

POLICY TITLE: **Routine Access Policy**

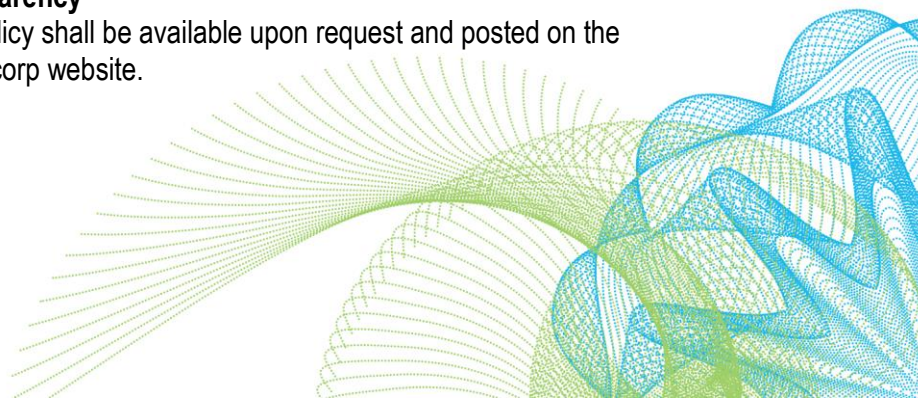
POLICY STATEMENT: Consistent with the spirit and intent of the *Freedom of Information and Protection of Privacy (FOIPOP) Act*, Innovacorp attempts first to respond to requests for information by means other than requiring a formal application for records under the *FOIPOP Act*. Formal FOIPOP applications are treated as an avenue of last resort when other means of access to information have been exhausted.

In keeping with this approach and to facilitate access to information, Innovacorp classifies certain records or categories of records as available through routine access, subject to the limitations specified in this policy. Categories of records available through routine access are listed in “Schedule A,” which forms part of this policy.

PURPOSE / OBJECTIVE: The purpose of this policy is to provide a pro-active approach to access to information that reflects the spirit of openness and accountability embodied in the *FOIPOP Act*; specifically to identify categories of records available on a routine access basis.

This *Routine Access Policy* shall be administered in accordance with the following principles:

- a. **Third Party Privacy / Confidentiality**
Records containing personal information of an identifiable individual or confidential business information of a third party shall not be disclosed by Innovacorp unless that information has been severed from the record or with the written consent of the third party.
- b. **Timeliness**
Innovacorp shall apply best efforts to respond to routine access requests in a reasonable and timely fashion.
- c. **Transparency**
This policy shall be available upon request and posted on the Innovacorp website.



APPLICATION:

This policy applies to:

- a. those records and categories of records designated under this policy as available on a routine access basis as listed in "Schedule A "

This policy does not apply to:

- a. records created prior to October 23, 2003
- b. requests that comprise more than 50 pages of records, whether made as one large request or a series of small requests by one Requestor or a group of associated Requestors
- c. requests of a repetitious, systematic, frivolous or vexatious nature, that in the opinion of the President & CEO, Innovacorp, or his/her delegate, constitute an abuse of the opportunity for access under the *Routine Access Policy*

POLICY DIRECTIVES:

1. The Administrator will coordinate responses to routine access requests.
2. Routine access requests must be made in writing.
3. Fees do not apply for responding to routine access requests.
4. Employees who receive routine access requests must forward them without delay to the Administrator for response.
5. All FOIPOP applications will be screened to determine if they can be responded to entirely, or in part, through routine access. Therefore, no fees will be processed until this determination has been made.
6. Records classified as available on a routine access basis will be reviewed for personal information, confidential business information, and other information that may be exempted from disclosure in accordance with Sections 12-21 of the *FOIPOP Act*, and any such identified information may be severed from the record prior to disclosure.
7. Routine access requests will be tracked in accordance with requirements of Department of Justice.
8. The *Routine Access Policy* will be posted on the Innovacorp website.

POLICY GUIDELINES:

1. When Innovacorp receives a FOIPOP application or routine access request, the application / request will be reviewed against the list of records approved for routine access as listed in "Schedule A."
2. If the requested record is subject to this policy, as listed in "Schedule A," the Administrator will have the requested record retrieved and sent to the Applicant / Requestor.
3. Best efforts will be applied to respond to routine access requests within 30 days of receipt of the written application / request by the Administrator.
4. If the requested record is not listed in "Schedule A," the Administrator will notify the Requestor and provide him or her with information about procedures for obtaining access, including where appropriate, procedures for making an application under the *FOIPOP Act*.

ACCOUNTABILITIES:

President & CEO, Innovacorp

- a. overall management responsibility for the policy
- b. approval authority for the policy and any amendments
- c. access decisions in response to routine access requests
- d. champion annual review of the policy

Administrator

- a. day to day implementation of the policy
- b. track routine access requests in accordance with Department of Justice requirements
- c. monitor and report on compliance with the policy
- d. evaluate the policy and make recommendations for annual review

Employees

- a. forward routine access requests without delay to the Administrator for response
- b. respond in a timely fashion to requests from the Administrator to locate and retrieve records requested under the *Routine Access Policy*

MONITORING:

Compliance with the policy directives will be monitored on an ongoing basis by the Administrator.

The policy will be formally evaluated and reviewed on an annual basis by the President & CEO, Innovacorp.

- REFERENCES:**
- a. Definitions (see Appendix 1)
 - b. Section 2 of the *FOIPOP Act* (see Appendix 2)
 - c. *Personal Services Contract Regulations (Public Service Act)*

INQUIRIES: For more information about this policy please contact:

FOIPOP Administrator
Innovacorp
400-1871 Hollis Street
Halifax, NS B3J 0C3
Tel: 902.424.8670
Fax: 902.424.4679

APPROVED BY: *President & CEO*

APPROVAL DATE: *October 24, 2003; revised February 19, 2008*

REPLACES: *N/A*

REVIEW DATE: *February 19, 2009*

SCHEDULE A

Routine Access Records

The following list includes those records and categories of records that have been classified under the *Routine Access Policy* as available on a routine access basis.

| RECORD DESCRIPTION* | RESTRICTIONS |
|--|--|
| <u>FINANCIAL</u> | |
| Employee expense reports | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end • for a maximum of three individuals per year per requestor |
| Cost of renovations | <ul style="list-style-type: none"> • for specific offices • within current fiscal year and for 3 months following fiscal year end |
| Cost of special or specific events (i.e. conferences, luncheons, workshops, training, etc.) | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end |
| Cost of sending an employee out of the province or out of the country | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end • information to be released by category (i.e. travel, lodging, meals, etc.), subject to privacy issues |
| Corporate overtime expenditures | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end |
| Detailed expenditure reports by category (e.g. salaries, travel, etc.) | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end • for a maximum of three categories per year per requestor |
| Final audits conducted by Department of Finance of programs/activities | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end |
| Contracts for goods and services | <ul style="list-style-type: none"> • current, subject to confidentiality and privacy issues |

| <u>HUMAN RESOURCES</u> | |
|---|--|
| Generic information on benefits and hours of work | <ul style="list-style-type: none"> • current |
| Organizational charts | <ul style="list-style-type: none"> • current • without names • subject to privacy issues |
| Position description, pay scale and classification of position | <ul style="list-style-type: none"> • current • without names • subject to privacy issues |
| Personal service contracts of officers of the corporation, and positions not subject to the corporate compensation framework | <ul style="list-style-type: none"> • current and for 3 months following end of employment contract • excluding personal information |
| Secondment agreements (both within and outside of Innovacorp) | <ul style="list-style-type: none"> • current and for 3 months following end of employment contract • excluding personal information |
| Corporate attendance management statistics | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end • excluding personal information |
| Hiring process (subject to privacy issues): | |
| Number of applicants per job competition Number of internal applicants Screening criteria contained in job posting Number of persons interviewed | <ul style="list-style-type: none"> • current competitions and for 3 months following recruitment decision |
| Name and job title of interview panel | <ul style="list-style-type: none"> • only to candidates being interviewed • current competitions and for 3 months following recruitment decision |
| Name of successful candidate | <ul style="list-style-type: none"> • where offer of employment was accepted • current competitions and for 3 months following recruitment decision |
| Adjudication decisions | <ul style="list-style-type: none"> • within current fiscal year and for 3 months following fiscal year end |

* Does not apply to records created prior to October 23, 2003.

APPENDIX 1

- DEFINITIONS -

- “active dissemination”** The periodic and pro-active release of information or records in the absence of a request, using mechanisms such as the internet, libraries, etc.
- “Administrator”** The person responsible for receiving and responding to applications made to Innovacorp under the *FOIPOP Act* (currently the FOIPOP Administrator, c/o Innovacorp)
- “confidential business information”** As referenced in the *FOIPOP Act* (Reference - s. 21)
“Means:
(1) information
(a) that would reveal (i) trade secrets of a third party; or (ii) commercial, financial, labour relations, scientific or technical information of a third party; and
(b) that is supplied, implicitly or explicitly, in confidence; and
(2) information obtained on a tax return or gathered for the purposes of determining tax liability or collecting a tax.”
- “FOIPOP access”** The release of a record in response to a formal application made under the *FOIPOP Act*.
- “personal information”** As defined in the *FOIPOP Act* (Reference - s. 3(1)(i))
“Means recorded information about an identifiable individual, including:
(i) the individual’s name, address or telephone number;
(ii) the individual’s race, national or ethnic origin, colour, religious or political beliefs or associations;
(iii) the individual’s age, sex, sexual orientation, marital status or family status;
(iv) an identifying number, symbol or other particular assigned to the individual;
(v) the individual’s fingerprints, blood type or inheritable characteristics;
(vi) information about the individual’s health-care history, including a physical or mental disability;
(vii) information about the individual’s educational, financial, criminal or employment history;
(viii) anyone else’s opinion about the individual; and
(ix) the individual’s personal views or opinions, except if they are about someone else.”

“personal services contract”

An agreement that establishes an employment relationship between an individual and Innovacorp, including an amendment of, or extension to, the agreement. (Reference: s. 2(f) *Personal Services Contract Regulations, Public Service Act*)

“record”

As defined in the *FOIPOP Act* (Reference - s. 3(1)(k))
“Includes books, documents, maps, drawings, photographs, letters, vouchers, papers or any other thing on which information is recorded or stored by graphic, electronic, mechanical or other means, but does not include a computer program or any other mechanism that produces records.”

“Requestor”

The person requesting access under the *Routine Access Policy*.

“routine access”

The routine or automatic release, in full or in part, of a specified record in response to a request, without the need for a formal application for records under the *FOIPOP Act*.

APPENDIX 2

- REFERENCE LEGISLATION -

Freedom of Information and Protection of Privacy Act

Section 2 - Purpose of Act

“s. 2 The purpose of this Act is

- (a) to ensure that public bodies are fully accountable to the public by
 - (i) giving the public a right of access to records,*
 - (ii) giving individuals a right of access to, and a right to correction of, personal information about themselves,*
 - (iii) specifying limited exceptions to the rights of access,*
 - (iv) preventing the unauthorized collection, use or disclosure of personal information by public bodies, and*
 - (v) providing for an independent review of decisions made pursuant to this Act; and**
- (b) to provide for the disclosure of all government information, with necessary exemptions that are limited and specific, in order to
 - (i) facilitate informed public participation in policy formulation,*
 - (ii) ensure fairness in government decision-making,*
 - (iii) permit the airing and reconciliation of divergent views; and**
- (c) to protect the privacy of individuals with respect to personal information about themselves held by public bodies and to provide individuals with a right of access to that information.”*