

Policy NO. 11-601

**ROUTINE ACCESS POLICY
FOR NOVA SCOTIA SECURITIES COMMISSION**

**NOVA SCOTIA SECURITIES COMMISSION
OCTOBER 24, 2003**

1. POLICY STATEMENT

This Routine Access policy for the Nova Scotia Securities Commission (the "Commission") is designed to provide persons with an opportunity to obtain certain categories of records without having to submit a *Freedom of Information and Protection of Privacy Act Application*. It shall be administered in accordance with the following principles:

a) Personal Privacy

The policy shall be applied in a manner which will be considerate and protective of the personal privacy of individuals and records subject to this policy shall be considered for release and severing in a manner consistent with the provisions of the *Freedom of Information and Protection of Privacy Act* (the "*FOIPOP Act*") and the Nova Scotia *Securities Act* (the "*Securities Act*").

b) Timeliness

The Commission will respond to any Routine Access requests in a reasonable and timely fashion.

c) Cost Recovery

Fees for the reproduction and provision of records may be charged where authorized.

d) Transparency

This policy shall be made readily available to the public.

e) Reasonableness

This policy shall apply only to requests for reasonable quantities of records.

2. DEFINITIONS

“Routine Access” is the routine or automatic release, in full or in part, of certain types of administrative or operational records as a matter of course in response to a request without the need for a formal application for records under the *FOIPOP Act*.

“Active Dissemination” is the periodic and proactive release of information or records, in the absence of a request, using mechanisms such as the Internet, libraries and so forth. Refer to Schedule A for types of information available on the Internet.

“FOIPOP Access” is the release of a record in response to a formal FOIPOP application made under the *FOIPOP Act*.

A “Record” includes books, documents, maps, drawings, photographs, letters, vouchers, papers and 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.

3. POLICY OBJECTIVES

The objective of this policy is the improved accessibility of certain records routinely without additional administrative time being required of staff to fulfill Routine Access requests. It is also to provide a greater certainty of access for those requesting information, and to reflect the spirit of openness and accountability of the FOIPOP Act.

4. APPLICATION

This policy applies to all Commission members and staff, and to all records designated under this policy in accordance with the attached Schedule B.

Routine Access requests only apply to information created after October 23, 2003.

This policy shall apply to requests for reasonable quantities of records and shall not apply to a request for more than 50 pages of records in a particular category and/or time period. Repetitive requests by an individual for significant volumes of records or the separation of a request into several small requests totalling a large volume, shall not be subject to the policy. It is important to ensure that the application of the Routine Access policy of the Commission not unduly interfere with the day-to-day operations of the Commission.

Requests made under Routine Access do not apply to information subject to exemptions under the *FOIPOP Act* or the *Securities Act*.

Personal information may be severed with the same criteria and in the same manner as requests made under the *FOIPOP Act*.

5. POLICY DIRECTIVES

Once the policy is drafted, staff will be sent a memorandum advising of the existence of the policy. The policy will also be posted on the Commission web site and a print version will be provided to all senior managers and staff who normally would receive requests from the public and the media for records subject to the Routine Access policy.

The requests may be handled by the persons designated as having the responsibility of responding to Routine Access requests.

A tracking system will be designed to keep track of the records provided through Routine Access.

6. POLICY GUIDELINES

Once a request for Routine Access to a particular record, or set of records, has been received by a designated person, it shall be reviewed to determine if the records are listed in Schedule B.

If the policy applies to the request, the records shall be provided to the applicant within a reasonable period of time, but no later than 30 days from receipt of the request.

If the policy does not apply to the request, a response to the requester shall be provided promptly and shall indicate what other avenues may be available to obtain the information (ie. already provided through Active Dissemination, filing a FOIPOP request, or referred to another department or agency).

Individuals who apply under the *FOIPOP Act* for records available under the Routine Access policy will have their application fee returned and the records provided.

7. ACCOUNTABILITY

The Chair of the Commission shall be accountable for the implementation of this policy.

8. COMPLIANCE

The FOIPOP administrator of the Commission shall be responsible for ensuring the tracking and compliance of this policy which shall be subject to audit by the Nova Scotia Government Corporate Internal Audit Unit.

9. EVALUATION

The Routine Access program established under this policy shall be evaluated on an annual basis by the FOIPOP administrator. Statistics on the number and types of records being requested will be kept.

10. REFERENCES

Requests made under the Routine Access policy shall be subject to the provisions of Section 27 of the *FOIPOP Act* which sets the parameters for dealing with personal information.

11. INQUIRIES

FOIPOP contact telephone number:
424-6179

12. **APPENDICES**

Appendix A: Examples of information provided through Active Dissemination

Appendix B: Schedule of records available through Routine Access.

Schedule A

1. Chair's biography and Commission overview (i.e. mission statement, goals, etc.)
2. Branch operations. Information about the Commission and the services and programs it provides.
3. Branch Contacts. List of office phone, fax, email and mailing addresses for Commission members and staff of the Commission.
4. Educational Information. Information, videos and tips on topics such as investor education, Canadian Securities Administrators, Investment Dealers Association of Canada, Mutual Fund Dealers Association of Canada.
5. Programs. Information on all programs available to the public.
6. Publications. All publications and reports available to the public.
7. Current Issues. Information on current issues of importance to the public.
8. News Releases. Links to all securities regulatory authorities, S.R.O*s and Investor Education web sites.
9. Regulations. Links to the Registry of Regulations.
10. Related Links. Links to all securities regulatory authorities, SRO's and other relevant agencies.
11. Enforcement Orders and Decisions of the Commission save and excepting those made in respect to Investigation Orders made under s, 27(3) of the *Securities Act*.

Schedule B

1. General Requests:

- the Commission will provide readily available statistics upon verification that the information does not have personal information
- general policy statements of the Commission
- general information on programs of the Commission

2. Human Resources:

General:

- organizational charts with position titles
- generic information of benefits and hours of work
- job descriptions, pay scales, classification of positions (unionized, non-unionized)
- secondment agreements both within government and outside, excluding personal information
- personal service contracts of individuals not appointed pursuant to the
- adjudication decisions of grievances filed by union employees

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Selection and Hiring process:

- # of applicants for position
- # of persons interviewed
- name of successful candidate, once offer of employment has been accepted

3. Finance and Administration

Expense/Travel Claims:

- individual expense claims for a three month period within the current fiscal year and for a maximum of three individuals at any one time
Note: The Commission will provide expense claims but will do so only after severing telephone numbers, addresses, social insurance numbers and employee numbers.

Other expenses:

\$ cost of renovations for specific offices carried out within the previous six months

\$ cost of special or specific events (ie, conferences, luncheons, workshops, training, etc. within three months of event having taken place)

- cost of sending a delegation out of the province or out of the country
- overtime expenditures (current year-to-date)
- detailed expenditure reports, by category, (eg. salaries, travel, etc.) for a maximum of three reports per fiscal year
- contracts for construction and/or renovations of facilities
- contracts for goods and services