

# Info Source

## Sources of Federal Government and Employee Information

Bank of Canada

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## GENERAL INFORMATION

### Introduction to *Info Source*

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

The [Introduction](#) to *Info Source: Sources of Federal Government and Employee Information* and an [index of institutions](#) subject to the *Access to Information Act* and the *Privacy Act* are available centrally.

The *Access to Information Act* and the *Privacy Act* assign overall responsibility to the President of Treasury Board (as the designated Minister) for the government-wide administration of the legislation. However, anything that is required to be done by the designated Minister is done in respect of the Bank of Canada by the Governor of the Bank of Canada.

### [Background](#)

The Bank of Canada is the nation's central bank and it was established in 1934 as a privately owned corporation. In 1938, the Bank became a Crown corporation belonging to the federal government.

The Bank is not a government department and conducts its activities with considerable independence compared with most other federal institutions. The Bank's Annual Report is submitted to the Minister of Finance for tabling in Parliament.

### [Responsibilities](#)

The Bank of Canada's principal role, as defined in the [Bank of Canada Act](#), is "to promote the economic and financial welfare of Canada." The Bank of Canada's primary responsibilities can be grouped into four broad functions:

- [Monetary Policy](#)
- [Currency](#)
- [Financial System](#)
- [Funds Management](#)

These functions are supported by corporate administration in providing a variety of internal services in such diverse areas as human resources, information technology, finance, legal, communications, knowledge and information management, facilities and security.

- [Corporate Administration](#)

## INSTITUTIONAL FUNCTIONS, PROGRAMS AND ACTIVITIES

### MONETARY POLICY

The Bank of Canada's monetary policy framework is an inflation-control system. The Government of Canada and the Bank of Canada have a joint agreement to keep inflation at an annual rate of 2 per cent-the midpoint of a 1 to 3 per cent target range-over the medium term. The Bank pursues this objective by raising or lowering its key policy rate (the target for the overnight rate) so as to keep demand and supply in the economy in balance and thus maintain the annual rate of inflation at 2 per cent. Low, stable, and predictable inflation provides a climate favourable for a sound, sustained growth in output, employment, and incomes over time.

#### **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.

**Document Types:** 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.

**Record Number:** BOC INT 235

#### **Current Analysis and Economic Developments**

**Description:** Interpretation of current economic data for Canada and analysis of the economic implications of current economic developments.

**Document Types:** 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.

**Record Number:** BOC RES 081

#### **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.

**Document Types:** Projections by international organizations and the Bank of Canada; developments in various countries; Bank for International Settlements press summaries;

Commonwealth of Independent States (CIS).

**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).

**Document Types:** Developments in the United States; projections by international organizations and the Bank of Canada.

**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.

**Document Types:** Export Development Canada (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).

**Record Number:** BOC INT 215

### **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.

**Document Types:** 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.

**Record Number:** BOC RES 086

### **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.

**Document Types:** Canadian financial institutions' interest rates; Canadian securities market Interest Rates; American interest rates; European interest rates.

**Record Number:** BOC MFA 130

### **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.

**Document Types:** International finance; international capital markets -recent developments and borrowing and recycling; commodities; inter-central bank arrangements.

**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.

**Document Types:** 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.

**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.

**Document Types:** 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.

**Record Number:** BOC INT 225

### **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.

**Document Types:** Bank of Canada balance sheet data; instruments of monetary policy; targets and indicators of monetary policy; international aspects of monetary policy.

**Record Number:** BOC MFA 100

### **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.

**Document Types:** Staff projections; price and incomes policy; market structure policy; government expenditures and transfers; government finance; monetary policy; fiscal policy; exchange rates; interest rates.

**Record Number:** BOC RES 076

### **Reviews and Comments on External Documents**

**Description:** Reviews and/or comments on external documents received by the Bank of Canada.

**Document Types:** 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.

**Record Number:** BOC RES 091

### **Special Studies and Analysis**

**Description:** Studies and analyses of the various techniques used to implement monetary policy, debt management and securities market strategy.

**Document Types:** 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.

**Record Number:** BOC FMD 070

### **Quantitative Methods, Computer and Data (Sources and Methods)**

**Description:** Descriptions of research methods, data construction and computer systems.

**Document Types:** Econometrics; programming and computer systems; time series analysis; input/output; National Accounts; Balance of Payments; demographics; general methodology.

**Record Number:** BOC RES 096

### **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.

**Document Types:** United States - monetary policy and regulations, banking system; securities markets; thrift institutions and mortgage market; financial commentaries; financial data.

**Record Number:** BOC MFA 145

## **FINANCIAL SYSTEM**

The Bank works to promote a safe, sound, and efficient financial system, within Canada and internationally. The financial system consists of financial institutions, financial markets, and clearing and settlement systems. The Bank promotes the safety and efficiency of the financial system by providing liquidity facilities; overseeing key domestic clearing and settlement systems; conducting and publishing research on policy issues affecting the financial system; and providing analysis and input to various domestic and international regulatory bodies.

### **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.

**Document Types:** 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.

**Record Number:** BOC INT 235

### **Book-Entry Securities Systems Development**

**Description:** Information on the studies, planning, development, coordination and implementation of book-entry securities systems.

**Document Types:** 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.

**Record Number:** BOC FMD 071

### **Canadian Institutions and Financial Sector Automation**

**Description:** Information on the payment systems of major Canadian institutions.

**Document Types:** 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.

**Record Number:** BOC DBO 301

### **Capital Markets**

**Description:** Information and studies into the functioning of capital markets; activities of various organizations that relate to capital market developments of interest to the Bank of Canada and reports of economic and financial developments in the Atlantic region of Canada.

**Document Types:** Capital market coverage, household credit; bond markets; equity markets; money markets; securitization; government regulatory bodies; Canadian Depository for Securities; United States Securities Regulations; financial structure and regulation.

**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.

**Document Types:** Canadian dollar assets; Canadian dollar liabilities; foreign currency business and operations abroad; earnings, expenses and balance of revenue; chartered bank operations through affiliates.

**Record Number:** BOC MFA 105

### **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.

**Document Types:** 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.

**Record Number:** BOC FMD 035

### **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.

**Document Types:** Consumer credit and Household credit.

**Record Number:** BOC MFA 125

### **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.

**Document Types:** 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.

**Record Number:** BOC INT 200

### **Domestic Financing - General**

**Description:** The release of general information outlining the terms and conditions of Government of Canada new loan issues.

**Document Types:** New loan and bond auction press releases; prospectuses; confirmation of offering; procedures; allotments; participation; statements.

**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.

**Document Types:** Loans.

**Record Number:** BOC FMD 055

### **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.

**Document Types:** Econometric analysis of the monetary system; econometric models of markets; econometric models on financial-real linkages; technical support and special projects.

**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.

**Document Types:** Financial flows matrix; credit market summary tables; sectoral analyses; financial markets projects.

**Record Number:** BOC MFA 135



### **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.

**Document Types:** 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.

**Record Number:** BOC FMD 080

### **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.

**Document Types:** 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.

**Record Number:** BOC FMD 060

### **Gold, Silver and Other Commodities**

**Description:** Information on gold, silver and commodity market practices -statistics, legislation and official gold transactions.

**Document Types:** Gold legislation; gold operations; gold markets; export-import reports; silver legislation and oil.

**Record Number:** BOC FMD 086

### **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.

**Document Types:** Federal budget and main estimates; government cash reports and forecasts; debt management issues.

**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.

**Document Types:** Monitoring and forecasting using the Quarterly Projection Model; QPM-related and other special reports; program and policy analysis; provincial budget and borrowing analysis.

**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.

**Document Types:** Intervention studies.

**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.

**Document Types:** 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.

**Record Number:** BOC FMD 010

### **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.

**Document Types:** Private institutional lenders; government lenders; new housing; existing housing.

**Record Number:** BOC MFA 120

### **Non-bank Financial Intermediaries**

**Description:** Balance-sheet data and analyses of the non-bank financial institutions.

**Document Types:** 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.

**Record Number:** BOC MFA 110

### **Open Market Operations and Securities Market Analysis**

**Description:** Statistical and analytical information relating to financial markets.

**Document Types:** 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.

**Record Number:** BOC FMD 030

### **Primary Distributors**

**Description:** Reports on the volumes of transactions in the Canadian securities markets -used to assess the level of activity in Canadian securities markets; information on the financial arrangements between the Bank of Canada and major Canadian investment dealers relating to

money market activities; detailed statistical information on the levels of participation by each Canada investment dealer in each Government of Canada loan.

**Document Types:** Dealers reports are organized by company name; Jobbers statistical information organized by company name.

**Record Number:** BOC FMD 020

### **Regulatory Issues**

**Description:** Reports and studies on regulatory issues.

**Document Types:** Deposit Insurance; ownership of financial institutions; statutory revisions; structure of financial institutions; Payments systems.

**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.

**Document Types:** 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.

**Record Number:** BOC MFA 170

### **Special Studies and Analysis**

**Description:** Studies and analyses of the various techniques used to implement monetary policy, debt management and securities market strategy.

**Document Types:** 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.

**Record Number:** BOC FMD 070

### **Surveys, Reports and Returns**

**Description:** Information on the collection of financial data required for the monitoring and analysis of financial developments.

**Document Types:** Reports and returns -trust companies, mortgage loan companies, non-financial companies, sales finance and consumer loan companies, affiliates of foreign banks; credit unions.

**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.

**Document Types:** United States - monetary policy and regulations, banking system; securities markets; thrift institutions and mortgage market; financial commentaries; financial data.

**Record Number:** BOC MFA 145

## CURRENCY

The Bank is responsible for the design, production, and distribution of Canada's bank notes. It also ensures that bank notes are secure against counterfeiting by building security features into the notes, running public education programs, and partnering with law enforcement.

### **Bank Note Retirement**

**Description:** Information related to the removal of bank notes from circulation for reasons such as the replacement by another medium or withdrawal of a denomination.

**Document Types:** May include status reports, distribution plans, meetings, strategy and project plans, and proposals.

**Record Number:** BOC BN 4

### **Compliance**

**Description:** Information related to ensuring compliance, including the deterrence of bank note counterfeiting through communications programs, and liaison activities with police and prosecutors.

**Document Types:** May include, correspondence, meetings, compliance policies, guidelines, image reproduction standards, statements of use, and statistics.

**Record Number:** BOC BN 6

- **Education Material, Programs and Services**

**Description:** This bank describes information relating to requests for education material, programs and services. The personal information collected includes the individual's name, home and email addresses, and telephone and fax numbers. In addition, where applicable, the information includes the organization name for which the individual works, the organization's address, the individual's business title, work telephone number, e-mail address and fax number.

**Class of Individuals:** General public who have made requests to obtain information or make reservations for programs and services.

**Purpose:** The purpose of this information is to respond to requests for education material and information sessions, reservations for programs and services. The purpose is also to receive comments or special instructions, how they heard about our materials, programs, and services, and whether they would agree to be contacted in the future. In addition, if the requester agrees to be contacted, the records are used to notify individuals of the availability of new materials, programs and services and for follow-ups such as assessing satisfaction with educational materials, programs and/or services received.

**Consistent Uses:** The information is used for planning purposes and for in-house statistical purposes related to the volume and nature of requested materials, programs and services as well as the source of the requests.

**Retention and Disposal Standards:** Hard copy information is retained for up to three months at which point it is transferred to an electronic database. Electronic information is retained for a period up to 10 years and then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC BN8, BOC BN 6

**TBS Registration:** 20110264

**Bank Number:** BOC PPU 068

- **Sale of Photographic Reproductions of Objects in the National Currency Collection and Reproduction of Bank Note Images**

**Description:** This bank describes information used to administer the sale and distribution of photographic reproductions of objects (numismatic) from the National Currency Collection of the Currency Museum and information requested when individuals seek permission from the Bank to reproduce bank notes images. The personal information collected includes the name, telephone number, mailing and e-mail address of the requester, name of organization where applicable and fax number. It includes also bank account numbers, signatures, order history and opinions expressed in surveys from individuals that purchase photographic reproduction. Requesters that seek permission to reproduce bank note are also asked to describe the nature of the proposed reproduction and explain how the reproduction will be exhibited.

**Class of Individuals:** General public

**Purpose:** The Bank of Canada is the registered copyright owner of all design elements of Canadian bank notes. The reproduction of bank note images is protected by federal legislation including the *Criminal Code of Canada and the Copyright Act*. The purpose of this information is to ensure that appropriate permission is granted prior to the reproduction of bank note images, and to support the sale and distribution of Photo Reproductions through the Bank's Currency Museum.

**Consistent Uses:** The records are used for planning purposes and for in-house statistical purposes such as source, nature of request, pieces sold, interest in particular objects, and returning customers to support the sale and distribution of photographic reproductions.

**Retention and Disposal Standards:** Paper records relating to the requests for permission to reproduce bank notes are kept for 2 years at which point they are transferred to a database and then destroyed. Database records are kept for a period of 5 years and then destroyed. Paper records relating to the sale of photographic reproductions are kept for 1 year at which point they are transferred to a database and then destroyed. The electronic copies are kept for a period of 7 years, and then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC BN 8, BOC BN 6

**TBS Registration:** 006457

**Bank Number:** BOC PPU 047

## **Destruction**

**Description:** Information related to the destruction of unfit bank notes and ancillary material and equipment such as bank note substrate and other material, rolls, plates and dies. Includes the management of the certificates of destruction of unfit bank notes and ancillary equipment.

**Document Types:** May include certificates of destruction, reconciliation reports, and correspondence with printers.

**Record Number:** BOC BN 11

## **Development**

**Description:** Information related to the development of a new bank note series including the specifications, design, production, and testing. This includes any change to existing note series.

**Document Types:** May include currency usage, technological developments reports; coin/note substitutions, bank note design: general series, and denominations, counterfeiting/simulations; security features, security research.

**Record Number:** BOC BN 13

## **Distribution**

**Description:** Information related to all aspects of bank note distribution to authorized members of the Bank Note Distribution System (BNDS).

**Document Types:** May include shipments (transportation), withdrawal orders, and deposits.

**Record Number:** BOC BN 15

## **Monitoring**

**Description:** Information related to the monitoring of quality, demand, inventories and authenticity of Bank Notes.

**Document Types:** May include demand forecasts, note inventories, and circulation trials.

**Record Number:** BOC BN 17

## **Mutilated Note Redemption**

**Description:** Information related to the provision of a mutilated note redemption service to provide settlement for damaged bank notes.

**Document Types:** May include claims, correspondence, and evaluations.

**Record Number:** BOC BN 19

- **Mutilated Bank Notes**

**Description:** This bank describes information related to the redemption of mutilated bank notes. Personal information may include name; contact information; comments related to the possession and the condition of the bank notes; proof of identification such as passport, residence card or driver's licence; proof of residence (if not provided as proof of identification) such as income tax assessment, employment pay stub, utility or property bills, or financial institution account statement.

**Class of Individuals:** General public

**Purpose:** Personal information is obtained for processing claims and responding to general inquiries related to mutilated or contaminated bank notes. Some information may be shared with third parties, including but not limited to, law enforcement agencies and the Financial Transactions and Reports Analysis Centre of Canada.

**Consistent Uses:** Information can be used to establish an inventory of claims and for statistical and reporting purposes.

**Retention and Disposal Standards:** All records are kept 7 years and then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC BN 19

**TBS Registration:** 20110285

**Bank Number:** BOC PPU 073

## **FUNDS MANAGEMENT**

The Bank of Canada's funds-management activities are related to its role as fiscal agent for the federal government and to the banking activities that it undertakes on its own account and on behalf of other central banks and international financial organizations.

### **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.

**Document Types:** Accounting records and controls; financial reports.

**Record Number:** BOC GSS 330

### **Client Accounts**

**Description:** Information on the maintenance of Client Accounts and related transactions.

**Document Types:** Accounts related to the Government of Canada; Government of Canada agencies; chartered banks and non-banks; central banks and international financial institutions.

**Record Number:** BOC DBO 275

### **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.

**Document Types:** Central banks; chartered banks; domestic financial institutions; Government of Canada accounts; Government of Canada agencies; international financial institutions; dealers.

**Record Number:** BOC CSD 345

### **Domestic Payment System Developments and Implications**

**Description:** Information on planning in the Canadian payments system as it evolves towards more electronic methods.

**Document Types:** Canadian clearing system; task forces and committees; Canadian Computer Communications Task Force; Working Group 3 study; payments system policy; Canadian Payments Association.

**Record Number:** BOC DBO 302

### **Exchange Fund Account**

**Description:** Information on the Minister of Finance's Exchange Fund Account, the principal repository of Canada's foreign exchange reserves.

**Document Types:** Legislation, transactions and accounting procedures; portfolio management; Exchange Fund Account reports.

**Record Number:** BOC CSD 350

### **Foreign Exchange Transactions**

**Description:** Information on foreign exchange bookkeeping and trading procedures of the Bank of Canada and transactions with other central banks.

**Document Types:** Transactions and procedures; portfolio management; reports; signing authorities; Bank of Canada foreign accounts

**Record Number:** BOC FMD 085

### **General Accounting Records**

**Description:** Information on various accounts and accounting as prescribed by the *Bank of Canada Act*.

**Document Types:** 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.

**Record Number:** BOC CSD 340

- **Unclaimed Bank Balance Inquiries**

**Description:** This bank describes information related to unclaimed balances that are maintained by the Bank of Canada, which acts as custodian on behalf of the owners after the balances have been transferred from federally regulated financial institutions and trust companies when there has been no owner activity in relation to the account for a period of 10 years or more. Personal information may include name, contact information, financial information, signatures, and family information.

**Class of Individuals:** General public

**Purpose:** The information is used to respond to inquiries from individuals, companies or their authorized legal representatives regarding an unclaimed balance and to return the unclaimed balance to the person entitled to receive payment of it. The personal information collected is pursuant to s. 438 of the *Bank Act*, s. 385.03 of the *Cooperative Credit Association Act* and s. 424 of the *Trust and Loan Companies Act*

**Consistent Uses:** The Bank of Canada publishes some of this information on its website as the disclosure of this information is consistent with the purpose for which the information was obtained by the Bank of Canada; that is, to return unclaimed funds to the person entitled to receive payment of them.

**Retention and Disposal Standards:** All the records related to paid and prescribed balances will be kept for 10 years and then destroyed. Balances less than \$1,000 will be transferred to the Receiver General for Canada after remaining unclaimed for 30 years, and balances of more than \$1,000 will be transferred to the Receiver General for Canada after remaining unclaimed for 100 years. After the milestone date when a balance is transferred to the Receiver General for Canada it becomes a prescribed balance. The records related to inquiries deemed to be valid claims against balances (but not paid) are kept for seven years and are then destroyed. If the claims are deemed to be invalid, the inquiry records will be kept for two years and then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC CSD 340

**TBS Registration:** 000073

**Bank Number:** BOC PPU 020

### **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.



**Document Types:** See Government Banking and Fiscal Services, Client Accounts and Loans of or Guaranteed by the Government of Canada.

**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.

**Document Types:** Deposits and payments processed through client accounts, Bank Act security; Canadian Bankers' Association; clearing; government deposits; Interbank International Payments System; safekeeping of valuables; Bank of Canada accounts at central banks; Bank of Canada gold accounts at central banks; external signing authorizations; 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.

**Record Number:** BOC DBO 270

- **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 Record Number:** 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.

**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:** To be determined

**Related Record Number:** BOC DBO 270

**TBS Registration:** 004037

**Bank Number:** BOC PPU 045

### Government of Canada Debt Products

**Description:** Includes records related to the management of federal government retail debt and wholesale products, such as Canada Savings Bond (CSB), Canada Premium Bond (CPB), The Canada Retirement Savings Plan (Canada RSP), and The Canada Retirement Income Fund (Canada RIF), Government of Canada Market Issue bonds, and War Savings Certificates. Records may include information related to bond registration, administration of interest payments; outstanding and redeemed bonds, lost/stolen/damaged bonds. It may also include information on the production and distribution of campaign materials; bond production and design, partnership with payroll sponsors and sales agents, clearing and settlement of bond transactions operated by The Canadian Depository for Security Limited (CDS), issuance of debt, marketing and communication strategy for promoting retail debt products, maintenance of various sales channels, and the forecast of retail debt market.

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.

**Document Types:** Forms to update information, transfer and exchanges, letter of indemnity, summary of redeemed bond, guidelines and procedures, campaign posters, certificates, coupons, cheques, Notarial/Court certified documents, sales agent communications and directives, agreements with sales agent and payroll employer, guarantee of signatures, Call to Tender, reports, survey and statistics, policy and planning.

Issue of Government of Canada loans and securities; maintenance of securities registers; retirement of securities; agents and distributors; Canadian Payments Association.

**Record Number:** BOC GSS 335

- **Government of Canada Securities Registers**

**Description:** This bank describes information related to Retail Debt Program which has been outsourced to various third party service providers who maintain the bond registers or provide other services that pertain to the maintenance of the various products. The registers include information pertaining to the issuance, maintenance and redemptions of bonds. Personal information may include name, contact information,

date of birth, date of death, employee identification number, login information, employer name, banking information, signatures, language preference, estate information, details of complaints, registration/account type and Social Insurance Number (SIN). This bank also includes the bond administration register for Wholesale Debt products which includes Market Issue Bonds and Old Style Canada Savings Bonds series 1-31. Currently these registers maintain the debt outstanding of wholesale products. Personal information may include name, contact information, account number, banking information and SIN.

**Class of Individuals:** Individuals who purchased or own a bond, and their authorized legal representatives or beneficiaries/ heirs.

**Purpose:** The purpose of this bank is to authenticate identity of bondholders and establish eligibility to purchase bonds, establish a registry, document transactions related to bondholder accounts, issue redemptions and interest payments, and respond to inquiries and complaints. Personal information is collected pursuant to the Domestic Bonds of Canada Regulations and the Receipt and Deposit of Public Money Regulations issued under the authority of the Financial Administration Act, and section 24 of the *Bank of Canada Act*. The SIN is collected under the authority of the *Income Tax Act*.

**Consistent Uses:** Some information is shared with Public Works and Government Services Canada (PWGSC) which is responsible for issuing the interest payments (cheques and direct deposit) on behalf of the Bank of Canada -see institution-specific PIB: PWGSC PCU 712. Information is also shared with Canada Revenue Agency/Revenue Québec for tax remittance -see institution-specific PIB: CRA PPU 140. Information may also be used in order to collect a debt owing to Her Majesty in rights of Canada, and to investigate complaints received by the customer. With the consent of the bondholders, the information may also be shared with a third party for the purpose of conducting market research such as surveys and focus groups for Retail Debt products.

**Retention and Disposal Standards:** Register records including debt product applications are kept for 30 years after redemption of the product then destroyed. Records related to coupons and war saving certificates will be kept for 1 year after redemption then destroyed. Retention for registered products is 30 years from the date of the last withdrawal and there is a zero dollar balance. Interest payment records will be kept for 30 years after the interest is paid then destroyed. Change request records including change of address and direct deposit and payroll contributions data will be kept for 2 years then destroyed. Records related to customer cases/transactions and lost bonds/lost interest cheques will be kept for 30 years following the closure of the case then destroyed. In cases where a lost cheque or lost bond is recovered after the replacement has been issued, the lost cheque or lost bond is retained for 2 years then destroyed. Undeliverable interest payment records will be held indefinitely. Unclaimed bond records will be held indefinitely. CSB Online Services records will be held for 1 year then destroyed. For copies of paid cheques or tracing direct deposit, please refer to PIB PWGSC PCU 712 for retention and disposition standards of PWGSC.

**RDA Number:** To be determined

**Related Record Number:** BOC GSS 335

**TBS Registration:** 004132

**Bank Number:** BOC PPU 005

### **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.

**Document Types:** Balance and recapitulations; government deposits; redemptions; settlement enquiries; deposit letters.

**Record Number:** BOC DBO 295

### **Government Securities and Gold**

**Description:** Information on the inventory and distribution of Government of Canada securities; custodial responsibilities for gold.

**Document Types:** Accounting procedures; securities; treasury bills; Canadian National Railway bonds; Government of Canada bonds; Canada Savings Bonds; client gold accounts arrangements and transactions.

**Record Number:** BOC DBO 305

### **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.

**Document Types:** 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.

**Record Number:** BOC GSS 340

- **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.

**Consistent Uses:** None.

**Retention and Disposal Standards:** Records are kept for a period of two years then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC GSS 340

**TBS Registration:** 001941

**Bank Number:** BOC PPU 040

### **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.

**Document Types:** 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.

**Record Number:** BOC GSS 345

### **International Payments System Developments and Implications**

**Description:** Information on international payments system automation research and planning.

**Document Types:** Bank for International Settlements (BIS); central banks; International Standardization Organization (ISO) -automation standards; Society for World-Wide Inter-bank Financial Telecommunications (SWIFT).

**Record Number:** BOC DBO 303

### **[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.

**Document Types:** Treasury bills; Canadian National Railway bonds; Canada Savings Bonds; Canada Payroll Savings Plan; Canada Premium Bonds; foreign loans; Government of Canada marketable bonds; Government of Canada loans issued; real return bond issues.

**Record Number:** BOC GSS 305

### **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.

**Document Types:** 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.

**Record Number:** BOC DBO 280

### **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.

**Document Types:** Definitions and historical data; reports and statements on reserve status; Government of Canada foreign currency borrowings and loans; reserves -investments.

**Record Number:** BOC FMD 095

### **Production of Security Certificates**

**Description:** Information on all phases necessary to obtain adequate supplies of security certificates and their distribution to the appropriate locations.

**Document Types:** Production reports; certificate design; foreign issues; printing errors;

certificates ordered and distributed; contracts with suppliers.

**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.

**Document Types:** 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.

**Record Number:** BOC GSS 325

### **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.

**Document Types:** Task forces and committees; computer services offered by financial institutions; computer services bureaus.

**Record Number:** BOC DBO 304

### **Special Studies and Analysis**

**Description:** Studies and analyses of the various techniques used to implement monetary policy, debt management and securities market strategy.

**Document Types:** 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.

**Record Number:** BOC FMD 070

## **CORPORATE ADMINISTRATION**

This function is responsible for supporting the sound management of the Bank's human, financial, information, technology, and physical resources and related infrastructure through the development of corporate policies and the maintenance of cost-effective, integrated systems and practices.

### **ADMINISTRATION**

#### **Administration**

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

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

**Record Number:** BOC CSD 401

## **AUDITING**

### **Internal Auditing**

**Description:** Includes records related to audit activities performed by an institution's internal audit. Audits are responsible for independently and objectively assessing the effectiveness of the Bank's processes, as designed and implemented by management, to ensure that: Bank assets and client valuables are safeguarded from losses of all kinds, including those arising from fraud, irregularity, or corruption; significant financial, managerial, and operational information is accurate, reliable, and timely; resources are protected adequately and are acquired economically and used efficiently; potential threats to the achievement of Bank objectives are identified, assessed, mitigated, and monitored; Bank policies, standards, and procedures, and applicable laws and regulations, are complied with; and strong ethics and values are promoted within the Bank.

**Document Types:** Internal audit reports, audit working papers, and audit manual including methodologies and templates.

**Record Number:** BOC CSD 456

## **COMMUNICATIONS**

### **Communications**

**Description:** Includes records related to the management of an institution's internal and external communications. The Communications function includes, but is not limited to, the following activities: providing communications support and advice to senior officials, including the preparation of speeches, news releases, briefing notes, presentations, memoranda and correspondence; preparing and implementing communications plans and strategies (including analyses of the internal and external environments) in support of institutional policies, programs, services and initiatives; preparing, producing and disseminating information using all forms of media and graphic arts, including electronic publishing; integrating all communication activities, including Internet applications, marketing, advertising, public opinion research and media relations to promote consistent and well co-ordinated communications with the public; providing, co-ordinating or contracting media monitoring services; communicating with the public, federal institutions, police agencies, other government institutions (municipal, provincial, international) and private sector organizations and providing information services through the Internet and other electronic media; planning, co-ordinating, implementing and evaluating advertising, publishing and public awareness programs and campaigns; planning, co-ordinating and promoting the institution's participation in public events, including fairs and exhibitions; cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews; marketing and supplying publications by the institution in various formats including the production, distribution and evaluation of film, video, audiovisual and multimedia productions via manual or electronic production (e.g. design, layout, typesetting, desktop publishing, printing, binding, etc.); developing and administering guidelines on the consistency in written style, graphic design etc. within the institution's documents; and designing logos, letterhead, stationery, publications etc. that incorporate the corporate image of the institution. Records may include information related to media relations, media monitoring and analysis, strategic communications advice and

planning, public opinion research and analysis, institutional publications, the development, design, management and maintenance of internal and external websites, and the development and maintenance of internal and external mailing and distribution lists.

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

**Record Number:** BOC COM 165

- **Mailing Lists**

**Description:** This bank describes the components of mailings lists maintained by the Bank of Canada. The personal information collected includes name, mailing and e-mail address, phone or facsimile numbers of private individuals and contacts within private sector, federal, provincial and non-government organizations, photocopies of cheques if required for refunds, cheque number is recorded in database.

**Class of Individuals:** Members of the general public or individuals representing private sector companies and federal, provincial and non-government organizations that have provided their contact information to obtain copies of relevant documentation.

**Purpose:** To create and maintain standardized mailing lists for the distribution of communications material, publications, reports and other documentation related to the Bank of Canada programs and activities, etc.

**Consistent Uses:** The information is used for planning purposes.

**Retention and Disposal Standards:** Paper records relating to Free and Paid Publications are kept for 3 years and then destroyed. Database records relating to Paid Publications are kept for 3 years after last administrative use, then destroyed.

**RDA Number:** 98/001

**Related Record Number:** BOC COM 165

**TBS Registration:** 006323

**Bank Number:** BOC PPU 055

## **Hospitality**

**Description:** Includes records related to hospitality. Hospitality is the provision of a meal or entertainment, including social events or ceremonies in accordance with established policies and guidelines. Records may include information about the nature, scope, location, costs and type of function. The records may also include information related to the proactive disclosure of relevant hospitality expenses.

**Document Types:** Includes lists of attendees, locations, dates, and expenses, event protocols, hospitality policies and guidelines, and documents related to the on-line publication of hospitality expenses.

**Record Number:** BOC CSD 446



- **Conference Registration**

**Description:** This bank describes information related to attendance at Bank of Canada hosted conferences. The personal information is collected through a secure Bank of Canada web site and includes the name, business title, phone and facsimile numbers, email address, mobility and dietary requirements of the attendees. It may also include the name of the spouses or companions of the attendees and their related information.

**Class of Individuals:** General public and representatives of external organizations and businesses, other government agencies and international governments.

**Purpose:** Information is used to complete logistical requirements (i.e., accommodation, transportation) and for conference documentation.

**Consistent Uses:** To provide services to the attendee and their guests, and for planning, evaluation, and statistical purposes.

**Retention and Disposal Standards:** Records are kept for a period of 2 years after the event, then destroyed.

**RDA Number:** 98/001

**Related Record Number:** BOC CSD 446

**TBS Registration:** 20110262

**Bank Number:** BOC PPU 058

## **CORPORATE GOVERNANCE**

### **Board of Directors and Executive Services**

**Description:** Includes records related to the provision of various administrative services for the institution's Board of Directors and executive (Governing Council, Management Council). Records may include the control and tracking of correspondence, the selection and/or implementation of technological systems to support the provision of services, management of senior executive committees including secretariat support services, and preparation of executive briefing notes.

**Document Types:** Correspondence, briefings, and briefing notes, speaking engagement invitations, committee meeting minutes, agendas and records of decision.

**Record Number:** BOC CSD 436

### **Business Continuity Planning**

**Description:** Includes records related to an institution's Business Continuity Planning which provides for the continued availability of services and associated assets that are critical to the health, safety, security or economic well-being of Canadians in the event of a disaster or emergency. Business Continuity Planning complements emergency preparedness (e.g. fire and building evacuation plans, civil emergency plans) and includes the development and implementation of a Continuity of Operations Program (COOP). The types of incidences for which the Plan may be initiated may vary from a minor incident, such as a building-specific power outage or an equipment or system failure, to one of provincial or national proportions. The COOP Program 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.

**Document Types:** Includes disaster/emergency recovery plans, network and/or data backup procedures, emergency and recovery resources, emergency evacuation procedures, service level agreements essential records policies, notification procedures for emergency response teams, institutional staff, and Senior Executive, or federal, provincial and municipal bodies, plan activation procedures, documentation pertaining to the Bank of Canada's facilities, disaster/emergency contact list, detailed business resumption, recovery and restoration procedures, and media handling procedures.

**Record Number:** BOC CSD 406

- **Continuity of Operations (COOP)**

**Description:** This bank describes information that is contained in the Bank of Canada's Continuity of Operation (COOP) Program. A COOP Program is established by the Bank of Canada to provide for the continued availability of services and associated assets that are critical to the effective functioning of the Canadian financial system, the health, safety, security or economic well-being of Canadians. The personal information may include the names, home addresses, home telephone, pager and cellular phone numbers of employees who are part of the Bank of Canada's COOP response team and Incident Management Team, as well as similar emergency contact information for senior and executive management staff and tenants having access to the Bank's facilities. In exceptional circumstances limited health information may be collected from Bank's staff and visitors to the Bank's facilities. 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 international, federal, provincial and municipal officials who may have to be contacted to assist the Bank of Canada as the result of an emergency situation.

**Class of Individuals:** Bank of Canada employees, tenants who have access to the Bank of Canada's facilities, emergency response officials, recovery vendors/service providers and business contacts.

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

**Consistent Uses:** This personal information may be shared with other federal institutions, the police, fire, other emergency response agencies and health agencies on an "as required" basis. Non-personal information may be used to provide reports to senior management about the execution of Bank of Canada's COOP Plans. This information may also be used for audit purposes.

**Retention and Disposal Standards:** Records related to health information are kept for a period of two years, then destroyed. Records containing contact information are updated as required and outdated information is superseded. Information is kept for the duration of the program.

**RDA Number:** 98/001

**Related Record Number:** BOC CSD 406

**TBS Registration:** 20110263

**Bank Number:** BOC PPU 060

## **Cooperation and Liaison**

**Description:** Includes records related to formal and informal cooperation and liaison activities with other governments and agencies, organizations, and academic institutions, to communicate institutional activities, and delivering institutional programs and services. May also include records related to coordinating programs for international delegations and visits, facilitating information exchanges in areas of common interest, sharing knowledge, expertise, and best practices, reinforcing partnerships and establishing partners and creating new networks.

**Document Types:** Minutes, agendas and records of decisions of multilateral and bilateral meetings, proceedings of symposia, roundtables and conferences, records of consultation activities.

**Record Number:** BOC CSD 421

## **Fellowship Program**

**Description:** The goal of this program is to encourage research at Canadian universities in areas critical to the Bank's mandate: macroeconomics, monetary economics, international finance, and the economics of financial markets and institutions. The records contain the applications and supporting document, including research papers, letters of nomination, and other material to substantiate how the applicants meet the criteria of the program; criteria used to determine successful applicants; committee meeting agenda and minutes, etc.

**Document Types:** Fellowship Program - General, Policies and Procedures; Press Releases; Nominating Committee; Meetings; Presentations by Recipients of Research Findings.

**Record Number:** BOC ELS 400

- **Fellowship Program Nominations**

**Description:** This bank describes information related to applications received by the Bank of Canada for the Fellowship Program (Fellowship and Governor's Awards). Personal information collected includes name of the applicant, home and work mailing address, telephone number and e-mail address, name of university and department where employed, curriculum vitae, letters of nomination from university officials about the application and also letters of reference.

**Class of Individuals:** Applicants to the program.

**Purpose:** The purpose of this information is to assist the Fellowship Nominating Committee in the annual selection process for recipients of the Fellowship Program.

**Consistent Uses:** The information is used for the selection of recipients, for statistical and reporting purposes.

**Retention and Disposal Standards:** Applications related to individuals granted Fellowships will be retained for 5 years following the termination of the Fellowship, then destroyed. Applications related to individuals not granted Fellowships will be retained for 5 years, then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC ELS 400

**TBS Registration:** 006348

**Bank Number:** BOC PPU 036

## Currency Museum

**Description:** Includes information related to the administration and programs of the Currency Museum including the National Currency Collection, the largest collection of Canadian bank notes, coins, and tokens in the world. The Museum offers educational activities as well as various exhibits.

**Document Types:** These records may include material related to general information about the Currency Museum, communications, records documenting the sale and distribution of photographic reproductions; information related to the planning and implementation of Exhibits, Tours, Activities/Workshops, Gallery Development, School Programs, Special Events; records relating to the National Currency Collection - Exhibits and Speeches, Acquisitions, including Specimen notes and Coins from Central Banks handed to Currency Collection, Items on Loan from the National Currency Collection, Items on Loan to Currency Collection, Donations, Gifts, Statement of Purchases.

**Record Number:** BOC BN 8

- **Education Material, Programs and Services**

**Description:** This bank describes information relating to requests for education material, programs and services. The personal information collected includes the individual's name, home and email addresses, and telephone and fax numbers. In addition, where applicable, the information includes the organization name for which the individual works, the organization's address, the individual's business title, work telephone number, e-mail address and fax number.

**Class of Individuals:** General public who have made requests to obtain information or make reservations for programs and services.

**Purpose:** The purpose of this information is to respond to requests for education material and information sessions, reservations for programs and services. The purpose is also to receive comments or special instructions, how they heard about our materials, programs, and services, and whether they would agree to be contacted in the future. In addition, if the requester agrees to be contacted, the records are used to notify individuals of the availability of new materials, programs and services and for follow-ups such as assessing satisfaction with educational materials, programs and/or services received.

**Consistent Uses:** The information is used for planning purposes and for in-house statistical purposes related to the volume and nature of requested materials, programs and services as well as the source of the requests.

**Retention and Disposal Standards:** Hard copy information is retained for up to three months at which point it is transferred to an electronic database. Electronic information is retained for a period up to 10 years and then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC BN8, BOC BN 6

**TBS Registration:** 20110264

**Bank Number:** BOC PPU 068

- **Sale of Photographic Reproductions of Objects in the National Currency Collection and Reproduction of Bank Note Images**

**Description:** This bank describes information used to administer the sale and distribution of photographic reproductions of objects (numismatic) from the National Currency Collection of the Currency Museum and information requested when individuals seek permission from the Bank to reproduce bank notes images. The personal information collected includes the name, telephone number, mailing and e-mail address of the requester, name of organization where applicable and fax number. It includes also bank account numbers, signatures, order history and opinions expressed in surveys from individuals that purchase photographic reproduction. Requesters that seek permission to reproduce bank note are also asked to describe the nature of the proposed reproduction and explain how the reproduction will be exhibited.

**Class of Individuals:** General public

**Purpose:** The Bank of Canada is the registered copyright owner of all design elements of Canadian bank notes. The reproduction of bank note images is protected by federal legislation including the *Criminal Code of Canada and the Copyright Act*. The purpose of this information is to ensure that appropriate permission is granted prior to the reproduction of bank note images, and to support the sale and distribution of Photo Reproductions through the Bank's Currency Museum.

**Consistent Uses:** The records are used for planning purposes and for in-house statistical purposes such as source, nature of request, pieces sold, interest in particular objects, and returning customers to support the sale and distribution of photographic reproductions.

**Retention and Disposal Standards:** Paper records relating to the requests for permission to reproduce bank notes are kept for 2 years at which point they are transferred to a database and then destroyed. Database records are kept for a period of 5 years and then destroyed. Paper records relating to the sale of photographic reproductions are kept for 1 year at which point they are transferred to a database and then destroyed. The electronic copies are kept for a period of 7 years, and then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC BN 8, BOC BN 6

**TBS Registration:** 006457

**Bank Number:** BOC PPU 047

## **FINANCIAL MANAGEMENT**

### **Financial Management**

**Description:** Includes records related to the receipt, control, and expenditure of public funds or institutional revenue which may include establishing, operating, and maintaining accounting systems, financial oversight, control and planning, budget submissions and budget reporting, managing funds in the form of allocations. May include records relating to accounts payable (expenditures), accounts receivable (revenues), banking, budgeting, cash accounting, cost recoveries, goods and services tax, duties and tariffs, petty cash, grants, contributions and transfer payments, taxes, resource allocations, liability and revenue control, allotments

and transfers, allowances, and accounting standards and methods. May also include documentation related to institutional automated financial management systems.

**Document Types:** Invoices, vouchers, financial statements, summaries, financial management reports and statistics, cheques, accounting codes, cash receipt journals, internal audit and compliance reviews, estimates and working papers, budget forecasts, fiscal year reports, postage accounts, receipts, signing authority documentation, packing slips, direct deposit applications, statements of account, purchase orders, insurance claims, commitment reports, and acquisition cards.

**Record Number:** BOC CSD 441

### **Procurement and Contracting**

**Description:** Includes records related to procurement and contracting process to obtain goods and services in accordance with an agreement between a contracting authority within the institution and a person or firm. Records may include information about identifying the goods or services to be purchased, selecting the most effective procurement approach, contract development and approval processes and procedures, contract negotiations, debriefing unsuccessful bidders, administering awarded contracts, including amendments if required, and post-contract evaluations. May also include information related to the contractor; e.g. company profiles, résumés, work experience, previous contracts completed, and clients. These records also include information related to the proactive disclosure of relevant contracts for goods and services.

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

**Record Number:** BOC CSD 481

### **Travel**

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

**Document Types:** Travel advance claims, expense claims and receipts, itineraries and correspondence, applications for travel cards, reporting templates, hotel, and airline directories

**Record Number:** BOC CSD 501

- **Travel**

**Description:** This bank contains advances, claims, receipts, travel arrangements, itineraries and correspondence concerning employee business travel. Personal information may include name, contact information, employee identification number, financial information, travel history, travel claims, accommodations, meals, and

preferences. Travellers may also be requested to provide date of birth and gender when booking travel arrangements.

**Class of Individuals:** Bank of Canada employees, who travel on official institutional business, and their spouses or common-law partners and/or dependants.

**Purpose:** The purpose of this bank is to maintain information regarding the travelling expenses of employees.

**Consistent Uses:** To provide advances and approve claims for business travel expenses. Information may be used or disclosed for program evaluation and reporting purposes.

**Retention and Disposal Standards:** Records are kept for a period of seven years, then destroyed.

**RDA Number:** 99/004

**Related Record Number:** BOC CSD 501

**TBS Registration:** 000075

**Bank Number:** BOC PPE 841

## HUMAN RESOURCES

### Compensation and Benefits

**Description:** Includes records related to the programs and activities that establish and administer pay, pension, and other benefit standards and practices to ensure that employees receive fair compensation/remuneration/payment for work performed. May include records related to continuous service, garnishment, maternity and parental benefits, attendance and leave, rates of absenteeism, overtime, pay authorities, performance pay, rates of pay, severance pay, temporary and summer students, part-time employees, pay administration, emergency salary advance, life, disability, health and dental insurance plans, Canada Pension Plan, and the Bank of Canada Pension Plan and Supplementary Pension Arrangement plans.

**Document Types:** Correspondence, compensation surveys, insurance plan directives and rules, copies of internal audit reports, terms and conditions relating to insurance eligibility, premiums, contributions, and benefits, and copies of relevant legislation, regulations, and procedures and guidelines.

**Record Number:** BOC CSD 416

- **À la Carte "Benefits Enrolment"**

**Description:** This bank describes information relating to the administration of the Bank of Canada's benefits program for employees. The records related to this PIB contain all documents created as a result of an employee's enrolment or re-enrolment such as the enrolment forms and acknowledgement of an employee's insurance level. Personal information collected includes employee name, employee identifier, home address and telephone number.

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

**Purpose:** The purpose of this bank is to document the enrolment of employees in this benefits program and the administration of employee-selected benefits by the Bank of Canada.

**Consistent Uses:** Non-personal information may be used to provide reports about the management of this program to the Bank's Senior Management. The information may

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

**Retention and Disposal Standards:** Records are kept for a period of 16 years then destroyed after being superseded. If the employee leaves the Bank, or in the case of the death of the employee, the records are held for 16 years after last administrative use.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 416

**TBS Registration:** 006324

**Bank Number:** BOC PPE 823

- **Attendance and Leave**

**Description:** This bank contains absence input forms and summary reports which include the employee identification number, leave applications, and correspondence related to Attendance and Leave. The annual summary of Attendance and Leave is attached to the Employee Personnel Record. Some Attendance and Leave information exists in automated form, as modules of institutional personnel databases, especially as time/attendance, leave control and absenteeism systems.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to support the administration of employee Attendance and Leave.

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

**Retention and Disposal Standards:** Records are kept for a period of three years, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 416

**TBS Registration:** 002211

**Bank Number:** BOC PPE 821

- **Garnishees**

**Description:** This bank contains orders of garnishment and related correspondence.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to maintain information concerning orders for garnishment. The social insurance number may or may not be present. If present, it is in some cases authorized under the *Income Tax Act* and the Family Orders and Agreements Enforcement Assistance Act and Regulations.

**Consistent Uses:** To provide for the execution of orders of garnishment.

**Retention and Disposal Standards:** Records are kept for a period of six years after the garnishment order is no longer in force, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 416,

**TBS Registration:** 000076

**Bank Number:** BOC PPE 822



- **Income Maintenance and Long-Term Disability Claims**

**Description:** This bank contains specific case file records relating to the Income Maintenance and Long Term Disability programs. It contains notice of leave of absence, completed necessary forms applying to programs, medical certificates, payment information, correspondence between employee and Great West Life regarding their claim, gradual return to work program records, etc.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to document information on the administration of the Income Maintenance and Long-Term Disability Programs of the Bank of Canada.

**Consistent Uses:** To administer specific claims and ensure payments are made to employees who are on the income maintenance and long-term disability programs.

**Retention and Disposal Standards:** Records are kept for a period of 16 years after termination of the claim or after last administrative use, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 416, BOC CSD 471

**TBS Registration:** 005279

**Bank Number:** BOC PPE 832

- **Pay and Benefits**

**Description:** This bank contains certificates for pay, allowances and deductions, which set out pay and benefit information for each employee, including the Social Insurance Number (SIN), as well as correspondence related to the administration of Pay and Benefits. The bank may also include banking information for pay and pension, orders for garnishment, attachment, and diversion of funds. Earning and superannuation records are attached to the Employee Personnel Record. Some of the above information exists in a computer-based system in order to generate salaries, pensions, deductions or to adjust an employee payroll/personnel record.

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

**Purpose:** The purpose of this bank is to provide documentation for the administration of Pay and Benefits. The use of the social insurance number is a requirement under the *Income Tax Act*, the *Employment Insurance Act*.

**Consistent Uses:** To approve the disbursement of salaries and allowances and the retention of deductions. The SIN is used for purposes of identification and to ensure consistency in administration of Pay and Benefits. Provision of the SIN is mandatory for this bank, subject to exemption of some individuals under special circumstances. The bank enables audit and reconciliation of payroll accounts (e.g., employee remuneration and entitlements) and supports the recovery of overpayments and debts owed to the Crown and, where applicable, enables execution of orders of garnishment, attachment, or diversion of funds in accordance with the *Garnishment, Attachment and Pension Diversion Act*.

**Retention and Disposal Standards:** After an employee leaves the Bank, the personnel record is kept until the individual reaches the age of 80, or two years after the death of the individual and then destroyed, provided two years have elapsed since the last administrative action concerning the information. Payroll Transaction records are kept 7 years then destroyed.

**RDA Number:** 98/005; 99/004  
**Related Record Number:** BOC CSD 416  
**TBS Registration:** 002212  
**Bank Number:** BOC PPE 820

### **Employment Equity and Diversity**

**Description:** Includes records related to the programs and activities that ensure equitable representation and distribution in the workplace of women, aboriginal peoples, persons with disabilities, and members of visible minority groups. May include records related to workforce analysis, employment equity initiatives, monitoring activities, duty to accommodate, flexible work arrangements, self-identification, adaptive technologies.

**Document Types:** Internal employment equity policies, copies of relevant legislation, regulations and policies, review and assessment reports, statistical reports, surveys, and Reports to Parliament.

**Record Number:** BOC CSD 431

- **Employment Equity Program**

**Description:** This bank contains personal information on employees that is needed to support the Bank's Employment Equity Program. This information is collected on a voluntary basis, and respondents are asked to identify their gender, whether they are an aboriginal person, whether they have a disability, or are a member of a visible minority group.

**Class of Individuals:** Regular full-time employees; regular part-time employees; contract and temporary employees of the Bank of Canada.

**Purpose:** This information is used for purposes specified in the *Employment Equity Act*; that is for implementation of the employment equity policy and program. Data are collected to provide a comprehensive picture of Bank staff by designated groups (e.g., women, aboriginal peoples, persons with disabilities and members of visible minority groups). This information may be linked with that in other banks containing employee information using the Employee Number in order to obtain statistical information used in the preparation of the Annual Report to the Department of Human Resources and Skills Development. This data is also used to compare the situation of designated group members with non-designated group members within the Bank and with their counterparts in the general labour market. Self-identification information may also be obtained from the bank on Applications for employment (BOC PPU 035).

**Consistent Uses:** The information gathered is used in the delivery of the Bank's Employment Equity Program to help create a more representative workforce. It may be used to compile statistical data or for administrative purposes that support measures to ensure that designated groups are equitably represented in the Bank.

**Retention and Disposal Standards:** Employment Equity questionnaires are retained for a period of two years after an employee leaves the Bank, then destroyed. When questionnaires are superseded, the previous questionnaires are immediately destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 431  
**TBS Registration:** 001942  
**Bank Number:** BOC PPE 817

### **Evaluation of Positions**

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

**Document Types:** Inventories, job evaluations, organization charts, internal policies, and guidelines, identification of functions or positions, job evaluation standards, language requirements of positions, competency requirements and/or profiles, statistical data, audit reviews and reports, generic work descriptions and job profile.

**Record Number:** BOC CSD 411

### **Labour Relations**

**Description:** Includes records related to relations between employer and employee (through the bargaining agents or units on behalf of the employees) within the institution. May include information related to adjudication and unfair labour practices complaints, discipline, demotion and termination, exclusions, certifications and union dues, human rights complaints, pay equity, collective agreement administration, conflict resolution/alternative dispute resolution processes and procedures, certification process, mediation, and workplace assessment.

**Document Types:** Grievance and conflict resolution procedures, copies of relevant acts and regulations, settlement documentation, investigation reports, documentation of adjudication hearings (e.g. legal documents, subpoenas, proceedings, records of decisions, witness statements), institutional codes of conduct, dispute resolution reports, workplace assessment reports, and mediation agreements.

**Record Number:** BOC CSD 461

- **Discipline**

**Description:** This bank contains notices of disciplinary action and correspondence about employee misconduct, testimony by witnesses, legal opinions, investigations of possible misconduct, and analysis reports of these investigations. It is important to note that notices of disciplinary action may be attached to the Employee Personnel Record.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to maintain information used in disciplinary actions.

**Consistent Uses:** To determine the need for and nature of disciplinary actions, and to support decisions on pay and benefits, attendance and leave, transfer, demotion and termination of employment.

**Retention and Disposal Standards:** Records are kept for a period of five years following the date of disciplinary action, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 461

**TBS Registration:** 002219

**Bank Number:** BOC PPE 836

- **Grievances**

**Description:** This bank contains presentations by employees, receipt notices and replies by management, testimony by witnesses, legal opinions, investigation and analysis reports, job descriptions required in the grievance process regarding classification; and correspondence about grievances.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to record information used in the grievance process.

**Consistent Uses:** Information contained in this bank is used exclusively to accommodate and, where possible, to resolve Grievances at all levels in the grievance process.

**Retention and Disposal Standards:** Records are kept for a period of five years following date of resolution, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 461

**TBS Registration:** 002218

**Bank Number:** BOC PPE 835

- **Personal Harassment**

**Description:** This bank contains letters of complaint regarding incidents of harassment; records of interviews with both complainants and alleged harassers; records of interviews with witnesses to incidents; summations of management investigations; and analyses of events and records of decisions taken about particular incidents. Such information must be retained as a separate record and not placed on the complainant's Employee Personnel Record. When a disciplinary action results from an investigation, information will also be filed in the Discipline Bank.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to record information necessary for dealing with complaints of Personal Harassment at the workplace.

**Consistent Uses:** To make decisions in specific instances on whether or not Personal Harassment is occurring and when this is the case to determine the appropriate action, including disciplinary action, to be taken to end a harassment situation.

**Retention and Disposal Standards:** Records are kept for a period of five years following the date of the most recent administrative activity in relation to an individual case, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 461

**TBS Registration:** 002237

**Bank Number:** BOC PPE 837

### **Occupational Health and Safety**

**Description:** Includes records related to the provision of a safe and healthy working environment for all Bank of Canada employees. Records may include information related to

occupational health and safety training, health assessments of employees and emergency medical services, environmental health investigations and surveys, first aid training, facilities, services and supplies, the selection and use of personal protective equipment and clothing, the rehabilitation and retraining of employees disabled by work injuries or illnesses, employee assistance services, the development and monitoring of occupational and environmental standards, procedures and other directives for the prevention of occupational illness and injury, the *Canada Labour Code*, workplace fitness programs, and the Workplace Health and Safety Committee.

**Document Types:** Accident/injury reports, safety guides, copies of ergonomic assessments, first aid needs assessments and treatment manuals, first aid reports, advisory notices, exposure to hazardous material case files, safety inspection reports, Workplace Health and Safety Committee records (agendas, minutes of meetings, records of decision, etc), medical examination reports, occupational injury or illness investigation reports, first aid training programs, policies, standards, guidelines and procedures, and copies of relevant legislation and regulations.

**Record Number:** BOC CSD 471

- **Employee Health Record**

**Description:** This bank contains occupational health evaluations and all personal medical data including employee assistance records and copies of Workplace Safety Insurance Board (WSIB) reports. Prior to 2002, this bank may also contain records relating to the Income Maintenance and Long-Term Disability Programs, i.e. completed forms to apply for LTD; all interaction between employee and Health Services; gradual return to work program records, etc.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to maintain health evaluations on Bank employees, and to provide documentation for the administration of occupational health and certain benefit programs.

**Consistent Uses:** The information is used to support medical, employment and pension decisions/entitlements.

**Retention and Disposal Standards:** Records are destroyed after a period of 20 years from closure of files. Files are closed after employee leaves the Bank or following the last intervention, if this occurs after the employee has left the Bank. Certain records relating to designated substances or procedures, i.e. audiograms are kept for a further 20 years, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 471

**TBS Registration:** 002215

**Bank Number:** BOC PPE 830

- **Income Maintenance and Long-Term Disability Claims**

**Description:** This bank contains specific case file records relating to the Income Maintenance and Long Term Disability programs. It contains notice of leave of absence, completed necessary forms applying to programs, medical certificates, payment information, correspondence between employee and Great West Life regarding their claim, gradual return to work program records, etc.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to document information on the administration of the Income Maintenance and Long-Term Disability Programs of the Bank of Canada.

**Consistent Uses:** To administer specific claims and ensure payments are made to employees who are on the income maintenance and long-term disability programs.

**Retention and Disposal Standards:** Records are kept for a period of 16 years after termination of the claim or after last administrative use, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 416, BOC CSD 471

**TBS Registration:** 005279

**Bank Number:** BOC PPE 832

- **Occupational Health and Safety**

**Description:** This bank describes information that is used in support of the occupational health and safety activity, including the prevention of accidents and injuries or illnesses related to occupations, authorization of leave and benefits associated with work-related injury or illness, fitness to return to work assessments, duty to accommodate, health and ergonomic assessments, health and safety complaints, injury compensation, and rehabilitation and retraining. Personal information may include name, contact information, employee identification number, employee personnel information, financial information, nature of complaint, medical information, opinions and views of, or about, individuals, and signatures.

**Class of Individuals:** Current and former Bank of Canada employees.

**Purpose:** To maintain records relating to occupational injuries or illnesses and subsequent disabilities arising out of, or aggravated by, conditions of work. It also provides documentation for the administration of occupational safety and health programs at the Bank of Canada, which includes the promotion of a safe and healthy workplace for employees and others, the prevention of accidents, occupational injuries and illnesses and, the investigation of occurrences of such injuries and illnesses. Information is collected under the *Canada Labour Code* and the Canada Occupational Health and Safety Regulations.

**Consistent Uses:** To record safety and health details and causes of accidents/injuries in order to assist in accident prevention and health protection. To assure Bank employees receive proper compensation for accidents/injuries. Information may be used or disclosed for the following reasons: to support decisions related to worker's compensation and injury-on-duty leave; as a means of preventing injuries and illnesses and subsequent disabilities arising out of, or aggravated by, conditions of work; to establish that individuals subject to certain identified occupational risks are able to continue working without detriment to their health or safety or to that of others; and to establish the conditions under which certain individuals with identified illnesses or disabilities are able to continue to work under controlled conditions. Limited information may be shared with private sector health service providers with the consent of the individual it concerns. Information may be used to communicate with contacts of employees in emergency situations. Information is also used to process payments and charge-backs with respect to injury compensation claims. Information related to injury

compensation claims, including related correspondence and amounts paid, is retained by Human Resources and Skills Development Canada (HRSDC) and is shared with the institution of the affected employee. HRSDC holds information pertaining to employee compensation amounts, which are charged to institutions and distributed on a cost-recovery basis. The information may also be used for reporting and statistical purposes.

**Retention and Disposal Standards:** First aid records are retained for two years, then destroyed. Accident and Occupational Injury or illness records are held for 10 years following the date of the occurrence, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 471

**TBS Registration:** 002217

**Bank Number:** BOC PPE 831

### **Official Languages**

**Description:** Includes records related to the provision of services to the public and to employees in both official languages in accordance with the *Official Languages Act* and its pursuant regulations. May include information related to language of work, minority official language rights, equitable participation, signage, communications with and services to the public, use of official languages on institutional web sites, and administration of the official languages program.

**Document Types:** Includes Review on Official Languages, policies, procedures and guidelines, complaint investigation reports, reports to Senior Management and copies of relevant legislation and regulations.

**Record Number:** BOC CSD 476

- **Official Languages**

**Description:** This bank contains basic personal data such as first official language and the employee identification number for purposes of identification; language knowledge levels; training certificates and correspondence about the official languages qualifications of employees.

**Class of Individuals:** Bank of Canada employees.

**Purpose:** The purpose of this bank is to provide documentation for administration of official languages policies as they pertain to employees.

**Consistent Uses:** To document the language training needs and accomplishments of employees, to aid in determining the linguistic status of employees and in auditing the administration of official language programs.

**Retention and Disposal Standards:** Records are kept for a period of two years after the employee leaves the Bank, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 476

**TBS Registration:** 002214

**Bank Number:** BOC PPE 826

### **Recruitment and Staffing**

**Description:** Includes records related to the recruitment and staffing of people to fill full-time or part-time positions within the institution. Records may include information related to

screening, examining, testing, interviewing, assessing, selecting, hiring, and promoting candidates for employment. May also include information related to terms and conditions of employment (including conflict of interest), deployments, assignments, and secondments, student, professional, and occupational recruitment, as well as information received from or shared with employment agencies.

**Note:** Relevant information may be transferred to an employee's personnel file if the individual accepts an offer of employment from the institution.

**Document Types:** Unsolicited résumés and curricula vitae, model interview questions and answers, competition posters and announcements, application forms, competition assessment tools and rating guides, reference check procedures, checklists, and letters, inventories of qualified candidates, candidate inquiries and responses, copies of letters of offer, ratings board assessments, information within automated or Web-based application tools, and second language evaluation results, etc.

**Record Number:** BOC CSD 486

- **Employee Personnel Record**

**Description:** This bank describes information concerning personal characteristics, including age and sex; employee identification number; home address; citizenship; education, including transcripts, certificates and diplomas; employment history, curriculum vitae; geographical and organization location; appointments, transfers, promotions and demotions; periods of employment, including probationary periods, tenure; performance reviews and employee appraisals; classification including position numbers, groups, levels, titles and salaries; banking information for pay and pension; superannuation and insurance, including names of beneficiaries, power of attorney and witness. Also included, where applicable, is information concerning military service, including periods and areas of service; and termination of employment, including certificates and reasons for termination. The Employee Personnel Record may contain summary records of decisions relating to staffing, attendance and leave, pay and benefits, training and development, inventory of technical qualifications, decisions concerning compensation and fitness for work, official languages, discipline, and level of security clearance. The major series of information concerning these topics is, however, found in other personal information banks described in this chapter. The Employee Personnel Record may not include the personal information actually used to make decisions in the areas noted above. Some of the above information exists in a computer-based system in order to generate reports on such topics as training, human resources inventory searches, attendance and leave and other related reports as required.

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

**Purpose:** The purpose of this bank is to have a record of an individual's employment and to facilitate personnel administration.

**Consistent Uses:** The main use of this bank is to provide documentation and authorization regarding appointments, transfers, promotions, demotions, termination of employment and superannuation. It is also used to authenticate decisions on staffing, attendance and leave; pay and benefits including superannuation; training and development; assignment of project work to staff with required skills set, occupational health and safety; official languages; discipline; and level of security clearance; as well as



to verify employment references. In some of the above cases, the information in this bank is a summary which refers to other more detailed information in other banks. This information may be used, provided such use is consistent with the main uses of the information, to ensure that personnel actions are co-ordinated in the interests of both the individual and the employer.

**Retention and Disposal Standards:** After an employee leaves the Bank, the personnel record is kept until the individual reaches the age of seventy, or two years after the death of the individual, provided two years have elapsed since the last administrative action concerning the information. Performance appraisals are kept on an employee's file for a period of five years and then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 486

**TBS Registration:** 002210

**Bank Number:** BOC PPE 810

- **Staffing, Applications for Employment**

**Description:** This bank contains all applications received from Bank of Canada employees and 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. This bank also contains staffing requests; position descriptions; salary ranges; selection profiles; competition posters; transfer requests; layoff lists; human resources inventory print-outs; lists of candidates; rating committee assessments, including evaluation notes from staffing committees; test results; eligibility lists; offers of employment; notices to candidates; and correspondence concerning staffing by various processes, including by competition and human resources inventory searches. Records in the bank contain a variety of personal information which may include education levels and the employee identification number.

**Class of Individuals:** Internal and external individuals seeking employment.

**Purpose:** To maintain a record of applications for employment and information used in staffing positions.

**Consistent Uses:** The files are used in the selection of staff, and for reporting and statistical purposes. Some information may be shared with a third party service provider in order to validate educational credentials and professional designations. Notations of staffing decisions may also appear in the Employee Personnel Record -PPE 810 bank.

**Retention and Disposal Standards:** Internal and external applications which have been considered in a staffing process are to be kept for a period of two years after the last administrative use, then destroyed. Complaint files are kept for five years following date of resolution, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 486

**TBS Registration:** 001597

**Bank Number:** BOC PPU 035

## Relocation

**Description:** Includes records related to the authorized move of an employee from one place of duty to another or the authorized move of an employee from the employee's place of residence to the employee's first place of duty upon appointment to a position in the institution. Records may include information related to employee entitlements and obligations, employer obligations, third party service providers, interim accommodation, travel to new destination, spousal relocation, advances, legal fees, and long-term storage.

**Document Types:** Relocation expense claims, copies of institution-specific policies and procedures, and moving and storage company information.

**Record Number:** BOC CSD 491

- **Relocation**

**Description:** This bank contains authorizations, advances, claims, receipts, and correspondence concerning the relocation of employees and their families. Personal information may include the employee's name; contact information; salary; bank account information; education; citizenship; reference letters; date of birth; marital status; if applicable, employee's housing or rental accommodation status, credit status; payroll notifications for allowances and subsidies including information about related tax liabilities.

**Class of Individuals:** Bank of Canada employees, and their spouses or common-law partners, their children and/or extended family members who are considered dependants for tax purposes

**Purpose:** The purpose of this bank is to maintain information regarding the relocation of employees.

**Consistent Uses:** To administer the relocation functions with respect to their approval, as well as advances and claims. Some information may be shared with external service providers who assist in the provision of relocation services and related services for the Bank's employees who are relocated.

**Retention and Disposal Standards:** Records are kept for a period of seven years following the date of the last transaction, after which they are destroyed.

**RDA Number:** 99/004

**Related Record Number:** BOC CSD 491

**TBS Registration:** 000074

**Bank Number:** BOC PPE 840

## Training and Development

**Description:** Includes records related to formal and informal training received by employees to develop their knowledge, skills and competencies, maximise their potential and increase their productivity. Records may include information related to language training, training requirements, professional development, leadership development programs, learning and training policies, monitoring and reporting requirements and continuous learning. May also include records related to liaison with training providers.

**Document Types:** Annual training reports, individual learning plans, employee orientation information, educational leave criteria, training and skills needs analysis documents, knowledge assessment criteria and results, performance level descriptions, criteria,

assessments and agreements, institutional policies on membership fees, and second language training requirements.

**Record Number:** BOC CSD 496

- **Training and Development**

**Description:** This bank describes personal information collected to support the Bank's training and development programs. Personal information include name, language preference, course applications and evaluations; employee identification numbers; examination results and grades; records of fee payments; and correspondence related to employee participation in Training and Development activities, such as mentoring, coaching, developmental assignments, tuition assistance and courses.

**Class of Individuals:** Bank of Canada employees

**Purpose:** The purpose of this bank is to provide documentation for the administration of Training and Development programs.

**Consistent Uses:** To approve the participation of employees in Training and Development activities, to register the employees and to certify their achievements. Information related to the needs for individual development mentioned on the Performance Review and Employee Appraisal Form is also contained in the Employee Personnel Record – PPE 810 bank. Information is also used for statistical, administrative and career planning purposes.

**Retention and Disposal Standards:** Records related to training and development are kept for a period of five years, then destroyed. Records related to the Development Assignment Programs are retained for 2 years after completion of assignments or 2 years of inactivity (no assignments). Selected information on all candidates is computerized and retained for statistical purposes for 5 years, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC CSD 496

**TBS Registration:** 002213

**Bank Number:** BOC PPE 825

## **INFORMATION MANAGEMENT**

### **Data Administration**

**Description:** Documentation of data bases and requirements.

**Document Types:** Data base documentation; data requirements; data definitions; data adjustments; data sources; data operations manuals.

**Record Number:** BOC MFA 165

## **LEGAL SERVICES**

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

**Description:** Includes records related to the administration of the *Access to Information* and/or the *Privacy Act* including processing requests, preparing Annual Reports to Parliament, statistical reports and updates to the Info Source publications, providing advice, guidance and training to employees, responding to complaints from requestors, conducting privacy impact assessments and responding to investigations by the Offices of the Information and/or Privacy Commissioners. Records may include information related to all requests for information

under the control of the institution including correction of personal information and notification of correction of personal information, the identification, description and registration of personal information banks, informal requests, complaints, investigations and requests for judicial review, consultations with third parties and information received from or sent to other institutions, legal advice and requests for advice received from institutional officials that raise privacy and/or access to information concerns. Records may also include information related to requests leading to a change of policy or procedure and documentation pertaining to the software systems used within institutions to manage the administration of access to information and privacy requests.

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

**Record Number:** BOC ELS 385

- **Access to Information and Privacy**

**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 the *Privacy Act*, 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. Personal information may include the name of the requester, contact information and other processing information related to the request, as well as personal information contained in institution records that are relevant to the request.

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

**Purpose:** Personal information described in this bank is used to administer the *Access to Information Act* and the *Privacy Act*, and to process and respond to informal requests. If required, information may also be used during investigations by the Offices of the Information and Privacy Commissioners.

**Consistent Uses:** The information may 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 Record Number:** BOC ELS 385  
**TBS Registration:** 20110641  
**Bank Number:** BOC PPU 103

### **Disclosure to Investigative Bodies**

**Description:** Includes records related to requests made to institutions by federal investigative bodies (as defined in Schedules 2, 3, and 4 of the Privacy Regulations) for information to facilitate investigations pursuant to paragraph 8(2)(e) of the *Privacy Act* and to the institution's response. The request from the investigative body must be received in writing and must include the following information: name of the investigative body, name of the individual who is the subject of the request or some other personal identifier, description of the requested information, section of the federal or provincial statute under which the investigative activity is being undertaken, and the name, title, and signature of the requester. The institution receiving the request must also indicate the following: decision to accept or refuse the request, date the request was received, title(s) of any relevant personal information bank(s) describing the personal information being requested, name, title, and signature of the official who authorized the response, and the name of the institution. The records must also contain copies of the information that was disclosed in response to the request. The records may also contain correspondence with the Privacy Commissioner of Canada and other information relating to the processing of the requests.

**Document Types:** Requests for information, responses and related correspondence, reports, legal opinions, disclosure review and response procedures.

**Record Number:** BOC ELS 390

- **Disclosure 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.

**RDA Number:** To be determined

**Related Record Number:** BOC ELS 390

**TBS Registration:** 20110642

**Bank Number:** BOC PPU 025

### **Legal Services**

**Description:** Includes records related to activities undertaken to enable the Bank to pursue policy, program and service delivery priorities and objectives within a legally sound framework. Legal Services include the provision of policy and program advice, direction in the development and drafting of the legal content of guidelines, assistance in the identification, mitigation and management of legal risks, legal support in ensuring compliance and enforcement of standards, guidelines, and representing the institution's interests in litigation. May include information related to legal advice, preparation of legal documents and litigation services.

**Document Types:** Legal opinions, working papers, correspondence, copies of enacted legislation, records documenting consultations with other federal institutions, schedules, parliamentary returns, written questions and briefing books.

**Record Number:** BOC ELS 395

- **Conflict of Interest Declarations**

**Description:** The Bank of Canada's Policy on [Conflict of Interest](#) requires employees to declare if they have any interests that may be perceived as, or may be in conflict with the interests of the Bank. The personal information collected includes the employee's name, employee completed Conflict of Interest Acknowledgement / Disclosure Statements, reports and details of financial holdings provided by an employee with potential conflict of interest, any other documents providing a record of advice to determine if a conflict of interest exists as well as documents providing details on compliance measures taken.

**Class of Individuals:** Current and former employees of the Bank of Canada.

**Purpose:** The purpose of this information is to document the processes that the Bank of Canada has implemented to avoid Conflicts of Interest. This information documents if an employee has been provided an opportunity to read and question the Conflict of Interest Policy; any potential conflicts of interest, an employee may have; and any compliance measures taken to resolve conflicts of interest.

**Consistent Uses:** To support decisions on transfers, discipline, and termination of employment.

**Retention and Disposal Standards:** If no conflict exists, the information will be retained for two years after the employee leaves the Bank, then destroyed. If an actual conflict exists, the information will be kept for 7 years after conflict is resolved, then destroyed.

**RDA Number:** 98/005

**Related Record Number:** BOC ELS 395

**TBS Registration:** 006397

**Bank Number:** BOC PPE 813

### **PHYSICAL ASSET MANAGEMENT**

#### **Material Management**

**Description:** Includes records related to the sustainable and financially responsible management of an institution's movable assets (excluding money and records) such as furniture, furnishings, equipment, supplies, vehicles, and other materiel used or acquired by

the institution to facilitate the efficient delivery of institutional programs and services. May include information relating to planning, purchasing, maintenance, repair and disposal of materiel, and operating standards.

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

**Record Number:** BOC CSD 466

- **Facility Management Database**

**Description:** This bank contains records of employee names, employee identification numbers, employment status, job levels and access card numbers which are used to support the management of space allocation and related resources.

**Class of Individuals:** Bank of Canada employees and contractors.

**Purpose:** To assist the Bank in managing space allocation resources.

**Consistent Uses:** To allocate space and assets related to space such as furniture, phones, etc.

**Retention and Disposal Standards:** Records are kept for a maximum of 6 months after an individual leaves the Bank, then destroyed.

**RDA Number:** 99/003

**Related Record Number:** BOC CSD 466

**TBS Registration:** 004236

**Bank Number:** BOC PPE 819

## SECURITY

### Security

**Description:** Includes records related to the Bank's security program which includes personnel, information, and physical security, as well as the Security Risk Management function. The bank's security program is informed by the bank's Corporate Security Policy which is based on the Policy for Government Security. It also includes records related to developing policies, operational standards and procedures related to the security programs elements.

**Document Types:** Physical access control; security breaches; access cards; security screening and clearances; policies and standards; threat and risk assessments; security awareness and training; 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.

**Record Number:** BOC CSD 355

- **Employee Protection**

**Description:** This bank describes information related to the security of specific employees and/or their immediate family members. Personal information includes name, date of birth, contact information, physical description, medical information, identification numbers such as employee ID, passport number or driver's license number, financial information, and personal vehicles information.

**Class of Individuals:** Specific Bank employees and their immediate family members

**Purpose:** The information is used to capture critical information that may be of assistance to law enforcement and/or officials at the Bank of Canada in the event of an emergency situation involving the person(s) for whom the profiles have been created.

**Consistent Uses:** Some information may be shared with law enforcement agencies to conduct investigations.

**Retention and Disposal Standards:** The information will be kept for two years after employee leaves the position then destroyed.

**RDA Number:** To be determined

**Related Records Number:** BOC CSD 355

**TBS Registration:** 20110644

**Bank Number:** BOC PPE 845

### **Identification and Physical Access Control**

**Description:** This bank describes information related to the administration of access control to Bank facilities and restricted areas including temporary employee/visitor passes and access control logs. Personal information may include name, contact information, photographs, physical attributes, including biometrics, signatures, access card numbers.

**Class of Individuals:** Employees, visitors and those individuals on assignment or contract and tenants who require access to the Bank.

**Purpose:** The bank is used to maintain information relating to the issuance, use and cancellation of identification and building-access cards and to assist in ensuring the security of the facilities used by the Bank and the safety and security of individuals and assets present in such facilities.

**Consistent Uses:** With the consent of the individual concerned, photographs held on file may be used for identification purposes in support of personnel security screening. The identification and building-pass database 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, the information may be shared with appropriate law enforcement agencies and emergency workers.

**Retention and Disposal Standards:** All the records will be kept for five years after an individual's last access to Bank facilities then destroyed, except for biometric template that will be kept for two years after an individual no longer requires access to restricted areas at the Bank.

**RDA Number:** 98/001

**Related Record Number:** BOC CSD 355

**TBS Registration:** 20110645

**Bank Number:** BOC PPU113

- **Public Key Infrastructure Subscriber Information**

**Description:** This bank contains subscriber's 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 Record Number:** BOC CSD 355

**TBS Registration:** 005156

**Bank Number:** BOC PPU 050

### **Reliability Checks and Security Clearances**

**Description:** This bank describes information related to reliability checks and security screening assessments of individuals working at or applying for employment at the Bank of Canada. Personal information may include employee identification numbers, completed fingerprint forms, results of the Royal Canadian Mounted Police criminal records name checks and/or fingerprinting records checks, credit bureau checks and Access Card Authorization forms, contact information, character assessments, citizenship status, date of birth, educational information, physical attributes, place of birth, signature, and previous employment information. In addition, this bank describes completed Personnel Security Clearance Questionnaires and Personnel Security Assessments, summaries of Canadian Security Intelligence Service records checks and investigations, completed Government of Canada Personnel Screening Request and Authorization forms, security briefings and other documentation providing positive identification. The bank may also describe personal information about any immediate relatives, including name, contact information, date of birth and death, and relationship to applicant.

**Class of Individuals:** All current and former Bank's employees, employees of a contracted company, service personnel and construction workers requiring temporary access to buildings and students.

**Purpose:** Personal information is collected to maintain reliability check and security clearance support documentation; the Bank is used to record information pertinent to the determination of the appropriate level of security clearance for employees whose position requires security screening.

**Consistent Uses:** Some information may be shared with the RCMP and CSIS to conduct the requisite checks. Notation of level of security clearance may be attached to the Employee Personnel Record PPE 810 bank.

**Retention and Disposal Standards:** Records are kept for a period of five years after an

employee leaves the Bank, then destroyed. Contracted company employees' records are kept for five years after departure from the Bank, then destroyed.

**RDA Number:** 98/001

**Related Record Number:** BOC CSD 355

**TBS Registration:** 002216

**Bank Number:** BOC PPE 816

- **Security Incidents**

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

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

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

**Consistent Uses:** Information may be disclosed to the following entities: the departmental security office, departmental ATIP office, the appropriate law enforcement authority for incidents suspected to be criminal offences; the Privy Council Office for incidents involving the compromise of Cabinet confidences; the Canadian Security Intelligence Service for incidents involving threats to the national interest; the Office of Critical Infrastructure Protection and Emergency Preparedness for incidents and threats affecting the availability of critical assets and services; the health and safety committee and to Health and Safety Officers appointed under the *Canada Labour Code* for incidents which can be considered as a "hazardous occurrence" or involve employee injury; and the Treasury Board of Canada Secretariat for incidents that have an impact on government operations or that could require revisions to operational standards or technical documentation. In the case of privacy breaches, information may also be disclosed to the Office of the Privacy Commissioner of Canada. Information may also be shared with human resources officials and managers, as required, to determine appropriate action and to support decisions regarding discipline or investigations. The information may also be used or disclosed for program evaluation.

**Retention and Disposal Standards:** Records are kept for 5 years after investigation is closed, then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC CSD 355

**Bank Number:** BOC PPU 123

**TBS Registration:** 20140042

- **Security Video Surveillance**

**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. Personal information collected includes recorded visual images.

**Class of Individuals:** Any person within proximity of video surveillance recording capabilities.

**Purpose:** This information is used to enhance the security of facilities used by the Bank of Canada 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.

**Consistent Uses:** Recordings indicate 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 Bank officials, law enforcement agencies or investigative bodies for further investigations, charges or disciplinary actions.

**Retention and Disposition Standards:** Video recordings are retained for 180 days before being recorded over. For high-security areas, video recordings are retained for up to 365 days before being recorded over. If the recordings are required for an investigation, however, they will be kept for five years and then destroyed.

**RDA Number:** 98/001

**Related Record Number:** BOC CSD 355

**TBS Registration:** 20110640

**Bank Number:** BOC PPU 118

## TECHNOLOGY

### Information Technology

**Description:** Includes records related to the cost-effective and efficient management of computer equipment and associated software for both institutional computer networks and employees' workstations, (including peripheral equipment such as printers, Personal Digital Assistants (PDA), wireless devices etc.), electronic systems development and maintenance, and technical assistance and support for networks, office systems and databases. May also include records 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.

**Document Types:** Network systems specifications, information system security policies and procedures, information technology strategic management plans, hardware and/or software research and history files, threat risk assessment reports, application specific data dictionaries, installation, configuration and relocation documentation, feasibility studies, pilot project documentation, system user manuals and/or guides, change management processes, computer activity reports, systems and programming standards, user specifications, IT training courses materials, personal computer or desktop support (Service Desk) procedures

and guidelines, computer performance and maintenance reports, system logs, testing strategies, results and reports, database management documentation and institution-specific policies, guidelines and procedures related to the management and use of technology.

**Record Number:** BOC CSD 451

- **Electronic Network Monitoring Logs**

**Description:** The records containing the information described in this bank relate to the use of the Bank of Canada information and communication technologies infrastructure. Logs containing details of use by individuals are compiled and are reviewed by appropriate officials of the institution when use is in contravention of the Use of Bank Information and Communication Technologies policy. Examples of information that may be in the records include infrastructure 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.

**Class of Individuals:** Any individuals who use or access the Bank of Canada information and communication technologies infrastructure, and any individuals who send electronic information to the Bank or to specific individuals within the Bank.

**Purpose:** The information contained in the records is compiled to support the investigation of suspected or alleged contravention of the policy, or deliberate impairment of the Bank's information and communication technologies infrastructure by individuals who are accessing the institutional infrastructure internally or externally.

**Consistent Uses:** The information may be used to substantiate any disciplinary action taken where violation of institutional policies is determined. If an internal investigation determines that criminal actions may have taken place, the information may be shared with appropriate 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:** The records are kept for a period of two years then destroyed.

**RDA Number:** To be determined

**Related Record Number:** BOC CSD 451

**TBS Registration:** 20110643

**Bank Number:** BOC PPU 098

## **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.

## MANUALS

- Guide - Reproducing bank note images
- Payments and other clearing and settlement systems
- Publications catalogue
- Services for Bond Owners
- Services - Unclaimed Balances

## ADDITIONAL INFORMATION

Please see the [Introduction to this publication for information on formal access procedures](#) under the provisions of the *Access to Information Act* and the *Privacy Act*.

### Formal Access to Information Requests

To make a formal request, mail your letter or [Access to Information Request Form](#) (*Access to Information Act*) or [Personal Information Request Form](#) (*Privacy Act*), along with any necessary documents (such as consent or the \$5.00 application fee for a request under *Access to Information Act*) to the following address:

Access to Information and Privacy Coordinator  
Bank of Canada  
234 Laurier Avenue West  
Ottawa, Ontario K1A 0G9 (*move postal code to this line*)

Please note: Requests made to the **Bank of Canada** under the *Access to Information Act*, must be accompanied by an application fee of \$5.00, cheque or money order made payable to **Bank of Canada**.

### Completed Access to Information Requests

The Bank of Canada also makes available previously released records in response *Access to Information Act* requests available at no charge. Please refer to our list of [completed request summaries](#).

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 Canada Savings Bonds:

Telephone: 1-800-575-5151  
TTY: (Hearing Impaired): 1-800-354-2222  
Facsimile: 613-782-8096  
Email: [csb@csb.gc.ca](mailto:csb@csb.gc.ca)

Mailing address:  
Canada Savings Bonds  
P.O. Box 2770, Station D  
Ottawa, Ontario K1P 1J7

For Unclaimed Bank Balances, personal inquiries may be directed to:  
Telephone: 1.800.303.1282 (toll-free, North America)  
Fax: 613.782.7713  
Email: [info@bankofcanada.ca](mailto:info@bankofcanada.ca)

For general enquiries about the programs and activities of the Bank of Canada, please contact:

Bank of Canada  
Public Information Services  
234 Laurier Avenue West  
Ottawa, Ontario K1A 0G9

Telephone: 1.800.303.1282 (toll-free, North America)  
Telephone: 613.782.8111 (outside North America)  
TTY \*: 1.888.418.1461  
Fax: 613.782.7713  
Email: [info@bankofcanada.ca](mailto:info@bankofcanada.ca)

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Subscriptions  
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Fax: 613.782.7713  
Email: [info@bankofcanada.ca](mailto:info@bankofcanada.ca)

For access to [press releases](#), many of our major publications, and current financial data:  
Internet: [www.bankofcanada.ca](http://www.bankofcanada.ca)

## **READING ROOM**

In accordance with the *Access to Information Act*, the applicant may wish to review material in person on the [premises of this institution](#).

For those individuals who wish to access files at the Bank's [regional offices](#), special arrangements will be made upon request.

Atlantic Provinces  
1583 Hollis Street, 5th Floor  
Halifax, Nova Scotia

British Columbia and Yukon  
200 Granville Street, Suite 2710  
Vancouver, British Columbia

Prairie Provinces, Nunavut, and Northwest Territories  
404 - 6th Avenue S. W., Suite 200  
Calgary, Alberta

Ontario  
150 King Street West, 20th Floor  
Toronto, Ontario

Quebec  
1501 McGill College Avenue, Suite 2030  
Montreal, Québec