

<b>Privacy Policy</b>	<b>Number: PrP 1.01</b>
<b>Title: PERSONAL INFORMATION PROTECTION</b>	<b>Revision: 000</b>
<b>Approved by:</b>	<b>Effective: 1/1/04</b>
	<b>Supercedes: None</b>
	<b>Page 1 of 8</b>

## 1 POLICY

**1.01** The protection of personal information is important to us. **Sterling Lithographers Inc.** (Sterling) is committed to protecting the privacy of its employees, customers and confidential business information. Sterling is also committed to complying with the Personal Information Protection and Electronic Documents Act ("PIPEDA"), a federally enacted act that protects personal information that is collected, used or disclosed.

**1.02** The Canadian Standards Association Model Code (CSA Code) for the protection of personal information is a national standard that was developed by the Canadian Standards Association. The Code is a central part of PIPEDA. The Code identifies ten principles in the collection and maintenance of personal information, which Sterling follows.

1. Accountability
2. Identifying Purpose
3. Consent
4. Limiting Collection
5. Limiting Use, Disclosure & Retention
6. Accuracy
7. Safeguards
8. Openness
9. Individual Access
10. Challenging Compliance

**1.05** The President of Sterling acts as the **Privacy Manager**. The **Privacy Manager** is accountable for the implementation of this policy. Any issues or questions regarding this policy should be directed to the **Privacy Manager**.

**1.06** Personal, privileged and/or confidential information about employees and customers is only collected, used, disclosed and retained for the purposes identified by **Sterling Lithographers Inc.** as necessary.

## 2 PURPOSE

**2.01** To preserve the privacy of employees, customers and Sterling Lithographers Inc. by outlining employee obligations and procedures for dealing with personal, privileged and /or confidential information; and

**2.02** To implement policies and procedures to give effect to the principles of the CSA Code including:

- i. Implementing procedures to protect personal information;
- ii. Establishing procedures to receive and respond to complaints and inquiries in connection with the collection, use and disclosure of personal information;
- iii. Training staff and communicating information to staff about Sterling's policies and procedures;
- iv. Developing information to explain Sterling's policies and procedures to Customers.

## 3 SCOPE

**3.01** This policy applies to all employees, contractors, subcontractors of **Sterling Lithographers Inc.** or anyone else who is granted access to personal, privileged and/or confidential information.

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<b>Title: PERSONAL INFORMATION PROTECTION</b>	<b>Effective: 1/1/04</b>
<b>Approved by:</b>	<b>Supercedes: None</b>
	<b>Page 2 of 8</b>

#### **4 RESPONSIBILITY (Accountability)**

##### **4.01 Employees are responsible for:**

- Keeping their own employee files current regarding name, address, phone number, dependents, etc.;
- Being familiar with and following policies and procedures regarding collection, use, and disclosure of personal information as set out in this policy;
- Ensuring that personal information to which they may have access remains confidential, is only used for the purposes for which it was collected, and is not disclosed without authorization or used for personal gain;
- Obtaining the proper consents and authorizations prior to disclosure of personal, privileged and/or confidential information;
- Immediately reporting any breaches of confidentiality to their supervisor;
- Keeping private, passwords and access to personal, privileged and/or confidential data;
- Explaining this policy to customers and referring them to the **privacy manager** if necessary;
- Ensuring proper disposal of unnecessary files/information;
- Relinquishing any personal, privileged, confidential or customer information in their possession before or immediately upon termination of employment;

**4.02** No employee shall be disadvantaged or denied any benefit of employment by reason that **Sterling Lithographers Inc.** believes that an employee will do anything referred to in paragraphs (i), (ii), or (iii) below or by reason that an employee, acting in good faith and on the basis of reasonable belief,

- i. has disclosed to the Privacy Commissioner of Canada that **Sterling Lithographers Inc.** or any other person has contravened or intends to contravene a provision of PIPEDA related to the protection of personal information;
- ii. has refused or stated the intention of refusing to do anything that it is in contravention of a provision of PIPEDA related to the protection of personal information;
- iii. has done or stated an intention of doing anything that is required to be done in order that a provision of PIPEDA related to the protection of personal information not be contravened.

**4.03 Employees who disclose personal information, contrary to this policy will be subject to disciplinary measures, up to and including discharge for cause.**

##### **4.04 Supervisors are responsible for:**

- Obtaining consent to the collection and use of personal information from employees;
- Ensuring policies and procedures regarding collection, use and disclosure of information or of personal information are consistently adhered to;
- Responding to requests for disclosure after the proper release is obtained;
- Cooperating with the **privacy manager** to investigate complaints or breaches of policy;
- Obtaining from terminating employees prior to their termination any personal, privileged, confidential or customer information in their possession.
- Ensuring that disclosure of personal information or personal health information to a third party is done with the approval of the **privacy manager** in order to minimize risk of non-compliance with applicable legislative or regulatory regimes.

<b>Privacy Policy</b>	<b>Number: PrP 1.01</b>
	<b>Revision: 000</b>
<b>Title: PERSONAL INFORMATION PROTECTION</b>	<b>Effective: 1/1/04</b>
<b>Approved by:</b>	<b>Supercedes: None</b>
	<b>Page 3 of 8</b>

**4.05 Human Resources, Payroll and Accounting Personnel are responsible for:**

- Ensuring that appropriate consents have been obtained from employees with respect to the collection and use of personal information;
- Maintaining systems and procedures to ensure employee records are kept private;
- Obtaining the proper consents and authorizations prior to disclosure of information contained in employee records;
- Responding to employee requests for access to their files;
- Ensuring proper disposal of unnecessary files/information.
- Maintaining separate files to ensure that personal health information is protected.
- Ensuring that disclosure of personal information or personal health information to a third party is done with the approval of the **privacy manager** in order to minimize risk of non-compliance with applicable legislative or regulatory regimes.

**4.06 The Privacy Manager is responsible for:**

- Internal compliance with applicable policies or legislation;
- Cooperating with supervisors, human resources, payroll and accounting personnel and CSR's in developing internal policies for the collection, use and disclosure of personal information of employees and customers;
- Monitoring and responding to third party requests for personal information or personal health information;
- Ensuring appropriate consents are obtained for the collection, use and disclosure of personal information and personal health information; and
- Where collection, use or disclosure is permitted without prior consent, notifying individuals of the collection, use and disclosure of personal information and/or personal health information after such occurrence.

**5 DEFINITIONS**

**5.01 "Personal information"** is any information about an identifiable individual and includes race, ethnic origin, colour, age, marital status, family status, religion, education, medical history, criminal record, employment history, financial status, address, telephone number, and any numerical identification, such as Social Insurance Number. Personal information also includes information that may relate to the work performance of the individual, any allegations, investigations or findings of wrongdoing, misconduct or discipline. **Personal information does not include job title, business contact information or job description.**

**5.02 "Personal health information"** is information about an identifiable individual that relates to the physical or mental health of the individual, the provision of health care to the individual, the individual's entitlement to payment for health care, the individual's health card number, the identity of providers of health care to the individual or the identity of substitute decision-makers on behalf of the individual.

**5.03 "Third parties"** are individuals or organizations other than the subject of the records or representatives of **Sterling Lithographers Inc..** Note that in certain circumstances, the company may be entitled to provide personal information to an external party acting as an agent of **Sterling Lithographers Inc..**

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<b>Title: PERSONAL INFORMATION PROTECTION</b>	<b>Effective: 1/1/04</b>
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	<b>Page 4 of 8</b>

**6 REFERENCES and RELATED STATEMENTS of POLICY and PROCEDURE**

- 6.01** *Personal Information Protection and Electronic Documents Act (PIPEDA)*  
 SPP HR 2.10.ON - Third Party Reference Requests  
 SPP HR 5.08.ON - E-Mail and Internet Use  
 ISO Quality Records T2 4.16 Retention of Records

**7 PROCEDURE**

**7.01 Safeguards**

Sterling will take reasonable steps to protect personal information through security safeguards appropriate to the sensitivity of the personal information.

- i. Records are maintained such that passwords (for computers or security systems), or keyed access are required to access information.
- ii. Personal information is processed and stored in secure and confidential databases with strict access control. Passwords or keys are provided to appropriate personnel.
- iii. Only information necessary to the fulfilment of the job at hand is shared with individual employees.
- iv. Employees are made aware of the importance of maintaining the confidentiality of personal information.

**7.02 Employee Records**

Personal privileged and/or confidential information about Employees may only be collected, used, disclosed and retained for the purposes identified by Sterling Lithographers Inc. as necessary

**Personal Information is collected for the following purposes:**

- i. For communication purposes with staff;
- ii. As required by law or regulation;
- iii. To maintain information pertinent to other policies & practices including ISO, training records, job reviews etc.;
- iv. To promote good employee relations; and
- v. Where permission is given in writing by the pertinent employee, for the purposes of providing references.

**7.03** Unless retention of personal information is specified by law for certain time periods, personal information that is no longer required to fulfil the identified purpose shall be destroyed, erased or made anonymous within **[twelve (12) months]** after its use.

**7.04** An employee's supervisor, higher-level managers, human resources and payroll personnel shall have access to employee records containing personal information. An employee's supervisor, higher level managers, human resources and payroll personnel will have access to an employee's personal health information if the **Privacy Manager** determines that such access is permissible and necessary. Personal information and personal health information will not be disclosed outside of the organization without the knowledge and/or approval of the employee. Notwithstanding the foregoing, **Sterling Lithographers Inc.** will cooperate with law enforcement agencies and will comply with any court order or law requiring disclosure of personal information without the employee's consent.

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<b>Title: PERSONAL INFORMATION PROTECTION</b>	<b>Effective: 1/1/04</b>
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	<b>Page 5 of 8</b>

**7.05 Openness**

Employees may request access to review their own file by making arrangements with the **Human Resources** department. Employees shall provide at least twenty-four (24) hours notice to the **Human Resources** department. Employees may obtain a copy of any document in their file, which they have signed previously. No material contained in an employee file may be removed from the file. A representative of the **Human Resources** department will be present during viewing of the file.

**7.06** An employee may provide a written notice of correction related to any data contained in the employee's file. The notice of correction shall be provided to the **Human Resources** department.

**7.07** Employee requests for disclosure of their own personal information to Third Parties must be accompanied by a completed signed and dated Authorization to Release Information form. **Attachment A** to this policy is used for this purpose. This form should also be used in dealings with insurance companies with respect to employee benefits and to provide confirmation of earnings to financial institutions for lending purposes.

**7.08** The **knowledge and consent** of Employees is required for the collection, use or disclosure of personal information, except when inappropriate, including where permitted or required by law or where legal, medical, or security reasons may make it impossible or impractical to seek consent.

**7.09** Sterling will seek consent for the collection of personal information at the time of collection, wherever possible. Sterling will make a reasonable effort to ensure that Employees are advised of the purposes for which the personal information being collected will be used and will state the purposes in a manner that will allow staff to reasonably understand how their personal information will be used or disclosed.

**7.10** Notwithstanding Paragraphs 7.03, personal information that is the subject of a request by an individual or a Privacy Commission shall be retained as long as necessary to allow individuals to exhaust any recourse they may have under PIPEDA.

- (a) In certain circumstances personal information may be collected, used or disclosed without the knowledge and consent of the Employee. For example legal, medical or security reasons may make it impossible or impractical to seek consent. Seeking consent may be impossible or inappropriate when there is an emergency threatening the Employee's life, health or security. Moreover, Sterling may provide personal information to its lawyers, advisors, agents and/or third parties to collect a debt, comply with a subpoena, warrant or other court order, to a government institution requesting the information upon lawful authority or as may be otherwise required by law. In all cases, proper internal authorization for disclosure procedures will be followed.

**7.11 Challenging Compliance**

An employee will be able to address a challenge concerning compliance with the above principles to the Privacy Manager. Sterling will handle all complaints or inquiries about the policies and procedures relating to the handling of personal information in line with the processes that are in place.

**7.12** Sterling will inform Employees who make inquiries or lodge complaints of the existence of the relevant complaint procedures. Sterling will investigate all complaints, and if a complaint is justified will take appropriate measures, including amending policies and procedures.

<b>Privacy Policy</b>	<b>Number: PrP 1.01</b>
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	<b>Page 6 of 8</b>

#### 7.12 Customer Records

Personal, privileged and/or confidential information about customers may only be collected, used, disclosed and retained for the purposes identified by **Sterling Lithographers Inc.** as necessary.

##### **Personal Information is collected for the following purposes:**

- (a) To assist in communications with customers and to promote Sterling's business  
Information includes: Company name, Owner's names, addresses, contact information, and facts about transactions and account history
- (b) To determine whether or not to extend credit  
Information may include: General financial information, credit and reference information; payment history, account activity, Social Insurance Number, Birth Date, Bank Account Number and other such information.
- (c) To assist in the collection of accounts receivable
- (d) To share credit history with other businesses for the purposes of determining credit worthiness
- (e) For revenue management and
- (f) To meet legal and regulatory requirements.

#### 7.13 Sterling does not collect and use personal information for the following purposes:

- (a) To sell, give or rent Customer information to any organization or individual unless it is necessary to provide services to our customers.

**7.14** The **Knowledge and Consent** of Customers is required for the collection, use or disclosure of personal information, except when inappropriate, including where permitted or required by law or where legal, medical, or security reasons may make it impossible or impractical to seek consent.

**7.15** Sterling will seek consent for the collection of personal information at the time of collection, wherever possible. Sterling will make a reasonable effort to ensure that Customers are advised of the purposes for which the personal information being collected will be used and will state the purposes in a manner that will allow Customers to reasonably understand how their personal information will be used or disclosed.

- (a) In certain circumstances personal information may be collected, used or disclosed without the knowledge and consent of the customer. For example legal, medical or security reasons may make it impossible or impractical to seek consent. Seeking consent may be impossible or inappropriate when there is an emergency threatening the Customer's life, health or security. Moreover, Sterling may provide personal information to its lawyers, advisors, agents and/or third parties to collect a debt, comply with a subpoena, warrant or other court order, to a government institution requesting the information upon lawful authority or as may be otherwise required by law. In all cases, proper internal authorization for disclosure procedures will be followed.

<b>Privacy Policy</b>	<b>Number: PrP 1.01</b> <b>Revision: 000</b>
<b>Title: PERSONAL INFORMATION PROTECTION</b>	<b>Effective: 1/1/04</b>
<b>Approved by:</b>	<b>Supercedes: None</b>
	<b>Page 7 of 8</b>

- 7.16** Unless retention of personal information is specified by law for certain time periods, personal information that is no longer required to fulfil the identified purpose shall be destroyed, erased or made anonymous within **[twelve (12) months]** after its use.
- 7.17** Notwithstanding Paragraphs 7.16, personal information that is the subject of a request by an individual or a Privacy Commission shall be retained as long as necessary to allow individuals to exhaust any recourse they may have under PIPEDA.
- 7.18** Sterling will make every reasonable effort to ensure that the personal information under its control is as accurate, complete and up-to-date as is necessary for the purposes for which it is to be used. Sterling will not routinely update personal information, unless such a process is necessary to fulfil the purposes for which the information was collected.
- 7.19** Access to a Customer's personal information on record with Sterling may be requested by the Customer in order to review and amend their personal information, as appropriate. In circumstances where personal information has been provided by a third party, Sterling will refer the Customer to that party, for example Equifax. It is the responsibility of the third party to maintain accuracy of the personal information that is provided by them.
- 7.20** Concerns or complaints related to privacy issues must be made, in writing, to the **Privacy Manager** setting out the details of the concern or complaint. The **Privacy Manager** shall investigate the matter forthwith and make a determination and relate the resolution of the concern(s) or complaint(s) to the concerned parties.
- 7.21** Copies of Sterling Lithographers' Inc. Privacy Policy will be published on Sterling's website at: [www.sterlinglitho.com](http://www.sterlinglitho.com) and in published brochures.
- 7.22** A Customer may withdraw consent by providing reasonable notice to Sterling's **Privacy Manager**.
- 7.23** Sterling will inform the Customer of any implications of such a withdrawal. Any withdrawal of consent will still allow Sterling to use and disclose a Customer's personal information in order to collect or enforce payment of amounts owing as a result of a Customer's previous or continuing purchase.
- 7.24** Subsequent purchases of goods from Sterling will automatically provide consent for the collection, use, disclosure and retention of personal information.
- 7.25 Openness**  
Sterling will make readily available to Customers specific information about its policy and guidelines relating to the management of personal information.
- 7.26 Individual Access**  
(a) Sterling will inform a Customer of the existence, use and disclosure of their personal information (including to third parties) and will provide access to that personal information, upon written request and where necessary will assist the Customer in the preparation of a request for access when such a Customer requests assistance.

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	<b>Page 8 of 8</b>

- (b) There may be situations in which Sterling will not be able to provide access to all the personal information that it holds about a Customer, although these situations will be limited and specific, and permitted or required by law. For example, Sterling will not be able to provide access to the Customer's personal information where giving such access would likely reveal personal information about a third party, unless that third party's personal information can be severed from the Customer's personal information. If Sterling refuses a request for access, the Customer will be informed in writing of the refusal, setting out the reasons for the refusal and informing the Customer of their recourse.
- (c) Sterling will respond to the Customer's request to access their personal information within a reasonable time, and not later than 30 days after receipt of the request.
- (d) A customer will be able to challenge the accuracy and completeness of the personal information and have it amended as appropriated. Depending upon the nature of the personal information challenged, amendment may involve the correction, deletion or addition of information, and the amended information will be transmitted to third parties having access to the personal information, where appropriated.
- (e) When a Customer's challenge to the accuracy and completeness of their personal information is not resolved to their satisfaction, Sterling will record the unresolved challenge and will transmit the existence of the unresolved challenge to third parties who have access to the personal information where appropriate.

### **7.27 Challenging Compliance**

A customer will be able to address a challenge concerning compliance with the above principles to the Privacy Manager. Sterling will handle all complaints or inquiries about the policies and procedures relating to the handling of personal information in line with the processes that are in place.

- 7.28** Sterling will inform Customers who make inquiries or lodge complaints of the existence of the relevant complaint procedures. Sterling will investigate all complaints, and if a complaint is justified will take appropriate measures, including amending policies and procedures.

## **8 ATTACHMENTS**

Attachment A - Employee Authorization to Release Personal Information  
Attachment B - Request for Credit Approval  
Attachment C – Quality Record T2 4.16