

Service Level Agreement (SLA) Checklist

Minimum safeguard	Description	✓ Meet	What needs to be done to meet?
Access & sharing	Personal information can only be accessed and shared on a “need-to-know” basis. No personal information can be shared outside Canada.		
Electronic Storage & Transmission	<p>Electronic storage and transmission of files and/or databases containing Personal Information in the care and control of the Recipient and their Third Parties may only be authorized where:</p> <ol style="list-style-type: none"> 1) Personal information is encrypted at all times while in transit; 2) Personal information is protected at all times while in storage; and 3) Information technology and Systems involved in managing Personal information fully comply with policies, procedures and guidelines described in the SLA. 		
E-mail	<p>Only the minimum necessary information required to deliver services under the ASETS program should be exchanged via email.</p> <p>Personal information should only be transmitted electronically by the Recipient and their Third Parties by first inscribing the information in a password protected document and then appending the document to an email. The password for the appended document should then subsequently be shared either by phone or by using a separate email (“password” must not be specified in the subject line) with the authorized party receiving the appended document.</p>		
Physical Storage	<p>Storage of physical documents containing Personal Information in the care and control of the Recipient and their Third parties is permitted:</p> <ol style="list-style-type: none"> 1) temporarily, on open shelving within areas that are continually monitored and where access is controlled and limited to authorized personnel of the organization or security staff; and 2) Using locked cabinets or secure containers. 		
Paper Retention and Destruction	All paper records with Personal Information in the care and control of the Recipient and their Third Parties must be retained for a		

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	<p>period of six (6) years after completion of the agreement as per Schedule D section 16 (b) of the ASETS Agreement. Once this six year period is complete paper records <i>must</i> be destroyed using a commercially available strip-cut shredder.</p>		
Mailing in Canada	<p>Personal Information in the care and control of the Recipient and their Third Parties <i>must</i> be transmitted as letter-mail in a double envelope, gum-sealed, with no security markings on the outer envelope.</p>		
Fax Transmission	<p>Personal information can only be faxed between parties using a secure fax equipped with the appropriate and compatible security software.</p>		
Transportation in Canada	<p>All paper records with <u>Personal Information</u> in the care and control of the Recipient and their Third Parties that are transported outside of a controlled area <i>must</i> be in a double envelope, gum-sealed, with no security markings on the outer envelope and appropriately addressed. In instances where delivery is urgent, transportation should be managed by a reliable courier service or similar postal service with a record of transit and delivery, packaged as for communication letter mail.</p>		
Public Areas	<p>All Recipients and their Third Parties publicly accessible areas must be kept clear of personal information except when client's files are under the direct care and control of a Recipient and/or their Third Parties.</p>		
Nightly Closing	<p>All employees of Recipient's and their Third Parties must remove all Personal Information from their desks and store it in locked filing cabinets before they leave for the day. They also must remove all documents containing Personal Information from printers and fax machines and place the documents in a locked cabinet. All Recipients and their Third Parties' employees must also log out of all computers and lock the doors and secure the premises (i.e., enabling the alarm system and locking the doors etc.).</p>		

**This list of minimum safeguards below are taken from the ASETS SLA Appendix A*