

Natural Sciences and Engineering Research Council of Canada (NSERC) 2014–2015 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, which is tabled in 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 2014-2015.

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 it 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 Alignment 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 Alignment Architecture (PAA):

The chart below presents NSERC's PAA in effect in the reporting period 2014-2015.

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 2014-2015, 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 October 2013, NSERC and SSHRC jointly developed a Privacy/Security Breach Protocol. The purpose of the Protocol is to assist the agencies, along with those involved in their 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
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 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 2014-2015, 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 2014-2015 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 2014-2015, 22 privacy recommendations were provided to NSERC internal and external clients.

3.2.2 Training

The ATIP office provided two training sessions where information was provided to 8 NSERC employees regarding obligations under the *Act*.

The ATIP office also provided specific training for 11 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 2014-2015, 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, 2014 to March 31, 2015, NSERC received and processed four new requests (this was two requests lower than the 6 requests received in the previous reporting period for 2013-2014). There were no outstanding requests from the previous reporting period (2013-2014).

NSERC completed the four 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

Two requests (50%) were from applicants for grant/award files, and two (50%) were from an employee and a private individual who required information about their personal information.

4.3 Inter-Organizational Consultations

NSERC received one request for privacy consultations from other government departments.

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

4.5.1 All Disclosed

In none of the completed cases the applicant was provided with full access to the relevant records.

4.5.2 Disclosed in Part

In three of the four cases (75 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

One request was 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 three 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

None of the requests completed during the reporting period needed to be extended.

4.9 Completion Time

All requests were completed within the first thirty days following the receipt date. NSERC monitors the time to process privacy requests using Case Management Software and the Corporate Secretary is advised of progress.

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 requests processed, two 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 \$77,100.00.

The operations and maintenance costs amounted to \$6000.00 for Goods and Services (professional services contract consultants). The total cost for the program expenditures was \$83,100 compared to \$43,589.00 from the last reporting period (2013-2014).

The associated full-time staff resources utilized for this reporting period were estimated at 0.90, which is 47% higher than the 0.48 staff resources utilized in the last fiscal year (2013-2014).

5. Complaints

5.1 Number and Nature of Complaints

During the 2014-2015 fiscal year, no privacy complaints were reported.

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.

In the 2014-2015 fiscal year, SSHRC and NSERC (the agencies) jointly coordinated a privacy impact assessment (PIA) of the Research Portal and Microsoft Dynamics CRM platform for the management of grants and awards. The transition to the Research

Portal and CRM technology platform is intended to modernize and replace existing technology and improve the agencies' grant management systems.

The PIA was conducted to develop an informed assessment of the privacy risks associated with the use of the Research Portal and CRM and to provide recommendations to mitigate identified privacy risks to an acceptable level. While the majority of the work for the PIA was carried out in 2014-2015, the PIA was not formally approved until April 2015. It will therefore be reported on fully in next year's statistical and annual reports.

Appendix A — Delegation Instrument

OFFICIAL DOCUMENT

**NATURAL SCIENCES AND
ENGINEERING RESEARCH
COUNCIL OF CANADA**

DELEGATION OF AUTHORITY

**ACCESS TO INFORMATION ACT
AND PRIVACY ACT**

I, the President of the Natural Sciences and Engineering Research Council of Canada, pursuant to Section 73 of the *Access to Information Act* and the *Privacy Act*, hereby authorize employees of the Natural Sciences and Engineering Research Council of Canada, whose positions are 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 those positions.

Dated at Ottawa

This 10th day of December

DOCUMENT OFFICIEL

**CONSEIL DE RECHERCHES EN
SCIENCES NATURELLES ET EN
GÉNIE DU CANADA**

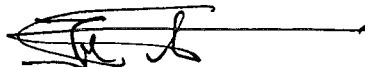
DÉLÉGATION DE POUVOIRS

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

En ma qualité de président du Conseil de recherches en sciences 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 les employés du Conseil de recherches en sciences naturelles et en génie du Canada dont les postes sont indiqués dans l'annexe ci-jointe à exécuter ces attributions en vertu des lois précisées dans l'annexe visant ces postes.

Fait à Ottawa

Ce 10 jour de décembre



Dr. B. Mario Pinto (President/Président)

President, Natural Sciences and Engineering Research Council
Président, Conseil de recherches en sciences naturelles et en génie du Canada

Délégation		Titre de position			
		Chef des opérations	VPA-PPO	Secrétaire du Conseil	Coordonnateur AIPRP
Descriptions	Disposition	1	2	3	4
Loi sur l'accès à l'information					
Notification lorsqu'il y a communication	7	oui	oui	oui	oui
Transmission de la demande	8(1)	oui	oui	oui	oui
Prorogation du délai	9(1)	oui	oui	oui	oui
Avis au Commissaire concernant la prorogation	9(2)	oui	oui	oui	oui
Refus de communication	10(1) & (2)	oui	oui	oui	oui
Versement de frais supplémentaires	11(2)	oui	oui	oui	oui
Versement de frais pour document informatisé	11(3)	oui	oui	oui	oui
Acompte	11(4)	oui	oui	oui	oui
Avis concernant le versement	11(5)	oui	oui	oui	oui
Dispense ou remboursement de frais	11(6)	oui	oui	oui	oui
Traduction	12(2)	oui	oui	oui	oui*
Transfert sur un support de substitution	12(3)	oui	oui	oui	oui*
Renseignements confidentiels	13	oui	oui	oui	oui*
Refus de divulgation – affaires fédérales-provinciales	14	oui	oui	oui	oui*
Refus de divulgation – affaires internationales et défense	15(1)	oui	oui	oui	oui*
Refus de divulgation – application de la loi et enquête	16(1)	oui	oui	oui	oui*
Refus de divulgation –	16(2)	oui	oui	oui	oui*

Délégation		Titre de position			
		Chef des opérations	VPA-PPO	Secrétaire du Conseil	Coordonnateur AIPRP
Descriptions	Disposition	1	2	3	4
méthodes de protection					
Refus de divulgation – fonctions de police provinciale ou municipales	16(3)	oui	oui	oui	oui*
Refus de divulgation – sécurité des individus	17	oui	oui	oui	oui*
Refus de divulgation – intérêts économiques du Canada	18	oui	oui	oui	oui*
Refus de divulgation – renseignements personnels d'un tiers	19(1)	oui	oui	oui	oui
Divulgation de renseignements personnels	19(2)	oui	oui	oui	oui
Refus de divulgation – renseignements de tiers	20(1)	oui	oui	oui	oui
Divulgation des méthodes pour les essais	20(2) & (3)	oui	oui	oui	oui
Divulgation des renseignements d'un tiers	20(5)	oui	oui	oui	oui
Divulgation dans l'intérêt public	20(6)	oui	oui		
Refus de divulgation – avis, etc.	21	oui	oui	oui	oui*
Refus de divulgation – examens et vérifications	22	oui	oui	oui	oui
Refus de divulgation – secret professionnel des avocats	23	oui	oui	oui	oui
Refus de divulgation – renseignements interdits	24(1)	oui	oui	oui	oui
Divulgation de prélèvements	25	oui	oui	oui	oui
Refus de divulgation – pour publication	26	oui	oui	oui	oui
Avis aux tiers	27(1)	oui	oui	oui	oui

Délégation		Titre de position			
		Chef des opérations	VPA-PPO	Secrétaire du Conseil	Coordonnateur AIPRP
Descriptions	Disposition	1	2	3	4
Prorogation du délai	27(4)	oui	oui	oui	oui
Avis concernant la divulgation des renseignements de tiers	28(1)	oui	oui	oui	oui
Observations écrites	28(2)	oui	oui	oui	oui
Divulgation du document	28(4)	oui	oui	oui	oui
Divulgation sur recommandation du Commissaire	29(1)	oui	oui	oui	oui
Avis d'enquête	32	oui	oui	oui	oui
Avis au tiers	33	oui	oui	oui	oui
Droit de présenter des observations	35(2)	oui	oui	oui	oui
Conclusions et recommandations du Commissaire	37(1)(b)	oui	oui	oui	oui
Divulgation accordée	37(4)	oui	oui	oui	oui
Avis au tiers concernant le recours à la Cour	43(1)	oui	oui	oui	oui
Avis à la personne qui a fait la demande	44(2)	oui	oui	oui	oui
Règles spéciales pour l'audition	52(2)	oui	oui	oui	oui
Présentation d'arguments en l'absence d'une partie	52(3)	oui	oui	oui	oui
Exclusion des renseignements protégés	71(2)	oui	oui	oui	oui
Règlement sur l'accès à l'information					
Transmission de la demande	6	oui	oui	oui	oui
Consultation des documents	8	oui	oui	oui	oui

*Indique que le Coordonnateur de l'accès à l'information et de la protection des renseignements personnels peut signer en vertu de cette disposition, avec l'approbation du président ou d'autres cadres désignés.

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		
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
Access to Information Regulations					
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 President or other senior designates.

Délégation		Titre de position			
		Chef des opérations	VPA-PPO	Secrétaire du Conseil	Coordonnateur AIPRP
Descriptions	Disposition	1	2	3	4
<i>Loi sur la protection des renseignements personnels</i>					
Communication à des organismes d'enquête	8(2)(e)	oui	oui		
Communication pour des travaux de recherche ou de statistique	8(2)(j)	oui	oui	oui	oui
Communication dans des cas où des raisons d'intérêt public justifieraient nettement une éventuelle violation de la vie privée	8(2)(m)(i)	oui	oui		
Communication pour des raisons d'intérêt public lorsque l'individu concerné en tirerait un avantage certain	8(2)(m)(ii)	oui	oui		
Communication pour la tenue d'enquêtes licites	8(4)	oui	oui	oui	oui
Préavis écrit au Commissaire à la protection de la vie privée, dans le cas prévu à l'alinéa 8(2)m)	8(5)	oui	oui	oui	oui*
Relevé des cas d'usage	9(1)	oui	oui	oui	oui
Avis au Commissaire à la protection de la vie privée, dans des cas où des renseignements personnels sont destinés à un usage compatible	9(4)	oui	oui	oui	oui
Renseignements personnels portés dans des fichiers de renseignements personnels	10(1)	oui	oui	oui	oui
Notification lorsqu'il y a communication	14	oui	oui	oui	oui
Prorogation du délai	15	oui	oui	oui	oui
Avis en cas de refus de communication	16	oui	oui	oui	oui
Décision concernant la traduction	17(2)(b)	oui	oui	oui	oui*
Communication sur support de substitution	17(3)(b)	oui	oui	oui	oui*
Refus de communication – renseignements personnels versés dans des fichiers inconsultables	18(2)	oui	oui	oui	oui

Délégation		Titre de position			
		Chef des opérations	VPA-PPO	Secrétaire du Conseil	Coordonnateur AIPRP
Descriptions	Disposition	1	2	3	4
Refus de communication – renseignements obtenus à titre confidentiel	19(1)	oui	oui	oui	oui*
Divulgence de renseignements personnels obtenus à titre confidentiel autorisée	19(2)	oui	oui	oui	oui
Refus de communication – affaires fédérales-provinciales	20	oui	oui	oui	oui*
Refus de communication – affaires internationales, défense	21	oui	oui	oui	oui*
Refus de communication – activités destinées à faire respecter les lois et enquêtes licites	22	oui	oui	oui	oui*
Refus de communication – enquêtes de sécurité	23	oui	oui	oui	oui
Refus de communication – individus condamnés pour une infraction	24	oui	oui	oui	oui
Refus de communication – sécurité des individus	25	oui	oui	oui	oui*
Refus de communication – renseignements personnels concernant un autre individu	26	oui	oui	oui	oui
Refus de communication – secret professionnel des avocats	27	oui	oui	oui	oui
Refus de communication – dossiers médicaux	28	oui	oui	oui	oui*
Avis d'enquête	31	oui	oui	oui	oui
Présentation d'observations au Commissaire à la protection de la vie privée	33(2)	oui	oui	oui	oui
Avis en réponse aux conclusions et aux recommandations du Commissaire à la protection de la vie privée dans un délai déterminé	35(1)(b)	oui	oui	oui	oui
Compte rendu au plaignant	35(4)	oui	oui	oui	oui
Réponse aux enquêtes sur les fichiers consultables	36(3)(b)	oui	oui	oui	oui
Réponse aux enquêtes concernant	37(3)	oui	oui	oui	oui

Délégation		Titre de position			
		Chef des opérations	VPA-PPO	Secrétaire du Conseil	Coordonnateur AIPRP
Descriptions	Disposition	1	2	3	4
l'application de la loi					
Demande d'audition dans la région de la capitale nationale	51(2)(b)	oui	oui	oui	oui
Présentation d'arguments en l'absence d'une partie	51(3)	oui	oui	oui	oui
Règlement sur la protection des renseignements personnels					
Consultation des dossiers	9	oui	oui	oui	oui
Correction de renseignements personnels	11(2)	oui	oui	oui	oui
Notification du refus de corriger des renseignements personnels	11(4)	oui	oui	oui	oui
Communication – dossiers médicaux	13(1)	oui	oui		
Communication – dossiers médicaux – consultation directe, en présence d'un médecin	14	oui	oui		

*Indique que le Coordonnateur de l'accès à l'information et de la protection des renseignements personnels peut signer en vertu de cette disposition, avec l'approbation du président ou d'autres cadres désignés.

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 President or other senior designates.

Appendix B — 2014-2015 Annual Privacy Act Statistical Report



Statistical Report on the *Privacy Act*

Name of institution: Natural Sciences and Engineering Research Council

Reporting period: 2014-04-01 to 2015-03-31

Part 1: Requests Under the *Privacy Act*

	Number of Requests
Received during reporting period	4
Outstanding from previous reporting period	0
Total	4
Closed during reporting period	4
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	0	0	0	0	0	0	0
Disclosed in part	1	2	0	0	0	0	0	3
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	1	0	0	0	0	0	0	1
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	2	2	0	0	0	0	0	4

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	3
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)	0	70(1)(d)	0
69(1)(b)	0	70(1)(a)	0	70(1)(e)	0
69.1	0	70(1)(b)	0	70(1)(f)	0
		70(1)(c)	0	70.1	0

2.4 Format of information released

Disposition	Paper	Electronic	Other formats
All disclosed	0	0	0
Disclosed in part	2	1	0
Total	2	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	0	0	0
Disclosed in part	179	164	3
All exempted	0	0	0
All excluded	0	0	0
Request abandoned	0	0	1
Neither confirmed nor denied	0	0	0
Total	179	164	4

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	0	0	0	0	0	0	0	0	0	0
Disclosed in part	2	52	1	112	0	0	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
Request abandoned	1	0	0	0	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
Total	3	52	1	112	0	0	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	0	0	0	0	0
All exempted	0	0	0	0	0
All excluded	0	0	0	0	0
Request abandoned	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0
Total	0	0	0	0	0

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
0	0	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	0	0
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	0	0

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 Subsections 8(2) and 8(5)

Paragraph 8(2)(e)	Paragraph 8(2)(m)	Subsection 8(5)	Total
0	0	0	0

Part 4: Requests for Correction of Personal Information and Notations

Disposition for Correction Requests Received	Number
Notations attached	0
Requests for correction accepted	0
Total	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	0	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	0	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	0	0
Total	0	0	0	0

Part 6: Consultations Received From Other Institutions and Organizations

6.1 Consultations received from other Government of Canada institutions and other organizations

Consultations	Other Government of Canada Institutions	Number of Pages to Review	Other Organizations	Number of Pages to Review
Received during the reporting period	1	9	0	0
Outstanding from the previous reporting period	0	0	0	0
Total	1	9	0	0
Closed during the reporting period	1	9	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 of Canada 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	More Than 365 Days	
All disclosed	0	0	0	0	0	0	0	0
Disclosed in part	1	0	0	0	0	0	0	1
All exempted	0	0	0	0	0	0	0	0
All excluded	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	1	0	0	0	0	0	0	1

6.3 Recommendations and completion time for consultations received from other organizations

Recommendation	Number of days required to complete consultation requests							
	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	Total
All disclosed	0	0	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	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

7.1 Requests with Legal Services

Number of Days	Fewer 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
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

7.2 Requests with Privy Council Office

Number of Days	Fewer 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
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

Part 8: Complaints and Investigations Notices Received

Section 31	Section 33	Section 35	Court action	Total
0	0	0	0	0

Part 9: Privacy Impact Assessments (PIAs)

Number of PIA(s) completed	0
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Part 10: Resources Related to the *Privacy Act***10.1 Costs**

Expenditures		Amount
Salaries		\$77,100
Overtime		\$0
Goods and Services		\$6,000
• Professional services contracts	\$6,000	
• Other	\$0	
Total		\$83,100

10.2 Human Resources

Resources	Person Years Dedicated to Privacy Activities
Full-time employees	0.90
Part-time and casual employees	0.00
Regional staff	0.00
Consultants and agency personnel	0.00
Students	0.00
Total	0.90

Note: Enter values to two decimal places.