

Natural Sciences and Engineering Research Council of Canada (NSERC) 2013–2014 Annual Report *Privacy Act*

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INTRODUCTION:

The *Privacy Act* (R.S., 1985, c. P-21) was proclaimed on July 1, 1983.

The *Privacy Act* (the "Act") extends to individuals the right to access information about them that is held by the government. This is, however, subject to specific and limited exceptions.

The *Act* also protects individuals' privacy by preventing others from accessing their personal information and by giving individuals substantial control over the collection, use and disclosure of personal information.

Section 72 of the *Act* requires that the head of every federal government institution shall prepare an Annual Report, for submission to Parliament, on the administration of the *Act* within the institution during each fiscal year.

This Annual Report provides a summary of the management and administration of the *Privacy Act* within the Natural Sciences and Engineering Research Council of Canada (NSERC) for the fiscal year 2013-2014.

Additional Copies

Additional copies of this report can be obtained by writing to:

Access to Information and Privacy Coordinator
Natural Sciences and Engineering Research Council of Canada
350 Albert Street, 13th Floor
Ottawa, Ontario K1A 1H5

Or by communicating with us via e-mail:

ATIP-AIPRP@NSERC-CRSNG.GC.CA

Or by calling:

Telephone: 613-995-6214

Facsimile: 613-943-1222

Part I — General Information on NSERC

1.1 Mission, Vision and Mandate

1.1.1 Mission:

NSERC invests in *People, Discovery* and *Innovation* through partnerships and programs that support post-secondary research in the natural sciences and engineering on the basis of national, peer-reviewed competitions.

1.1.2 Vision:

NSERC helps make Canada a country of discoverers and innovators for the benefit of all Canadians.

1.1.3 Mandate:

NSERC promotes and assists research in the natural sciences and engineering, and advises the Minister on research matters.

1.2 Values Guiding the NSERC's Actions

1.2.1 Values:

NSERC values its contribution to Canada and is proud of its organization's reputation for excellence – excellence in the research it supports, the programs it manages and the quality of service it offers to its clients internally and externally.

NSERC is committed to continuous improvement through leadership, teamwork and open communication. It conducts its business with integrity, transparency, flexibility and accountability because these values are important to NSERC and to the people with whom it interacts. The ethical and performance standards that are applied to itself are as high as those that are required of researchers.

We are people who respect and value the contributions of others. We are enriched by the diversity of people with whom we work and interact, and continuously learn and grow through these interactions.

1.2.2 Strategic Objectives:

- People: Attract and retain the best students and researchers in Canada.
- Discovery: Enable Canadian scientists and engineers to become global leaders in their fields.
- Innovation: Increase Canada's prosperity by building connections and supporting the application of research.
- Impact: Promote the accomplishments of Canadian researchers and strengthen our business excellence.

1.3 Responsibilities

NSERC is the primary federal agency investing in post-secondary research and training in the natural sciences and engineering. NSERC was established on May 1, 1978, as a federal agency defined as a “separate employer” by the *Public Service Staff Relations Act*. It is funded directly by Parliament and reports to it through the Minister of Industry, with responsibility for promoting and assisting research in the natural sciences and engineering, other than the health sciences.

1.4 NSERC's Strategic Outcome and Program Activity Architecture (PAA)

1.4.1 Strategic Outcome:

Canada is a world leader in advancing, connecting and applying new knowledge in the natural sciences and engineering.

1.4.2 Program Activity Architecture (PAA):

The chart below presents NSERC's PAA in effect in the reporting period 2013-2014.

Strategic Outcome		
1.0 Canada is a world leader in advancing, connecting and applying new knowledge in the natural sciences and engineering		
Programs		
1.1 People Research Talent	1.2 Discovery Advancement of Knowledge	1.3 Innovation Research Partnerships
Sub-Programs	Sub-Programs	Sub-Programs
1.1.1 Science and Engineering Promotion 1.1.2 Scholarships and Fellowships 1.1.3 Alexander Graham Bell Canada Graduate Scholarships 1.1.4 Vanier Canada Graduate Scholarships 1.1.5 Banting Postdoctoral Fellowships 1.1.6 Canada Research Chairs 1.1.7 Canada Excellence Research Chairs	1.2.1 Discovery Research 1.2.2 Research Equipment and Infrastructure	1.3.1 Research in Strategic Areas 1.3.2 Industry-driven Collaborative Research and Development 1.3.3 Networks of Centres of Excellence 1.3.4 Training in Industry 1.3.5 Commercialization of Research 1.3.6 College and Community Innovation
The following program activity supports NSERC's strategic outcome		
1.4 Internal Services		
Governance and Management Support Resource Management Services Asset Management Services		

For additional information on the definition of each program activity, you can consult the NSERC Info Source chapter at the following Internet Website:

http://www.nserc-crsng.gc.ca/ATIP-AIPRP/InfoSource-InfoSource/index_eng.asp

Part II — Report on the Privacy Act

1. Organization of Delegation and Activities

1.1 Delegation order

Under section 3 of the *Privacy Act* (the "Act"), the President of NSERC is designated as the head of the government institution for purposes of the administration of the *Act*.

Pursuant to section 73 of the *Act*, deputy heads may delegate any of their powers, duties or functions under the *Act* by signing an order authorizing one or more officers or employees of the institution, who are at the appropriate level, to exercise or perform the powers, duties or functions of the head specified in the order.

The Delegation of Authority approved by the President is enclosed in Appendix A.

1.2 The Access to Information and Privacy Coordinator

The Access to Information and Privacy (ATIP) Office coordinates responses to requests submitted to NSERC under the *Privacy Act*. It also provides interpretation, advice and recommendations to NSERC staff on the implication of privacy on their activities and delivers training, education and awareness sessions to staff.

- NSERC has one ATIP Coordinator responsible for all aspects of the application, interpretation and administration of the *Privacy Act* (PA) within NSERC, and for ensuring NSERC compliance with the *Act*, including reporting requirements.
- The ATIP Coordinator coordinates all activities relating to the operation of the *Act* and related regulations, directives and guidelines.
- The ATIP Coordinator coordinates responses to formal requests; conducts research and analysis; provides advice, recommendations, and value-added solutions to NSERC managers and staff; ensures privacy is factored into the planning of NSERC programs and activities; and develops and implements policies, procedures and training sessions.

- The ATIP Coordinator represents NSERC externally, manages the ATIP office and supervises staff.

1.3 The ATIP Management Structure

The ATIP office resides in NSERC Secretariat under the directorship of the Corporate Secretary. The office is also responsible for the administration of the *ATI Act*.

For this fiscal period, the ATIP office consisted of a full-time ATIP Coordinator and an officer dedicated on a part-time basis. In 2013-2014, the total staff resources dedicated to privacy was 0.48 FTE. In addition, one consultant assisted in the completion of NSERC privacy projects (Privacy/Security Breach Protocol; Info Source revamping, etc.).

2. Summary of Access to Information and Privacy Office Activities

2.1 Privacy Considerations

Appropriate mechanisms are in place to ensure compliance with the *Privacy Act* in responding to formal requests in accordance with Designation Orders through the followings actions and procedures:

2.1.1 Processing files:

-Processing and managing the privacy requests by using the NSERC ATIP tracking tools and complying with the privacy provisions of the *Act* and its respective regulations, policies and guidelines.

2.1.2 Assisting requesters:

-Promoting the privacy principle of “duty to assist” in order to help the requesters to present their requests in compliance with the *Act*.

-Maintaining an ongoing discussion with the requesters in order to fully respond to the requesters' needs and then provide a sound response to their requests.

2.1.3 Advising, educating staff and clients:

- Guiding management on privacy policies as they affect their regular business operations.
- Informing NSERC staff of obligations and responsibilities with respect to privacy protections in the administration of requests under the *Privacy Act*, through regular ATIP learning sessions and day to day inquiries.
- Informing and providing informal advice to the research community on NSERC's legislative obligations according to the *Act* for grant/award applications and peer review processes.

2.1.4 Reporting:

Privacy/Security Breach Protocol

In 2013, NSERC developed a Privacy/Security Breach Protocol. The purpose of the Protocol is to assist NSERC, along with those involved in its operations, to contain and respond to any incidents resulting in the unauthorized disclosure of personal information, and to ensure that the reporting process is complete and consistent and that corrective and preventative measures are implemented.

The protocol aims to comply with the Treasury Board Secretariat's (TBS) April 2010 – Directive on Privacy Practices and NSERC's Policy on Information Management and Directive on Information Security Management.

The Protocol outlines the basic steps that must be followed by NSERC employees, agents, contractors or students who discover a possible breach of privacy/security involving agency information.

The employees are now accustomed with the process and the positive use of it:

- gives the basic steps for employees to follow when they discover a possible privacy breach or incident;
- ensures that the reporting process is completed; and

- implements corrective and preventive measure of unauthorized disclosure of personal information under the control of NSERC.

In this reporting period, NSERC reported eight minor breaches that were quickly contained further to the Privacy/Security Breach Protocol. NSERC was not required to report these minor privacy breaches to the Office of the Privacy Commissioner (OPC) due to the low risks involved.

2.2 NSERC and the Management of Personal Information

NSERC recognizes that information is a critically valuable resource that must be managed properly in accordance with the TBS policies and guidelines and Library and Archives Canada (LAC) proposed methodologies and authorised dispositions of information.

NSERC relies on the Information Management office, guided by its Information Management Policy and the TBS June 2009 *Directive on Recordkeeping* requirements to obtain overall direction on how to manage the information within NSERC.

NSERC has adopted a careful, prudent and consent based approach to the collection, use, disclosure and retention of the personal information for its programs and activities. The personal information is managed in such a way as to comply with sections 4-8 of the *Privacy Act*.

2.3 NSERC Privacy Best Practices on Processes and Procedures

NSERC takes the following approaches to better assist and respond to privacy requests:

- The applicant's identity is not taken into consideration during the processing of a request, nor is it revealed to departmental officials, unless there is a need to do so to enable the retrieval of information and/or if consent is provided by the applicant;

- Regular communication is established with applicants to clarify and narrow requests, provide updates and explain the privacy process and rights pursuant to the *Act*;
- Records are provided in the format requested.
- Facilitating discussions and/or meetings with program and/or corporate officials in order to process the privacy requests received;
- Providing interim responses to the requester when possible;
- An area of the NSERC premises has been designated as a public reading room in order to give requesters alternative access to their personal information;

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 Access to Information and Privacy Coordinator
 350 Albert Street, 13th Floor
 Ottawa, Ontario K1A 1H5

- Annual updating of the NSERC *Info Source* chapter and the Privacy Information Banks (PIBs) as per TBS requirements.

2.4 Challenges and Accomplishments

2.4.1 Resources — Human and Financial

In year 2013-2014, ATIP staff resources have been more stable than in the previous reporting years. This stability has helped the ATIP office to better perform its daily operations and meet its legal compliance requirements.

NSERC supports ATIP employees' career objectives by providing training opportunities.

2.5 Collection, Use and Disclosure of Personal Information

2.5.1 Personal Information Banks

NSERC Personal Information Banks (PIB) descriptions were updated in *Info Source*. The ATIP Office has reviewed the description of its programs, activities and systems and nine PIBs. The nine confirmed PIBs from TBS are the following:

-People-Supporting Students and Fellows

International Programs: NSERC PPU 070

Scholarships and Fellowships: NSERC PPU 065

Visiting Fellowships in Canadian Government Laboratories: NSERC PPU 085

-Discovery-Funding Basic Research

General Support Programs: NSERC PPU 060

Research Grants: NSERC PPU 095

-Innovation-Funding Research in Strategic Areas

Strategic Projects: NSERC PPU 080

-Innovation-Funding University-Industry-Government Partnerships

Collaborative Research Initiatives: NSERC PPU 055

Research and Partnerships Programs: NSERC PPU 090

Compliance-Integrity in Research and Scholarship and other Research Compliance Policies: NSERC PPU 023

2.5.2 Exempt Banks

NSERC does not have any exempt banks. There were no denials of access under subsection 18(2) of the *Act*.

2.5.3. Disclosure under section 8(2)(m) of the *Privacy Act*

Personal information under the control of a government institution should not, without the consent of the individual to whom it relates, be disclosed by the institution except in accordance with subsection 8(2) of the *Act*.

Subsection 8(2) indicates that subject to any other *Act* of Parliament, personal information under the control of a government institution may be disclosed pursuant to the exceptions specified in applicable paragraphs 8(2)(a) to 8(2)(m) of the *Act*.

Paragraph 8(2)(m) of the *Privacy Act* concerns cases where, in the opinion of the head of the institution, the public interest in disclosure clearly outweighed any invasion of privacy that could result from the disclosure or where disclosure would clearly benefit the individual to whom the information relates.

In the reporting period, NSERC did not release any information under paragraph 8(2)(m) of the *Act*.

2.5.4 Review of Documents

The ATIP office routinely reviews certain documents prior to their release, publication or Internet posting. The documents mostly reviewed by the ATIP office are privacy notice statements, draft Privacy Impact Assessment (PIA), program initiatives, project implementation plans, information technology networks implementation etc. The documents are reviewed to make sure the proposed activities comply with the collection, use, retention and disclosure of personal information under the *Privacy Act*.

3. Strategies and Initiatives to Increase Performance and Compliance

3.1 Business Practices in Compliance with the TBS Policies and Guidelines

3.1.1 Informal Practices: Consistent with the principle of the *Act*, some informal personal information requests may be addressed directly to divisions within NSERC.

NSERC encourages this practice provided that the information released is clearly the information of the requester.

For example, in 2013-2014 NSERC proactively disclosed to over 12,000 grant/award applicants over 10,000 evaluation reports from external peer reviewers. These reports provide feedback to applicants on the quality of their proposals.

NSERC's ATIP office has its own web page, with contact information where requesters can find answers to their questions related to the *Privacy Act*, accessible at the following address: http://www.nserc-crsng.gc.ca/ATIP-AIPRP/AIPS-SIRP_eng.asp

3.1.2 Reporting: NSERC meets TBS' statutory and regulatory requirements by submitting its Privacy Annual Report on time.

3.2 ATIP Operational Activities: Internal Advice and Training

3.2.1 Internal Advice

In addition to processing *Privacy Act* requests, the ATIP office provides general advice to NSERC managers and employees regarding a variety of issues and questions related to the *Act*, and guidance on the processing of the Privacy requests. In 2013-14, 22 privacy recommendations were provided to NSERC internal and external clients.

3.2.2 Training

The ATIP office provided three privacy training sessions where information was provided to more than 30 NSERC employees regarding obligations under the *Act*.

The ATIP office also provided specific training for program staff, who redacted external reviewer's reports for proactive disclosure to applicants, on the provisions of the *Privacy Act* and its impact on the release of information in the reports.

3.2.3 Tracking System and Managing Requests

In recent years, the NSERC ATIP office has administered and processed its requests with the limited redaction and tracking tool systems: ADOBE Professional, Excel and manual tools.

In 2013-2014, NSERC processed all requests with the Access Pro Case Management and Access Pro Redaction software. The new system has facilitated the processing, management and tracking of requests and increased efficiencies in meeting the Treasury Board Secretariat of Canada's requirements on ATIP reporting activities (Annual Privacy statistics, processing requests, etc.).

4. Statistical Report: Interpretation

4.1 Requests under the *Privacy Act*

From April 1, 2013 to March 31, 2014, NSERC received and processed six new requests (this was eight requests lower than the 14 requests received in the previous

reporting period for 2012-2013). There were no outstanding requests from the previous reporting period (2012-2013).

NSERC completed the six requests during the reporting period and no requests were carried forward into the 2014-2015 reporting period.

As in the previous reporting period, the preferred method of access requested by NSERC's applicants was to receive copies of government records as opposed to receive electronic version or simply viewing them.

4.2 Nature of Requests

Four requests (67%) were from applicants for grant/award files, and two (33%) were from an employee and a private individual who required information about their personal information.

4.3 Inter-Organizational Consultations

NSERC did not receive any requests for privacy consultations from other government departments.

In two instances, NSERC consulted with other government departments and agencies during the processing of its *Privacy Act* requests.

4.4 Informal Review of Information

The ATIP office estimates that it responded to more than 25 informal requests (including internal and external requests related to the review of documents and projects, processing and interpretation of the *Privacy Act*).

The ATIP Office routinely reviews certain documents related to privacy issues prior to their release and project implementation.

These requests are **not** reflected in the statistical report in Appendix B.

4.5 Disposition of Requests Completed

For the six requests NSERC completed, information was released either in total or in part.

4.5.1 All Disclosed

In one of the six completed cases (17 percent), the applicant was provided with full access to the relevant records.

4.5.2 Disclosed in Part

In five of the six completed cases (83 percent), the relevant records were exempted and/or excluded in part.

4.5.3 Nothing Disclosed (*Exempted or Excluded*)

There were no instances in which NSERC used the exclusion and or the exemption provision of the *Act* to not release information.

4.5.4 Unable to Process

In this reporting period, NSERC processed all of its requests.

4.5.5 Abandoned by the Applicant

No requests were abandoned by the applicant.

4.5.6 Transferred

No requests were transferred to another government institution.

4.5.7 Treated Informally

NSERC did not have any requests treated informally.

4.6 Exemptions Invoked

An individual's right of access to their personal information under the *Act* is limited by a number of exemptions specified in sections 18 through 28 of the legislation.

NSERC invoked exemptions under s. 26 (personal information about another individual) of the *Act* for five requests.

4.7 Exclusions Invoked

Pursuant to section 69, the *Act* does not apply to material that is published or available for purchase, library or museum material preserved solely for public record, material deposited with Library and Archives Canada, as well as records considered to be confidences of the Queen's Privy Council of Canada pursuant to section 70 of the *Act*.

No exclusions were invoked by NSERC during the processing of requests in the reporting period.

4.8 Extension of Time Limits

Of the six requests completed during the reporting period, three requests (50 percent) needed to be extended for 16 to 30 days (in accordance with section 15 of the *Act*) for interfering with the NSERC operations and consulting with other institutions.

4.9 Completion Time

Three requests (50 percent) were completed within the first thirty days following the receipt date, while the three (50 percent) subject to extensions were completed within 31 to 60 days.

4.10 Translations

In this reporting period, NSERC received no requests for translation from English to French and/or from French to English.

4.11 Method of Access

Of the six requests processed, five were disclosed on paper and one disclosed electronically.

4.12 Corrections and notations

NSERC received no requests for the correction of personal information (as per section 12(2) of the *Privacy Act*).

4.13 Costs

The total salary costs associated with the program were \$39,470.00.

The operations and maintenance costs amounted to \$4,119.00 for Goods and Services (professional services contract consultants). The total cost for the program expenditures is \$43,589.00 compared to \$67,988.00 from the last reporting period (2012-2013).

The associated full-time staff resources utilized for this reporting period were estimated at 0.48 which is lower resources utilized than the 1.25 reported in the last period (2012-2013).

5. Complaints

5.1 Number and Nature of Complaints

The Office of the Privacy Commissioner (OPC) closed one complaint (7100-012228), with the recommendation that the ATIP office be consulted when personal information under the control of NSERC is to be released.

6. Privacy Impact Assessments

The Privacy Impact Assessment (PIA) Policy became effective as of May 2, 2002. The goal of the Policy is to allow government institutions to identify whether a program or a service delivery initiative, involving the collection, use or disclosure of personal

information as defined in the *Act*, complies with privacy principles. The Policy also aims to avoid or mitigate any identifiable risks to privacy.

The ATIP office provided advice and guidance on one Privacy Impact Assessment which is still in progress.

Appendix A – Delegation Instrument

OFFICIAL DOCUMENT

NATURAL SCIENCES AND
ENGINEERING RESEARCH
COUNCIL OF CANADA

DELEGATION OF AUTHORITY

ACCESS TO INFORMATION ACT
AND PRIVACY ACT

DOCUMENT OFFICIEL

CONSEIL DE RECHERCHES EN
SCIENCE NATURELLES ET EN
GÉNIE DU CANADA

DÉLÉGATION DE POUVOIRS

LOI SUR L'ACCÈS À
L'INFORMATION ET LOI SUR LA
PROTECTION DES
RENSEIGNEMENTS
PERSONNELS

I, the Interim President of Natural Sciences and Engineering Research Council of Canada, pursuant to Section 73 of the *Access to Information Act* and the *Privacy Act*, hereby authorize the officer and employee of Natural Sciences and Engineering Research Council of Canada, whose position or classification is set out in the attached Schedule to carry out those of my powers, duties or functions under the Acts that are set in the Schedule in relation to that officer and employee.

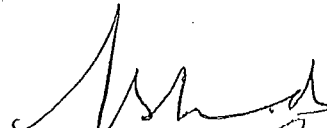
Dated at Ottawa

This 12th day of June, 2013

En ma qualité de président par intérim du conseil de recherches en science naturelles et en génie du Canada et conformément à l'article 73 de la *Loi sur l'accès à l'information* et de la *Loi sur la protection des renseignements personnels*, j'autorise par la présente l'agent(e) et employé(e) de conseil de recherches en science naturelles et en génie du Canada dont le poste ou la classification est énoncé dans l'annexe ci-jointe à exécuter ces fonctions, pouvoirs ou attributions en vertu des lois précisées dans l'annexe visant cet(te) agent(e) et employé(e).

Fait à Ottawa

Ce 12^{ème} jour juin, 2013


James S. Edwards (Interim President)

Delegation		Position Title			
		COO	AVP-CPP	Corporate Secretary	ATIP Coordinator
Descriptions	Section	1	2	3	4
Access to Information Act					
Notice where access granted	7	yes	yes	yes	yes
Transfer of request	8(1)	yes	yes	yes	yes
Extension of time limits	9(1)	yes	yes	yes	yes
Notice of extension to Commissioner	9(2)	yes	yes	yes	yes
Notice where access refused	10(1) & (2)	yes	yes	yes	yes
Payment of additional fees	11(2)	yes	yes	yes	yes
Payment of fees for EDP record	11(3)	yes	yes	yes	yes
Deposit	11(4)	yes	yes	yes	yes
Notice of fee payment	11(5)	yes	yes	yes	yes
Waiver or refund of fees	11(6)	yes	yes	yes	yes
Translation	12(2)	yes	yes	yes	yes*
Conversion to alternate format	12(3)	yes	yes	yes	yes*
Information obtained in confidence	13	yes	yes	yes	yes*
Refuse access – federal-provincial affairs	14	yes	yes	yes	yes*
Refuse access – international affairs, defense	15(1)	yes	yes	yes	yes*
Refuse access – law enforcement and investigation	16(1)	yes	yes	yes	yes*

Delegation		Position Title			
		COO	AVP-CPP	Corporate Secretary	ATIP Coordinator
Descriptions	Section	1	2	3	4
Refuse access – security information	16(2)	yes	yes	yes	yes*
Refuse access – policing services for provinces or municipalities	16(3)	yes	yes	yes	yes*
Refuse access – safety of individuals	17	yes	yes	yes	yes*
Refuse access – economic interests of Canada	18	yes	yes	yes	yes*
Refuse access – another person's information	19(1)	yes	yes	yes	yes
Disclose personal information	19(2)	yes	yes	yes	yes
Refuse access – third party information	20(1)	yes	yes	yes	yes
Disclose testing methods	20(2) & (3)	yes	yes	yes	yes
Disclose third party information	20(5)	Yes	yes	yes	yes
Disclose in public interest	20(6)	Yes	yes	yes	
Refuse access – advice, etc.	21	Yes	yes	yes	yes*
Refuse access – tests and audits	22	Yes	yes	yes	yes
Refuse access – solicitor-client privilege	23	yes	yes	yes	yes
Refuse access – prohibited information	24(1)	yes	yes	yes	yes
Disclose severed information	25	yes	yes	yes	yes

Delegation		Position Title			
		COO	AVP-CPP	Corporate Secretary	ATIP Coordinator
Descriptions	Section	1	2	3	4
Refuse access – Information to be published	26	yes	yes	yes	yes
Notice to third parties	27(1)	yes	yes	yes	yes
Extension of time limit	27(4)	yes	yes	yes	yes
Notice of third party disclosure	28(1)	yes	yes	yes	yes
Representation to be made in writing	28(2)	yes	yes	yes	yes
Disclosure of record	28(4)	yes	yes	yes	yes
Disclosure on Commissioner's recommendation	29(1)	yes	yes	yes	yes
Notice of Intention to Investigate	32	yes	yes	yes	yes
Notice to third party	33	yes	yes	yes	yes
Right to make representations	35(2)	yes	yes	yes	yes
Findings and recommendations of the Information Commissioner	37(1)(b)	yes	yes	yes	yes
Access given to complainant	37(4)	yes	yes	yes	yes
Notice to third party of court action	43(1)	yes	yes	yes	yes
Notice to person who requested record	44(2)	yes	yes	yes	yes
Special rules for hearings	52(2)	yes	yes	yes	yes

Delegation		Position Title			
		COO	AVP-CPP	Corporate Secretary	ATIP Coordinator
Descriptions	Section	1	2	3	4
Ex parte representations	52(3)	yes	yes	yes	yes
Exempt information may be excluded	71(2)	yes	yes	yes	yes
<i>Access to Information Regulations</i>					
Transfer of requests	6	yes	yes	yes	yes
Examination of records	8	yes	yes	yes	yes

*Indicates that the Access to Information & Privacy Coordinator may sign under this provision with approval of the Interim President or other senior designates

Delegation		Position Title			
		COO	AVP-CPP	Corporate Secretary	ATIP Coordinator
Descriptions	Section	1	2	3	4
	Privacy Act				
Disclosure to Investigative bodies	8(2)(e)	yes	yes		
Disclosure for research and statistics	8(2)(j)	yes	yes	yes	yes
Disclosure in public interest clearly outweighs any invasion of privacy	8(2)(m)(i)	yes	yes		
Disclosure in public interest, benefit of individual	8(2)(m)(ii)	yes	yes		
Record of disclosure for investigations	8(4)	yes	yes	yes	yes
Notify Privacy Commissioner of 8(2)(m)	8(5)	yes	yes	yes	yes
Record of consistent uses	9(1)	yes	yes	yes	yes
Notify Privacy Commissioner of consistent uses	9(4)	yes	yes	yes	yes
Personal information in banks	10(1)	yes	yes	yes	yes
Notice where access is granted	14	yes	yes	yes	yes
Extension of time limits	15	yes	yes	yes	yes
Notice where access is refused	16	yes	yes	yes	yes
Decision regarding translation	17(2)(b)	yes	yes	yes	yes*
Conversion to alternate format	17(3)(b)	yes	yes	yes	yes*
Refuse access – exempt bank	18(2)	yes	yes	yes	yes
Refuse access – confidential information	19(1)	yes	yes	yes	yes*
Disclose confidential information	19(2)	yes	yes	yes	yes
Refuse access – federal-provincial affairs	20	yes	yes	yes	yes*
Refuse access – international affairs, defence	21	yes	yes	yes	yes*
Refuse access – law enforcement and investigation	22	yes	yes	yes	yes*
Refuse access – security clearance	23	yes	yes	yes	yes
Refuse access – person under sentence	24	yes	yes	yes	yes

Delegation		Position Title			
		COO	AVP-CPP	Corporate Secretary	ATIP Coordinator
Descriptions	Section	1	2	3	4
Refuse access – safety of individuals	25	yes	yes	yes	yes*
Refuse access – another person's Information	26	yes	yes	yes	yes
Refuse access – solicitor-client privilege	27	yes	yes	yes	yes
Refuse access – medical record	28	yes	yes	yes	yes*
Receive notice of investigation	31	yes	yes	yes	yes
Representation to Privacy Commissioner	33(2)	yes	yes	yes	yes
Response to findings and recommendations of the Privacy Commissioner within a specified time	35(1)(b)	yes	yes	yes	yes
Access given to complainant	35(4)	yes	yes	yes	yes
Response to review of exempt banks	36(3)(b)	yes	yes	yes	yes
Response to review of compliance	37(3)	yes	yes	yes	yes
Request of court hearing in the National Capital Region	51(2)(b)	yes	yes	yes	yes
Ex parte representation to court	51(3)	yes	yes	yes	yes
Privacy Regulations					
Examination of records	9	yes	yes	yes	yes
Correction of personal information	11(2)	yes	yes	yes	yes
Notification of refusal to correct personal information	11(4)	yes	yes	yes	yes
Disclosure – medical information	13(1)	yes	yes		
Disclosure – medical information – examine in person, in the presence of a duly qualified medical practitioner	14	yes	yes		

*Indicates that the Access to Information & Privacy Coordinator may sign under this provision with approval of the Interim President or other senior designates

Appendix B – 2013-2014 Annual
Privacy Act Statistical Report

**Statistical Report on the *Privacy Act***Name of institution: Natural Sciences and Engineering Research Council of CanadaReporting period: 2013/04/01 to 2014/03/31**PART 1 – Requests under the *Privacy Act***

	Number of Requests
Received during reporting period	6
Outstanding from previous reporting period	0
Total	6
Closed during reporting period	6
Carried over to next reporting period	0

PART 2 – Requests closed during the reporting period**2.1 Disposition and completion time**

Disposition of requests	Completion Time							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	More than 365 days	
All disclosed	0	1	0	0	0	0	0	1
Disclosed in part	0	2	3	0	0	0	0	5
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
No records exist	0	0	0	0	0	0	0	0
Request abandoned	0	0	0	0	0	0	0	0
Total	0	3	3	0	0	0	0	6

2.2 Exemptions

Section	Number of requests	Section	Number of requests	Section	Number of requests
18(2)	0	22(1)(a)(i)	0	23(a)	0
19(1)(a)	0	22(1)(a)(ii)	0	23(b)	0
19(1)(b)	0	22(1)(a)(iii)	0	24(a)	0
19(1)(c)	0	22(1)(b)	0	24(b)	0
19(1)(d)	0	22(1)(c)	0	25	0
19(1)(e)	0	22(2)	0	26	5
19(1)(f)	0	22.1	0	27	0
20	0	22.2	0	28	0
21	0	22.3	0		

2.3 Exclusions

Section	Number of requests	Section	Number of requests	Section	Number of requests
69(1)(a)	0	70(1)(a)	0	70(1)(d)	0
69(1)(b)	0	70(1)(b)	0	70(1)(e)	0
69.1	0	70(1)(c)	0	70(1)(f)	0
				70.1	0

2.4 Format of information released

Disposition	Paper	Electronic	Other formats
All disclosed	1	0	0
Disclosed in part	4	1	0
Total	5	1	0

2.5 Complexity

2.5.1 Relevant pages processed and disclosed

Disposition of requests	Number of pages processed	Number of pages disclosed	Number of requests
All disclosed	1	1	1
Disclosed in part	809	804	5
All exempted	0	0	0
All excluded	0	0	0
Request abandoned	0	0	0

2.5.2 Relevant pages processed and disclosed by size of requests

Disposition	Less than 100 pages processed		101-500 pages processed		501-1000 pages processed		1001-5000 pages processed		More than 5000 pages processed	
	Number of Requests	Pages disclosed	Number of Requests	Pages disclosed	Number of Requests	Pages disclosed	Number of Requests	Pages disclosed	Number of Requests	Pages disclosed
All disclosed	1	1	0	0	0	0	0	0	0	0
Disclosed in part	3	93	1	102	1	609	0	0	0	0
All exempted	0	0	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0	0	0
Abandoned	0	0	0	0	0	0	0	0	0	0
Total	4	94	1	102	1	609	0	0	0	0

2.5.3 Other complexities

Disposition	Consultation required	Legal Advice Sought	Interwoven Information	Other	Total
All disclosed	0	0	0	0	0
Disclosed in part	3	0	1	0	4
All exempted	0	0	0	0	0
All excluded	0	0	0	0	0
Abandoned	0	0	0	0	0
Total	3	0	1	0	4

2.6 Deemed refusals

2.6.1 Reasons for not meeting statutory deadline

Number of requests closed past the statutory deadline	Principal Reason			
	Workload	External consultation	Internal consultation	Other
1	1	0	0	0

2.6.2 Number of days past deadline

Number of days past deadline	Number of requests past deadline where no extension was taken	Number of requests past deadline where an extension was taken	Total
1 to 15 days	0	0	0
16 to 30 days	0	0	0
31 to 60 days	0	1	1
61 to 120 days	0	0	0
121 to 180 days	0	0	0
181 to 365 days	0	0	0
More than 365 days	0	0	0
Total	0	1	1

2.7 Requests for translation

Translation Requests	Accepted	Refused	Total
English to French	0	0	0
French to English	0	0	0
Total	0	0	0

PART 3 – Disclosures under subsection 8(2)

Paragraph 8(2)(e)	Paragraph 8(2)(m)	Total
0	0	0

PART 4 – Requests for correction of personal information and notations

	Number
Requests for correction received	0
Requests for correction accepted	0
Requests for correction refused	0
Notations attached	0

PART 5 – Extensions

5.1 Reasons for extensions and disposition of requests

Disposition of requests where an extension was taken	15(a)(i) Interference with operations	15(a)(ii) Consultation		15(b) Translation or conversion
		Section 70	Other	
All disclosed	0	0	0	0
Disclosed in part	0	0	3	0
All exempted	0	0	0	0
All excluded	0	0	0	0
No records exist	0	0	0	0
Request abandoned	0	0	0	0
Total	0	0	3	0

5.2 Length of extensions

Length of extensions	15(a)(i) Interference with operations	15(a)(ii) Consultation		15(b) Translation purposes
		Section 70	Other	
1 to 15 days	0	0	0	0
16 to 30 days	0	0	3	0
Total	0	0	3	0

PART 6 – Consultations received from other institutions and organizations

6.1 Consultations received from other government institutions and organizations

Consultations	Other government institutions	Number of pages to review	Other organizations	Number of pages to review
Received during the reporting period	0	0	0	0
Outstanding from the previous reporting period	0	0	0	0
Total	0	0	0	0
Closed during the reporting period	0	0	0	0
Pending at the end of the reporting period	0	0	0	0

6.2 Recommendations and completion time for consultations received from other government institutions

Recommendation	Number of days required to complete consultation requests							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	than 365 days	
Disclose entirely	0	0	0	0	0	0	0	0
Disclose in part	0	0	0	0	0	0	0	0
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0

6.3 Recommendations and completion time for consultations received from other organizations

Recommendation	Number of days required to complete consultation requests							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	than 365 days	
Disclose entirely	0	0	0	0	0	0	0	0
Disclose in part	0	0	0	0	0	0	0	0
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0

PART 7 – Completion time of consultations on Cabinet confidences

Number of days	Number of responses received	Number of responses received past deadline
1 to 15	0	0
16 to 30	0	0
31 to 60	0	0
61 to 120	0	0
121 to 180	0	0
181 to 365	0	0
More than 365	0	0
Total	0	0

PART 8 – Resources related to the *Privacy Act*

8.1 Costs

Expenditures		Amount
Salaries		\$39,470
Overtime		\$0
Goods and Services		\$4,119
• Contracts for privacy impact assessments	\$0	
• Professional services contracts	\$4,119	
• Other	\$0	
Total		\$43,589

8.2 Human Resources

Resources	Dedicated full-time	Dedicated part-time	Total
Full-time employees	0.00	0.48	0.48
Part-time and casual employees	0.00	0.00	0.00
Regional staff	0.00	0.00	0.00
Consultants and agency personnel	0.00	0.00	0.00
Students	0.00	0.00	0.00
Total	0.00	0.48	0.48

Appendix A

Previously released ATI package released informally

Institution	Number of informal releases of previously released ATI packages
Natural Sciences and Engineering Research Council of Canada	1

Completed Privacy Impact Assessments (PIAs)

Institution	Number of Completed PIAs
Natural Sciences and Engineering Research Council of Canada	0

Completion Time of Consultations on Cabinet Confidences under the ATIA - Requests with Legal Services

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1,000 Pages Processed		1,001-5,000 Pages Processed		More Than 5,000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0	0	0

Completion Time of Consultations on Cabinet Confidences under the ATIA - Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1,000 Pages Processed		1,001-5,000 Pages Processed		More Than 5,000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0	0	0

Completion Time of Consultations on Cabinet Confidences under the PA - Requests with Legal Services

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1,000 Pages Processed		1,001-5,000 Pages Processed		More Than 5,000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed

