance System (CCDSS)**

**Description:** This bank contains information provided by provincial health departments relating to socio-demographic characteristics of the patients, diagnostic information and treatment history.

**Class of Individuals:** The information relates to individuals with a diagnosed occurrence of a notifiable communicable disease.

**Purpose:** The purpose of this bank is to

provide a database to monitor the incidence of notifiable communicable diseases for use in epidemiological studies in support of disease control and prevention measures.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then transferred to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004093

**Bank Number:** HCan PPU 078

### Canadian Congenital Anomalies Surveillance System (CCASS)

**Description:** The bank contains information on incidence of birth defects in Canada.

Participating provinces provide machine-readable information including the date of birth, sex, nature of birth defects, municipality of residence and a provincial registration number. The system was initiated in 1966.

**Class of Individuals:** All infants born in participating provinces and diagnosed as having a birth defect in the first year of life since 1973.

**Purpose:** The purpose of this data bank is to provide a database to monitor the incidence of birth defects in Canada and to serve as a register for epidemiological research studies.

**Consistent Uses:** Use of this bank is consistent with the purpose specified in section 5.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004111

**Bank Number:** HCan PPU 075

### Canadian Hospitals Injury Reporting and Prevention Program

**Description:** This bank contains information provided by injured persons and by the hospitals at which they were seen. The following personal information is in the bank: the hospital name, injured person's medical record number, date of birth, sex and postal code and the first three letters of the individual's family name. In addition there is information on the circumstances in which the injury occurred, the nature of the injury and how the case was handled in the emergency room.

**Class of Individuals:** The information relates to individuals who seek care for injuries or poisoning at one of 10 pediatric and 6 general hospitals that participate in the program.

**Purpose:** The purpose of this bank is to provide an ongoing surveillance of the circumstances in which injuries occur and, by making the information available to those who develop and evaluate injury prevention programs, to make an important contribution to reducing the number and severity of injuries in Canada.

**Consistent Uses:** A postal code conversion program developed at Statistics Canada will permit linkage of CHIRPP data with grouped census data and analysis of the associations of sociodemographic factors with injuries.

**Retention and Disposal Standards:** The files are retained for 100 years.

**RDA Number:** TBD

**TBS Registration:** 003452

**Bank Number:** HCan PPU 066

### Canadian Surveillance for Creutzfeldt – Jakob Disease (CIDPC)

**Description:** This data will be collected about people with Creutzfeldt-Jakob disease and persons who do not have Creutzfeldt-Jakob disease (controls) by reviewing their clinical records for clinical information and for information about exposure to blood or certain procedures. Additional information will be collected by interviews with the family, by collecting blood samples for genetic tests and by collecting neuropathology samples after death.

**Class of Individuals:** All persons who are suspected to have developed Creutzfeldt-Jakob disease and their controls, recruited through physicians from hospitals and the local community.

**Purpose:** To determine the risk of acquiring Creutzfeldt-Jakob disease through blood transfusions; to determine if there is any unusual forms of Creutzfeldt-Jakob disease as seen in England following the bovine spongiform encephalopathy (mad cow disease) epidemic.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives.

**TBS Registration:** 004904

**Bank Number:** HCan PPU 286

### Extraordinary Assistance Plan

**Description:** Contains applications, correspondence, medical records of applicants who became infected with the AIDS virus (HIV) who received blood or blood products as well as their first order relative (spouse/partner or child) who was secondarily infected with HIV; and to

living thalidomide victims who were born in Canada and whose mothers took thalidomide during the first trimester of pregnancy.

**Class of Individuals:** Individuals or agents of their estates who have applied for benefits.

**Purpose:** To determine eligibility and administer financial benefits to HIV infected persons and thalidomide victims.

**Consistent Uses:** Information contained in these files is used to determine eligibility for receipt of financial benefits only.

**Retention and Disposal Standards:** The HIV files are retained for a minimum of 20 years after last activity on file and the thalidomide files for 100 years after last activity on file.

**RDA Number:** 64/7491

**TBS Registration:** 005078

**Bank Number:** HCan PPU 039

### Physical Activity Benchmarks Initiative

**Description:** The Physical Activity Unit provides contribution funding to the Canadian Fitness and Lifestyle Research Institute to monitor and track population physical activity levels, factors which influence physical activity at the individual, organization and systemic levels (i.e., settings and environments), capacities of governments and partners to act, and the outcomes of joint action. The Physical Activity Benchmarks Initiative informs FPT decision-making and provides the basis for progress reports to Ministers vis-a-vis their target to increase the physical activity levels of Canadians by 10 percentage points in each PT by 2010.

**Class of Individuals:** Individual Canadians and professionals in the physical activity community.

**Purpose:** The primary purpose of the program is to track physical activity levels of Canadians and factors which influence physical activity. The data is used to develop policy and program strategies aimed at increasing physical activity levels of Canadians.

**Consistent Uses:** none.

**Retention and Disposal Standards:** Retained 10 yrs, then transferred to National Archives.

**RDA Number:** 69/079

**TBS Registration:** 005079

**Bank Number:** HCan PPU 235.

### Home Care Study

**Description:** This bank contains information about clients and formal and informal care providers of home care within Ottawa-Carleton. The data consists of a client code, postal code, age, gender, diagnosis, reason for admission to home care, referral source, mother tongue,

living arrangements, relation to informal care provider. For informal care providers, data include the individual score on the Zarit Caregiver Burden Scale.

**Class of Individuals:** Formal and informal care providers and clients admitted to the Regional Municipality of Ottawa-Carleton Home Care Program.

**Purpose:** To gain a better understanding of the factors which influence access to home care services.

**Consistent Uses:** Pilot research project only.

**Retention and Disposal Standards:** Retained 25 yrs then transferred to National Archives.

**RDA Number:** 78/014

**TBS Registration:** 004089

**Bank Number:** HCan PPU 090

### Physician Asthma Management Study

**Description:** The former Laboratory Centre for Disease Control (LCDC) of Health Canada commissioned a national survey of physicians on their asthma management practices prior to 1997. This survey comprises part of a national strategy that LCDC has undertaken in partnership with other members of the National Asthma Control Task Force. Questionnaires were sent to 4,489 physicians in Canada's ten provinces and two territories. Physicians were asked how often they used different method of diagnosis and follow-up, and different medications for treatment of asthma in adults and children. These findings will be useful in targeting education interventions on certain topics of asthma management to specific groups of physicians.

**Class of Individuals:** Canadian physicians.

**Purpose:** To collect information on the variety and quality of asthma care and education in Canada; to provide advice to the National Asthma Control Task Force

**Consistent Uses:** None.

Retention and Disposal Standards. Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives.

**RDA Number:** 61/3215

**TBS Registration:** 004106

**Bank Number:** HCan PPU 086

### Student Lung Health Survey

**Description:** In 1995-96, a school-based survey of asthma was conducted in nine volunteer health units across Canada, targeting 5 to 19 year-olds enrolled in school. The objectives were to examine asthma prevalence, incidence, severity, associated risk factors, management and treatment practices, the utilization of health services and the prevalence

of allergies. Approximately 39,800 students received the Screening Questionnaire through the classroom teacher in the elementary schools or by mail-out to their home for high school students. An in-depth Asthma Telephone Interview (ATI) was conducted within the previous twelve months of this survey with those who had previously been diagnosed with asthma.

**Purpose:** To collect enhanced surveillance data on current asthmatic and asthma-like students. This is needed for the planning and implementation of effective asthma control programs in Canada.

**Consistent Uses:** Respondents may be contacted in the future to provide other health related information. This information may be shared with other programs within Health Canada. The public health units will retain the original questionnaires and data for their own health services delivery.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004110

**Bank Number:** HCan PPU 081

#### **Spousal Determinants in Delayed Response to Chest Discomfort Survey**

**Description:** The telephone survey contains information on how a woman would respond if her partner consulted her regarding chest discomfort. Personal information will only be collected on those individuals who agree to participate in future surveys on the same subjects. Personal identifiers collected will include name, address, age, and telephone number.

**Class of Individuals:** Respondents are randomly selected adult women chosen by telephone number in Ottawa-Carleton.

**Purpose:** Future surveys on delay determinants would be enhanced if repeated on the same individuals to examine changes over time or after community targeted interventions.

**Consistent Uses:** To match an individual's response from the first survey to subsequent surveys.

**Retention and Disposal Standards:** Retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives (excluding questionnaires which may be destroyed after 2 yrs).

**RDA Number:** 61/3215

**TBS Registration:** 004108

**Bank Number:** HCan PPU 091

#### **Traveller Illness Reports**

**Description:** The Traveller Illness Report form will collect information on an individual who arrives ill at a port of entry (airport, seaport, border crossing, etc.) as well as when needed, other passengers in contact with the ill individual(s). Information collected include some, if not all, of the following: traveller's (or contact's) name, nationality, home address and phone number, address and phone number while in Canada (if different), transporter details (airline, ship, seat/cabin number, etc.), ill traveller's symptoms (high fever, coughing, rash, bleeding, etc.), travel history, particularly if there has been recent travel in a tropical country, if any, similar illness in travel companions preliminary diagnosis, if available, if the traveller is being referred to hospital for medical attention, details on the ambulance, hospital, immigration status of the ill individual (and if not Canadian, passport number), name and phone number of person reporting the ill traveller.

**Class of Individuals:** Travellers arriving at a Canadian port of entry who exhibit two or more symptoms of illness.

**Purpose:** The Traveller Illness Report form is used to document arriving ill individuals and their contacts in order to determine the amount of illness among travellers and to proactively identify unusual incidences of diseases overseas as well as to facilitate tracing of passengers in the event of an outbreak of diseases of significance.

**Consistent Uses:** Nominal information collected by the Traveller Illness Report form will not be matched with any other personal information bank. Data on countries visited and symptoms exhibited may be collected for research purposes. Disclosure of an individual's information will be limited, on a need-to-know basis, to appropriate port of entry personnel, Health Canada quarantine officials and, in the case of someone who requires further medical attention at a health care institution, medical staff as well as immigration authorities, should the traveller not be Canadian.

**Retention and Disposal Standards:** Nominal and tracing information will be retained for at least two incubation periods of the suspected illness, to a maximum of three months, in order to ensure that there is no secondary spread of the illness. After abstraction of data on countries

visited and symptoms for research purposes, the form will be retained for 2 years, then destroyed.

**RDA Number:** TBD

**TBS Registration:** 004064

**Bank Number:** HCan PPU 071

### **Canadian Tuberculosis Reporting System**

**Description:** Contains information collected and provided since 1996 and data provided to Statistics Canada from 1970-1995 by provincial and territorial public health authorities about persons reported with TB disease (new active or relapsed cases). Data may include reporting province/territory, gender, age and date of birth, birthplace, activity status, HIV status, drug resistance, treatment outcomes (including death and cause of death, compliance and whether or not treatment was directly observed) and drug regimens. Earlier data are retained by Statistics Canada in Personal Information Bank STC PPU 070.

**Class of Individuals:** Individuals with new active or reactivated tuberculosis.

**Purpose:** To support the prevention and control of tuberculosis. An annual report called "Tuberculosis in Canada" is published and is available in bilingual print version and on Health Canada's website.

**Consistent Uses:** Secondary analysis of sub-groups of the population (i.e., by ethnic origin or disease site) to further understanding of epidemiology of tuberculosis in Canada. Information may be provided to Statistics Canada.

**Retention and Disposal Standards:** Report forms are retained a minimum of 10 yrs, then reviewed for possible transfer to National Archives. Electronic version of data is retained.

**RDA Number:** 61/3215

**TBS Registration:** 004112

**Bank Number:** HCan PPU 087

## **Classes of Personal Information**

### **Mailing Lists**

This class of personal information contains the names and addresses of individuals who are on mailing lists to receive publications and other publicly available materials relating to departmental activities. The lists are used by various sectors of the Department and are updated on a continuing basis.

### **General Correspondence and Enquiries**

Personal information is also stored within subject files where records are not normally retrieved by the name of the individual or other

personal identifier. This form of personal information consists of requests for publications, reports etc. and enquiries for information of a general nature. It is normally retrievable only if specifics are provided concerning the subject matter. Retention of this form of personal information is controlled by the records schedules of the subject files in which the information is stored.

### **Ministerial Correspondence**

This class of information contains correspondence addressed to the Minister and/or the Deputy Minister and received by the Correspondence Unit from external organizations and individuals in the form of requests for information, complaints, opinions and other submissions related to a broad range of issues pertaining to Health Canada's activities, wherein some unsolicited personal information has been provided by the correspondent. This form of information would be retrievable only if specifics of name, date of communication and subject were provided; it is not arranged or retrievable by personal identifiers. The retention period of these classes of personal information are controlled by the records schedules of the subject files in which the information is stored.

### **Public Opinion Research**

This is a class of records generated by departmental officials who conduct public opinion research on topics related to the mandate and mission of Health Canada. Retrievable records consist of data gathering instruments, such as, but not exclusively, questionnaires that may contain personal information. Data contained in this class of records are not used for administrative purposes. Individuals seeking access to these records must provide the title of the research project or survey in which they participated, the location and date, and any other data that may help to identify and locate the personal information they are seeking.

## **Manuals**

- 50-60 Bed Emergency Hospital
- 200 Bed Emergency Hospital
- A Guide to Green Government
- A Submitter's Guide for Compliance with Part V of the Medical Devices Regulations
- Acceptable Methods

- Additional Provincial/Territorial Services Information Exchange
- Advanced Treatment Centre
- Advisory Committee on Institutional and Medical Services (A.C.I.M.S.) Hospital Claims Manual
- Analytical Methods and Techniques for Colours in Foods
- Analytical Methods for Pesticide Residues in Foods
- Analytical Methods for the Regulatory Analysis of Foods
- B.F.M.M. Financial Coding Manual
- Bacteriology of Tuberculosis
- Because They're Young: Active Living for Canadian Children
- Blood Collection and Blood Component Manufacturing
- Blood Lead Intervention Levels and Strategies
- Canadian Drug Identification Code
- Canadian Environmental Protection Act Human Health Risk Assessment for Priority Substances
- Canadian Immunization for Canadians
- Canadian Immunization Guide Fourth Edition, 1993
- Canadian Recommendations for the Prevention and Treatment of Malaria Among International Travelers- (CCDR 2000; 26S2:1-42)
- Canadian Water Guidelines
- Casualty Collecting Unit
- Casualty Simulation
- CATMAT and NACI - Travel, Influenza and Prevention- (CCDR 1996; 22: 141-145)
- Chemistry and Manufacturing: New Drugs
- Clinical Guidelines for Medical Services Personnel
- Coal Liquefaction and Health: Elements of a Worker Health Surveillance Program
- Code of Practice - General Principles of Food Hygiene for Use by the Food Industry in Canada
- Community Health Nursing (Saskatchewan region)
- Compendium of Analytical Methods - Vol. 1 - Official Methods of Microbiological Analysis for Foods
- Compendium of Analytical Methods - Vol. 2 - HPB Methods of Microbiological Analysis for Foods
- Compendium of Analytical Methods -Vol. 3 - Laboratory Procedures of Microbiological Analysis for Foods
- Compendium of Analytical Methods - Vol. 4- Detection of Extraneous Matter in Foods
- Completing an Application for Registration as a Proprietary Medicine
- Conduct and Analysis of Bioavailability and Bioequivalence Studies - Part "A"
- Conduct of Clinical Investigations
- Consumer Drug Advertising
- Containment Standards for Veterinary Facilities
- Controlling Antimicrobial Resistance - An Integrated Action Plan for Canadians (Background Information) May 1997
- Course Manual - Emergency Health/Social Services Planning (Community)
- Course Manual - Hospital Emergency Planning
- Course Manual - Special Care Facility Emergency Planning
- DAS Drug Analysis Service (DAS) National Analytical Methods
- DAS National Standard Operating Procedures
- DAS Ontario Region Analytical Methods
- DAS Ontario Region Standard Operating Procedures
- DAS British Columbia Region Analytical Methods
- DAS British Columbia Region Standard Operating Procedures
- Dental Practitioner Information Kit
- Departmental Security Manual of Health Canada
- Design Guidelines - Part 1, Space and Furnishings
- DFS Procedures



- Diagnostic Reference Testing of Selected Viruses
- Diagnostic x-ray equipment compliance and facility survey
- Direction for Use of Estrogen-Progestin Combination Oral Contraceptives (OCs)
- Disinfectants: Preparation of Application for Drug Identification Number
- Dose - Response Information To Support Drug Registration (ICH)
- Drug Distribution Manual
- Economic Burden of Illness in Canada, 1993 July 1997
- Emergency Clothing Manual
- Emergency Food Services Manual
- Emergency Health Services Health Supplies
- Emergency Hospital (Operating Manuals)
- Emergency Lodging Manual
- EMS Self-Assessment Guide
- Emergency Based Medicine - (CCDR 1994; 20: 145-147)
- Environmental Contaminants Manual
- Environment (CCME), 1992
- Exposure Guidelines for Residential Indoor Air Quality
- Family Violence in Canada: A Call to Action
- Family Violence Initiative Fact Sheet on Health and Welfare's Role
- Federal Family Violence Initiative - Information on Project Funding by Health and Welfare Canada
- Fever in the International Traveller - (CCDR 1997; 23: 1-8)
- Financial Management Guide for projects funded under the Population Health Fund
- Financial Management Manual (volumes 1 to 3)
- Food, Drug, Cosmetic and Medical Device Projects to Be Conducted During Program Year
- Foreign Service Directives
- Framework for Research on Active Living
- Fungal contamination in public buildings: A guide to recognition and management
- General principles for labeling and advertising claims that relate to the nutrition recommendations
- Good Manufacturing Practices, 3rd Edition
- Guide for applicants, Population health Fund: Rural and Remote Health Innovations Initiative
- Guide for the labeling of drugs for veterinary use
- Guide for the Preparation of Plant Master Files and Imported Drug Submissions
- Guide to Project Evaluation
- Guidelines for Biomedical Facilities using Sheep as Research Animals
- Guidelines for Canadian Drinking Water Quality, Sixth Edition
- Guidelines for Canadian Recreational Water Quality
- Guidelines for developing a Pesticide Toxicology Database
- Guidelines for developing pesticide residues data in foods as consumed
- Guidelines for Evaluation of Safety and Efficacy of Antimastitis Intramammary Infusion Drugs
- Guidelines for Evaluation of Safety and Efficacy of Teat Dip Formulations
- Guidelines for health information programs involving the sale of foods
- Guidelines for incidental additive submissions
- Guidelines for Infection Control
- Guidelines for Product Monographs and Package Inserts for Schedule C. Drugs
- Guidelines for Safe Use of Ultrasound: Part II - Industrial and Commercial Applications - Safety Code 24
- Guidelines for Submissions under Section 17 of the Canadian Environmental Protection Act
- Guidelines for the Development of Efficacy Data to Support the Use of Animal Drugs in Feeds
- Guidelines for the nomenclature and classification of externally visible defects in metal containers of canned foods
- Guidelines for the Notification and Testing of New Substances: Chemicals and Polymers

- Guidelines for the Notification and Testing of New Substances: Organisms
  - Guidelines for the Practice of Travel Medicine
  - Guidelines for the Preparation of Drug Submissions on Schedule C Drugs
  - Guidelines for the Preparation of Toxicity and Residue Submissions for the Human Safety of Veterinary Products Intended for Use in Food Producing Animals
  - Guidelines for the Production, Distribution, Retailing and Use of Refrigerated Prepackaged Foods with Extended Shelf Life
  - Guidelines for the Safe Use of Ultrasound Part I: Medical and Paramedical Applications - Safety Code 23
  - Guidelines for Working with the Private Sector
  - Guidelines on nutrition labeling
- Hazardous Products Act Reference Manuals
- Health - Based Tolerable Daily Intakes / Concentrations and Tumorigenic Doses / Concentrations for Priority Substances
  - Health Protection and Drug Laws
  - Homeopathic Preparations: Application for Drug Identification Numbers
  - Hospital Disaster Supplies
  - How are Health reforms Affecting Seniors? A Participatory Evaluation Guide
  - Housing an Aging Population: Guidelines for Development and Design
  - Human Health Risk Assessment for Priority Substances
  - Human Immunodeficiency Virus (HIV) and Acquired Immune Deficiency Syndrome (AIDS)
  - ICH - Clinical Safety Data Management: Definitions and Standards for Expedited Reporting
  - ICH - Dose - Response Information to Support Drug Registration
  - ICH - Impurities in New Drug Substances
  - ICH - Stability Testing of New Drug Substances and Products
  - ICH - Studies in Support of Special Populations: Geriatrics
  - ICH - The Extent of Population Exposure to Assess Clinical Safety for Drugs Intended for
- Long-Term Treatment of Non-Life-Threatening Conditions
- Indoor Air Quality in Office Buildings: A Technical Guide
  - Industrial Hemp Technical Manual
  - Infection Control Guideline: Infection Prevention and Control Practices for Personal Services: Tattooing, Ear/Body Piercing, and Electrolysis
  - Infection Control Guideline: Routine Practices and additional Precautions for Preventing the Transmission of Infection in Health Care
  - Infection Control Guideline: Hand Washing, Cleaning, Disinfection and Sterilization in Health Care
  - Infection Control Guideline: Proceedings of the Consensus Conference on Infected Health Care Workers - Risk for Transmission of Bloodborne Pathogens
  - Infection Control Guideline: Preventing the Spread of Vancomycin-Resistant Enterococci (VRE) in Canada
  - Infection Control Guideline: Foot Care by Health Care Providers
  - Infection Control Guideline: Preventing Infections Associated with Indwelling Intravascular Access Devices
  - Infection Control Guideline: Preventing the Transmission of Bloodborne Pathogens in Health care and Public Services Settings
  - Infection Control Guideline: An Integrated Protocol to Manage Health Care Workers Exposed to Bloodborne Pathogens
  - Infection Control Guideline: Canadian Contingency Plan for Viral Haemorrhagic Fevers and Other Related Diseases
  - Infection Control Guideline: Guidelines for Preventing the Transmission of Tuberculosis in Canadian Health Care Facilities and Other Institutional Settings
  - Infection Control Guideline: Occupational Health In Health Care
  - Inspection of Biologics Manufacturers
  - Inspection Procedures for Food Plant Inspectors
  - Investigating Human Exposure to Contaminants in the Environment: A Handbook for Exposure Calculations

- Labeling of Cosmetics
- Labeling of Drugs for Human Use
- Laboratory Biosafety Guidelines
- Laboratory Guidelines for Serotyping and Biotyping *Campylobacters*
- Laboratory Methods for *Neisseria Gonorrhoeae*
- Laboratory Methods for the Diagnosis of Legionnaire Disease
- Laboratory Quality Assurance Standards
- Limits of Exposure to Radiofrequency Fields at Frequencies from 10 kHz - 300 GHz - Safety Code 6
- Management of Emergency Delivery
- Manufacture and Testing of Biologics Produced by Recombinant DNA Technology
- Manufacture and Testing of Monoclonal Antibodies and Their Conjugates
- Menopause
- Minister's Steering Committee on Active Living Report
- Moving Through the Years: A Blueprint for Action
- National Alcohol and Drug Treatment Centres - Design 2 costs guidelines
- National Consensus Conference on Foodborne, Waterborne and Enteric Disease Surveillance November 1995
- National Consultation on the Role of the Laboratory Centre for Disease Control in Tuberculosis Prevention and Control ) Proceedings and Recommendations July 1994
- National Enforcement Reports (Prosecutions, Recalls, Imported Products Unacceptable for Sale in Canada, Seizures forfeited)
- National Framework on Aging (NFA)
- National Guidelines for Environmental Noise Control
- National Health Research and Development Program Career Awards Guide
- National Health Research and Development Program Projects Guide
- National Health Research and Development Program Training Awards Guide
- National Symposium on Risk and Prevention of Infectious Diseases for Emergency Response Personnel September 1994
- National Workshop on Tuberculosis, HIV and Other Emerging Issues ) Proceedings May 1993
- Native Alcohol Abuse Program (Manitoba region)
- NIHB Program directives
- Nurses' Drug Classification System
- Nursing Manual - a reference book for Indian Health Nurses (Atlantic, Manitoba, and Saskatchewan regions)
- Occupational Health Assessment Guide
- Occupational Health Nursing Manual
- Occupational Safety and Health Manual - HC
- Office Air: A Worker's Guide to Air Quality in Offices, Schools and Hospitals
- Ontario Region - Procedures for Conducting Compliance Activities
- Oral Contraceptives (1994)
- Patient Care in Flight
- Persistent Diarrhea in the Returned Traveler - (CCDR 1997; 23: 1-8)
- Personal Services: Psychosocial Planning for Disasters
- Plasmid Biology and Recombinant DNA Methodology
- Pharmacy Provider Information Kit
- Policy Guide for the Management of Advisory Committees in Health Canada
- Population Health Fund - Guide for applicants
- Preparation of Human New Drug Submissions
- Preparation of Investigational New Drug Submissions
- Preparation of Veterinary New Drug Submissions
- Product Master Files
- Product Monographs
- Product Recall Procedures
- Protocols for Identification of *Neisseria* Species
- Public Service Health Manual for Environmental Health Officers

- Radiation Protection in Computed Tomography Installations - Safety Code 31
- Radiation Protection in Dentistry - Recommended Safety Procedures for Use of Dental X-Ray Equipment - Safety Code 30
- Radiation Protection In Mammography - Safety Code 33
- Radiation Protection in Veterinary Medicine - Recommended Safety Procedures for Installation and Use of Veterinary X-Ray Equipment - Safety Code 28
- Radiation Safety Codes
- Radiation Safety for Baggage X-Ray Inspection Systems
- Reaching Out: A guide to Communicating with Aboriginal Seniors
- Reference Guide of Funding Sources for Health Research in Canada
- Regional Interim Directives Manual (Manitoba region)
- Registration and Inquiry Manual
- Registration Handbook
- Regulatory and Quarantine
- Regulatory Directives
- Requirement for the Safe Use of Baggage X-Ray Inspection Systems - Safety Code 29
- Requirements for Industrial X-ray Equipment Use and Installation - Safety Code 27
- Resources Catalogue (Quebec region)
- Safety Code 23. Guidelines for the Safe Use of Ultrasound Part I - Medical and Paramedical Applications
- Safety Code 24. Guidelines for the Safe Use of Ultrasound: Part II - Industrial and Commercial Applications. 1991
- Safety Code 25. Short-Wave Diathermy Guidelines for Limited Radio Frequency Exposure
- Safety Code 27. Requirements for Industrial X-ray Equipment Use and Installation
- Safety Code 28. Radiation Protection in Veterinary Medicine Recommended safety procedures for installation and use of veterinary x-ray equipment
- Safety Code 29. Requirements for the Safe Use of Baggage X-Ray Inspection Systems
- Safety Code 30. Radiation Protection in Dentistry. Recommended Safety Procedures for the Use of Dental X-Ray Equipment
- Safety Code 31. Radiation Protection in Computed Tomography Installations
- Safety Code 32. Safety Requirements and Guidance for Analytical X-ray Equipment
- Safety Code 33. Radiation Protection in Mammography
- Safety Code 6. Limits of Human Exposure to Radiofrequency Electromagnetic Fields in the Frequency Range from 3kHz to 300 GHz
- Safety Requirements and Guidance for Analytical X-Ray Equipment - Safety Code 32
- Sanitation and Environmental Health Manual for CHR's
- Sanitation Code for Canada's Food Service Industry
- School Health Curriculum
- Seniors Guide to Federal Programs and Services
- Ship's Nurse Manual
- South Zone Field Administrative Manual (Manitoba Region)
- Stability Testing of new Drug Substances and Products (ICH)
- Staphylococcal Phage Typing of Staphylococcal Microorganisms
- Statement on Hepatitis A Vaccines for Travelers- (CCDR 2001; 27: 3-12)
- Statement on High-Altitude Illnesses - (CCDR 1998; 24: 1-9)
- Statement on Japanese Encephalitis Vaccine - (CCDR 1998; 24: 1-4)
- Statement on Meningococcal Vaccination for Travellers - (CCDR 1999; 25: 1-6)
- Statement on Motion Sickness
- Statement on Oral Cholera Vaccination - (CCDR 1998; 24: 1-3)
- Statement on Overseas Travelers and Typhoid - (CCDR 1994; 20: 61-63)
- Statement on Poliomyelitis Vaccination for International Travelers - (CCDR 1995; 21: 145-148)
- Statement on Travellers and HIV/AIDS - (CCDR 1994; 20: 147-149)

- Statement on Travelers and Rabies Vaccine - (CCDR 1994; 20: 201-204)
- Statement on Travelers and Sexually Transmitted Diseases - (CCDR 1994; 20: 204-208)
- Statement on Travelers' Diarrhea - (CCDR 2001; 27 (ACS-3): 1-12)
- Stress Management Manual
- Studies in Support of Special Populations: Geriatrics (ICH)
- SVS Guide
- Terms and Conditions for Grants to National Voluntary Health and Social Service Organizations
- The Assessment of Mutagenicity Health Protection Branch Mutagenicity Guidelines
- The Lot by Lot Testing and Release Programme
- The Risk and Prevention of Tuberculosis Travellers - (CCDR 1997; 1-8)
- The Safe Living Guide: A Guide to Home Safety for Seniors
- The use of opioids in the management of opioid dependence
- Toxicological Evaluation
- Traditional Herbal Medicines
- Training Manuals (Course material) - Work planning & Budgeting - Travel - Lotus Notes Basic Training
- Transfer Payment Procedures Manual
- Travel Medicine Recommendation: Dengue Fever & International Travel - (CCDR 1996; 22: 25-28)
- Travel Statement on Jet Lag - (CCDR 1995; 21: 148-151)
- Tuberculosis Manual
- Tuberculosis Screening and the International Traveller - (CCDR 1996; 22: 149-154)
- Utilization of Continuous Cell Lines in the Manufacture of Biologics
- Viral, Rickettsial, Chlamydial, Mycoplasma Reagents
- Working Actively Together: Canada's Blueprint Toward Active Living in the Workplace

- X-ray equipment in medical diagnostic part a: recommended safety procedures for installation and use - Safety Code 20A

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Enquiries concerning the various programs and activities of the Department, as well as Program Records and Personal Information Banks, should be addressed to the appropriate responsibility centres.

General departmental and branch information is provided by the Communications, Marketing and Consultation Directorate in Ottawa.

Contact may be made in person, by telephone or by writing to the Communications, Marketing and Consultation Directorate, Health Canada. The Communications, Marketing and Consultation Directorate publishes a Directory of Publications, available from headquarters.

Health Products and Food Branch – Ottawa  
Room 1125, Health Protection Building  
Tunney's Pasture  
Ottawa ON K1A 0L2

Therapeutic Products Programme  
Holland Cross, Tower B  
1600 Scott Street  
Ottawa ON K1A 1B6

Healthy Environments and Consumer Safety Branch – Ottawa  
Holland Cross, Tower B  
1600 Scott Street  
Ottawa ON K1A 1B4

Population and Public Health Branch – Ottawa  
Room 1452C, Brooke Claxton Building  
Tunney's Pasture  
Ottawa ON K1A 0K9

First Nations and Inuit Health – Ottawa  
Branch Executive Services  
1921A Jeanne Mance Building  
Tunney's Pasture  
Ottawa ON K1A 0K9

Communications, Marketing and Consultation Directorate – Ottawa  
Brooke Claxton Building, 13th Floor  
Tunney's Pasture  
Ottawa ON K1A 0K9

Tel.: (613) 957-2991

Fax: (613) 941-5366

Human Resources Directorate – Ottawa  
Corporate Services Branch  
Brooke Claxton Building  
Tunney's Pasture  
Ottawa ON K1A 0K9

Pest Management Regulatory Agency  
2720 Riverside Drive, A.L. 6606D2  
Ottawa ON K1A 0K9

RDG - Alberta and Northwest Territories  
Suite 815, Canada Place  
9700 Jasper Avenue  
Edmonton AB T5J 4C3

RDG - Atlantic Region  
1557 Hollis Street, Suite 702  
Halifax NS B3J 3V4

RDG - British Columbia and Yukon  
Suite 405, Winch Building  
757 West Hastings Street  
Vancouver BC V6C 1A1

RDG - Manitoba and Saskatchewan  
391 York Avenue, Suite 425  
Winnipeg MB R3C 0P4

RDG - Ontario and Nunavut  
4th Floor, 25 St Clair Avenue East  
Toronto ON M4T 1M2

RDG - Quebec Region  
Guy-Favreau Complex  
Suite 218, East Tower  
200 René Lévesque Boulevard West  
Montréal QC H2Z 1X4

## Reading Room

In accordance with the Access to Information Act, the departmental libraries in Ottawa have been designated as public reading rooms.

Radiation Protection Library  
Room 223, 775 Brookfield Road  
Address Locator: 6302B1  
Confederation Heights  
Ottawa ON K1A 1C1  
Tel.: (613) 941-8911

The Laboratory Centre for Disease Control  
Library  
Laboratory Centre for Disease Control Building  
Tel.: (613) 957-1362

The Product Safety Library  
Health Products and Food Branch  
1800 Walkley Road  
Ottawa, Ontario  
Tel.: (613) 952-5198

Access to Information and Privacy Centre  
Brooke Claxton Building  
Tel.: (613) 954-8744

The Environmental Health Library  
Health Protection Branch  
Environmental Health Centre  
Tel.: (613) 957-1725

The Banting Research Centre Library  
Health Protection Branch  
Sir Frederick G. Banting Research Centre  
Tel.: (613) 957-1022

Health Canada Departmental Library  
2nd Floor, Jeanne Mance Building  
Ottawa ON K1A 0K9  
Tel.: (613) 957-1545

# Historic Sites and Monuments Board of Canada

## Chapter 74

The annual update for this institution was not received for inclusion in the 2004-2005 version of this Info Source publication. The following is from the 2003-2004 version of Info Source.

### General Information

#### Background

The Historic Sites and Monuments Board of Canada grew out of the interplay of disparate elements of public opinion concerned with heritage preservation and government policy before the First World War. A growing heritage movement encouraged the government to preserve and develop sites with important historical associations. At the same time, the government was looking to extend its national parks system from the west into the east and the idea of creating historic parks around significant historic structures was conceived. The War delayed the introduction of a government program to identify and preserve Canadian heritage; however, in 1919, James B. Harkin, the Commissioner of Dominion Parks, suggested that "An Advisory Board for Historic Site Preservation" be established, and the Historic Sites and Monuments Board of Canada was born.

The Board was given a statutory base for its operations through the Historic Sites and Monuments Act of 1953.

#### Responsibilities

The Historic Sites and Monuments Board of Canada has the statutory responsibility to advise the Minister of Canadian Heritage and, through him or her, Parks Canada on the commemoration of nationally significant aspects of Canada's past, including the designation of national historic sites. When forwarding a positive recommendation to the Minister, the Board will also advise with respect to an appropriate level of Program involvement with the subject of commemoration – that is, by the erection of a bilingual bronze plaque, by entering into a cost-sharing agreement with a third party in order to preserve or interpret a site, or, more rarely, when resources are of exceptional quality or rarity and associated with themes of particular significance, by acquisition and development as a national historic site.

The Board also advises the Minister on the designation of heritage railway stations and other matters relating to the implementation of the Heritage Railway Stations Protection Act.

Normally, the Board meets in plenary two times a year to consider submissions from the general public, heritage organizations, provincial and municipal governments, and others regarding matters of possible national significance. The various committees which it has established to expedite its work, such as the Cultural Communities Committee, the Built Environment Committee and the Inscriptions Committee, meet as required.

#### Legislation

The following statutes provide for the operation of the Historic Sites and Monuments Board of Canada:

- Heritage Railway Stations Protection Act
- Historic Sites and Monuments Act

#### Organization

At full strength the Historic Sites and Monuments Board of Canada has 19 members: two members from the provinces of Ontario and Quebec and one member from each of the other provinces and the three territories. The National Archivist and representatives of the Canadian Museum of Civilization and of the Department of Canadian Heritage also sit on the Board. The Director General of Parks Canada's National Historic Sites Directorate is the Secretary to the Board.

Provincial and territorial members of the Board are appointed by Order in Council (normally for three or five years). They must be resident in the province or territory that they represent, serve on a part-time basis, and are eligible for reappointment. The Chairperson is appointed by the Governor-in-Council from among the members of the Board.

Located in Gatineau, Quebec the Historic Sites and Monuments Board of Canada Secretariat, provides administrative support to the Board.

## Information Holdings

### Program Records

#### Historic Sites Minutes

**Description:** Information relating to the deliberations and the activities of the Historic Sites and Monuments Board of Canada.

**Topics:** Board Minutes – the record of the Board's deliberations and those of its Committees since its inception; Board policies, criteria and operational guidelines; research papers and studies – prepared to assist the Board in its deliberations; narrative agendas; heritage railway station reports, heritage character statements for heritage railway stations; plaque inscriptions; correspondence relating to current Board submissions; correspondence relating to Board meetings and agendas and general correspondence.

**Program Record Number:** HSM HSM 005

## Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

Requests for further information about the Board and its activities may be directed to:

Secretariat  
Historic Sites and Monuments Board of Canada  
5th Floor  
25 Eddy Street  
Hull QC K1A 0M5  
Tel.: (819) 997-4059  
Fax: (819) 953-4909  
E-mail: [hsmbc-clmhc@pc.gc.ca](mailto:hsmbc-clmhc@pc.gc.ca)

Internet site: [www.pc.gc.ca/clmhc-hsmbc](http://www.pc.gc.ca/clmhc-hsmbc)



# Human Resources and Skills Development Canada

## Chapter 75

### General Information

#### Background

The Department of Human Resources and Skills Development was created on December 12, 2003, when the former Department of Human Resources Development was split into two new departments: the Department of Social Development and the Department of Human Resources and Skills Development.

#### Responsibilities

Human Resources and Skills Development Canada's main objectives are to: support human capital development by helping Canadians prepare for, find, and keep work; promote an efficient labour market and a fair, safe, cooperative and productive work environment; and encourage lifelong learning for Canadians.

HRSDC is responsible for providing all Canadians with the tools they need to thrive and prosper in the workplace and community.

Specific program responsibility includes Employment Insurance, including Labour Market Programs; Lifelong Learning; the Youth Employment Strategy; the Aboriginal Human Resources Development Agreements; Sector Councils; and, the Workplace Skills Strategy.

HRSDC supports students and communities through the Canada Student Loans Program, the Canada Education Savings Grant and Community Economic Development initiatives. HRSDC also provides federal-level management of labour and homelessness issues.

#### Legislation

- Budget Implementation Act
- Canada Labour Code, Parts I, II, and III
- Canada Student Financial Assistance Act
- Canada Student Loans Act
- CES Grant Regulations
- Canadian Centre for Occupational Health and Safety Act
- Department of Human Resources Development Act
- Employment Equity Act
- Employment Insurance Act
- Fair Wages and Hours of Labour Act
- Government Annuities Act
- Government Annuities Improvement Act
- Government Employee Compensation Act
- Hazardous Materials Information Review Act
- Hudson Bay Mining and Smelting Co., Limited Act
- Labour Adjustment Benefits Act
- Merchant Seamen Compensation Act
- Non-smokers' Health Act
- Status of the Artist Act (Part II)
- Unemployment Assistance Act
- Wages Liability Act

#### Organization

##### Employment Programs Operations (EPO)

The Employment Programs Operations (EPO) group works in close collaboration with the Employment Programs Policy and Design (EPPD) group to provide for innovative, inclusive, efficient and effective labour market solutions by investing in Canadians and their communities. EPO does this Employment Benefits and Support Measures available under Canada's Employment Insurance Act and through programs and services offered under the Government of Canada's Youth Employment Strategy, the Aboriginal Human Resources Development Strategy and special labour market adjustment programs. Clients served by EPO include unemployed and under-employed Canadian citizens as well as segments of the population overcoming barriers to employment that could leave them vulnerable to being marginalized or left out of the labour market.

##### Corporate Services Unit

The Corporate Services Unit is responsible for a range of services run by the Employment Programs Operations (EPO) including finance, human resources, resources management and administrative programs. It manages the branch's correspondence and briefing services for the ADM, the DM and the Minister and coordinates the analysis of information and EPO's Intranet

presence. These are either delivered directly or in partnership with the corporate functional branches.

### **Labour Market & Official Language Minority Communities (OLMC) Directorate**

Labour Market & Official Language Minority Communities (OLMC) Directorate is responsible for developing and implementing program-specific operational directives; providing direction and support to the regions for labour market programming; providing leadership for delivery of labour market adjustment/emergency measures; and monitoring Labour Market Development Agreements (LMDAs). The Directorate is also responsible for managing OLMC contribution agreements for the department and for providing secretariat support to the English and Francophone national committees. In addition, the Directorate is responsible for coordinating departmental activities in respect to OLMC initiatives.

### **Aboriginal & Youth Programs Directorate**

Aboriginal & Youth Programs Directorate is responsible for the development and implementation of the Youth Employment Strategy; management and operationalization of the Aboriginal Human Resources Development Agreements (AHRDAs); provides direction and support to regions on Aboriginal and Youth issues; and manages the Government of Canada Youth Cluster.

The Aboriginal and Youth Programs Directorate (AYO) forms part of the Employment Programs Operations Branch of Human Resources and Skills Development Canada (HRSDC).

AYO's mission is to support and implement: the Government of Canada's Youth Employment Strategy (YES); and the Aboriginal Human Resources Development Strategy.

Delivered in partnership with thirteen other federal government departments, YES programs target youth, particularly youth facing barriers to employment, to ensure they have the knowledge, skills and work experience they need to succeed in today's highly skilled labour market. AYO is the coordination point for the 14 Government of Canada departments delivering youth programs. As well, it provides direction to Regions to support the delivery of YES programs through partnerships with public and not for profit community organizations, and manages and administers youth projects that are national in scope.

AYO also has responsibility for implementation of the Aboriginal Human Resources Development Strategy. This includes key initiatives for Aboriginal people, including programs for Aboriginal youth, urban Aboriginal people, persons with disabilities, and First Nations and Inuit Child Care. These programs are community-driven and give Aboriginal people the authority and the resources they need to address local challenges. AYO is committed to working in partnership with Aboriginal people to boost their employability and to create meaningful job opportunities – on reserve, as well as in rural and urban areas across Canada.

### **Accountability & Integrity Directorate**

Accountability & Integrity Directorate is responsible for managing NHQ/Regional accountability arrangements; developing and implementing performance indicators, results calculation and reporting; monitoring operational performance and strengthening data integrity and data exchange functions; coordinating resource management process, business planning and other strategic management initiatives and cross-cutting operational policy issues; developing and overseeing operational training and curriculum development; and managing the automation of business processes and tools (e.g. the Common System for Grants and Contributions (CSGC)).

### **Employment Programs Policy and Design (EPPD)**

The Employment Programs Policy and Design (EPPD) Branch will work in close collaboration with the Employment Programs Operations (EPO), Insurance, Workplace and Strategic Policy & Planning Branches to ensure efficient and effective income supports and labour market program supports that will enable Canadians to participate fully in the labour market and have the skills to find and keep work. EPPD does this through program policy and design for active and passive employment measures (EI Part I and II) and through current and future federal-provincial/territorial frameworks and negotiations of labour market agreements. Clients served by EPPD include unemployed, under-employed Canadians and workers at risk of losing their employment as well as segments of the population overcoming barriers to employment.

### **Aboriginal Affairs Directorate**

Aboriginal Affairs Directorate is responsible for leading the renewal of the Aboriginal Human Resources Development Strategy (AHRDS) in partnership with Aboriginal people and other

stakeholders. Other responsibilities include negotiating agreements under the Aboriginal Skills and Employment Partnership Strategy (ASEP) and overseeing the Aboriginal Early Childhood Developments on behalf of HRSDC. Ongoing responsibilities include policy and program design, negotiations of new AHRD agreements, effectively positioning HRSDC Aboriginal skills development, workplace and employment issues across the Department and in the broader GoC Aboriginal agenda.

### **Active Employment Measures Directorate**

Active Employment Measures Directorate is responsible for leading policy to improve existing employment measures for Canadians while developing and advancing new measures to promote increased employability and enhanced labour market adjustment. Ongoing responsibilities include managing multilateral Forum of Labour Market Ministers (FLMM) relationship with provinces/territories in collaboration with Strategic Policy & Planning; supporting Employment Programs Operations through development and testing of program policies in Regions; leading interdepartmental development of a Youth Service Strategy and service offerings; managing developmental program policy work and related Cabinet and Treasury Board processes on a number of files, including Official Language Minority Communities; and serving as HRSDC's international representative to the Organization for Economic Co-operation and Development (OECD) Local Economic and Employment Development (LEED) program.

### **Employment Insurance Policy Directorate**

Employment Insurance Policy Directorate is responsible for policy advice on EI to the Minister and government; conducting a range of program policy activities, including the research, analysis, development and design of program policy frameworks, adjustment strategies/emergency measures, and pilot projects; for liaising with and providing program guidance and input to Insurance Operations and Strategic Policy and Planning; for managing stakeholder relations and the EI program models and providing quantitative support to other branches; and for completing Monitoring and Assessment reports and preparing Management Responses.

### **Labour Market and Development Agreement (LMDA) Task Team Directorate**

LMDA Task Team Directorate is responsible for both leading and supporting analysis of potential

labour market partnership, programming, and service delivery approaches/options to meet current and emerging labour market demands and to build stronger federal-provincial relationships. Specific tasks include analysis of LMDA successes and challenges, assessment of new directions to support a new (FLMM) labour market framework, and providing negotiation strategies and support. The Task Team works closely with the regions, HRSDC groups, and other government departments on emerging labour market issues, including ensuring that bilateral discussions with Ontario are coordinated with other bilateral arrangements that may be developed.

### **Insurance Branch**

The Insurance Group is responsible for the implementation of legislation and the development, implementation and delivery of policies and programs for: coverage and entitlement in relation to Employment Insurance income benefits; program delivery efficiency, effectiveness and quality of service and payment of Employment Insurance benefits; and the prevention, detection and deterrence of abuse and fraud in relation to the Employment Insurance Program.

### **Labour Program**

Labour Program's objective is to promote a fair, safe, healthy, stable, cooperative and productive work environment that contributes to the social and economic well-being of all Canadians.

Under Parts I, II, and III of the Canada Labour Code, and the Employment Equity Act, the Program oversees industrial relations, occupational safety and health, labour standards and employment equity in the federally-regulated section (about 10 per cent) of the labour force.

The Labour Branch also administers the Federal Contractors program, which ensures that approximately 900 contractors with at least 100 resident employees, who receive contracts from the federal government worth \$200,000 or more, comply with employment equity obligations equivalent to those under the Employment Equity Act.

The Federal Mediation and Conciliation Service (FMCS) helps unions and employers resolve their industrial disputes and improve their labour-management relations and also provides for grievance arbitration, unjust dismissal adjudication and wage recovery referee assistance.

The legislative mandate surrounding Occupational Health and Safety involves operations intended to promote and enforce compliance with the provisions of Part II of the Canada Labour Code and its Regulations in order to prevent accidents and injuries.

With respect to Fire Protection Services, the Labour Program delivers fire protection services in federal properties and in First Nations major public buildings and schools to ensure the protection, conservation and minimization of risks due to fire to life, property and the federal Government's financial position.

The Federal Workers' Compensation Service (FWCS) administers the Government Employees' Compensation Act (GECA), the Merchant Seamen Compensation Act (MSCA) the Public Service Income Benefit Plan for Survivors of Employees Slain on Duty, and the compensation for death and disability in accordance with the Corrections and Conditional Release Regulations (CCRR).

With respect to Labour Standards and Workplace Equity, this activity establishes and protects employees' rights to fair and equitable conditions of employment. The operations are intended to promote and enforce compliance with the provisions of Part III of the Canada Labour Code and the Fair Wages and Hours of Labour Act and their regulations, and the Employment Equity Act and regulations.

The Workplace Information Directorate (WID) tracks, analyzes and disseminates a vast array of information on industrial relations and collective bargaining in Canada. WID houses the most comprehensive, multi-jurisdictional collective agreements library in Canada (approximately 6,000 agreements) and regularly monitors major contract talks, those covering 500 or more employees and smaller bargaining units (100 to 499 employees), based on a stratified sample approach. WID produces the following publications on various industrial relations issues: the Wage Settlements Bulletin, the Workplace Gazette, and the Collective Bargaining Bulletin. In addition to the information on labour organizations and innovative workplace practices in Canada available directly from the website, subscribers can also access and conduct research on collective agreements through a virtual library - the Negotech.

The Labour Program is also responsible for Canadian participation in the International Labour Organization and for the implementation of international labour cooperation agreements with

the United States of America, Mexico, Chile Costa Rica and the Memorandum of Understanding on Labour Matters with Brazil, as well as ongoing participation in the Summit of the Americas and Free Trade Area of the Americas initiatives and the Inter-American Conference of Ministers of Labour.

### **National Secretariat on Homelessness**

The National Secretariat on Homelessness coordinates the implementation of the Government of Canada's National Homelessness Initiative, including the Supporting Communities Partnership Initiative. The Secretariat acts as a catalyst at the federal level to provide leadership and support in the form of information, and expertise, to help communities to respond to their immediate and longer term needs.

### **Learning Branch**

Formerly part of the Human Investment Programs Branch, Learning Branch brings together nationally delivered programs that enable our targeted clientele and communities to learn, acquire skills and participate fully in civic social and economic life. Learning Branch delivers its programs and services through the following two directorates:

#### **Canada Student Loans Program (CSLP)**

The Canada Student Loans Program, part of HRSDC's Learning Programs Directorate, assists full- and part-time students enrolled in designated post-secondary education institutions who demonstrate they are in need of financial assistance. The program objective is to promote accessibility to post-secondary education and ensure that Canadians have an opportunity to develop the knowledge and skills needed to participate in the economy and society. The program also provides five non-repayable Canada Study Grants. CanLearn Interactive at [www.canlearn.ca](http://www.canlearn.ca) provides a comprehensive bilingual resource for learning information, products and services.

### **Learning and Literacy**

In support of the development and improvement of the quality of Canada's human resources, the Learning and Literacy Directorate (LLD) plays a key role in increasing awareness, promoting access and building individual and community capacity for lifelong learning. Through the development and implementation of a broad range of federal learning-related policies, LLD enhances access and opportunities for education through programs such as the Canada Education Savings

Grant Program and International Academic Mobility. The Office of Learning Technologies promotes and supports innovation in skill development and learning enabled by technology. The National Literacy Secretariat raises awareness of literacy and supports Canadians' involvement in literacy activities. The Learning Initiatives Program supports a wide variety of initiatives that promote innovation and relevance in the establishment of learning policies and programs, and contribution to the establishment of national learning goals. The International Academic Mobility Initiative supports international mobility for Canadian students via the development of multilateral partnerships with post secondary institutions.

### **Ministerial and Communication Services**

The Ministerial and Communication Services Branch provides strategic direction and coordination for Branch activity and plays a lead role in offering strategic communications advice and ministerial services to HRSDC. The Branch plans, co-ordinates, and implements HRSDC activities in the areas of external and internal communications, public opinion research, promotion, information, media relations, publishing, and advertising, and ensures that information is available to the public about HRSDC policies, programs and services.

The Branch is also responsible for the administration of the Privacy and Access to Information Acts.

Briefing, Cabinet and Parliamentary Affairs ensure that the Ministers', the Minister of State's, Parliamentary Secretaries, and the Deputy Minister's offices are provided with high-quality briefing material in a timely manner. They also coordinate the ministerial briefings, announcements, Question Period, Cabinet, and trips, etc.

The Branch also plays a key role in supporting departmental committees in effective issues management.

### **Service Delivery Directorate**

The Service Delivery Directorate (SDD) supports the Senior Assistant Deputy Minister (SADM) in meeting Human Resources and Skills Development Canada's (HRSDC) service delivery priorities, objectives and policy. The SDD performs a key cross-program role dealing with operational and client service issues within the Service Delivery Network (SDN). The SDD works to establish linkages between regional service delivery, corporate structures, and external

partners in order to promote a citizen centered integrated service delivery approach and ensure a consistent implementation throughout the SDN. The SDD is also responsible, on behalf of the Government of Canada, for the management and co-ordination of the Service Canada in-person network. This includes support to Service Canada Access Centres within HRSDC and in three Canadian Heritage sites. The SADM has overall responsibility within the department for the implementation of the government-wide Service Improvement Initiative. The SDD conducts policy analysis and developmental studies pertaining to service delivery in collaboration with functional areas. In addition to consulting with clients, partners, and stakeholders on new service delivery policies, SDD works with the Department of Social Development (SDC) on government-wide service delivery initiatives. SDD developed and has tested an electronic feedback mechanism designed to gather client perceptions of the quality of our services to clients and suggestions for improvement. The SDD also supports the delivery of Social Development's programs and services through the field network of 320 local offices.

### **Strategic Policy and Planning**

Strategic Policy and Planning has broad responsibility for developing and maintaining statistical information banks which may be used for research, evaluation, policy and program analysis, and development in support of various departmental programs and services. This group is also responsible for Intergovernmental Relations and International Affairs.

### **Workplace and Skills**

The Workplace Branch was created in January 2004 to help enhance the competitiveness of Canadian workplaces by focusing on skills investments made by employers and workers. The Branch delivers programs at the national level, such as the Sector Council Program, which includes partnerships with industry and education, to ensure that Canadians have the skills and knowledge required for today's and tomorrow's workplaces. Other programs include Essential Skills, Red Seal and Foreign Credential Recognition. The Branch also works with Regional offices, local HRCCs and a variety of intermediaries in the pan-Canadian delivery of national, regional and local Labour Market Information, as well as the Foreign Worker Program.

## Information Holdings

### Program Records

#### Employment Programs Operations (EPO) Aboriginal and Youth Programs Directorate Aboriginal Programs

**Description:** Information, briefings and correspondence, policies and procedures on labour market programs to meet the needs of Aboriginal people.

**Topics:** Development of national policies, strategies and guidelines in relation to the Aboriginal Human Resource Development Strategy (AHRDS); information on the strategy, initiatives and programming in the areas of employment and training, youth, disabled, childcare for First Nations and Inuit communities, urban/off reserve, and capacity building; information on agreements with Aboriginal partners (Aboriginal Human Resource Development Agreements), information on results.

**Format:** Paper, magnetic tapes and microforms.

**Program Record Number:** HRSDC EMP 400

#### Youth Programs

**Description:** Information, briefings and correspondence, policies and procedures on employment programs to meet the needs of youth.

**Topics:** Development of national policies, strategies and guidelines related to the employment of youth, program information e.g. Youth Internship Canada, Youth Service Canada, Student Summer Job Action, Youth Information, Youth Awareness and the Human Resource Centres for Students.

**Format:** Paper, magnetic tapes and microforms.

**Program Record Number:** HRSDC EMP 460

#### Labour Market and Official Language Minority Communities Directorate

##### Additional Labour Market Initiatives

**Description:** Directives, operational policies, coordination, correspondence, project information, briefings, methodologies, reports, analyses, systems, project descriptions, implementation costs, statistics and evaluations relating to the Work-Sharing, Work-Sharing While Learning, the close-out of the Temporary Fisheries Income Program and the Severe Acute Respiratory Syndrome Grant Initiative.

**Topics:** Development of directives and operational policies, assistance, program and activity descriptions, budgets, program expenditures, implementation costs, results, data evaluations, analysis, participants, persons with disabilities, fishers, employers, industries,

occupations.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC HRI 195

#### Employment Benefits and Support Measures

**Description:** Directives, operational policies, guidelines, correspondence, briefings, methodologies, reports, analysis, evaluations and project information relating to the Employment Benefits (Targeted Wage Subsidies, Self-Employment, Job Creation Partnerships, Skills Development), which are available to active and former EI clients or the Support Measures (Employment Assistance Services, Labour Market Partnerships, Research and Innovations) which are not specifically aimed at EI clients. Where applicable, information is also available on the Labour Market Development Agreements (LMDAs).

**Topics:** Development of directives and operational policies, implementation costs, assistance, program and activity descriptions, budgets, program expenditures, LMDA costs, results, data, evaluations, environmental assessments, analysis, participants, persons with disabilities, women, visible minorities, Aboriginal, Employment Insurance claimants, former claimants, non-insured clients.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC HRI 293

#### Employment Programs Policy and Design (EPPD)

##### Employment Programs Policy and Design

**Description:** Directives, policies, guidelines, correspondence, briefings, reports and analysis of labour market transitions and income support measures to help Canadians obtain the skills needed to fully participate in the labour market.

**Topics:** Program policy and design for active and passive employment measures (according to Part I and II of the Employment Insurance Act and the Consolidated Revenue Fund), labour market strategies, current and future federal-provincial/territorial frameworks, labour market agreements, including program and policy design targeting unemployed and under-employed Canadians, as well as segments of the population overcoming barriers to employment.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC EPPD 005

#### Insurance Branch

##### Actuarial Services

**Description:** Policy, legislation and actuarial criteria for determining financial parameters and analyzing the experience under the Insurance and Government Annuities Programs.

**Topics:** Actuarial Services policy and correspondence, operations of the Annuities Program, budgets, expenses and administration, contributions, premium reductions and benefits, cost estimates and premium revenue estimates, assessment and development of amendment proposals to the Insurance Program, statistical reports and labour force data, interface of Insurance program with guaranteed income proposals, Society of Actuaries, miscellaneous working files, public relations and special briefings, supplementary survey from Statistics Canada, Supplemental Unemployment Benefit plans, Wage Loss Registration plans, program evaluation.

**Format:** Paper.

**Program Record Number:** HRSDC INS 160

### **Annuities**

**Description:** Information on the administration of Canadian government annuities contracts and systems supporting administration of the Canadian Government Annuities program.

**Topics:** Correspondence on legislative and regulatory proposals, operational procedures, status reports, produces payments T-4 slips for annuity contracts in payment, related financial, actuarial and administrative reports; data bank for contracts not yet in payment – includes premium collection, related reports and micrographic listings, statistical and studies on the program.

**Format:** Paper and magnetic tapes.

**Program Record Number:** HRSDC INS 545

### **Appeals Directorate**

**Description:** Policies, procedures, correspondence on the national appeals system and the EI Jurisprudence Library.

**Topics:** Policies and programs relating to appeals to the Board of Referees, the Umpire and the Federal Court of Appeal, appeal and decision files, analyses of decision files, individual requests for guidance, activity report, decisions of the Umpire, Federal Court and Supreme Court of Canada on the Internet in the EI Jurisprudence Library Website. The full text of the decisions is published and includes the names of appellants and interested parties.

**Format:** Paper, diskette, computer files, data bases.

**Program Record Number:** HRSDC INS 210

### **Automated Programs**

**Description:** Information on all automated control programs supporting the administration of EI benefits programs.

**Topics:** Correspondence and communication with all stakeholders; publicity and evaluation of

automated control programs.

**Format:** Paper, magnetic tape, cartridge, disk, computer files.

**Program Record Number:** HRSDC ICD 005

### **Benefit Entitlement**

**Description:** Policies, guidance, briefings, and correspondence concerning the principles applied when making decisions on claims for benefits under the Employment Insurance Legislation.

**Topics:** Establishing a benefit period, eligibility for benefits; interruption of earnings; antedating a claim; week of unemployment, earnings, voluntarily leaving an employment, misconduct, labour disputes, refusal of employment, availability for work, entitlement while outside Canada, sickness benefits, maternity benefits, parental benefits, conditions and terms in relation to teachers, fishing benefits, claim procedure, reconsideration, amendment of a decision and error correction, false or misleading statements, write off of overpayments, evidence and proof.

**Format:** Paper.

**Program Record Number:** HRSDC INS 190

### **Benefit (Insurance)**

**Description:** Information on systems supporting administration of the employment insurance benefit program.

**Topics:** Correspondence, status reports. The following is available on Electronic Data Processing (EDP) System: Benefit Pay Systems – processes applications for claims under the Employment Insurance Act and Regulations; processes the claimants' report, produces employment insurance payments; updates status of claims; maintains a history of overpayments; produces daily, monthly and quarterly statistical reports on operations, overpayments and employment insurance fund accounting; produces T4E showing benefits paid and income tax deducted for each claimant; supports associated enquiry functions in local and regional offices.

**Format:** Magnetic tapes and paper.

**Program Record Number:** HRSDC INS 515

### **Briefs and Representations**

**Description:** Information on recommendations for change in the Insurance Program and legislation.

**Topics:** Views and reactions to EI legislation, briefs on amendments to programs or legislation received from interested parties.

**Format:** Paper.

**Program Record Number:** HRSDC INS 170

**Civil Service Insurance**

**Description:** Records of holders of life insurance policies issued under the Civil Service Insurance Act. Issuance of new policies was discontinued with the introduction of the Supplementary Death Benefit Plan in 1954.

**Topics:** Policies in force, death claims, surrenders, and premium records.

**Format:** Paper, details of terminated policies on microfilm by policy number.

**Program Record Number:** HRSDC INS 030

**Claims Analyses**

**Description:** Case files containing recommendations and decisions on complex or unique situations.

**Topics:** Legislative and regulatory basis for the area of concern, background and jurisprudence, relevant data of the case, decision and rationale.

**Format:** Paper.

**Program Record Number:** HRSDC INS 200

**Control Indicator System**

**Description:** This system is a tool used to analyze and detect fraudulent EI claims. The system extracts data from internal and external sources. It selects, sorts and manipulates these large data files.

**Topics:** Data sources include Records of Employment, EI claims information, Social Insurance Registry data, T4 Supplementary, taxpayer information on self-employed persons and T4U information.

**Format:** Paper, disk, computer files.

**Program Record Number:** HRSDC INS 017

**Control (Insurance)**

**Description:** Information on systems supporting HRSDC control activities.

**Topics:** Correspondence, status reports. Information held in EDP Systems is organized under the following titles: Record of Employment Systems, Overpayment Detection Systems, Employer-Registration (Premium Reduction) Program, Tracking HRSDC Debtors from Employment Records, Comparison of Claimant Data to Detect Possible SIN and Employment Insurance Abuse, Micrographic Listings for the General Control of Employment Insurance Programs, Record of Offences, Benefit Pay Extracts, Statistics, Merges, Microfiche, Document Control System, Comprehensive Tracking System, Employer Master File System.

**Format:** Paper and magnetic tapes.

**Program Record Number:** HRSDC INS 525

**Control Operations**

**Description:** Information on guidelines, procedures, policies, strategies, operational reports, projects, advice and guidance on the various types of investigations, programs and initiatives related to the activities of Investigation and Control staff across the country.

**Topics:** Correspondence and documents as described above on types of investigations (including formal, employer, selective, auxiliary); authorities of investigators; liaison with law enforcement agencies and other government departments (e.g., Canada Revenue Agency); prosecutions; major investigations activities; underground economy; identity fraud; group information sessions; legal issues.

**Format:** Paper, diskettes.

**Program Record Number:** HRSDC ICD 015

**Coverage and Premium Policy**

**Description:** Policies on the insurability of employment.

**Topics:** Correspondence on the insurability of employment; policy and legislative proposals; operational guidelines; agreements on the insurability of certain classes of workers; matters dealing with formal coverage rulings; insurability appeals, liaison with Canada Revenue Agency (CRA); minutes of HRSDC /CRA Operation Committee; review of CRA rulings, activity reports.

**Format:** Paper.

**Program Record Number:** HRSDC INS 175

**Forms Development**

**Description:** Information on the development and control of forms.

**Topics:** Individual files containing requests for creating or revising forms, specifications, related correspondence.

**Format:** Paper and disk

**Program Record Number:** HRSDC INS 275

**Index of Jurisprudence**

**Description:** Contains summaries of significant Umpire, Federal Court and Supreme Court decisions related to Employment Insurance benefit claims. The system can be searched by issue and sub-issues, name of claimant or judge, or decision number.

**Topics:** Employment Insurance claims that have been appealed.

**Format:** Electronic.

**Program Record Number:** HRSDC INS 240

**Inquiries**

**Description:** Inquiries to the Minister and Senior Commission officials.

**Topics:** Guidelines for handling inquiries, individual files showing the receipt, processing



and preparation of replies, analyses of correspondence received, reports.

**Format:** Paper.

**Program Record Number:** HRSDC INS 155

### **Insurance**

**Description:** Information on systems supporting the administration of the employment insurance benefit program.

**Topics:** Employment insurance program.

**Format:** Tape.

**Program Record Number:** HRSDC INS 018

### **Insurance Client Services**

**Description:** Information front end service delivery, including Citizen Access Workstations for filing for Employment Insurance benefits. Support of electronic payment and enquiries and provision of ongoing functional guidance, telephony support and advice to the Employment Insurance Call Centres across Canada.

**Topics:** Filing for benefits using Citizen Access Workstations at Human Resource Centres, electronic bi-weekly claim reporting and payment initiatives such as Teledec (automated telephone reporting), Interdec (reporting on-line) Direct Deposit, Telemessage (automated information service), IVR (Interactive Voice Response system) liaison with Public works and Government Services for the direct deposit of benefits, correspondence and liaison with national and regional responsibility centres on topics related to claimant services and levels of performance. Development and update of the Corporate Letter book System and client forms (such as the paper application for Employment Insurance benefits)

**Format:** Paper and computer disks.

**Program Record Number:** HRSDC INS 022

### **Insurance EiNET**

**Description:** Management of EI Internet and Intranet sites to ensure efficient communication of information on EI program and services.

**Topics:** Development of a strategy and content management process of the Web EI sites, maintaining updated information on the sites, ensuring EI's point of view is taken into account under the departmental frame of on-line access and active participation in clusters with external partners.

**Format:** Computer disks.

**Program Record Number:** HRSDC INS 024

### **Insurance Employer Support**

**Description:** Operational policies and procedures on the delivery of insurance programs and services to employers, project files including statistics on a variety of employer service issues.

**Topics:** Operational procedures and guidelines

pertaining to the Record of Employment (ROE) program for both claims for benefit and Canadian Employers including the Record of Employment Guides for regular business and seasonal fishing; directives to employers with respect to ROE issues; regulatory proposals with respect to the records of employment; liaison with Employer, Non Government Organizations and union representatives; correspondence with national and regional responsibility centres on topics related to Record of Employment, including Canada Revenue Agency and Department of Justice. Information on operating policies and procedures pertaining to the Record of Employment as it relates to Canadian Businesses and the ROE automation initiatives including ROE Laser Print application and the ROE Web application.

**Format:** Paper, disk, CD ROM, Intranet and Internet.

**Program Record Number:** HRSDC INS 026

### **Insurance Management Services**

**Description:** Information on planning, monitoring and analysis of employment insurance performance and strategies.

**Topics:** Operation planning activities; operations assessment and monitoring; trend analyses and other reports of workload; resource utilization; productivity; quality and performance measurements; reports on operational impact of proposals for legislative, policy and procedural change.

**Format:** Paper and microcomputer disks.

**Program Record Number:** HRSDC INS 280

### **Insurance Payment Operational Services**

**Description:** Information on clerical procedures in HRCCs and regional Insurance Payment Operational Centres. Support of the Payment Automation project and provision of ongoing functional guidance, telephony support and advice to the Employment Insurance Telecentres across Canada.

**Topics:** Procedures and operational guidelines pertaining to claims for benefit, policy and system changes that impact on clerical procedures, electronic biweekly claim reporting and payment initiatives such as Teledec, Direct Deposit and Mail Elimination, automated voice response enquiry system (AVRES), liaison with Public works and Government Services for the direct deposit of benefits, liaison with the Department of Justice for the garnishment of benefits for family order agreements and with Canada Revenue Agency for recoupment of income tax dept from benefits, activity reports on electronic reporting, payment and telephone services, correspondence and liaison with national and regional

responsibility centres on topics related to claimant services and levels of performance.

**Format:** Paper and computer disks.

**Program Record Number:** HRSDC INS 263

### **Insurance Program Services**

**Description:** Operational policies and procedures on the delivery of insurance services and programs, project files including statistics on a variety of claimant service issues, business requirements to develop and enhance systems related to legislative/regulatory changes and improved and modernized service.

**Topics:** Procedures, guidelines and business requirements for Systems pertaining to claims for benefit, claim calculation, back-dating of claims, fishing benefits, work-sharing arrangements, assignment of benefits, advance payment of benefits and recovery of overpaid benefits, information on operating policies pertaining to sickness, maternity and parental claims, impact of postal disruptions on claims processing, monitored payment of benefits, representatives of claimants, transfer of claims, union hiring halls, Support System for Agents, Appliweb, hiring and remuneration of Insurance contract agents, liaison with union hiring halls, liaison with claimant groups, union and industry representatives, activity reports, correspondence with national and regional responsibility centres on topics related to claimant services such as operational guidelines, project activity and levels of performance, disclosure of Insurance information. Information related to liaison with the Department of Justice for the garnishment of benefits for family order agreements, with Canada Revenue Agency for recoupment of income tax dept from benefits and with USA related to interstate claims.

**Format:** Paper, disk, CD ROM, Intranet and Internet.

**Program Record Number:** HRSDC INS 009

### **Insurance Quality Services**

**Description:** Information on operating policies and procedures pertaining to the review of claim files for the Comprehensive Tracking System and to the quality of our services.

**Topics:** Correspondence with Human Resources Centres of Canada (HRCC), the regions, concerning quality management and employers concerning ROE validation guidance to the HRCCs on the review of claim files, quarterly quality analysis reports, copies of claim files reviewed, and guidelines for the quality monitoring of claims.

**Format:** Paper and computer disks.

**Program Record Number:** HRSDC INS 285

### **Interstate Benefits**

**Description:** Coordination of the interstate benefit activity: liaison with U.S. Railroad Retirement Board, U.K. Department of Health and Social Services.

**Topics:** Correspondence with Systems and regions, with individual states of the U.S., reciprocal agreements, operational procedures, activity reports.

**Format:** Paper and computer disks.

**Program Record Number:** HRSDC INS 265

### **Interstate Benefits - 2**

**Description:** Coordination of the interstate benefit activity and other special arrangements: includes operational procedures and activity reports.

**Topics:** Interstate Benefits.

**Format:** Diskette.

**Program Record Number:** HRSDC INS 011

### **Investigation and Control Training Services**

**Description:** Design, development, delivery and maintenance of training material for classroom and Intranet use.

**Topics:** Training plans for new and revised procedures and ongoing training requirements.

**Format:** paper, disk, CD-ROM, Intranet.

**Program Record Number:** HRSDC INS 028

### **Labour Adjustment Benefit**

**Description:** Information on the administration of the Labour Adjustment Benefit Program.

**Topics:** Policies, procedures and correspondence pertaining to labour adjustment benefits, activity reports.

**Format:** Paper.

**Program Record Number:** HRSDC INS 185

### **Policy and Legislation Development**

**Description:** Policies, draft legislation, correspondence related to the Insurance Program.

**Topics:** Legislative reviews, procedures, information and policy papers on entitlements to benefits, eligibility for sickness, maternity and parental benefits, entitlement to benefits, payments in certain types of cases such as self-employed fishers, teachers, deceased or incapacitated claimants, monies considered as earnings for benefit purposes, payment of benefits to persons undertaking approved training or involved in job creation or work-sharing programs, coverage and insurability of employed workers.

**Format:** Paper, electronic historical date, computer disk.

**Program Record Number:** HRSDC INS 165

### **Premium Reduction Program**

**Description:** Information on policies and procedures pertaining to premium reduction and on the granting and control of employment insurance premium reduction for employers with qualified salary replacement plans.

**Topics:** Legislative and regulatory proposals, policy statements, appeals, development of an approach to auditing employers, granting of employment insurance premium reductions to employers, operational procedures, employer applications, documentation, enquiries, complaints, etc.

**Format:** Paper, electronic historical data, and computer disks.

**Program Record Number:** HRSDC INS 205

### **Premium Reduction System**

**Description:** Listing of employers by RC account #, giving the reduced rate and brief summary of plans.

**Topics:** Premium Reduction Program

**Format:** Server Database.

**Program Record Number:** HRSDC INS 012

### **Program and Data Management**

**Description:** Information on overall planning; Information on Investigation and Control performance; accessing from various existing databases to perform analyses and evaluations of current and planned Investigation and Control policies and programs.

**Topics:** Consultation on goals and objectives; operational planning; project outlines, general matters dealing with control abuse and fraud; prosecutions and fines as well as statistics on penalties. Statistics, graphics, reports on performance.

**Format:** Paper, magnetic tape, disk, computer files.

**Program Record Number:** HRSDC ICD 020

### **Record of Employment (ROE)**

**Description:** Information on the processing of the Record of Employment (ROE) and second copies of the ROE.

**Topics:** Procedures, guidelines and correspondence on the processing of the second copy of the ROE forms and maintaining the ROE information bank.

**Format:** Paper, microfilm and magnetic tapes.

**Program Record Number:** HRSDC INS 270

### **Record of Employment (ROE) – 2**

**Description:** Information on the processing of Record of Employment (ROE) forms.

**Topics:** Procedures, guidelines and correspondence on processing ROE forms and maintaining the ROE information bank.

**Format:** Tapes.

**Program Record Number:** HRSDC INS 010

### **Sub System**

**Description:** List of employers whose Supplemental Unemployment Benefit plans meet the U.I. Regulations. The database contains details on the type of coverage provided, the number of employees covered, which employee groups are covered, how much they will be receiving and for how long.

**Topics:** Supplemental Unemployment Benefit Plans.

**Format:** Clipper Micro-computer program.

**Program Record Number:** HRSDC INS 008

### **Supplemental Unemployment Benefits Program**

**Description:** Information on policies pertaining to and the administration of the Supplemental Unemployment Benefit program.

**Topics:** Legislative and regulatory proposals; policies and guidance; activity reports, operational procedures, employer files containing submissions, enquiries, internal quality control, mainframe database of employers with approval plans, operation and statistical reports.

**Format:** Paper, electronic historical data and microcomputer disks.

**Program Record Number:** HRSDC INS 180

### **Support (Insurance)**

**Description:** Information on support for the implementation of Employment and Benefit EDP systems, including micrographics.

**Topics:** Correspondence; evaluation reports.

**Format:** Magnetic tapes and paper.

**Program Record Number:** HRSDC INS 530

### **Support Systems for Agents**

**Description:** Client data submitted via the application for EI Benefits, and employment history data collected from ROEs submitted in support of the EI application. These data are used to assess and calculate the clients claims for EI benefits; results are transmitted to OLIS for payment processing.

**Topics:** EI claim – specific.

**Format:** Local file server.

**Program Record Number:** HRSDC INS 013

### **Unemployment Insurance Control**

**Description:** Information supporting HRSDC control activities such as: Record of Employment; Overpayment Detection data; Employer-Registration (Premium Reduction) data; Tracking HRSDC debtors from employment records; Comparison of claimant data to detect possible SIN and employment insurance abuse; Benefit

pay extracts, statistics; Family Orders and Agreements; and Employer Masterfile data.

**Topics:** Employment insurance.

**Format:** Cartridge tape.

**Program Record Number:** HRSDC INS 019

### Labour Program

#### Canadian Association of Administrators of Labour Legislation (CAALL)

**Description:** Information on activities between federal, provincial and territorial governments in the labour field, organization, arrangements and other secretariat services for the Canadian Association of Administrators of Labour Legislation, conferences and related matters.

**Topics:** Ministers' meetings; annual and spring meetings; meetings of the executive. Standing committees include: Research and Policy; Women in Employment; Occupational Health and Safety and Health; Labour Relations; Labour Standards; and International Labour Affairs.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 120

#### Canada Labour Code, Part I (Industrial Relations)

**Description:** Representations, revision, development, amendments and general information re Part I of the Canada Labour Code (Industrial Relations).

**Topics:** Arbitration – general; cases; studies and surveys; awards. Notices of Dispute; requests for conciliation and appointments of conciliation officers; commissioners and mediators. Requests for ministerial consent to make complaints to the Canada Industrial Relations Board alleging unfair labour practices (bargaining-related complaints). Correspondence and general documentation on labour relations topics. Industrial labour conditions and labour relations – general; strikes and lock-outs; government departments and agencies; trade unions; individual unions; air transport; banking; fishing; grain elevators; highway transport or trucking; mining and processing; radio and television; railways; shipping; stevedoring and longshoring; telephone and telegraph system; safety, seniority, pensions, hours of work, wages, dismissal. Proceedings of the Task Force on Labour Relations (committee minutes, studies, briefs, Cabinet discussions, final recommendations); proceedings of various industrial inquiry commissions (minutes, submissions, reports and recommendations). Labour board and court decisions impacting on the interpretation of Part I of the Canada Labour Code. Branch contact with parties following the certification of unions by the Canada Industrial Relations Board for the purpose of ensuring their

understanding of the dispute settlement provisions.

**Program Record Number:** HRSDC LAB 040

#### Canada Labour Code, Part II (Occupational Health and Safety)

**Description:** Representations, revision, development, amendments and general information re Part II of the Canada Labour Code (Occupational Health and Safety).

**Topics:** Safety legislation, standards and regulations; revisions, developments, amendments, interpretations and jurisdictional matters; development of safety regulations; federal and provincial legislation, standards and regulations. Statistical information on work-related injuries and on costs of proposed amendments to occupational health and safety regulations, obtained through surveys or from administrative records. The information includes a federal jurisdiction industries data base on work injuries (consisting of employers' annual work injury and employment counts and a register of employers, statistical summaries of which appear annually in a publication on Canadian occupational injuries and their cost), Canada's work-related fatalities (including worker information and fatal injury details); Employers' Annual Hazardous Occurrence Investigation Reports; fatality reports; grain dust medical surveillance data. Reporting and investigation of hazardous occurrences and work-related injuries, and occupational health and safety matters; also complaints and enquiries by individuals and employers; hazardous occurrences – general reports of fatalities; employers' annual hazardous occurrence reports; investigations. Information on health and safety surveys (in automated form), studies on hazards to workers in various sectors, and other activities to assist in the development of improved safety of workers; inquiry commissions and boards; provincial inspection agreements; monitoring studies. Health and Safety committees as established under Part II of the Code, sections 136 and 137; committee minutes; guidelines; monitoring studies.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC LAB 240

#### Canada Labour Code, Part III (Labour Standards)

**Description:** Representations, revision, development, amendments, and general information re Part III of the Canada Labour Code (Labour Standards) and the Fair Wages and Hours of Labour Act.

**Topics:** General; rules and regulations of the Code; hours of work extension orders;

interpretation coverage by industry; enquiries on the Code by industry; ministerial orders; enquiries outside the Code by province; posting of notice of the Code; studies complaints, investigations, shared-cost program projects, and enquiries. Requests for the appointment of adjudicators to hear unjust dismissal complaints. Complaints; legal opinions; investigations; reports and prosecutions against individuals, groups and companies; inspection procedures. Hours of work – general; policy; interpretations; application and reports; averaging; regulations; modification; studies; surveys; liaison – internal and provincial committees; individual industry exemptions. Inquiry commissions generally; by subject; by industry; by section of the Code. Group and individual termination – general; interpretations; application policy; unjust dismissal – general and interpretations; redundancy and layoff program – general. Holidays – interpretations; substitution with or without collective agreement, by industry and federal departments; maternity leave, bereavement, and sick leave – interpretations by industry; vacations with pay – interpretation, waive vacation for year of employment, approving vacation for year of employment; severance pay – general; garnishment – interpretations and policy. Requests for the appointments of referees to hear wage recovery appeals. Review and analyse reports from field officers related to implementation of equal wages in federal jurisdiction establishments subject to Part III of the Canada Labour Code.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 180

### **Collective Agreements**

**Description:** All collective agreements under federal jurisdiction and agreements under provincial jurisdiction covering 100 or more employees.

**Format:** Microfiche for older agreements, paper files and electronic data base.

**Program Record Number:** HRSDC LAB 155

### **Collective Bargaining Settlements**

**Description:** Information on collective bargaining settlements including developments on negotiated wage adjustments and provisions in collective agreements.

**Topics:** Collective bargaining; negotiated wage changes; provisions in collective agreements.

**Format:** Electronic data base.

**Program Record Number:** HRSDC LAB 160

### **Consolidated Employer Reports Database**

**Description:** Consolidation of employer reports field annually under the terms of the Employment

Equity Act.

**Topics:** Includes information in accordance with the Employment Equity Act on designated groups.

**Format:** Diskette.

**Program Record Number:** HRSDC LAB 006

### **Employment Equity**

**Description:** Information on activities related to the promotion and administration of Employment Equity including the Employment Equity Act and the Federal Contractors Program.

**Topics:** General information and correspondence pertaining to employment equity; guidance, training and tools for regional HRSDC Workplace Equity Officers (WEOs); information sharing with national employer, labour, professional and designated group organizations; employment equity program promotion and communications. Correspondence related to federal employment equity programs; briefing notes; information on how to develop and implement good employment equity programs; technical training manuals for WEOs; publications for the general public and specific audiences (employers, organized labour, and designated group organizations); implementation of employment equity by contractors with 100 employees or more and who seek to provide goods and services to the federal government. Guidelines for contractors; directorate operational plans and studies; review and assessment reports; ministerial communiques; general correspondence; merit awards in recognition of special efforts; goals and objectives of the Federal Contractors Program. Development and dissemination of data on designated groups, formatting and dissemination of availability data; design and operation of micro-computer programs to analyze employment equity reports submitted annually by federally-regulated employers; development of operational definitions of designated groups, technical training. General correspondence, information on research relating to the employment of target groups, data on target groups, development and maintenance of a number of repositories across Canada of employment equity reports.

**Format:** Paper, microfiche and electronic formats including compact disks and disquettes.

**Program Record Number:** HRSDC LAB 496

### **Employment Equity Statistics**

**Description:** Semi-annual statistical packages of HRSDC representation statistics of designated groups both nationally and regionally which are developed from data contained in HR Systems.

**Topics:** The data is primarily from the personal information bank PSE-918 "Employment Equity

Program". The statistics include information on recruitment, promotion, acting appointments and separations as well as a comparison of the representation versus the labour market availability.

**Format:** Paper, computer files.

**Program Record Number:** HRSDC LAB 020

### **Federal Contracts**

**Description:** Information on federal contracts by department or agency to individuals and companies.

**Topics:** General policy; labour conditions by federal department and agencies.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 190

### **Federal Industries**

**Description:** Information on labour, industrial relations and collective bargaining with particular reference to the federal jurisdiction.

**Topics:** Industrial relations issues and developments, collective agreement negotiations and disputes; federal industries – air and truck transport, railways, shipping and ferries, banks, Crown corporations, St. Lawrence Seaway, feed and flour mills, grain elevators, mining, pipelines, broadcasting, telephones and cable systems, and port operations.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 030

### **Federal Workers' Compensation**

**Description:** Information on the Government Employees' Compensation Act, the Merchant Seamen Compensation Act, the Public Service Income Benefit Plan for Survivors of Employees Slain on Duty, and compensation for death and disability in accordance with the Corrections and Conditional Release Regulations Determination of coverage for federal employees, merchant seamen, the survivors of federal employees slain on duty, and the penitentiary inmates who make claims as a result of an accident or other work-related injury.

**Topics:** Terms and conditions to establish coverage and benefits; federal legislation and regulations; provincial agreements; workers' compensation boards' claim data.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 235

### **Fire Protection Services**

**Description:** Information on fire safety in and around government of Canada property.

**Topics:** Fire protection; fire emergency organization; fire orders and drills; inspections and investigations; promotion and development of fire safety; fire loss statistics and reports; false alarms;

fire safety equipment standards and engineering services.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 270

### **Inter-American Labour Cooperation**

**Description:** Information on labour legislation from Canada, Mexico, the United States, Chile, Costa Rica and various countries in the Americas, as well as, activities under the North American Agreement on Labour Cooperation (NAALC), Canada-Chile Agreement on Labour Cooperation (CCALC), Canada-Costa Rica Agreement on Labour Cooperation (CCRALC), and labour initiatives related to the Free Trade Area of the Americas/Summit of the Americas processes and the Inter-American Conference of Ministers of Labour.

**Topics:** Texts of International Labour Agreements; information on labour legislation from Canada, Mexico, Chile, Costa Rica and the United States and various countries in the Americas; labour-related academic/research documents from Canada, Mexico, Chile, Costa Rica and the United States and various countries in the Americas; documents related to the four-year Review of the NAALC; general documents on North American Free Trade Agreement, Canada-Chile Free Trade Agreement, Canada-Costa Rica Free Trade Agreement; annual report of the Canada-Chile Agreement on Labour Cooperation; and the North American Agreement on Labour Cooperation; documents related to cooperative activities under the NAALC; annual and research reports from the Secretariat of the Commission for Labour Cooperation; information on Public Communications under the NAALC, including official correspondence, official documents, transcripts of public meetings/ hearings, public reports of reviews, news releases, research reports, summaries of communications and newspaper articles.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 010

### **International Labour Organization (ILO)**

**Description:** Information on the Department's international labour activities involving the International Labour Organization.

**Topics:** ILO – general; constitution; staffing; press releases; financial; reports; statistics, surveys; publications. Conferences – ILO annual conferences, preparatory and specialized international conferences, regional conferences. Committees – ILO Governing Body and its committees, industrial committees, Committee of Experts on the Application of Conventions and Recommendations. Meetings – Specialized

meetings of experts; tripartite, international meetings.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 100

### **International Services**

**Description:** Information on the Department's international labour activities, including gathering of information.

**Topics:** Sources of information by country, labour counsellors.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 105

### **Labour Law Documentation**

**Description:** Information on labour bills, regulations and Acts, publications and reports. Facilitating research on labour law issues.

**Topics:** Bills; statutes, official Gazettes and regulations for all jurisdictions in Canada; publications on Industrial relations, minimum employment standards and occupational health and safety and health legislation in Canada.

**Format:** Electronics and paper.

**Program Record Number:** HRSDC LAB 121

### **Labour-Management Partnerships Program**

**Description:** Information on financial contributions which support joint labour-management initiatives fostering more innovative, productive and cooperative workplaces.

**Topics:** New industrial relations and approaches; joint labour-management initiatives, labour-management seminars and conferences.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 135

### **Labour Union Information**

**Description:** Information on union membership, labour organizations, union officials.

**Topics:** Union membership; addresses and telephone numbers; names of union officials.

**Format:** Electronic data base.

**Program Record Number:** HRSDC LAB 171

### **Non-smokers' Health Act**

**Description:** Development, revision, general information and activity reports re the Non-smokers' Health Act.

**Topics:** Legislation and regulations; revisions, developments, amendments and interpretations. Reporting and investigation of complaints; enquiries made by employees, employers and/or the general public; promotional/counselling activities; enforcement.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC LAB 041

### **Organization for Economic Cooperation and Development (OECD)**

**Description:** Information on the Organization for Economic Cooperation and Development in which the Department has a strong interest, including minutes and proceedings.

**Topics:** Directorates; committees; working parties; committee of experts; seminars; conferences; commissions.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 110

### **Preventive Mediation**

**Description:** Information on preventive mediation assignments of Branch staff to assist parties in resolving problems during closed period of their collective agreements.

**Topics:** Preventive mediation cases.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 075

### **Strategic Policy and International Labour Affairs Directorate: Policy Development Division**

**Description:** Information/research on issues affecting the changing workplace.

**Topics:** Work and family, work-life balance, changing employment relationships, increase of contingent (non-standard) work, continuous workplace learning, innovative workplace practices, worker security, ageing workers, productivity. Recent studies include: Voices of Canadians: Seeking Work Life Balance, work and family provisions in collective agreements; workplace supported day care; APEC: three Canadian case studies of collaborative tri-partite workplace practices; A dedicated website on work-life balance targeting employers and human resources professionals.

**Format:** Paper, electronic and online.

**Program Record Number:** HRSDC LAB 015

### **Strikes and Lock-Outs**

**Description:** Data on strikes and lock-outs, for both federal and provincial jurisdictions.

**Topics:** Strikes and lock-outs.

**Format:** Database and paper.

**Program Record Number:** HRSDC LAB 170

### **United Nations (UN)**

**Description:** Information on labour activities at the United Nations.

**Topics:** Financial, press releases; UN development programs; UN Economic and Social Council – commissions, specialized agencies, technical assistance board.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 115

**Wages**

**Description:** Information on minimum wages on deferments, equal wages and payment of wages.

**Topics:** Minimum wages – general, interpretations by industry, paid on a bases other than time; reduced wages for the handicapped and trainees; statement of wage exemptions; deferments – general; equal wages – general interpretation by industry; payment of wages – general and interpretations.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 225

**Workplace Information Directorate**

**Description:** Information gathering and dissemination on activities to encourage and facilitate access to the public information required by those involved in the collective bargaining process.

**Topics:** Liaison and cooperation with federal and provincial departments and agencies, management organizations and associations, labour unions, universities, and regional and international offices.

**Format:** Paper.

**Program Record Number:** HRSDC LAB 145

**National Secretariat on Homelessness (NSH)**

**Description:** Information on the federal government's approach on homelessness; briefings and correspondence, and procedures on the homelessness initiative, policies, guidelines, correspondence, briefings analysis, evaluations, project information.

**Topics:** Implementation of the Supporting Communities Partnership Initiative. Information on agreements with communities and non-for-profit and private sectors. National policies forms program and activity, targets and results, project objectives, costs, promising approaches.

**Format:** Paper and electronic format.

**Program Record Number:** HRSDC NSH 227

**Learning Branch****Canada Education Savings Grant (CESG) Program**

**Description:** Correspondence, reports, studies, policies and procedures, briefings, project plans and statistical information relating to the contributions to Registered Education Savings Plans and the payment of the CES grant to eligible beneficiaries.

**Topics:** Quarterly Statistical Review of CES Grant payments; interaction with financial institutions which provide registered education savings plans to Canadians; collection of data and information on education savings; and educational institutions.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC NDP 005

**Canada Student Loans Program**

**Description:** Information on the operations of the Canada Student Loans, eligibility requirements, participating provinces; Canada Study Grants for students with permanent disabilities, students with dependants, high-need, part-time students, female doctoral students, eligibility requirements; student debt management strategies and programs.

**Topics:** Legislation, policies, procedures, studies, statistics, publications and other general information / correspondence.

**Format:** Paper and magnetic tapes.

**Program Record Number:** HRSDC NDP 042

**Claims, Defaulted loans and Collection of Defaulted loans**

**Description:** Contains information on student loans due to be repaid because students have finished their studies and the loans have returned to the Government of Canada for collection.

**Topics:** Student loans.

**Format:** Online.

**Program Record Number:** HRSDC NDP 021

**CLMTRANS**

**Description:** Contains information on transactions to create, change and/or remove info on a student loan from the CLAIMS database.

**Topics:** Transactions in the CLAIMS system.

**Format:** Online.

**Program Record Number:** HRSDC NDP 022

**Learning Strategies and Support**

**Description:** Information on the federal government's support for lifelong learning.

**Topics:** The Forum of Federal Deputy Ministers and the Council of Ministers of Education, Canada (CMEC), the Learning Initiatives Program, Prior Learning Assessment and Recognition (PLAR) Initiative, International Academic Mobility Initiative.

**Format:** Paper, electronic format and online information.

**Program Record Number:** HRSDC NDP 340

**National Literacy Secretariat**

**Description:** Information relating to literacy in Canada and the social, cultural and economic factors underlying it.

**Topics:** Grant and contributions; policy analysis; promotion and liaison research projects; information about best practices and innovative learning opportunities; partnerships: voluntary organizations community groups, business, labour, educational institutions and governments

**Format:** Paper and electronic format.

**Program Record Number:** HRSDC CCP 090



### **Office of Learning Technologies**

**Description:** Information in the area of learning technologies to promote their effective use; to support assessment, research and testing; and to increase the availability and sharing of knowledge and quality information about learning technologies.

**Topics:** Contributions, research projects and studies on selected priority areas; pilot projects; studies on the changing needs of adult learners and of HRSDC target groups; information about best practices and innovative learning opportunities, distance education, lifelong learning, and about national and international commissions, committees, conferences, UNESCO and OECD as they relate to the use of technologies for learning.

**Format:** Paper and electronic format.

**Program Record Number:** HRSDC OLT 467

### **Receipts**

**Description:** Contains information on the payments made by students in repayment of loans provided by the federal government.

**Topics:** Payment of student loans.

**Format:** Online.

**Program Record Number:** HRSDC NDP 023

### **Set Off**

**Description:** Contains the Social Insurance Numbers (SIN) of students whose loans are still outstanding and which Canada Revenue Agency will collect by retaining income tax refund due to the individual.

**Topics:** Student loans to be reimbursed from income tax payable to the student.

**Format:** Online.

**Program Record Number:** HRSDC NDP 024

### **Ministerial and Communication Services Briefing, Cabinet and Parliamentary Affairs**

**Description:** Liaison between the Minister, Secretary of State, Deputy Minister's Offices, and the department on issues related to briefing, Cabinet and Parliamentary Affairs including Cabinet documents, briefing notes/books, and speaking notes; Cabinet business lists, timetables and agendas; Question Period cards and transcripts; Parliamentary activities, Parliamentary Returns, written questions, petitions, motions and requests for documents; departmental briefings and upcoming events report; guidelines for drafting briefing notes and Cabinet documents, regulatory initiatives and international agreements.

**Topics:** Analysis of Cabinet documents and advice to Ministers, information on HRSDC's planned Cabinet Committees, Cabinet Committee agendas, anticipated questions in the House of

Commons and recommended responses, transcripts of Question Period proceedings, Parliamentary Correspondence and replies, House motions, petitions and document requests and replies; requests for briefings and replies; information on upcoming events involving HRSDC Ministers, Deputy Ministers and senior officials.

**Format:** Paper and computer disks.

**Program Record Number:** HRSDC SEC 046

### **Executive Committees Secretariat**

**Description:** Facilitates coherence and integration issues across all committees and the department, organizes and coordinates corporate level initiatives, including National Management Board, Executive Committee, Employment Insurance Commission meetings, and special projects such as HRSDC's National Leadership Conference.

**Topics:** Agenda development and management, facilitation of integration of regular business and the Agenda for Renewal, document analysis, briefing notes, Records of Decision, and administrative arrangements.

**Format:** Paper and electronically, including disks.

**Program Record Number:** HRSDC SEC 030

### **Executive Management Information Services – EMIS**

**Description:** Provides office automation services. Also produces statistical reports related to the tracking and control of ministerial correspondence; user and system documentation on the various computer systems developed and maintained by EMIS.

**Topics:** Volume of correspondence, production and average turn-around times; design specifications and instructions for use of the Management of Executive Information System and other custom-designed office automation systems used by the clients of EMIS; inventories of software and hardware holding of EMIS and its clients and of requisitions in progress.

**Format:** Paper and magnetic media.

**Program Record Number:** HRSDC SEC 032

### **Group Services**

**Description:** Accountable for the provision of a diverse set of responsibilities pertaining to the management, control and delivery of all Human Resources, financial, and Administrative functions to support two Ministers' Offices, The Deputy Minister's Offices, and Ministerial and Corporate Affairs.

**Format:** Paper.

**Program Record Number:** HRSDC SEC 039

### **Information About HRSDC 's Programs and Policies**

**Description:** Information on HRSDC 's programs, policies and services.

**Topics:** Labour market; employment insurance; youth; service delivery; human resources investment; labour.

**Format:** 90% paper, 5% electronic and 5% video.

**Program Record Number:** HRSDC PAF 615

### **Information and Ministerial Correspondence Management (IMCM)**

**Description:** Contextual analysis and expert advice and support to Ministers' and Deputy Minister in response to complex/controversial correspondence; preparation of written responses and corporate quality control/editing for final replies; tracking and reporting on correspondence and write-in campaigns addressed to or prepared for the Ministers/Deputy Minister; development and implementation of selection, appointments, reporting, procedures and processes related to Governor-in-Council (GIC) appointments to quasi-judicial bodies (EI Board of Referees); Ministers' invitations; acknowledgements and telephone inquiries service to the public, organizations and MPs; identification of current and historic trends from Ministerial correspondence; guidelines for the preparation of ministerial and deputy ministerial correspondence; operational services relevant to prioritization, Ministers' signature books, recording, storing and retrieval capacity.

**Topics:** Analysis and action of memoranda and incoming correspondence (paper and internet), with control mechanisms and reporting capacity (reports and trends); Researches and writes replies for the Ministers'/Deputy Minister signature; Co-ordinates, writes and distributes guidelines on ministerial and deputy ministerial correspondence and performs final corporate editing on final replies; Directs and liases the management process for 650 GIC nominations; co-ordinates Ministers' invitation processes through requests for observations and replies; Interfaces between political, departmental staff, the public and MPs inquiring on status of written replies;

**Format:** Paper and magnetic media. Information is retrievable by personal identifier, including names of individuals and file numbers, from the CS-CIMS. The personal information contained in the correspondence is not used for an administrative purpose.

**Program Record Number:** HRSDC SEC 031

### **Info Source**

**Description:** Information detailing HRSDC's programs, policies, and services. Employment

Insurance, Education and Employment, Labour Programs.

**Topics:** Human resources and related programs.

**Format:** Paper, Online.

**Program Record Number:** HRSDC FAS 025

### **Orders in Council Appointments**

**Description:** development and implementation of selection, appointments, reporting, procedures and processes related to Governor in Council (GIC) appointments to quasi-judicial bodies (EI Board of Referees); directs and liaises the management process for 650 GIC nominations.

**Format:** Paper, Electronic including Governor in Council Appointment System (GICAS).

**Program Record Number:** HRSDC SEC 036

### **Service Delivery**

**Description:** Correspondence, briefings, analysis, surveys, agendas and minutes for Operations Working Group meetings, Service Canada Information System, and general information relating to Service Delivery Policy, citizen-centred services and other service delivery issues across the Department.

**Topics:** Service delivery and client service issues.

**Format:** Paper and electronic files, WEBCIMS.

**Program Record Number:** HRSDC SDD 001

### **Strategic Policy and Planning**

#### **Applied Research**

**Description:** Applied Research

**Topics:** Reports and studies, not necessarily related to particular policies and programs, addressing the changing nature of work, economic and social aspects of productivity, employment insurance renewal, the integration of persons with disabilities, investing in children and families, labour adjustment, lifelong learning, macroeconomic/labour market analysis, the prevention of exclusion and poverty reduction, the skill requirements in the knowledge-based economy and society, youth and the labour market.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC SPP 630

#### **Audits – Internal Audit and Risk Management Services**

**Description:** Policies, procedures and guidelines for the planning of audits and the conduct of audits assignments. Terms of Reference for audit assignments support and reference documents used by auditors in compiling assignment reports and final audit reports themselves.

**Topics:** The IAS Annual Resource Utilization Plan, IAS Audit Handbook, HRSDC Audit Policy, terms of reference for audit activities and final audit reports.

**Format:** Internet, Intranet or paper,

**Program Record Number:** HRSDC EPP 005

### **Canadian Occupational Projection System (COPS)**

**Description:** Development of occupational labour market supply and demand related analyses and projections in the light of historical, current, and projected labour market conditions, using survey and other data gathered for these purposes.

**Topics:** Analysis of economic, industrial and occupational employment growth projections and their implications; analysis of trends and projections in enrollments and graduations from educational and training institutions and subsequent labour market experiences of graduates.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC SPP 635

### **Corporate Planning Accountability (CPA)**

**Description:** Development of Corporate records such as the Annual Corporate Business Plan, Strategic Plan, Accountability Protocol, Environmental Scan, Report on Planning and Priorities, Departmental Performance Report and the DM/Clerk Accord and Corporate Risk Profile.

**Topics:** Information on the Department's mission, mandate, operating environment, including its strategic objectives and strategic priorities.

**Format:** Paper and electronic, including CD ROM

**Program Record Number:** HRSDC EPP 034

### **Data Development**

**Description:** Information on projects associated with developing and maintaining HRSDC program data sources for the Purposes of evaluation and research.

**Topics:** Studies and projects on the development and maintenance of existing data systems for research and analysis purposes.

**Format:** Electronic and paper.

**Program Record Number:** HRSDC SPP 650

### **Employment Insurance Program Impact Analysis**

**Description:** Information on the analysis of the effects of employment insurance on claimants, their dependants, the unemployed and the economy in general.

**Topics:** Analysis of income protection for unemployed persons not receiving employment insurance benefits; studies of the extent to which the Employment Insurance Program facilitates labour market adjustments; assessment of

financial hardships experienced by employment insurance benefit exhaustees; studies of the employment insurance economic stabilization effects; assessment of the utility and appropriateness of employment insurance coverage for various groups of labour force participants.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC SPP 695

### **Employment Insurance Program Policy Development and Analysis**

**Description:** Information on the analysis and development of employment insurance policy to accommodate changing socio-economic and other influences affecting the labour market.

**Topics:** Studies and projects on the assessment of the economic and labour market effects of employment insurance; consideration of the adequacy of employment insurance benefit levels in relation to such factors as family composition and size, multiple-income families and different income classes; assessment of labour market efficiencies in light of such influences as an experience rating system; examination and forecasting of employment insurance benefit expenditures and revenues; analysis of maternity benefit program; assessment of the employment benefits and support measures of employment insurance.

**Format:** Paper and electronics.

**Program Record Number:** HRSDC SPP 690

### **Evaluation Services**

**Description:** Information on the efficiency and effectiveness of specific demonstration programs/projects and HRSDC programs.

**Topics:** Studies and projects on the assessment of specific ventures designed and assessment of overall effectiveness of HRSDC programs.

**Format:** Paper and electronic.

**Program Record Number:** HRSDC SPP 689

### **Federal-Provincial Relations**

**Description:** Information, briefings, policy and analysis of legislation and programs administered by HRSDC; policy, guidelines and strategies on federal-provincial relations and coordination.

**Topics:** Analysis of federal-provincial relations and strategies; negotiation of bilateral and multilateral agreements on legislated and policy-related issues and programs; analysis of reports and briefs from parliamentary committees, task forces, other levels of government, non-government organizations on issues related to HRSDC's mandate or that of other federal departments; analysis of federal-provincial repercussions of Cabinet documents and

proposed agreements on a variety of social and economic issues; background analysis and briefings on domestic issues and relations.

**Format:** Magnetic tapes and paper.

**Program Record Number:** HRSDC SPP 035

### International Affairs

**Description:** Information on projects associated with Canada's involvement in the activities of the Organization for Economic Cooperation and Development (OECD), mainly those of the Direction of Education, Employment, Labour and Social Affairs (DEELSA), in the activities of other international organizations (e.g. GB, European Union, etc.), as well as informal meetings between various countries.

**Topics:** Studies and projects addressing the analysis of papers and the preparation of briefing material for various meetings, notably of the OECD Employment, Education, Labour and Social Affairs (EESA), revision of the Inventory of Federal Employment and Human Resource Development Measures, analysis and briefings on papers and reports prepared for various international meetings and encounters.

**Format:** Paper and computer diskettes.

**Program Record Number:** HRSDC SPP 660

### Learning, Employment and Labour Policy

**Description:** Information concerning federal labour market policies.

**Topics:** Studies related to the development of learning, employment and labour policies; also information related to national and international labour mobility.

**Format:** Paper.

**Program Record Number:** HRSDC SPP 705

### Research and Development

**Description:** Conducts risk management assessments of various programs and program delivery services to research, identify and develop risk mitigation strategies and/or control programs.

**Topics:** Correspondence, reports, and pilot evaluations of various risk management / mitigations studies, pilots and developed control programs.

**Format:** Paper, disk, computer files.

**Program Record Number:** HRSDC ICD 030

### Strategic Evaluation

**Description:** Evaluation activities at the strategic level to support strategic policy development analysis, and to assess the socio-economic impacts of government's large expenditure programs in terms of achievement of broad government policy objectives and coherence in terms of interaction with other programs and policies.

**Topics:** Evaluation at the strategic level, including efficiency and effectiveness considerations of government's large expenditure programs.

**Format:** Paper and electronic storage.

**Program Record Number:** HRSDC SPP 657

### Workplace and Skills

#### Foreign Worker Program

**Description:** Policies, information, agreements and correspondence relating to employment of foreign workers.

**Topics:** Employer recruitment of foreign workers; recruitment and utilization of foreign workers in specific occupational and industrial groups; employer's name and address; and demographic area.

**Format:** Paper and electronic format.

**Program Record Number:** HRSDC WAS 385

#### National Employment Services System

**Description:** Provides data on jobs available, employers, job seekers, referrals to employment, and related data.

**Topics:** Federal government employment initiative.

**Format:** Online.

**Program Record Number:** HRSDC WAS 015

#### Employment Client Services

**Description:** The services support clients in their job search and career planning by providing information related to jobs, work, learning, education, occupations, careers, labour market information and work place issues. Data sources includes National Occupational Classification (NOC), Canadian Job Strategy, Participant Follow-up Survey, Jobs, Workers, Training and Careers Cluster (including Job Alert and Resume Builder) National Job Bank.

**Topics:** Federal Government Employment Initiative.

**Format:** Diskette, Tape, Online.

**Program Record Number:** HRSDC WAS 017

#### Occupational and Career Information

**Description:** Sectoral human resource profiles and classification of occupations and skills in the labour market.

**Topics:** Analysis of information concerning occupations, trades, crafts and professions; preparation and distribution of publications such as the Occupational Analysis Series on apprenticeable trades and the National Occupational Classification; Essential Skills profiles for employment systems; sectoral human resource studies and profiles; sectoral career information.

**Format:** Paper and electronic format.

**Program Record Number:** HRSDC WAS 455

## **Shared Services with Social Development Canada**

### **Financial and Administrative Services**

#### **Emergency Preparedness**

**Description:** Information on legislation, policy, correspondence and contingency plans relating to local, regional, national or international emergencies that affect HRSDC emergency support operations.

**Topics:** Policy, legislation, publications and manuals concerning emergency preparedness, national emergencies (as outlined in the Emergencies Act, 1988) and administration of emergency preparedness organizations; committee reports, briefs, submissions and plans of action on international or interdepartmental liaison and measures; regional emergency plans; specific plans (local office) for localized disasters (natural or technological); training courses and exercises.

**Format:** Paper.

**Program Record Number:** HRSDC FAS 050

### **Grants and Contribution File Reviews – The National Grants and Contributions Performance Tracking Directorate**

**Description:** HRSDC and Social Development Canada quality control mechanism to measure improvements and administration of grants and contribution programs, and support documents used by HRSDC and Social Development Canada Senior Management. The execution and reporting of file review and financial review verifications of Grants and Contributions programs.

**Topics:** PTD Semi-Annual Progress Reports, Tools and Methodologies.

**Format:** Microcomputer diskette, Internet, Intranet or paper.

**Program Record Number:** HRSDC FAS 060

### **Security**

**Description:** Policy guidelines and general correspondence on security and co-operation with the RCMP, CSIS and provincial bodies.

**Topics:** Policies and procedures on personnel, physical, communications, EDP and administrative security; administrative investigations; RCMP- HRSDC and Social Development Canada co-operation; CSIS- HRSDC and Social Development Canada co-operation; minutes of meetings; briefs, reports, plans.

**Format:** Paper, magnetic tapes.

**Program Record Number:** HRSDC FAS 055

### **Human Resources Branch**

#### **Competency Based Human Resources Management**

**Description:** This bank contains information on the implementation of Competency-Based Human Resources Management in HRSDC and Social Development Canada.

**Topics:** Articles, research reports, conference and meeting proceedings, reports, and correspondence.

**Format:** Paper, diskette, computer records.

**Program Record Number:** HRSDC HRS 010

#### **Departure Incentives**

**Description:** Early Retirement Incentive, Early Departure Incentive, and information on Workforce Adjustment Programs.

**Topics:** Interpretations, policy, legislation, guidelines, Compensation Reference Guide for employees.

**Format:** Paper, diskette, computer records.

**Program Record Number:** HRSDC HRS 015

#### **Employment Equity Data Report**

**Description:** Provides data derived from the 1991 Census and Health and Activities Limitation Survey (HALS) which show the representation of the four designated groups in the Canadian population, work force, labour force, level of educational attainment and occupational data.

**Topics:** Employers covered under the Legislated Employment Equity Program and the Federal Contractors Program.

**Format:** Diskette.

**Program Record Number:** HRSDC HRS 055

#### **Human Resources Planning**

**Description:** Database containing information on the efficient management of personnel.

**Topics:** Corporate policies, strategies and discussion papers.

**Format:** Paper, computerized files.

**Program Record Number:** HRSDC HRS 025

#### **Labour Market Agreements and Alternate Service Delivery**

**Description:** Human resource issues related to Labour Market Agreements and Alternative Service Delivery.

**Topics:** Correspondence, policy, guidelines, directives, agreements and complaints/grievances.

**Format:** Paper, computer files.

**Program Record Number:** HRSDC HRS 005

**Level Based Staffing**

**Description:** A pilot project, Level-Based Staffing is one of four initiatives included in HRSDC and Social Development Canada's Integrated Human Resources Model where employees would be appointed to a level rather than to a position and could rotate into the different sets of duties at level contained in that system, without the need for deployments or appointments.

**Topics:** Interpretations, policy, legislation, guidelines, discussion papers, correspondence, etc., regarding the implementation of a Level-Based Staffing System.

**Format:** Paper, diskette, computerized records.

**Program Record Number:** HRSDC HRS 030

**Official Languages Complaints**

**Description:** Program records include the official languages complaints lodged with the Commissioner of Official Languages with reference numbers.

**Topics:** The date, time and office location where the alleged incident occurred and any other supporting documentation pertaining to the complaint.

**Format:** Paper, computer files.

**Program Record Number:** HRSDC HRS 035

**Personnel Assessment**

**Description:** Assessment tools related to resourcing and recruitment in HRSDC and Social Development Canada.

**Topics:** This bank contains articles, research reports, manuals, correspondence, training materials and assessment tools related to resourcing and recruitment in HRSDC and Social Development Canada.

**Format:** Paper, computerized files.

**Program Record Number:** HRSDC HRS 040

**Systems****Control Management Services**

**Description:** Statistical information on investigation results.

**Topics:** Statistics

**Format:** Diskette.

**Program Record Number:** HRSDC SYS 007

**Standard Program Records**

Please see the INTRODUCTION to this publication for the definition of Standard Program Records and a description of their contents.

Access to Information and Privacy Requests

Accounts and Accounting

Acts and Legislation

Administration

Administration and Management Services

Audits

Automated Document, Records, Information Management Systems

Business Continuity Plans

Budgets

Buildings

Buildings and Properties

Classification of Positions

Co-operation and Liaison

Information Technology Services

Employment and Staffing

Equipment and Supplies

Finance

Furniture and Furnishings

Hospitality

Human Resources

Lands

Occupational Health, Safety and Welfare

Office Appliances

Official Languages

Pensions and Insurance

Personnel

Physical Security

Proactive Disclosure

Procurement

Relocation

Salaries and Wages

Staff Relations

Training and Development

Travel

Utilities

Vehicles

## Personal Information Banks

### Employment Programs Operations (EPO)

#### Labour Market and Official Language Minority Communities Directorate

##### Additional Labour Market Initiatives

**Description:** Participant and contractor information relating to Work-Sharing, Worksharing While Learning, the close-out-of-the Temporary Fisheries Income Program and the Severe Acute Respiratory Syndrome Grant Initiative. Participant information may include name, address, sex, marital status, Social Insurance Number, education, etc.

**Class of Individuals:** Clients who have participated in the programs listed above and persons and legal parties contracted under agreement to assist in the delivery of those programs listed above.

**Purpose:** To retain information on and monitor clients and effectiveness of the above-mentioned programs.

**Consistent Uses:** Client and agreement information is used by HRSDC for program accountability and evaluation purposes and may be shared with other HRSDC branches for statistical, planning, research, internal audit and evaluation. The participant and contractor information of these CRF and EI Part I funded programs is shared only with other internal branches for accountability/evaluation purposes.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC HRI 195

**TBS Registration:** 004468

**Bank Number:** HRSDC PPU 296

##### Employment Benefits and Support Measures

**Description:** Information relating to the Employment Benefits (Targeted Wage Subsidies, Self-Employment, Job Creation Partnerships, Skills Development, Targetted Earning Supplement (Supplément de retour au travail – Quebec only)) and Support Measures (Employment Assistance Services, Labour Market Partnerships, Job Creation Partnerships, Research and Innovation) programs administered directly by HRSDC (In Ontario, Newfoundland and Labrador, Nova Scotia, Prince Edward Island, British Columbia and Yukon), or similar provincial/territorial programs under the Transfer Labour Market Development Agreements (New Brunswick, Quebec, Manitoba, Saskatchewan, Alberta, Northwest Territories, and Nunavut). Participant information is available and may include information such as name, address, sex,

marital status, number of dependants, and social insurance number. Data and information gathered for the the EBSMs are maintained in a secure manner.

**Class of Individuals:** Employment Benefits are available to active EI clients or individuals who are eligible participants as defined in Section 58 of the Employment Insurance Act (EI Act) for whom a benefit period has been established; whose EI benefit period ended within the last 36 months; or who are re-entering the labour force after having left it to care for newborn or newly adopted children. These individuals must have a benefit period that began within the last 60 months during which they were paid maternity or parental benefits. Support Measures as identified above are designed to assist unemployed Canadians, including those clients who are not eligible for Employment Benefits. This may include individuals in need of assistance or legal parties contracted under agreement to assist in the delivery of those support measures listed above.

**Purpose:** To monitor the effectiveness of the above-mentioned programs.

**Consistent Uses:** Information is used by HRSDC and may be shared for the purposes of program delivery, statistics, planning, research, internal audit and/or evaluation.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC HRI 293

**TBS Registration:** 004158

**Bank Number:** HRSDC PPU 293

### Opportunities Fund for Persons with Disabilities

**Description:** Participant and agreement holder information relating to the Opportunities Fund (OF) for Persons with Disabilities which is an employment program to assist person with disabilities to prepare for and obtain employment or self-employment, as well as to develop the skills necessary to maintain that employment. Personal information collected includes name, mailing address, telephone number, gender, marital status, Social Insurance Number (SIN), education, self-identification of permanent physical or mental disability, as well as information on the services they have used. This information is under the administration of Social Development Canada.

**Note:** “Eligible participant” means a person with a disability who is unemployed, legally entitled to work in Canada, requires assistance to prepare for or obtain employment or become self-employed. An individual must self-identify as

having a permanent physical or mental disability.  
**Class of Individuals:** Individuals and individuals representing organizations that have applied to and/or are under agreement to assist in the delivery of or participate in OF services.

**Purpose:** This information is used to administer and monitor the effectiveness of OF through evaluation activities, as well as maintaining information about individuals and organizations who have applied to and/or are under agreement to assist in the delivery of or participate in OF services.

**Consistent Uses:** Information collected for the OF is under the administration of Social Development Canada (SDC) and is shared with Human Resources and Skills Development Canada (HRSDC) for program administration purposes. As in person services are delivered by HRSDC, HRSDC collects the participant and contractor information to administer the Consolidated Revenue Fund program. SDC uses the information for program accountability and evaluation purposes. The information may also be shared with other SDC branches for statistical, planning, research, internal audit and evaluation purposes. As per the Treasury Board Secretariat policy on the Use of the Social Insurance Number, OF is an authorized user of the SIN.

**Retention and Disposal Standards:** Retention and Disposal Standards are to be established.

**RDA Number:** TBD

**Related PR#:** HRSDC HRI 195

**TBS Registration:** 006228

**Bank Number:** HRSDC PPU 300

#### **Temporary Fisheries Income Programs**

**Description:** Information includes age, education, employment history, wages and other sources of income, training, mobility and benefit rates gathered through application to the Temporary Fisheries Income Program (TFIP).

**Class of Individuals:** Fishers and plant workers who have been affected by the closure of the three cod fishing stocks and crab fishery in the Gulf of St. Lawrence. Now in close-out.

**Purpose:** To assist the Department in monitoring and reviewing the above-mentioned cost-shared program. This program provided income support to clients who have been affected because of declining fish stocks in the Atlantic fishery.

**Consistent Uses:** Information is used by HRSDC and may be shared for the purposes of program delivery, statistics, planning, research, internal audit and evaluation.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC HRI 195.

**TBS Registration:** 004169.

**Bank Number:** HRSDC PPU 012

#### **Insurance Branch**

##### **Automated Earnings Reporting System (AERS)**

**Description:** This bank contains information received from employers who voluntarily participate in the program. Each record may contain the SIN, pay periods worked, and the gross earnings received, the employer's name, address and Canada Revenue Agency (CRA) – Business number.

**Class of Individuals:** EI claimants.

**Purpose:** To administer the Act, to detect unreported work and earnings of claimants.

**Consistent Uses:** Information may be used for internal audit purposes and may be provided to find Commission debtors whose whereabouts are unknown.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 230

**TBS Registration:** 002366

**Bank Number:** HRSDC PPU 215

##### **Benefit and Overpayment File**

**Description:** This bank is a computerized record of benefit information based on documents used to establish first and continuing entitlement. It may include a routing number to the claimant's account at a financial institution. It may also contain information from Canada Revenue Agency (CRA) PAYDAC and Taxation Taxpayer Master Files.

**Class of Individuals:** Individuals who are receiving or have received employment insurance benefits.

**Purpose:** To determine the status of a claim, whether benefits are payable or not the amount and method of payment (direct deposit or warrant). To keep a record of each payment or adjustment made during the life of the claim.

**Consistent Uses:** Information is used for statistical, internal audit and planning purposes. Selected information is duplicated in an income tax system for issuance of T4Es and related statements, and is provided to Canada Revenue Agency and Revenu Québec for taxation purposes. It may also be shared with Statistics Canada for statistical, analytical and planning purposes, with Canada Revenue Agency for locating debtors to the Crown, and subject to formal agreement, with federal, provincial and municipal levels of government for the administration and enforcement of their programs and the coordination of payment benefits and



research. Information may also be shared with employers in order to assist them in fulfilling their responsibilities under the EI Act. It may be shared with the Department of Justice for the Purpose of administering the Family Orders and Agreements Enforcement Assistance Act. Information is shared with authorized parties in order to obtain information to assist the Commission in the administration of the EI program and in the collection of overpayments. Some of the information may be provided to private sector survey companies for evaluations, research, statistical and planning purposes.

**Retention and Disposal Standards:** Records are retained for 6 years.

**RDA Number:** 70/001

**Related PR#:** HRSDC INS 190

**TBS Registration:** 002362

**Bank Number:** HRSDC PPU 180

#### **Business Registration Investigation (BRI)**

**Description:** This program verifies if a person has become involved in the operation of a business while in receipt of Employment Insurance benefits. The BRI uses data obtained from Canada Revenue Agency.

**Class of Individuals:** Individuals that have applied for EI benefits.

**Purpose:** To determine if individuals that have applied for employment benefits and have obtained a Business number or engaged in a business while on claim and have not declared this activity.

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC ICD 015

**TBS Registration:** 004159

**Bank Number:** HRSDC PPU 080

#### **Computer Post Audit Program (CPA)**

**Description:** This program is designed to prevent, detect and deter abuse against the Employment Insurance fund by comparing the information provided on a Record of Employment with the EI Claim file.

**Class of Individuals:** EI claimants.

**Purpose:** Administration of the EI Act; to identify cases of undeclared work and earnings.

**Consistent Uses:** Information is used for the Reason for Separation Program (RFS) for the purpose of undisclosed reason for separation and is also used for the Investigation and Control Case

management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 017 and HRSDC INS 525

**TBS Registration:** 004160

**Bank Number:** HRSDC PPU 090

#### **Contract Agents List**

**Description:** Information on the agent such as name, address, qualifications and work experience and information pertaining to the individual's activity as an agent.

**Class of Individuals:** Claims-taking agents under contract with HRSDC

**Purpose:** Information is used to identify and monitor the activities of claims-taking agents under contract with HRSDC.

**Consistent Uses:** Information may be used for audit purposes, and may also be provided to private sector research firms under contract with HRSDC for the purposes of planning, statistics, research and evaluation.

**Retention and Disposal Standards:** Records are kept for 3 years after the individual ceases to be a contract agent.

**RDA Number:** 70/001

**Related PR#:** HRSDC INS 260

**TBS Registration:** 002363

**Bank Number:** HRSDC PPU 185

#### **Employment Insurance – CPP Retirement Match**

**Description:** This is a program that verifies if a person is receiving CPP Retirement Pension while in receipt of Employment Insurance benefits.

**Class of Individuals:** EI Claimants.

**Purpose:** To detect EI claimants who have not reported receiving CPP Pension while on claim.

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 525 and HRSDC ICD 015

**TBS Registration:** 004162

**Bank Number:** HRSDC PPU 095

### Employment Insurance Bi-Weekly Claimant's Report

**Description:** Electronic telephone reports (Teledec) may include the following types of information: date, time and length of call, SIN, dates covered, success or termination status of call, assistance level of call, the individuals confirmed touch-tone responses the declaration of dates available for work, earnings, illness or medical condition, hours of attendance at school or training and employer telephone number. Paper reports may include the following types of information: SIN, dates covered, the individual's signed declaration of the dates available for work, earnings, illness or medical condition, attendance at school or training and name and address of employer. Individual seeking access to this file must specify the two-week period covered by the report card they wish to consult.

**Class of Individuals:** Individuals on claim for employment benefits and unemployment benefits.

**Purpose:** To provide a record of claimants' eligibility to benefits during a two-week period.

**Consistent Uses:** Information from this bank may be used for research, planning, evaluation and statistics and for control and internal audit purposes. It may also be provided to private sector research firms for these purposes. It may also be shared with the RCMP for fraud investigations.

**Retention and Disposal Standards:** Report cards (papers) are destroyed immediately after microfilming. Microfilmed copies are retained for 4 years and then destroyed.

**RDA Number:** 70/001 amendment #5.

**Related PR#:** HRSDC INS 180, and HRSDC INS 190

**TBS Registration:** 002361

**Bank Number:** HRSDC PPU 155

### Employment Insurance Overpayment

**Description:** This bank contains name, address, telephone number and SIN of individuals to whom financial penalties have been assessed and/or overpayments have been made. It may also contain amounts repaid and outstanding, present claim status, credit reports, tracing actions and comments of claimants and collecting officers, and other related correspondence.

**Class of Individuals:** Individuals who have received employment insurance benefits in excess of entitlement.

**Purpose:** To record and monitor the collection of outstanding employment insurance overpayments.

**Consistent Uses:** Information in this bank may be used by HRSDC for research, planning, evaluation, statistics and may be provided to

private sector research firms for these. This bank is matched with Report on Hirings (HRSDC PPU 210), DARS (HRSDC PPU 164), and the Individual Income Tax Return (RCT PPU 005).

**Retention and Disposal Standards:** Information is retained for 3 years after the overpayments are repaid, recouped or cancelled.

**RDA Number:** 70/001

**Related PR#:** HRSDC INS 230

**TBS Registration:** 002402

**Bank Number:** HRSDC PPU 161

### False Claim Detection Program (FCDP)

**Description:** This is a program to detect EI fraud using false identities, false Record of Employment (ROE's) or a combination of both.

**Class of Individuals:** EI claimants.

**Purpose:** To qualify for EI benefits, a person must have been employed in insurable employment and therefore should have filed a tax return and should have been issued a T-4 by their employer. Observations are created for those persons who have not filed a tax return in the last 4 years but were receiving EI benefits.

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 017

**TBS Registration:** 004163

**Bank Number:** HRSDC PPU 108

### Government Annuities

**Description:** Contains the annuitant's contract number, name, SIN, sex, date of birth, beneficiary, address, records of employment with group policy holders, bank account number as well as premiums, annuity purchased or being paid, contract terms and conditions and taxation information. The bank may be accessed by use of a contract number if it is known.

**Class of Individuals:** People who bought government annuity as private individuals or through pension fund contributions.

**Purpose:** To administer annuity contracts.

**Consistent Uses:** The information is shared for administrative purposes with Public Works and Government Services Canada. It is also shared with Canada Revenue Agency – Taxation and Revenu Québec. It may also be provided to private sector research firms for planning, statistics, research, and evaluation.

**Retention and Disposal Standards:** Records are destroyed 5 years after all benefits from the annuities have been paid.

**RDA Number:** 69/115

**Related PR#:** HRSDC INS 605

**TBS Registration:** 002395

**Bank Number:** HRSDC PPU 395

#### **Insurance Claim File – Local Office**

**Description:** May include the following type of information: name, SIN, age, date of birth, sex, address and telephone number, bank routing information for direct deposit of benefit payment, preferred official language, income tax exemption level, summary of employment data for up to 3 years, educational instruction currently being received, participation in employment development programs, incarceration, medical certificates, appeals to Boards of Referees, disentitlement notices, disqualification notices, Canada Revenue Agency assessment notices, correspondence regarding overpayment, and other related matters, amount and duration of employment insurance benefits payable, any interviews or investigations conducted by HRSDC staff, documentation obtained by Canada Revenue Agency relative to determining insurable employment and earnings, penalties or criminal procedures undertaken for fraud in connection with the EI Act. May also include information from the Canada Revenue Agency PAYDAC and Taxation Taxpayer Master Files. All requests for access must include the SIN.

**Class of Individuals:** Individuals who have applied for EI benefits.

**Purpose:** To administer the EI program.

**Consistent Uses:** Information from this bank is used within HRSDC for the administration of all Insurance, EPO and Learning Programs including the provision of training to claimants as required, and for statistical, planning and internal audit purposes, and may be provided to private sector research firms for the same purposes. It may also be shared with the RCMP for fraud investigation. Information may also be shared, subject to formal agreement, with federal, provincial and municipal governments for the administration of their own programs or for the administration or enforcement of provincial laws. Information may also be shared with employers for the Purpose of assisting them with their responsibilities under the EI Act.

**Retention and Disposal Standards:** Records are retained for 6 years after the last administrative action.

**RDA Number:** 70/001

**Related PR#:** HRSDC PPU 180 and HRSDC INS

260

**TBS Registration:** 001989

**Bank Number:** HRSDC PPU 150

#### **Insured Earnings Match (IEM)**

**Description:** IEM is a computerized investigative program which compares files provided to HRSDC from Canada Revenue Agency (T4-Supplementaries) to the EI Claim File using a formula to indicate the possibility of unreported work and earnings. **Class of Individuals:** EI claimants.

**Purpose:** To identify claimants whose actual insurable earnings are in excess of their projected or possible insured earnings during the tax year under review, who may be working while on claim and have not reported it.

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 017

**TBS Registration:** 004164

**Bank Number:** HRSDC PPU 115

#### **Interstate Employment Insurance Claims**

**Description:** Statistics relative to liable and agent state claims. Individuals may gain access by supplying either their SIN or their Social Security Number.

**Class of Individuals:** The claimants identified in this bank are divided into 2 groups: agent state claimants who are Canadians or non-Canadian residents in each of the employment insurance regions of Canada, and liable state claimants with working visas or U.S. citizenship or landed immigrants residing in all American States, the district of Columbia, Puerto Rico or the Virgin Islands.

**Purpose:** To facilitate the payment of EI benefits to persons in all American States, the District of Columbia, Puerto Rico, Virgin Islands, and Canada residing outside the state in which their entitlement was earned. To create, maintain, and control claim files when Canada is the Agent State and to provide administrative assistance to liable states concerned. To create, maintain, control, adjudicate, and provide payment of benefit when Canada is the liable state.

**Consistent Uses:** The information in this may be used by HRSDC or private sector research firm for the purposes of research, planning, evaluation, internal audit, and statistics.

**Retention and Disposal Standards:** The

records are retained for 5 years after the last action.

**RDA Number:** 70/001

**Related PR#:** HRSDC INS 260

**TBS Registration:** 001990

**Bank Number:** HRSDC PPU 170

### **Investigation and Control Case Management System (ICCM)**

**Description:** This system records progress and results of potential Employment Insurance investigations as identified from various feeders such as the Combined Overpayment Detection System (COD), the Control Indicator System, and the Insured Earning Match (IEM).

**Class of Individuals:** Individuals that have applied for Employment Insurance (EI) benefits.

**Purpose:** To record the progress and results of investigations of potential fraud and abuse of the EI program. A correspondence system prints letters to EI claimants and to employers upon request. Operational and managerial reports are also produced.

**Consistent Uses:** Data is used to track EI investigations, to generate letters to claimants and to employers on earnings and/or reason for separation issues, and to produce operational and managerial reports.

**Retention and Disposal Standards:** The information is retained for up to 5 years.

**RDA Number:** 70/001

**Related PR#:** HRSDC ICD 020

**TBS Registration:** 005101

**Bank Number:** HRSDC PPU 171

### **List of Chairpersons and Members of Boards of Referees**

**Description:** Contains names, addresses, experience and work histories.

**Class of Individuals:** Chairpersons, members of Boards of Referees.

**Purpose:** To maintain a list of chairpersons and members of Boards of Referees who hear appeals against Commission decisions to deny employment insurance benefits.

**Consistent Uses:** May be used for planning, statistics, and research purposes.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 210

**TBS Registration:** 002364

**Bank Number:** HRSDC PPU 195

### **Listing of Employees by Nominal Roll**

**Description:** Contains information received from employers involved in labour disputes. Each record may contain the employee's name, SIN,

badge or clock number, information pertaining to a stoppage of work, first and last day worked, site location, reason for separation, return to work date and types/amounts of additional monies paid.

**Class of Individuals:** Employees involved in labour disputes, or related claims for EI benefits or monies paid to individuals.

**Purpose:** To administer the EI Act in determining eligibility and to facilitate in the processing of claims.

**Consistent Uses:** Information in this bank is used within HRSDC to administer Insurance and Employment programs, and for statistical, planning and internal audit purposes and may be shared with private sector research firms for these purposes. It may also be provided to the RCMP for investigation of offenses against the EI Act, subject to formal agreement it may be shared with federal, provincial, and municipal governments for the administration of their own programs. It may also be shared with employers for the purpose of assisting them with their responsibilities under the EI Act.

**Retention and Disposal Standards:** Records are destroyed 3 years after the last action.

**RDA Number:** 70/001

**Related PR#:** HRSDC INS 260

**TBS Registration:** 003409

**Bank Number:** HRSDC PPU 281

### **Record of Employment (Second Copy)**

**Description:** Copies of individual Record of Employment forms. Each record may contain employee's name, address, SIN, and occupation, employer's name, address, and CRA business number; data pertaining to length of employment, date and reason for separation, expected date of recall, and insurable weeks and earnings. All requests for access must identify the period of employment covered by the record of employment.

**Class of Individuals:** Employment Insurance claimants as well as those people who changed jobs but did not claim employment insurance benefits.

**Purpose:** Used in the administration and enforcement of the Employment Insurance Act.

**Consistent Uses:** Statistical, planning and internal audit purposes. The information may also be provided to private sector research firms for planning, statistics, research and evaluation. Subject to formal agreement, some information may be shared with other federal or provincial departments for planning, research and evaluation. Information may also be shared with the Department of Justice for the administration of the Family Orders and Agreements Enforcement

Assistance Act. It may also be released to the issuing employer in exceptional circumstances. Release of information is subject to Section 127 of the Employment Insurance Act.

**Retention and Disposal Standards:** ROE (Second Copy) are destroyed immediately after being microfilming. Microfilmed copies \ are retained for 11 years and then destroy.

**RDA Number:** M-4-86 Records of Employment stored in electronic format will be kept 11 years and then destroyed.

**RDA Number:** 96/023

**Related PR#:** HRSDC INS 270

**TBS Registration:** 001971

**Bank Number:** HRSDC PPU 385

### Report on Hirings

**Description:** This bank contains information received from employers who voluntarily participate in the program. Each record contains the employee's SIN, the date of the first day worked and badge or payroll number is applicable, the employer's name, address and Canada Revenue Agency – Business number. The data received from employers is matched against benefit records to detect unreported work and earnings.

**Class of Individuals:** EI claimants.

**Purpose:** To administer the EI Act, to detect unreported work and earnings of claimants.

**Consistent Uses:** Information may be used for internal audit purposes and may be provided to find Commission's debtors whose whereabouts are unknown. Information may also be shared with Statistics Canada and private sector research firms for statistical, analytical, planning, and research and evaluation purposes.

**Retention and Disposal Standards:** To be established.

**Related PR#:** HRSDC ICD 015

**RDA Number:** To be established.

**TBS Registration:** 002367

**Bank Number:** HRSDC PPU 210

### Returning Canadian Resident Program (RCRP)

**Description:** A detection program which compares data from Canada Revenue Agency and EI Claim information.

**Class of Individuals:** EI claimant returning to Canada by air.

**Purpose:** Using information obtained from Canada Revenue Agency, to detect claimants who have neglected to report their absence from Canada. Discrepancies are investigated.

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports

beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC ICD 015 and HRSDC INS 190

**TBS Registration:** 004165

**Bank Number:** HRSDC PPU 120

### Self Employed Earnings Match (SEEM)

**Description:** This program uses data obtained from Canada Revenue Agency (CRA) to verify if a person has been involved in self-employment while in receipt of Employment Insurance benefits.

**Class of Individuals:** EI claimants involved in self-employment activity.

**Purpose:** To investigate claimants involved in self-employment who have not declared their activity while on claim.

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 017

**TBS Registration:** 004166

**Bank Number:** HRSDC PPU 125

### The Combined Overpayment Detection System (COD)

**Description:** Information from the EI Claim File.

**Class of Individuals:** EI Claimants.

**Purpose:** The COD system matches transactions from several information sources to the EI Claim File to determine overlap periods of employment and the receiving of Employment Insurance benefits.

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 525

**TBS Registration:** 004167

**Bank Number:** HRSDC PPU 085

### The Front-End SIN Validation Program

**Description:** This program identifies irregularities involving SIN holders.

**Class of Individuals:** EI claimants.

**Purpose:** This program collects the SINs of all incoming claims and, on a weekly basis, matches

them against the Social Insurance Registry (SIR).

**Consistent Uses:** Information used for the Investigation and Control Case Management System (ICCM) which produces a number of monthly operational and managerial reports beneficial to the operations of the Directorate.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 017 and HRSDC INS 525

**TBS Registration:** 004168

**Bank Number:** HRSDC PPU 118

### Voluntary Disclosure Log

**Description:** Information collected up to September 1, 1989 regarding individuals including name, SIN, date of disclosure, office where disclosure was made, life of claim, number of offenses disclosed, and amount of overpayment.

**Class of Individuals:** Individuals who have applied for Employment Insurance benefits and have voluntarily disclosed that they have knowingly made false statements to obtain benefits.

**Purpose:** To maintain a central repository of persons who voluntarily reveal to the Commission that they have knowingly made false statements to obtain benefits. Information is used to ensure that a person benefits from the voluntary disclosure only once.

**Consistent Uses:** Internal audit. Information may be provided to private sector research firms for planning, statistics, research and evaluations.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 230

**TBS Registration:** 002365

**Bank Number:** HRSDC PPU 205

### Labour Program

#### Canada Labour Code Part II – Occupational Health and Safety

**Description:** Information contained in this bank includes reports records dealing with health and safety matters in the workplace. The files contain information obtained during the course of an investigation, inspection or counselling activity.

**Class of Individuals:** Employees, employers and unions subject to federal jurisdiction.

**Purpose:** Record, enquire into and resolve various issues in connection with the application of the Canada Labour Code Part II (Occupational Health and Safety).

**Consistent Uses:** To determine if a violation exists under the Canada Labour Code, if the violation can be resolved between the parties, or if

legal action is necessary. The information is used for statistical, planning and audit purposes. It may be used to provide information collected to a third party for the purpose of policy analysis, research and evaluation. It may also be provided to a third party for translation and transcribing purposes.

**Retention and Disposal Standards:** Records are retained for 10 years and then transferred to National Archives of Canada.

**RDA Number:** 69/131

**Related PR#:** HRSDC LAB 230

**TBS Registration:** 003326

**Bank Number:** HRSDC PPU 024

### Canada Labour Code Part III – Labour Standards

#### Labour Standards

**Description:** Information contained in this bank includes reports and records dealing with labour standards in the workplace. The files contain information gathered during an investigation, inspection or counselling activity.

**Class of Individuals:** Employees, employers and unions subject to federal jurisdiction.

**Purpose:** Record, enquire into and resolve various issues in connection with the application of the Canada Labour Code Part III (Labour Standards).

**Consistent Uses:** To determine if a violation exists under the Canada Labour Code, if the violation can be resolved between the parties, or if legal action is necessary. The information is used for statistical, planning and audit purposes. It may be used to provide information collected to a third party for the purpose of policy analysis, research and evaluation. It may also be provided to a third party for translation and transcribing purposes.

**Retention and Disposal Standards:** Files are retained for two years after settlement of complaint.

**RDA Number:** 69/135, Amendment 4

**Related PR#:** HRSDC LAB 185

**TBS Registration:** 000445

**Bank Number:** HRSDC PPU 006

#### Conciliation Commissioner/Board Members Files

**Description:** Information contained in this file includes names, addresses of non-governmental persons who have either acted for Dispute Resolution Services, FMCS in the role of conciliation commissioners and board chairpersons, or who possess the required experience and qualifications to undertake third party work. In some cases, the files contain curricula vitae relating to the person's involvement in industrial disputes at the provincial level, or in

respect of the service.

**Class of Individuals:** Canadian citizens.

**Purpose:** To assist FMCS in recommending suitable persons to act as conciliation commissioners and board chairpersons in reaching settlements of collective bargaining disputes, pursuant to the jurisdiction of the Canada Labour Code, Part I.

**Consistent Uses:** To maintain a list of qualified persons.

**Retention and Disposal Standards:** Two years after a person advises the Director General, FMCS that they no longer wish to be considered for the position of Conciliation Commissioner or Conciliation Board Chairperson.

**RDA Number:** 70/004, Amendment 1.

**Related PR#:** HRSDC LAB 040

**TBS Registration:** 000451

**Bank Number:** HRSDC PPU 036

#### **Federal Mediation and Conciliation Service - Client Access Management System**

**Description:** Information contained in the automated file includes names, addresses, telephone and facsimile information for dispute resolution professionals and persons who have been the recipients of FMCS services.

**Class of Individuals:** Canadian citizens.

**Purpose:** Mailing list. Portions of the list may be provided to a third party for the purpose of policy analysis, research and evaluation.

**Consistent Uses:** To maintain an up-to-date mailing list.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC LAB 145

**TBS Registration:** 005225

**Bank Number:** HRSDC PPU 050

#### **Government Employees Compensation - Compensation Claim Files**

**Description:** Information contained in this bank includes reports of accidents, claims for compensation, supporting medical documents, correspondence and records of monies paid.

**Class of Individuals:** Federal government employees and seamen employed on vessels register in Canada. Suitable proof of identification will be required from those requesting access.

**Purpose:** To record all claims for compensation under the Government Employees' Compensation Act and the Merchant Seamen Compensation Act.

**Consistent Uses:** To establish validity of claims and to determine claimants' monetary entitlement.

**Retention and Disposal Standards:** Five years after merchant seamen claims settled and three years after federal government employees' claims

are settled, then complete files are microfilmed. Microfilm retained for 100 years.

**RDA Number:** 69/089, Amendment 1

**Related PR#:** HRSDC LAB 025

**TBS Registration:** 000450

**Bank Number:** HRSDC PPU 032

#### **Government Employees Compensation - Inmates Injury Compensation**

**Description:** Information contained in this bank includes accident reports, claims for compensation, supporting medical documents, correspondence and records of sums of money paid.

**Class of Individuals:** Inmates and former inmates of federal penitentiaries. Persons who wish to consult the files are required to present proper identification.

**Purpose:** To record all claims under the Correctional System and Conditional Release Regulations.

**Consistent Uses:** To establish the validity of claims and determine inmates' monetary entitlement.

**Retention and Disposal Standards:** Five years after settlement of the claim, but before disposal, the complete file is microfilmed. Microfilms are retained for one hundred years.

**RDA Number:** 84/013

**Related PR#:** HRSDC LAB 235

**TBS Registration:** 000449

**Bank Number:** HRSDC PPU 026

#### **International Labour Organization Files**

**Description:** Information contained in this bank includes recommendations for payment, claims, invoices, contracts, transportation costs or tickets, hotel bills, hospitality claims and correspondence related to their costs, copies of cheque requisitions, proof of claims, journal vouchers with regard to salary changes, and standing advances.

**Class of Individuals:** Canadian citizens residing in Canada.

**Purpose:** To record all sums of money (accounts payable) to an individual attending an International Labour Organization conference.

**Retention and Disposal Standards:** Records are retained for 6 fiscal years.

**RDA Number:** 99/004

**Related PR#:** HRSDC LAB 120

**TBS Registration:** 000455

**Bank Number:** HRSDC PPU 064

#### **Laboratory Recording and Reporting System**

**Description:** The Laboratory Recording and Reporting System is a multifunction database for recording investigations of occupational health and safety. The information holdings include

and safety. The information holdings include employers, employer work sites, chemical exposure levels, industry sectors, work functions and an array of instruments used to conduct safety and health investigations. The names, telephone numbers and work addresses of active and retired Labour Program Inspectors are contained within the database. The database contains laboratory reports of chemical analyses conducted for workers within the federal jurisdiction of labour. The database contains calibration records for field deployable instruments that have been maintained by the Industrial Hygiene Laboratory on behalf of the Labour Program and external partners such as Transport Canada.

**Class of Individuals:** Individuals identified in the data bank are inspectors and officials employed for the delivery of occupational health and safety. Employers within the federal jurisdiction of labour are identified, as are their worksites across Canada. Employees are not identified by name, however work functions are identified for worksites, example, sweeper within a grain elevator, bank teller, stevedore, etc.

**Purpose:** The database has a single focus, to assist in identifying unhealthy worksites and chemical dangers for the Purpose of occupational health and safety. The information bank is the record of occupational health and safety inspections by Labour Program and Human Resources and Skills Development Canada in the investigations into worker exposures for hazardous physical and chemical substances. The database identifies worker exposures to asbestos fibres, benzene, solvents and a variety of other workplace substances and relates exposure to these substances by workers at Canadian worksites within the federal jurisdiction. This database has also been used to create field sampling forms, which contain the names of individual workers who have willingly participated in sample collection at their worksite. The Industrial Hygiene Laboratory Information holding go back to 1979-1980. Electronic information exists since 1984 until the present.

**Consistent Uses:** The information may be used for statistical purposes. The information may also be shared with provincial workers' compensation boards.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC LAB 240

**TBS Registration:** 005123

**Bank Number:** HRSDC PPU 051

### **Labour Adjustment Benefits Claim File Local Office**

**Description:** May contain summary employment data for up to 35 years, proof of age, notification of qualification and non-qualification, correspondence regarding overpayments, entitlement information on certification and other related matters. The bank may also record the weekly payments, deductions, date on which the person will be 65 years old, and any information concerning interviews held with HRSDC staff.

**Class of Individuals:** Individuals claiming labour adjustment benefits.

**Purpose:** The administration of the Labour Adjustment Benefits Program.

**Consistent Uses:** Information may be shared with the Labour Adjustment Review Board, and with the RCMP in cases of fraud. It may also be used within HRSDC and by private sector research firms for statistical, planning, internal audit, research and evaluation purposes.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC INS 185

**TBS Registration:** 002368

**Bank Number:** HRSDC PPU 220

### **Non-smokers' Health Act**

**Description:** Information contained in this bank includes reports and records dealing with matters related to the application of the Non-smokers' Health Act in workplaces under federal jurisdiction. The files contain information obtained during the course of inspections, investigations, counselling/promotion activities and/or the service of a ticket or prosecutions.

**Class of Individuals:** Employees and employers under federal jurisdiction as well as members of the public in workplaces under federal jurisdiction.

**Purpose:** Record, enquire into and resolve various issues in connection with the application of the Non-smokers' Health Act.

**Consistent Uses:** To determine if a violation exists under the Non-smokers' Health Act, if the violation can be resolved by the employer, or if legal action is necessary. The information is used for statistical and planning purposes.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC LAB 041

**TBS Registration:** 005275

**Bank Number:** HRSDC PPU 098



### **Unjust Dismissal Adjudicators, Grievance Arbitrators and Wage Recovery Referees**

**Description:** Information contained in this bank includes names, addresses, curricula vitae of the individuals available for Ministerial Appointment of unjust dismissal adjudicators, grievance arbitrators and wage recovery referees.

**Class of Individuals:** Canadian citizens.

**Purpose:** To assist FMCS in recommending suitable persons to act as grievance arbitrators unjust dismissal adjudicators, and wage recovery referees pursuant to the Canada Labour Code, Part I and Part III.

**Consistent Uses:** To maintain a list of qualified persons.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC CAB 045

**TBS Registration:** 000452

**Bank Number:** HRSDC PPU 041

### **Workplace Information Directorate**

**Description:** Information contained in this bank includes names, addresses and/or telephone numbers and/or e-mail addresses of clients of the Workplace Information Directorate's information service.

**Class of Individuals:** Human resources and industrial relations practitioners and the general public in Canada and abroad.

**Purpose:** To receive and respond to requests for information on collective bargaining and industrial relations.

**Consistent Uses:** To record client information for response, follow-up and promotional purposes.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC LAB 145

**TBS Registration:** 005227

**Bank Number:** HRSDC PPU 059

### **Workplace Information Directorate - Marketing Database**

**Description:** Information contained in this bank includes names, addresses, telephone numbers, and e-mail addresses of subscribers/users of the Workplace Information Directorate's products.

**Class of Individuals:** Human resources and industrial relations practitioners in Canada and abroad.

**Purpose:** To activate subscriptions and/or provide access to the Directorate's publications and/or labour relations information database.

**Consistent Uses:** To maintain subscriber information for activation, product delivery and promotion, renewal and follow-up purposes.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established.

**Related PR#:** HRSDC LAB 145

**TBS Registration:** 005226

**Bank Number:** HRSDC PPU 060

### **Learning Branch**

#### **Canada Education Savings Grant Program (CESG)**

**Description:** This data bank contains information on Registered Education Savings Plans (RESPs), including Social Insurance Numbers (SINs), addresses, dates of birth, and gender for both RESP beneficiaries and RESP contributors. It also includes financial information related to RESPs, the financial institution Business Number, and grant processing information. The data bank uses the beneficiary SIN as the primary identification field. The beneficiary's SIN is collected under the authority of Part III.1 of the Human Resources Development Act.

**Class of Individuals:** Individuals identified in this data bank are either contributors (subscribers) to or beneficiaries of Registered Education Savings Plans. Beneficiaries aged 0-17 are eligible for CESG based upon contributions made to RESPs.

**Purpose:** The information in this data bank is used for the administrative Purpose of processing requests for the Canada Education Savings Grant. This data bank maintains information on CESG beneficiary accounts, based upon transactions sent to HRSDC from banks, mutual fund companies and educational trust funds. This data bank is used to account for all amounts of the CESG paid for beneficiaries. A validation is performed on all transactions to determine grant eligibility.

**Consistent Uses:** This data bank is used for program management, evaluation and policy analysis purposes, including program monitoring, conducting socio-economic analyses and forecasting statutory payments of CESG. The beneficiary's SIN is validated with the Social Insurance Number Registration data bank (number SDC PPU 390) to determine grant eligibility. The personal information in this data bank may be disclosed to the Canada Revenue Agency for RESP registration and monitoring purposes under subsection 33.5(2) of the HRD Act. The information may also be disclosed to Statistics Canada for program evaluation purposes under the same legislative authority.

**Retention and Disposal Standards:** To be established.

**RDA Number:** To be established

**Related PR#:** HRSDC NDP 005

**TBS Registration:** 005100

**Bank Number:** HRSDC PPU 506

### **Canada Student Loans (Full Time & Part-Time) -- Computer Loans Master File**

**Description:** This bank includes information about individuals who have borrowed money through the Canada Student Loans Program. Data includes individual loan documentation, social insurance number, name, date of birth, sex, correspondence and detailed information on personal financial circumstances related to the borrower, including a borrower's repayment information. The Social Insurance Number Registration may be used to verify the applicant's name, social insurance number, date of birth and sex. This databank also includes information on borrowers who applied for Interest Relief and Debt Reduction in Repayments and includes data on their family size, gross family income, monthly Canada student loan payment amounts and the date and duration of Interest Relief and the date and approved amounts of reductions in principal of a student loan. In addition, information related to claims paid as a result of a student being in arrears on their loan payments on the guaranteed loans portfolio and for loans returned to the government on the direct loans portfolio (Loans issued after August 2000) of the Canada Student Loans Program. Information on claims paid as a result of a student's death or disability are also include in this databank. The information is copied from the following databanks: the data files exclusive to student loans of the Departmental Accounts Receivable System (DARS) from the Department of Social Development (SD) who process the collection and recovery of defaulted loans for the CSLP; Student loans and grants application and assessment information, as processed by participating provincial/territorial governments on behalf of HRSDC. The purpose of the bank is to maintain information of on the history of student loan and grant recipients in a form useful for research, evaluation and policy analysis. It is used for the research and for the evaluation of student's financial needs, loans and grants disbursed, in-study interest subsidy benefits, debt management programs and to elaborate or modify policies related to the program. The bank is used exclusively for policy formulation, research and evaluation purposes and cannot be used for any administrative purposes. All personal identifiers are masked and are only unmasked through limited and approved procedures for specific projects, e.g. to conduct a survey of clients. Individuals seeking access to this information bank must provide name, social

insurance number and date of birth, and may only access their own records. Information concerning an individual's loan records may not be released to a third party without written authorization from the individual concerned.

**Class of Individuals:** Individuals with Canadian citizenship or landed immigrant status or protected person at the time of loan authorization.

**Purpose:** To monitor loan disbursements and repayments to enable interest subsidies to be paid; to provide legal basis for collecting debts due the Crown, and to monitor activity on a defaulted borrower's account, and for evaluation, research and policy analysis activities of various socio-demographic characteristics of specified cohorts of CSLP clientele to produce forecasting reports; interest relief and debt reduction analysis; needs assessment of loan applicants analysis and default and recovery analysis.

**Consistent Uses:** Information may be shared for the purposes of administering the Act, program delivery, statistics, planning, research, internal audit, research and evaluation.

**Retention and Disposal Standards:** Records are retained for a minimum of 10 years and a maximum of 60 years.

**RDA Number:** 83/025

**Related PR#:** HRSDC ESP 010

**TBS Registration:** 000485

**Bank Number:** HRSDC PPU 030

## **Ministerial and Communication Services**

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

#### **Information Disclosures to Investigative Bodies**

**Description:** This bank contains copies of written requests for disclosure of personal information submitted to HRSDC under paragraph 8(2) of the Privacy Act by investigative bodies listed in Schedule II of the Privacy Regulations. It also contains the responses and particulars relating to their processing.

**Class of Individuals:** Persons under investigation by federal or provincial investigative bodies.

**Purpose:** To record disclosures of personal information and to report to the Privacy Commissioner on these requests.

**Consistent Uses:** None.

**Retention and Disposal Standards:** The information is retained for 2 years after the date of the last entry.

**RDA Number:** 98/001

**Related PR#:** HRSDC FAS 055

**TBS Registration:** 002373

**Bank Number:** HRSDC PPU 400

## Service Delivery Directorate

### E-Mail Response Management System (ERMS)

**Description:** This system manages the receipt of and response to e-mail inquiries from the public concerning Employment Insurance (EI) benefits and services. Personal information collected may include individuals' names, mailing addresses, e-mail, and home and work telephone numbers. Although individuals are advised not to send any personal information via the Internet, some individuals may include other personal information such as their opinions and Social Insurance Number (SIN).

**Class of Individuals:** Applicants for and recipients of employment benefits and the general public in Canada.

**Purpose:** This information is used to administer the Employment Insurance (EI) enquiries system as well as identifying EI clients.

**Consistent Uses:** Information may be used for research and statistical purposes.

**Retention and Disposal Standards:** Retention and Disposal Standards are to be established.

**RDA Number:** To be determined.

**Related PR#:** HRSDC INS 018, HRSDC INS 009, HRSDC INS 515

**TBS Registration:** 005832

**Bank Number:** HRSDC PPU 375

## Strategic Policy and Planning

### Canada Out Of Employment Panel (COEP) Databank

**Description:** This bank contains information on individuals who are out of employment following a job separation and, in particular, UI/EI clients. The information is obtained through a survey called the Canada Out of Employment Panel (COEP) conducted by Statistics Canada. The survey is designed to collect a range of information for each respondent, including demographics, employment history, job search activity, training activity, the collection of UI/EI benefits and changes in household income and consumption. COEP was designed in 1996 to provide research data on out of employment Canadians prior to and following, the 1996 changes to the EI Act.

**Class of Individuals:** Survey participants are randomly selected from among those who had a job separation roughly one year before the first set of survey interviews. There is a second set of survey follow – up interviews nine months after the first set of interviews. This includes both those who claimed UI/EI benefits and those who did not claim UI/EI. Only those participants who gave their informed consent to the survey and to sharing their survey data with HRSDC are

included in the databank.

**Purpose:** The Purpose of the bank is to provide and maintain timely and detailed individual and household-level data on job-leavers. The information permits the monitoring and evaluation of how individuals, communities and the economy have adjusted to unemployment and to changes in the EI system. The data are also used to meet the yearly requirements of the Monitoring and Assessment Report to Parliament.

**Consistent Uses:** The databank is collected and maintained to provide data for EI and labour market evaluation purposes. Retention and Disposal Standard: Survey results at HRSDC will be kept for 10 years. Information at Statistics Canada is kept in accordance with their retention and disposition policy.

**RDA Number:** 2002/005

**Related PR#:** HRSDC SPP 630

**TBS Registration:** 005001

**Bank Number:** HRSDC PPU 229

### Employment Insurance Databank (EID)

**Description:** This bank may contain the following information on clients applying to and/or participating in EI programs operated or funded by HRSDC: Client's Social Insurance Number, gender, date of birth, name of the person, detailed information on periods of employment and unemployment, eligibility for employment insurance, training courses taken and other employment services received. The information is extracted from the following banks: The Record of Employment bank (HRSDC PPU 385); The Benefit and Overpayment Master File bank (HRSDC PPU 180); The Employment Benefits and Support Measures bank (HRSDC PPU 293); The Employment Programs and Services bank (HRSDC PPU 071); Social Insurance Number Registration bank (SDC PPU 390).

**Class of Individuals:** Individuals having experienced a job loss, applied for EI or participated in HRSDC Employment programs, administered by HRSDC or 3rd parties, and HRSDC funded services administered by Provincial/Territorial Governments under Labour Market Development Agreements. The purpose of the bank is to maintain information on the work history of EI claimants in a form useful for research and analysis. It is used for the research and for the evaluation of employment and income support programs and to elaborate or modify policies related to these programs. The bank is used exclusively for policy formulation, research and evaluation purposes and cannot be used for any administrative

**Purpose:** All personal identifiers are masked and

are only unmasked through limited and approved procedures for specific projects, e.g., to conduct a survey of clients.

**Consistent Uses:** Consistent Uses for some information include it being used by HRSDC, Provincial Government Departments and 3rd parties administering programs where data sharing agreements are in place to conduct research into the labour force, labour market, income support and other related fields. Information may be provided to academics, research groups or private sector firms under specific contract to the Department, or to other government or contracted agencies under terms of Memoranda of Understanding, for policy formulation, planning, statistics, research and evaluations.

**Retention and Disposal Standards:** Records are retained for 25 years in order to undertake longitudinal analyses and studies.

**RDA Number:** 2002/005

**Related PR#:** HRSDC SPP 705

**TBS Registration:** 005002

**Bank Number:** HRSDC PPU 501

#### **Evaluation and Data Development**

**Description:** This bank contains information from various surveys, administrative forms and interviews done as part of the Evaluation and Data Development activities. The data might include participants' socio-economic characteristics, information on their employment situation following program participation, and their opinions on satisfaction with a program or service received from HRSDC or one of its delivery agents. It may also contain information from interviews with representatives, sponsors, key informants and experts related to the programs or projects evaluated.

**Class of Individuals:** Participants of the various HRSDC programs evaluated.

**Purpose:** This bank helps to determine effectiveness and efficiency of HRSDC programs or projects and whether or not the objectives of the programs are being attained. In no instance is this information used to make administrative decisions affecting individuals who have provided the information.

**Consistent Uses:** The information may be used for internal audit purposes and linked to other evaluation studies.

**Retention and Disposal Standards:** The questionnaires are kept for three years from the date the survey was completed. Personalized data are kept on magnetic tapes for five years or until the completion of a new evaluation study on the same subject matter.

**RDA Number:** 2002/005

**Related PR#:** HRSDC SPP 689

**TBS Registration:** 003776

**Bank Number:** HRSDC PPU 450

#### **Evaluation Services**

**Description:** This bank contains information from various surveys, administrative forms and interviews done as part of Evaluation Services activities. The data might include participants' socio-economic characteristics, information on their employment situation following program participation, and their opinions on satisfaction with program or service received from HRSDC or one of its delivery agents. It may also contain information from interviews with representatives, sponsors, key informants and experts related to the projects evaluated.

**Class of Individuals:** Participants of the various HRSDC projects evaluated by Evaluation Services.

**Purpose:** This bank helps to determine the effectiveness and efficiency of HRSDC programs and whether or not the objectives of the programs are being attained. In no instance is the information used to make administrative/operational decisions affecting individuals who have provided the information.

**Consistent Uses:** The information may be used for internal audit purposes and linked to other evaluation studies.

**Retention and Disposal Standards:** The questionnaires are kept for three years from the date the survey is completed. Personalized data are kept on magnetic tapes for five years or until the completion of a new evaluation study on the same subject matter.

**RDA Number:** 2002/005

**Related PR#:** HRSDC INS 026

**TBS Registration:** 003775

**Bank Number:** HRSDC PPU 445

#### **Human Resources Investment (HRI) and Employment Insurance (EI) Strategic Evaluation and Monitoring**

**Description:** This bank contains information from various surveys done as part of the Employment Insurance program evaluation activities. The information concerns situations that precede or follow the use of the program. Workers, the unemployed and employment insurance claimants must provide identification and the Social Insurance Number to obtain access to these files.

**Class of Individuals:** Workers, employers, employment insurance training sponsors, unemployed people and Employment Insurance claimants.

**Purpose:** This bank helps to determine the

effectiveness and efficiency of the Employment Insurance program, whether or not its objectives are being attained and how it affects claimants. It also provides information about the behaviour, expectations and perceptions of users and participants involved in the program. In no instance is this information used to make administrative decisions affecting individuals who have provided the information.

**Consistent Uses:** The information may be used for internal audit purposes and linked to other evaluation studies. It may be provided to private sector research firms for planning, statistics, research and evaluations. Each record of a surveyed person is also matched with the Benefits and Overpayments Master File (HRSDC PPU 180).

**Retention and Disposal Standards:** The questionnaires are kept for three years from the date the survey was completed. Personalized data are kept on magnetic tapes for five years or until the completion of a new evaluation study on the same subject matter.

**RDA Number:** 2002/005

**Related PR#:** HRSDC SPP 690, HRSDC SPP 695

**TBS Registration:** 002399

**Bank Number:** HRSDC PPU 371

### Social Assistance Recipients

**Description:** This bank contains monthly data on provincial social assistance recipients. Included are data describing the basic characteristics of the applicants, i.e. age, sex, family status, number of dependants, as well as case-related information such as total benefit and other sources of income.

**Class of Individuals:** Individuals who receive or have recently received social assistance benefits under provincial laws.

**Purpose:** Information is used for carrying out studies, analysis and evaluations to ensure that federal labour market, labour market related, income support policies and programs are developed and implemented in a manner consistent with national economic and social goals.

**Consistent Uses:** The information may be provided to private sector research firms under contract to HRSDC for the purposes of statistics, research and evaluation. Information may be provided to Social Development Canada, academics, research groups or private sector firms under specific contract to the Department, or to other governments or contracted agencies under terms of Memoranda of Understanding, for policy formulation, planning, statistics, research and evaluation.

**Retention and Disposal Standards:** The data will be kept for 25 years or until the end of the agreements with the provinces.

**RDA Number:** 2002/005.

**Related PR#:** HRSDC SPP 650

**TBS Registration:** 002398

**Bank Number:** HRSDC PPU 383

### Workplace and Skills

#### Foreign Workers Program

**Description:** Foreign worker and employer information such as name, address, Canada Revenue Agency business number, telephone number, type of business, occupation; and number of employees, salaries offered, and other relevant information.

**Class of Individuals:** Employers in Canada seeking a temporary foreign worker in specific occupational groups and employees.

**Purpose:** To render a labour market opinion (confirmation) or an arranged employment opinion on an offer of employment to a foreign worker.

**Consistent Uses:** Information is used by HRSDC and may be shared with appropriate federal-provincial-territorial organizations for the purposes of program delivery. As an example, information is shared on an ongoing basis with Citizenship and Immigration Canada for program

**Purpose:** The information may also be used for statistics, planning, research evaluation and/or policy analysis.

**Retention and Disposal Standards:** Retained for 2 years after the last action for period before January 1, 1992..

**RDA Number:** 91/011

**Related PR#:** HRSDC EMP 385

**TBS Registration:** 003127

**Bank Number:** HRSDC PPU 440

### Shared Services with Social Development Canada

#### Financial and Administrative Services

##### Accounts Payable

**Description:** Information contained in this bank includes names and addresses of firms and individuals, invoices for services rendered or products provided detailing the amount owing, and any supporting documentation to substantiate the account.

**Note:** This service is shared with Social Development Canada.

**Class of Individuals:** Canadian, foreign citizens and firms.

**Purpose:** The purpose of this bank is to maintain information on the payment of accounts to firms or individuals for services or products provided to HRSDC.

**Consistent Uses:** This bank is used to account for all amounts of money paid to firms or individuals, and to authorize cheques.

**Retention and Disposal Standards:** Records are retained for 6 fiscal years.

**RDA Number:** 99/004

**Related PR#:** HRSDC SEC 034

**TBS Registration:** 005822

**Bank Number:** HRSDC PPU 055

### **Common System for Grants and Contributions (CSGC) for Employment Programs**

**Description:** The CSGC initiative (system) is a cross-branch development project that provides Human Resources and Skills Development Canada (HRSDC) and Social Development Canada (SDC) with a single Web-based Intranet tool supporting all grants and contribution programs administered by the departments. The CSGC contains a series of business rules, edits and validations based on Treasury Board policy and guidelines as well as HRSDC and SDC program and financial policies. Personal information elements contained in the CSGC: Client's name, mailing address, home telephone number, language, date of birth, education, social insurance number (SIN), previous experience, gender, marital status, employment history, training, wages and other sources of income.

**Class of Individuals:** Individuals who are eligible for Employment Insurance (EI) benefits who agree to participate in the programs; persons with disabilities, Aboriginals, EI claimants.

**Purpose:** To administer the Grants and Contributions and to insure that the technical business requirements are addressed. To facilitate the administration of all grants and contributions (G&Cs), including a G&C's project life cycle and client information, in addition to any necessary reporting activities. The CSGC is used to store project and personal information, and serves as a tool to administer grant and contribution projects and client interventions.

**Consistent Uses:** As in person services are delivered by HRSDC and as the CSGC initiative is used by both HRSDC and SDC, information under the administration of HRSDC may be shared with SDC for program delivery, internal audit and/or evaluation purposes. As the use of the SIN is program specific, all programs which use the CSGC initiative are authorized users of the SIN.

**Retention and Disposal Standards:** Retention and Disposal Standards are to be established.

**RDA Number:** TBD

**Related PR#:** HRSDC FAS 060

**TBS Registration:** 006226

**Bank Number:** HRSDC PPU 298

### **Departmental Accounts Receivable System (DARS)**

**Description:** This bank is a computerized record of accounts receivable other than employment insurance overpayments and Old Age Security. Each record contains the name, address, age, gender, SIN, and preferred language of the debtor along with information relating to the reason for and the amount and the repayment method.

**Note:** This service is shared with Social Development Canada.

**Class of Individuals:** All individuals, or organizations who have received overpayments or clients in default on their student loans and grants and contributions under a Social Development Canada and HRSDC program with the exception of employment insurance overpayments and Old Age Security program.

**Purpose:** To facilitate the collection of accounts receivable in compliance with TB directives, Public Accounts of Canada and with various directives from the Auditor General of Canada and the Receiver General for Canada.

**Consistent Uses:** To report accounts receivable in the Public Accounts of Canada. It is matched with the Report on Hirings (HRSDC PPU 210), the individual income tax return (RCT PPU 005) to trace the individual, EI Overpayment (HRSDC PPU 161) in order to trace the individual and recover the accounts receivable from insurance benefits. It may also be provided to private sector research companies for planning, statistics, research and evaluations.

**Retention and Disposal Standards:** Paper records are kept for 6 fiscal years, records on electronic files are retained for 3 years after full recovery.

**RDA Number:** 99/004

**Related PR#:** HRSDC SEC 034

**TBS Registration:** 005823

**Bank Number:** HRSDC PPU 164

### **Personal Service Contracts**

**Description:** The bank contains information required for the issuance of a contract, including the qualifications and work experience of the contractor, letters of reference, details of the contract and assessments of the contractor's performance.

**Note:** This service is shared with Social Development Canada.

**Class of Individuals:** Individuals who have signed personal service contracts with HRSDC.

**Purpose:** To document individuals who have signed personal services contracts with HRSDC. The information may be used to determine terms of payment, contract extension or renewal,

reporting and tracking requirements, including other decisions pertaining to the contract.

**Consistent Uses:** Information may be used for internal audit purposes. It may also be provided to private sector research firms for planning, statistics, research and evaluations.

**Retention and Disposal Standards:** Records are retained for 6 fiscal years after termination of the contract.

**RDA Number:** 99/004

**Related PR#:** HRSDC HRS 025

**TBS Registration:** 005825

**Bank Number:** HRSDC PPU 425

## Human Resources Branch

### Application for Employment

**Description:** Information in the bank includes curricula vitae and related correspondence of persons interested in working for HRSDC and requests for transfers from employees of other departments within the federal government.

**Note:** This service is shared with Social Development Canada.

**Class of Individuals:** All applicants for employment with HRSDC are identified in the bank.

**Purpose:** The Purpose of the bank is to maintain a record of applications for employment with HRSDC.

**Consistent Uses:** The information may be provided to private sector research firms for the purposes of planning, statistics, research and evaluation.

**Retention and Disposal Standards:** Solicited and unsolicited applications which have been considered in a staffing process are retained for a period of two years. Unsolicited applications which have not been considered in a staffing process are retained for 6 months.

**RDA Number:** 98/005

**Related PR#:** HRSDC HRS 040, HRSDC HRS 025

**TBS Registration:** 005824

**Bank Number:** HRSDC PPU 420

### Security Investigations

**Description:** The investigations unit investigates employees of Human Resources and Skills Development Canada (HRSDC) where there is a suspected incident of wrong doing. During the investigation of the suspected wrongdoing personal information such as an employee's name, position, Personal Record Identifier (PRI), home and work mailing address, work and home telephone numbers, cell phone numbers, job title, marital status, financial records including any other personal information related to the suspected wrongdoing may be collected.

**Class of Individuals:** Full and part-time employees of the department, as well as students, consultants and contractors who have been hired by the department.

**Purpose:** This information is used during the conduct an investigation to determine if there has been any wrong doing committed by an employee of HRSDC. This includes the investigation of possible cases of fraud, theft, breach of trust, etcetera. The investigation could reveal that the suspected wrong doing is either of an administrative or criminal nature. Once the incident has been determined to be well founded and should it be of an administrative nature, it is handled internally via the appropriate policy area (e.g. the Policy on the Prevention and Resolution of Harassment in the Workplace, the Policy on the Internal Disclosure of Information Concerning Wrongdoing in the Workplace and the Values and Ethics Code for the Public Service of Canada). Should the wrongdoing be considered a possible offence under the Criminal Code of Canada, the Department transfers the file to the appropriate police authority (e.g. Royal Canadian Mounted Police (RCMP), local and/or provincial police and possibly external police agencies which fall outside of Canadian jurisdiction)

**Consistent Uses:** Should the suspected wrongdoing be considered an offence under the Criminal Code of Canada, the Department transfers the file to the appropriate police authority (e.g. Royal Canadian Mounted Police (RCMP), local and/or provincial police and possibly external police agencies which fall outside of Canadian jurisdiction). In order to conduct a thorough investigation of the suspected wrongdoing, information may be disclosed to third parties such as other government institutions, former employers, financial institutions, etcetera. The information may also be aggregated and used for audit and statistical purposes. For purposes of the investigation, information may be shared with Social Development Canada (SDC).

**Retention and Disposal Standards:** Retention and Disposal Standards are to be established.

**RDA Number:** TBD

**Related PR#:** HRSDC FAS 055

**TBS Registration:** 006227

**Bank Number:** HRSDC PPU 065

## Standard Personal Information Banks

Please see the INTRODUCTION to this publication for the definition of Standard Banks and a description of their contents.

Access to Information and Privacy Requests

Automated Document, Records, Information Management Systems  
 Business Continuity Planning (BCP)  
 Electronic Network Monitoring Logs  
 Executive Correspondence Management Systems  
 Hospitality  
 Internal Disclosure of Wrong doing in the Workplace  
 Relocation  
 Security Video Surveillance & Temporary Visitor Access Control Logs & Building Passes  
 Travel

## Manuals

- Benefit Policy Circulars
- Business Continuity Plan
- Canada Student Loans Program: Guide for Lenders
- Child Tax Benefit and Children's Special Allowances
- Client Service Centre Manual
- Coding Manual of Collective Agreements
- Community Coordinator Guidelines
- Compliance Review Manual
- Contribution Operations Guidelines
- Data Interface Operations and Connectivity Document
- Delegation of Authority
- Delegation of Personnel Signing Authority
- Digest of Benefit Entitlement Principles
- Directory of Offices
- Directory of Services and Courses
- HRSDC Office Design Guide
- HRSDC Readiness Plan
- Family Allowance Policy Manual
- Family Allowances Operations Manual
- Family Allowances Procedures Manual (Systems)
- Federal Contractors Program Operations Manual
- Foreign Worker Operational Guidelines (LMD) and Bulletins
- Grants and Contributions Operations Guide
- Guidelines for Drafting and Processing Agreements
- Guidelines for the Preparation and Processing of Submission to the Canada Employment and Immigration Commission
- Guidelines for the Preparation of Ministerial Correspondence
- Guidelines on Assistance under CAP
- Guidelines on Cost-Sharing under CAP as Modified by Extended Health Care Services under EPF
- Guidelines on Use of Employment Benefits and Support Measures (EBSMs)
- Human Resources Development Canada Job Order Service Policy
- Hyperlinking and Crawling Policy
- Index of Umpire Decisions
- Industry Testing Strategy
- Industry Testing Operations Manual
- Infocentre Training Manuals Collection
- Information Classification Departmental Guide
- Informatics Policy
- Initial Technical Architecture
- Insurance Services Policy Manual
- Interface Transaction Standards
- Internal Audit Manual
- International Academic Mobility Initiative Guidelines
- International Operations Client Service Centre Manual
- International Operations Procedures Manual
- Investigation and Control Manual
- Investigation and Control Manual Job Bank for Employers, Internal Users Training Guide (LMD)
- Job Bank for Employers, Internal Users Training Guide
- Labour Affairs Officers Training Manual
- Learning Initiatives Program Guidelines
- Mail Services Policy and Procedures Manual
- Mail Transport and Courier
- Methods to Measure



- Methods to Measure/Accountability Handbook (LMD)
- Ministerial Correspondence Manual
- National Homelessness Initiative – Applicant's Guide
- National Homelessness Initiative – Guidelines for Monitoring Third Party Agreements
- National Homelessness Initiative – Handbook on Capital Project Development
- National Homelessness Initiative – National Conflict of Interest Guidelines
- National Homelessness Initiative – Operational Guidelines
- National Homelessness Initiative – Program Management Framework
- National Homelessness Initiative – Results Reporting Instruction Manual
- National Homelessness Initiative – Sponsor Guide for Community Entities
- National Homelessness Initiative – Sponsor Guide for Community Service Providers
- National Homelessness Initiative – Worksheet on Capital Project Development
- Non-National Employment Services System Offices Manual
- Occupational Demand and Area Report
- Office Consolidation – Employment Insurance Act and Other Related Legislation
- Operational Overview and Procedures Manual
- Orientation Presentation for New Promoters
- Policy, Liaison and Development Manual
- Premium Reduction Manual
- Prior Learning Assessment Recognition Initiative Guidelines
- Privacy, Access to Information and Human Rights Manual
- Privacy Policy
- Procedures for New Promoters and Trustees (draft)
- Proof of Age Manual
- Reception and Enquiries Handbook
- Recorded Information Management Policy and Procedures Manual
- Records Classification Manual
- Reference Standards on OHS, Engineering and Hygiene
- Regional Computer Centre (RCC) Manual
- Release Commissioning Plan (draft)
- Report on the Administration of the Labour Adjustment Benefits Act (Quarterly Report)
- Severe Acute Respiratory Syndrome Grant Initiative Guidelines
- Signage Improvement
- Statistics for Claims Filed under the Labour Adjustment Benefits Act
- Technical and Design Guide (for boardroom 326)
- Telecommunications Management Policy and Procedures Manual
- Temporary Fisheries Income Program Guidelines
- Umpire's Decisions (Canadian Umpire Benefits – CUB)
- User Acceptance Testing Procedures Manual
- Word Sharing While Learning Guidelines
- Worksharing Guidelines

### Additional Information

Please see the INTRODUCTION to this publication for information on access procedures under the provisions of the Access to Information Act and the Privacy Act.

The information contained in the following listings is intended to help Canadians exercise their rights under the Privacy Act, the Access to Information Act and the Canadian Human Rights Act. It is a public document not an internal administrative document. Most personal information collected by HRSDC is kept locally whereas departmental information originating from HRSDC is kept at National Headquarters. Requests for personal information should be directed to the office where you believe the file is held or to the Privacy and Security Directorate. Requests for access to information should be directed to National Headquarters.

#### Useful Addresses

The following are some useful addresses. For local office addresses, please refer to the blue pages of your telephone directory.

National Headquarters  
Access to Information and Privacy Coordinator  
140 Promenade du Portage  
Place du Portage  
Phase IV, Level 1  
Hull QC K1A 0J9  
Tel.: (819) 994-0416

### **Regional Offices**

Newfoundland and Labrador Regional Office  
689 Topsail Road  
P.O. Box 12051, Station A  
St. John's NL A1B 3Z4

Quebec Regional Office  
Guy Favreau Complexe  
200 René-Lévesque Blvd. West  
West Tower  
Montréal, QC H2Z 1X4

Prince Edward Island Regional Office  
85 Fitzroy Street  
P.O. Box 8000  
Charlottetown PE C1A 8K1

Ontario Regional Office  
4900 Yonge Street, 2nd Floor  
North York, ON M2N 6A8

Nova Scotia Regional Office  
Metropolitan Place  
99 Wyse Road  
P.O. Box 1350  
Dartmouth NS B2Y 4B9

Manitoba Regional Office  
Canada Post Office Building  
266 Graham Avenue  
Room 750  
Winnipeg MB B3C 0K3

New Brunswick Regional Office  
495 Prospect Street  
P.O. Box 2600  
Fredericton NB E3B 5V6

Saskatchewan Regional Office  
2045 Broad Street  
Regina SK S4P 2N6

Alberta-Northwest Territories-Nunavut Regional  
Office  
Canada Place  
1440 - 9700 Jasper Avenue  
Edmonton AB T5J 4C1

British Columbia and Yukon Territory Regional  
Office  
Library Square  
300 West Georgia Street  
Vancouver BC V6B 6G3

## **Reading Room**

HRSDC's main library have been designated as public reading room. It is located at the following address:

National Headquarters  
Place du Portage  
140 Promenade du Portage  
Phase IV, Level 1  
Gatineau QC K1A 0J9

Regional offices also have reading rooms. Please refer to the addresses above for their locations.