

Directory of Personal Information Banks

Market Surveillance Administrator

1. Code of Conduct

Location: Legal.

Information

Maintained: May include name and contact information, financial and/or investment information, external board or association membership, private corporation or business interest information.

Individuals: All MSA employees and their minor children and spouses.

Use: To resolve situations of perceived, potential or actual conflicts of interest with current external memberships or affiliations or current investments/assets and an MSA employee's capacity with the MSA. This may include conflicts of interest in relation to assets, liabilities, investments, gifts, hospitality and other benefits, outside employment or activities; and preferential treatment.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(3).

2. Compliance Management

Location: Compliance.

Information

Maintained: Names, telephone numbers, titles, mail address, email addresses.

Individuals: Market participants and employees of market participants.

Use: Compliance evidence and investigations.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(3).

3. Contact Directory

Location: Information Technology.

Information

Maintained: Name, address, telephone numbers, email addresses, business titles or designations.

Individuals: Individuals receiving/sending correspondence or information in relation to mandated activities of the MSA.

Use: Disseminate or exchange information to interested individuals or employees of market participants.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(c).

4. Contract Management

Location: Legal and other various areas within the MSA.

Information

Maintained: This bank describes information contained in agreements between the MSA and a person or firm to provide goods or perform services. Personal information may include name, contact information (including business name), educational information, financial information, evaluations/assessments, Social Insurance Number, other identification number (eg. Business Number) and signature.

Individuals: Individuals representing themselves or employed through private companies (including temporary help services) who have been engaged through contracts.

Use: Personal information is used to manage the contracting process, which may include the request for and receipt of proposals, evaluation of bids, selection of contractor, preparation, negotiation, execution and award of contract, the disbursement of funds for services, deliverables or both as specified within the contract, and post-contract evaluation.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(3).

5. Corporate Accounting

Location: Administration and Finance.

Information

Maintained: Client name, address, telephone numbers, email address, financial information, amounts paid or outstanding.

Individuals: Individuals and organizations who owe money to the MSA or are owed money by the MSA as a result of their business interactions with the MSA.

Use: To collect and disburse payments.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(3).

6. Emergency Contacts

Location: Administration.

Information

Maintained: Name, home telephone number, mobile telephone number, nature of relationship to employee.

Individuals: MSA employees and their designated emergency contacts.

Use: To contact key individuals in the event of an emergency.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(3).

7. Employee Directories

Location: Information Technology.

Information

Maintained: Name, office telephone numbers, office name, address, email address, position title.

Individual: MSA employees.

Use: Used by internal and external stakeholders to identify and communicate with MSA employees.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(3).

8. Employee Files

Location: Administration.

Information

Maintained: Personal information such as name, birth date, gender, marital status, dependents, Social Insurance Number, home address, telephone numbers, employee identification number, emergency contact information, vacation and leave records, performance appraisals, employment history (date of hire, promotions etc.), current salary information, salary increase history, bonus information and history, learning and development records, professional associations and accreditations and other personal data related to employment.

Individuals: MSA employees.

Use: To capture employee's work history and employment information.

Legal

Authority: *Employment Standards Code.*

9. Expense Claims

Location: Administration and Finance.

Information

Maintained: May include name, mailing address, business organization or title, telephone numbers, employee identification number, kilometers travelled, purpose of travel or meeting, educational information, credit card information, and other expenses claimed.

Individuals: MSA employees, contracted staff, consultants, other non-MSA persons involved in meetings.

Use: To manage and process expense claims.

Legal

Authority: *Canada Revenue Agency Act.*

10. Facilities Access Management

Location: Administration.

Information

Maintained: Cards/passes and access control logs used to manage access to permanent staff and visitors. Personal information collected may include signatures, names, telephone numbers and visitor/company information related to the issuance of access passes.

Individuals: MSA employees or visitors.

Use: To assist officials in the monitoring of activities and/or the issuance of permanent/temporary access passes. Access logs may include entry and exit times from facilities and may be used in the event of security-related incidents such as thefts or emergency situations.

Legal

Authority: *Freedom of Information and Protection of Privacy Act, section 33(3).*

11. Freedom of Information and Protection of Privacy Requests

Location: Freedom of Information and Protection.

Information

Maintained: Information may include applicant or complainant name, address, telephone numbers, description of information requested; a privacy investigation; request for review of complaint; or reasons and evidence to correct personal information, fees paid, payment information, correspondence related to the particular request at issue.

Individuals: Individuals submitting requests or complaints under the Act, including individuals acting on behalf of another person (third parties), as well as individuals whose information appears in responsive records.

Use: Respond and process requests.

Legal

Authority: *Freedom of Information and Protection of Privacy Act.*

12. Investigations, Surveillance and Monitoring Activities

Location: Various areas of the MSA.

Information

Maintained: May include names, telephone numbers, mail addresses, email addresses, corporate contact information, business titles, designations or areas of responsibilities, organizational charts.

Use: Surveillance, monitoring and investigation evidence.

Legal

Authority: *Alberta Utilities Commission Act, sections 39, 42, 46, 47, Market Surveillance Regulation, sections 2 and 3, Freedom of Information and Protection of Privacy Act, section 33(c).*

13. Learning and Development Records

Location: Various areas of the MSA.

Information

Maintained: Personal information is collected to support the MSA's learning and development programs. Personal information may include name, contact information, educational information, employee identification number, current

and past training courses taken through or funded by the MSA, and training results.

Individuals: All MSA employees (excluding contractors/consultants).

Use: To capture employees learning and development history and records.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(c).

14. Occupational Health and Safety

Location: Administration.

Information

Maintained: Personal information may include name, contact information, employee personnel information, employee identification number, nature of complaint, and signature.

Individuals: Current and former employees of the MSA, including casual and contact employee.

Use: Personal information is used to administer occupational safety and health activities at the MSA, which includes the promotion of a safe and healthy workplace for employees and others, the prevention of accidents, and identification of potential occupational injuries and illnesses; employee assistance services, duty to accommodate and ergonomic assessments.

Legal

Authority: *Occupational Health and Safety Act, Freedom of Information and Protection of Privacy Act*, section 33(c).

15. Pay and Benefits

Location: Administration and Finance.

Information

Maintained: This bank describes information related to the administration of pay and benefits within the MSA. Personal information may include name, contact information, date of birth, date of death, employee identification number, employee personnel information, financial information, and Social Insurance Number.

Individuals: Current and former employees of the MSA.

Use: Personal information is used to disburse salaries and allowances and to process deductions and orders for garnishment and diversion of funds.

Legal

Authority: *Employment Standards Code and Canada Revenue Agency Act.*

16. Recruiting/Job Competitions

Location: Various areas at the MSA.

Information

Maintained: May include name, resume, home and office mailing addresses, email addresses, telephone numbers, previous employment, education and training history, job posting/competition, interview questions, reference checks, screening and evaluation results and appointment of successful candidate.

Individuals: Applicants for MSA employment opportunities.

Use: Document the hiring process and provide statistical data.

Legal

Authority: *Freedom of Information and Protection of Privacy Act, section 33(c).*

17. Stakeholder Contact Lists

Location: Various areas of the MSA.

Information

Maintained: Name, address, business titles or designations, telephone numbers and email addresses.

Individuals: Individuals participating in stakeholder consultation with the MSA, including receiving/sending correspondence or information.

Use: Disseminate or exchange information to interested individuals or individuals participating in consultations.

Legal

Authority: *Market Surveillance Regulation, sections 7(2) and 8(3) and Freedom of Information and Protection of Privacy Act, section 33(c).*

18. Subscription Directory

Location: Information Technology.

Information

Maintained: Name, address, telephone numbers, email addresses, business titles or designations.

Individuals: Individuals who have subscribed to the MSA updates and Newsletter.

Use: Disseminate information to interested individuals or employees of market participants.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(c).

19. System Access Management

Location: Information Technology.

Information

Maintained: The information described in this bank is used to administer access to IT systems which store documents, records (including email) and information received and/or created by the service provider in support of its functions and activities. Documents and e-mail received by the institution may be entered into the automated system in an electronic format or summarized and entered manually into the system.

Individuals: All MSA employees, including contractors and students, as well as any individual corresponding with the MSA.

Use: To facilitate access to IT systems used to manage electronic document, records and information collections. The IT systems ensure the information is available to support the operations of the MSA. The IT systems also make searching and retrieving information from the MSA's information collections faster and easier.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(c).

20. Talent Management

Location: Various areas of the MSA.

Information

Maintained: Personal information such as a name, gender, age range, employment start date, employment position history, performance appraisals, compensation details and future progression of workforce needs.

Individuals: All MSA employees (excluding contractors/consultants).

Use: To assist in the succession through a process of identifying and developing internal people with the potential to fill key business leadership positions in the MSA. To assist in workforce planning by identifying employee demographics, performance history and determining potentials and future need.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(c).

21. Workplace Investigations

Location: Legal.

Information

Maintained: Details around policy violations, internal or external complaints, interviews and summary of events with recommendation of action, as well as any relevant security and safety incidents. Name, telephone numbers, email addresses, business title or designations. Legal advice on the interpretation of law and practice may also be kept on file to back up actions taken.

Individuals: MSA employees (excluding contractors/consultants). External parties (eg. complainant, witnesses).

Use: To maintain governance of policy, address complaints and to protect employees.

Legal

Authority: *Freedom of Information and Protection of Privacy Act*, section 33(c).