

Directory of Personal Information Banks

1. Business Continuity

Location:	Various departments within the AESO.
Information Maintained:	Name, home and cellular telephone numbers, email addresses, areas of responsibility, organizational charts, workspace location.
Individuals:	AESO employees.
Use:	To contact key individuals in the event a pandemic or business resumptions plan requires implementation.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

2. Compliance Management

Location:	Regulatory
Information Maintained:	Names, telephone numbers, titles, mail address, email addresses
Individuals:	Market participants and employees of market participants.
Use:	Compliance evidence; Load Settlement Compliance processing
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

3. Contracts

Location:	Legal and other various departments within the AESO.
Information Maintained:	This bank describes information contained in agreements between the AESO 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 (e.g. 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:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

4. Corporate Accounting

Location:	Finance and Accounting
Information Maintained:	Client name, address, telephone numbers, e-mail address, financial information, amounts paid or outstanding.
Individuals:	Individuals and organizations who owe money to the AESO/ are owed money by the AESO as a result of their business interactions with the AESO.
Use:	To collect and disburse payments.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

5. Corporate Credit Cards

Location:	Finance and Accounting
Information Maintained:	This bank describes information that is used in support of AESO's Corporate Credit card program. Corporate Credit cards are used for the procurement and payment of goods and services. The personal information may include the card holder's name, contact information, employee identification number, card number, expiration date, credit limit, and information related to any audits or compliance processes and investigations.
Individuals:	AESO employees granted approval for a corporate credit card.
Use:	Personal information is used to administer a Corporate Credit card program and may be used to issue, cancel, and renew cards, and to monitor transactions to ensure compliance with relevant AESO policies.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

6. Credit and Settlement

Location:	Finance and Accounting
Information Maintained:	Market Participant statements, billing and settlement information, corporate contact information, credit / security information
Individuals:	Market Participants
Use:	To bill and settle the Market Participants monthly charges and to track exposures versus credit/security held.
Legal Authority:	<i>Electric Utilities Act – Sections 1,5,10,11,14,17,19,21,32; Transmission Regulation – Sections 3,33,34,51; Freedom of Information and Protection of Privacy Act, s.33(c);(ISO Rules – Sections 103.3, 103.4, 103.5, 103.6, 103.7 and ISO Tariff – Sections 5,12,13,14, Rates and Riders)</i>

7. Emergency Contacts

Location:	Various departments within the AESO.
Information Maintained:	Name, home telephone number, mobile phone number, nature of relationship to employee.
Individuals:	AESO employees and their designated emergency contacts.
Use:	To contact key individuals in the event of an emergency.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

8. Employee Directories

Location:	Information Technology and other various departments within the AESO.
Information Maintained:	Name, office telephone numbers, office name, address, email address and position title.
Individuals:	AESO employees.
Use:	Directing calls, electronic messages, and visitors to appropriate staff.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

9. Employee Files

Location:	Human Resources and other various departments within the AESO.
Information Maintained:	Personal information such as name, birth date, gender, marital status, dependents, social insurance number, home address, telephone numbers, employee number, emergency contact information, vacation and leave records, performance appraisals, employment history (date of hire, promotions, etc.), current salary information, salary increase history, learning & development records, professional associations and accreditations and other personal data related to employment.
Individuals:	AESO employees.
Use:	To capture employee's work history and employment information.
Legal Authority:	<i>Employment Standards Code</i>

10. Employee Recognition Programs

Location:	Human Resources
Information Maintained:	Nomination forms that recognize employees (individual or groups) that exemplify all AESO principles, while going above and beyond their normal regular duties. Full record (nomination form, congratulatory letter and certificate) are kept electronically; electronic copies of cards informally recognizing individuals that exhibit and live the AESO principles
Individuals:	AESO employees
Use:	To identify and reward employees within the context of the employee recognition program.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

11. Expense Claims

Location:	Finance and Accounting and other various departments within the AESO.
Information Maintained:	May include name, organizational unit, mailing address, telephone numbers, employee number, classification/occupation, kilometers travelled, purpose of travel, and other expenses claimed.
Individuals:	AESO employees and non-AESO employees (i.e. contracted staff, job applicants) submitting a personal expense claim.
Use:	To manage and process expense claims.
Legal Authority:	<i>Canada Revenue Agency Act</i>

12. Facility Access Management

Location:	Corporate Security and Facilities
Information Maintained:	Cards/passes and access control logs used to manage access to permanent staff and visitors. Personal information collected may include recorded visual images, signatures, surnames, given names, telephone numbers, temporary pass control numbers, employee ID numbers, and visitor company/organization information related to the issuance of access passes.
Individuals:	AESO 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:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

13. Freedom of Information and Protection of Privacy Requests

Location:	FOIP Office
Information Maintained:	Information may include applicant or complainant name, address, telephone numbers, description of information requested; a privacy investigation; request for review or 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:	<i>Freedom of Information and Protection of Privacy Act</i>

14. IT and Operations Resource Management

Location:	Information Technology
Information Maintained:	Information may include names, start and end dates, department, supervisor, employee type (permanent or contractor), pay grade (employees only), billing rate to projects, number of hours worked, and time off taken.
Individuals:	Employees and Contractors for IT and System Operations.
Use:	Information is collected in order to account for and allocate labour costs to projects, and identify costs & utilization related to IT and System Operations.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

15. Learning and Development Records

Location:	Human Resources and FOIP Office
Information Maintained:	Personal information is collected to support the AESO'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 AESO; and training results.
Individuals:	All AESO employees (excluding contractors/consultants)
Use:	To capture employees learning and development history and records.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

16. Market Participants

Location:	Market Services
Information Maintained:	The personal information collected may include participant names, IDs, digital certificates for ETS, addresses, phone & fax numbers, contact names, and where applicable, agent names.
Individuals:	Market Participants
Use:	Information is collected to determine eligibility for energy submissions and to conduct the standard business processes for market activities.
Legal Authority:	<i>Electric Utilities Act (EUA); Freedom of Information and Protection of Privacy Act, s.33(c)</i>

17. Members of Boards and Committees

Location:	AESO Board and Corporate Communications
Information Maintained:	The personal information collected may include full name, contact information including address, telephone number, email addresses and employment and educational history.
Individuals:	Current and former members of Boards and Committees.
Use:	To relay and share information with AESO Board Members and committee members. Information exchanged could be materials for meetings and other general communications with members.
Legal Authority:	<i>Electric Utilities Act (EUA), Freedom of Information and Protection of Privacy Act, s.33(c)</i>

18. Occupational Health and Safety

Location:	Corporate Security and Facilities
Information Maintained:	Personal information may include name, contact information, employee identification number, employee personnel information, nature of complaint, and signature.
Individuals:	Current and former employees of the AESO, including casual and contract employees; health and safety personnel
Use:	Personal information is used to administer occupational safety and health activities at the AESO, 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:	<i>Occupational Health and Safety Act (O&S Act), Freedom of Information and Protection of Privacy Act, s.33(c)</i>

19. Pay and Benefits

Location:	Human Resources
Information Maintained:	This bank describes information related to the administration of pay and benefits within the AESO. 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 AESO.
Use:	Personal information is used to disburse salaries and allowances and to process deductions and orders for garnishment and diversion of funds.
Legal Authority:	<i>Employment Standards Code and Canada Revenue Agency Act</i>

20. Recruiting/Job Competitions

Location:	Human Resources
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 AESO employment opportunities.
Use:	Document the hiring process and provide statistical data
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

21. Security Incidents

Location:	Corporate Security and Facilities
Information Maintained:	Personal information may include name, contact information, employee identification number, employee personnel information, and signature, and involvement in security complaints, breaches, threat and risk assessments, workplace violence, theft, fraud, vandalism, accidental damages, emergency or threats.
Individuals:	May include AESO employees and other individuals involved in security incidents.
Use:	Personal information is collected to report and investigate security incidents and to ensure that vulnerabilities are identified and the risk of future occurrences reduced. The information may also be considered by Human Resources in assessing disciplinary action, as appropriate.
Legal Authority:	<i>Electric Utilities Act (EUA), Freedom of Information and Protection of Privacy Act, s.33(c)</i>

22. Security Video Surveillance

Location:	Corporate Security and Facilities
Information Maintained:	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, which is limited to image recording.
Individuals:	AESO employees and those on assignment or contract and visitors who require access to AESO facilities or any other person within proximity of video surveillance equipment.
Use:	To assist security officials in the monitoring of activities related to the safety and security of employees and corporate assets and may be used in the investigation of 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 staff, enforcement or investigative bodies for further investigations, charges or disciplinary actions.
Legal Authority:	<i>Electric Utilities Act (EUA), Freedom of Information and Protection of Privacy Act, s.33(c)</i>

23. Signatures

Location:	Finance and Accounting
Information Maintained:	Specimen signatures of select Officers, Board Members, and other designated employees
Individuals:	Select AESO Officers, Board Members, and other designated employees
Use:	Specimen signatures used to set up electronic signing of cheques or to be published as electronic signatures on authorized AESO documents.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

24. Stakeholder/Contact Lists

Location:	Various departments within the AESO
Information Maintained:	Name, address, telephone numbers, and e-mail addresses.
Individuals:	Individuals receiving/sending correspondence, information or publications relating to programs or services delivered by the AESO.
Use:	Disseminate or exchange information or publications to interested individuals or to individuals participating in consultations or programs.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

25. Succession Planning

Location:	Human Resources
Information Maintained:	Personal Information such as name, employment start date, position history, performance appraisals, and compensation details.
Individuals:	All AESO employees (excluding contractors/consultants)
Use:	To assist in the process of identifying and developing internal people with the potential to fill key business leadership positions in the company.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

26. 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 e-mail) and information received and/or created by the AESO 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 AESO employees, including contractors and students, as well as any individual corresponding with the AESO.
Use:	To facilitate access to AESO's 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 AESO, and then disposed of appropriately. The IT systems also make searching and retrieving information from the institution's information collections faster and easier.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

27. Workforce Planning

Location:	Human Resources
Information Maintained:	Personal Information such as name, gender, age range, and employment position history and future progression of workforce needs.
Individuals:	All AESO employees (excluding contractors/consultants)
Use:	To capture employee demographics and performance history to determine potentials and future need.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

28. Workplace Investigations

Location:	Human Resources
Information Maintained:	Details around policy violations, employee interviews and summary of events with recommendation of action, as well as any relevant security and safety incidents. Legal advice on interpretation of law and practice may also be kept on file to back up actions taken.
Individuals:	AESO employees (excluding contractors/consultants).
Use:	To maintain governance of policy and to protect employees.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

29. Employee Performance Progress Reports

Location:	Various departments within the AESO
Information Maintained:	Personal information may include name, employee number, position title, attendance records, performance appraisals, project activities and learning & development activities.
Individuals:	All AESO employees
Use:	To document employee performance during the quarterly segments preceding the year-end review.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

30. AESO Scholarships

Location:	Human Resources
Information Maintained:	Personal information such as name, birth date, gender, social insurance number, home address, telephone numbers, employee number.
Individuals:	Dependents of AESO employees attending post-secondary education who are eligible for the scholarship award.
Use:	Payment of AESO Scholarship Award and T4As
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

31. Web Monitoring Logs

Location:	Information Technology
Information Maintained:	Information that may be in the records include network logs that may link an employee's workstation to an Internet Protocol address, listings of sites visited and information on any transactions conducted, including date, and time.
Individuals:	All AESO employees
Use:	The information contained in the records may be compiled to support the investigation of suspected or alleged misuse; a deliberate/inadvertent security breach; unauthorized access of the AESO network by persons employed by the AESO or individuals outside the AESO. The information may also support compliance with law enforcement obligations or compliance with an access to information request.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(b)(c)</i>

32. Values and Ethics Code

Location:	Legal; Competitive Process
Information Maintained:	Personal information may include name, contact information, financial information, external board membership, employee identification number, and market involvement.
Individuals:	All AESO employees
Use:	To resolve situations of perceived, potential and actual conflicts of interest with current external memberships or affiliations and his/her capacity with the AESO. This may include conflicts of interest in relation to assets and liabilities; gifts, hospitality and other benefits; outside employment or activities; and preferential treatment.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

33. Stakeholder Outreach

Location:	Various departments within the AESO
Information Maintained:	Personal information may include name, address, phone number, email address, payment information, company and feedback.
Individuals:	Individuals registering and attending program events or workshops delivered by the AESO.
Use:	The information is used to enable individuals to participate in stakeholder outreach activities delivered by the AESO. The activities facilitate the distribution and exchange of information in areas of common interest to stakeholders. Feedback information is used in the planning and development of future events delivered by the AESO.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

34. Collaborative Industry Discussion and Issue Resolution (CIDIR) Membership List

Location:	Regulatory Services
Information Maintained:	Name, title, company, work and cellular telephone numbers, email addresses, and work address.
Individuals:	Members participating in CIDIR.
Use:	To contact members and communicate CIDIR information.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

**35. Collaborative Industry Discussion and Issue Resolution (CIDIR)
Claim Participant Lists**

Location:	Regulatory Services
Information Maintained:	Name, title, company, work and cellular telephone numbers, email addresses, and work address.
Individuals:	Participants associated with a claim through CIDIR.
Use:	To contact participants regarding a specific claim.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

36. Collaborative Industry Discussion and Issue Resolution (CIDIR) Facilitator List

Location:	Regulatory Services
Information Maintained:	Name, title, company, work and cellular telephone numbers, email addresses, work address, resumes, qualifications, and rates.
Individuals:	Facilitators used for the CIDIR process.
Use:	To maintain a facilitator roster and to provide claim participants information in order to select a facilitator.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>

37. Personnel Risk Assessments

Location:	Human Resources
Information Maintained:	Personal information includes name, position, contact information, declaration of any offences and results of criminal checks.
Individuals:	Current and future AESO personnel whose position responsibilities and duties require that they have direct access to Bulk Electrical System (BES) cyber systems.
Use:	The information is related to security screening assessments of individuals working or applying for positions with the AESO that are subject to the support mechanisms protecting BES Cyber Systems. The information is used to confirm decisions for assignment or employment to positions that are impacted.
Legal Authority:	<i>Electric Utilities Act;</i> <i>ARS CIP-004-AB-5.1</i>

38. External Party Requests for Information, Waivers or Variances

Location:	Regulatory Services
Information Maintained:	Personal information (e.g. name, title, company, work and cellular telephone numbers, email addresses, and work addresses), questions and requests regarding the requirements of the AESO's authoritative documents.
Individuals:	Individuals sending questions or requests to the AESO.
Use:	To respond to questions and requests made by external parties regarding the AESO's authoritative documents.
Legal Authority:	<i>Freedom of Information and Protection of Privacy Act, s.33(c)</i>