



## **Sustainable Development Tracking Document for Actions and Initiatives Period from April 1, 2009 to March 31, 2010**

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This document was prepared by the *Direction des ressources matérielles* of the *Autorité des marchés financiers*.

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## Government Direction 1

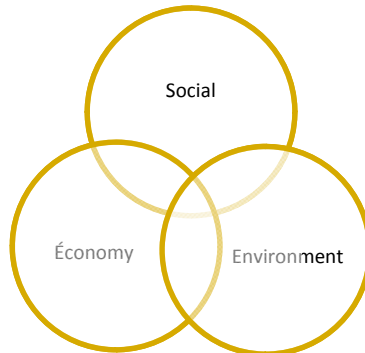
Inform – make aware – educate – innovate

### Government Objective 1

Make people increasingly aware of the sustainable development concept and principles. Promote knowledge and experience sharing in this area and assimilate the knowledge and know-how facilitating its implementation.

### Organizational Objective 1

Make staff aware of the concept of sustainable development and its implications.



### Action 1

Implement activities that contribute to carrying out the government's awareness and training plan for public administration staff.

#### Initiative

**Underway**  Develop and offer activities to raise awareness about the process and practice of sustainable development.

E.g.: Presentation of the accountability report to the AMF management committee comprised of designated representatives from all administrative units; creation of a "sustainable development" subcommittee comprised of one person from each administrative unit; posting of the sustainable development accountability report on the Web and regular articles in the internal newsletter.

#### Initiative

**Underway**  Prepare and disseminate information on the sustainable development process.

E.g.: Presentation of efforts related to sustainable development through the internal newsletter *L'Autoroute*. Creation of a "Sustainable development" e-mailbox.

#### Initiative

**Started**  Create a section on the AMF's intranet devoted to sustainable development; should be available in the fall of 2010.

Progress: 50%

### **INDICATOR 1 / Action 1**

Percentage of staff reached by the sustainable development awareness activities.

#### **TARGET**

80% of staff by 2011

#### **Underway Initiative**

Participate in training sessions on sustainable development.

E.g.: Participation in the following training sessions: *Journée environnement dans l'administration publique*, taking environmental principles into account, ecoresponsible practices, launching and adopting action plans, yearly indicators of administrative performance.

#### **Not started Initiative**

Verify the degree of knowledge of staff as regards the concept of sustainable development.

### **INDICATOR 2 / Action 1**

Percentage of staff having acquired sufficient knowledge about the sustainable development process to incorporate it into their routine activities.

#### **TARGET**

50% of staff members have sufficient knowledge about the sustainable development process to incorporate it into their routine practices by 2013.

## Government Direction 1

Inform – make aware – educate – innovate

### 2009-2010 Results

The AMF published the tracking document for actions and initiatives for the 2008-2009 period on its website on January 5, 2010 and informed staff through its internal newsletter. We use this medium on a regular basis to highlight the AMF's efforts and, whenever possible, we make the connection between these efforts and sustainable development.

The accountability report (progress on this file) was presented to the AMF's management committee comprised of designated representatives from all AMF branches and divisions.

A customized presentation of the action plan and accountability report was also made to certain people mandated to sit on a sustainable development subcommittee. The purpose of the subcommittee is to facilitate the implementation of the sustainable development action plan.

For the coming year, we hope to make information regarding sustainable development available through other media. For example, on-line training is being considered. Given that we expect to do this in cooperation with the *Ministère du Développement durable, de l'Environnement et des Parcs*, we are currently in discussions with them.

In this regard, an action plan dealing specifically with training and awareness was filed. It sets out the following with a view to incorporating sustainable development concepts:

- welcoming new employees;
- development of on-line training materials;
- section on the intranet,
- survey to assess staff's knowledge.

## Government Direction 2

### Reduce and manage risks to improve health, safety and the environment

#### Government Objective 4

Continue developing and promoting a culture of prevention and define conditions that are beneficial for health, safety and the environment.

#### Organizational Objective 2

Promote the development of staff's physical and mental fitness.

### Action 2

Provide staff with a balanced work environment in order to ensure health, safety and quality of life.

#### Initiative

**Underway**  Prepare and disseminate prevention information on health, safety and quality of life at work.

E.g.: Articles published in the internal newsletter *L'Autoroute*: zombie (personal computer), fraud prevention, information available on computer hard drives, influenza and H1N1, spam and viruses, vaccination (travel and seasonal flu).

#### Initiative

**Underway**  Prepare and distribute articles encouraging physical fitness.

E.g.: Articles published in the internal newsletter regarding sporting activities in which employees participated in connection with a variety of social causes and with respect to which the AMF contributed financially: for example, *Défi Bromont*, *Virée Mont-Saint-Bruno*, *Marathon des Deux Rives*.

#### Initiative

**Underway**  Organize lunch-and-learn sessions on good habits for improving general living conditions.

E.g.: Lunch-and-learn sessions:

- Outdoor running and speed walking
- Chair massages (the AMF provides the premises, but users pay for the massage).
- Tip sheet for the H1N1 flu

#### Initiative

**Underway**  Develop agreements with suppliers to encourage physical activity.

E.g.: Agreement with the club Entrain to provide access to showers.

#### Initiative

**Cancelled**  Establish a health-in-the-workplace week.

The AMF promoted overall health by publishing various articles on the subject in its internal newsletter; by establishing various services accessible to staff (Employee Assistance Program) as well as through lunch-and-learn sessions. Under these circumstances, we consider the creation of a health-in-the-workplace week to be less of a priority.

### INDICATOR 1 / Action 2

Number of information activities held among staff to promote health, safety and quality of life at work.

#### TARGET

Two activities per year

*This target has been met, but the AMF's commitment in this regard is ongoing.*

#### Initiative

**Completed**  Take ergonomic criteria into account when purchasing furniture for staff.

#### Initiative

**Completed**  Take environmental aspects into account to ensure an appropriate working environment for staff (lighting, temperature, air quality).  
E.g.: The building's owner checked the ventilation filters.

### INDICATOR 2 / Action 2

Percentage of equipment acquired for staff that incorporates criteria to foster health, safety and quality of life at work.

#### TARGET

80% of equipment acquired

*This target has been met, but the AMF's commitment in this regard is ongoing.*

#### Government Objective 4

Continue developing and promoting a culture of prevention and define conditions that are beneficial for health, safety and the environment.

#### Organizational Objective 3

Contribute to the improvement of staff's physical and mental fitness.

### Action 3

Offer measures for improving staff's physical and mental fitness.

#### Initiative

**Underway**  Fund physical fitness activities.

E.g.: Virée Mont Saint Bruno, Sainte-Justine triathlon, Marathon des Deux Rives, soccer, AMF golf tournament, etc.

#### Initiative

**Underway**  Organize lunch-time activities that contribute to health.

E.g.: Speed walking club

#### Initiative

**Underway**  Introduce an awareness program on overall health.

The assessment is in progress. We expect to launch a more structured program in 2011 to promote health and well-being.

**Underway**  **Initiative**  
Establish a process for compiling statistics on participation in activities.  
With the expected launch of the Health and Well-Being Program, we also plan to compile statistics on the level of participation.

**INDICATOR 1 / Action 3**

Rate of participation of staff in activities to improve physical and mental fitness.

**TARGET**

Achieve a 10% increase in the number of employees participating in health-related activities organized by the AMF by 2013.

*This target has been met, but the AMF's commitment in this regard is ongoing.*



## Government Direction 2

### Reduce and manage risks to improve health, safety and the environment

#### 2009-2010 Results

The targets established by the AMF have been met, but the AMF's commitment in this regard is ongoing and it will therefore continue to implement the initiatives identified in its action plan.

*Indicator 1 / Action 2: Number of information activities held among staff to promote health, safety and quality of life at work.*

The AMF regularly publishes articles promoting health, safety and quality of life at work.

Furthermore, lunch-and-learn sessions were organized at each of our sites, including an information meeting for the purpose of organizing a lunchtime "walking club." The activity was adopted and staff members have been walking in groups twice a week.

*Indicator 2 / Action 2: Percentage of equipment acquired for staff that incorporates criteria to foster health, safety and quality of life at work.*

As for purchases by the AMF, ergonomic criteria were taken into account in more than 80% of furniture purchases. Our staff members have modular furniture that can be adapted to their biomechanical preferences. If a user has specific needs, we offer a front-line service within Material Resources and, for more complex cases, we consult an ergonomist for a customized assessment of the workstation and apply the ergonomist's recommendations.

The quality of the work environment (layout of premises, workstations) is an ongoing matter of interest for the AMF and is reflected in all the installations on our two sites.

*Indicator 1 / Action 3: Rate of participation of staff in activities to improve physical and mental fitness.*

We reached the target of increasing the number of participants in this type of activity by 10%. Moreover, the AMF considers it important to support the promotion of a culture of health and contribute to certain sporting activities, and it will continue to do so. The statistics for the various sporting activities are as follows:

- Year 2007-2008: 105 participants
- Year 2008-2009: 219 participants
- Year 2009-2010: 250 participants

During 2011, the AMF hopes to provide staff with a section on the intranet dealing with overall health.

## Government Direction 3

### Produce and consume responsibly

#### Government Objective 6

Apply environmental management measures and an ecoresponsible procurement policy within government departments and agencies.

#### Organizational Objective 4

Foster the establishment of ecoresponsible practices in the AMF's daily operations and in the work related to its mission.

#### Action 4

Implement practices and activities that contribute to the provisions of the policy for ecoresponsible government.

##### Initiative

Design an environmental management system or framework.

##### INDICATOR 1 / Action 4

Status of implementation of an environmental management framework or system, of measures contributing to the achievement of national environmental management objectives and of implementation of ecoresponsible procurement practices.

##### TARGET

Proposal of an environmental management framework in 2011.

##### TARGET

Implementation of ten measures or activities to contribute directly to the achievement of the national environmental management objectives by 2011.

Underway  Result

##### 2009-2010 Results

The work has begun, identification of the principal activities is in progress.

## Government Direction 3

### Produce and consume responsibly

#### Government Objective 6

Apply environmental management measures and an ecoresponsible procurement policy within government departments and agencies.

#### Organizational Objective 5

Improve the AMF's procurement practices.

### Action 5

Foster ecoresponsible purchases.

#### Initiative

**Underway**  Incorporate social and environmental criteria when selecting suppliers and as part of the bidding process.

E.g.: Incorporation of a sustainable development clause in certain calls for tenders. Participation in Microsoft's "Digital by Choice" program, use of paper with 30% recycled fibres.

#### Initiative

**Cancelled**  Provide employees with a catalogue for green purchases

E.g.: A number of purchases made by the AMF result from calls for tenders in which we have incorporated provisions relating to sustainable development. Given that we have chosen to select suppliers through an upstream process that incorporates a sustainable development clause, this initiative has consequently been cancelled.

#### INDICATOR 1 / Action 5

Number of ecoresponsible procurement practices

#### TARGET BY 2013

Implement two ecoresponsible procurement practices by 2011.

**Underway**  **Results**

Several ecoresponsible practices have been implemented: for example, use of paper made with recycled fibres, introduction of electronic timesheets, conversion of the medium used for pay stubs, use of direct deposit rather than cheques to reimburse expense accounts (since September 2009), amendment of contractual clauses with respect to terms and conditions of billing in order to ask suppliers to send us their bills electronically, participation in Microsoft's "Digital by Choice" program which makes it possible to download new versions of Microsoft rather than using a CD for upgrades (since February 2010), virtualization of servers, during the year 2009, adherence to the EPEAT standard for portable and desktop computers, amendments to our calls for tenders to include a sustainable development clause.

## Government Direction 3

### Produce and consume responsibly

#### Government Objective 9

Apply more ecoconditionality and social accountability in public assistance programs and encourage their implementation in financial institutions' programs.

#### Organizational Objective 6

Promote social accountability in the educational projects sponsored by the AMF.

### Action 6

Through the Education and Good Governance Fund, finance projects with a positive impact on business conducted in Québec in terms of social accountability.

#### Initiative

Update the mission and objectives of the Fund to include social accountability criteria.

#### Initiative

Promote social accountability criteria.

#### INDICATOR 1 / Action 6

Number of projects financed by the AMF incorporating social accountability criteria.

#### TARGET BY 2013

Increase the number of projects financed by the Education and Good Governance Fund that incorporate social accountability criteria by 2013.

#### Not started Result

##### 2009-2010 Results

The timeline for this objective was moved forward following a reorganization of the branch responsible for this activity. We will work with the new managers assigned to this branch in order to pursue this objective.

## Government Direction 3

### Produce and consume responsibly

#### 2009-2010 Results

*Indicator 1 / Action 4: Status of implementation of an environmental management framework or system, of measures contributing to the achievement of national environmental management objectives and of implementation of ecoresponsible procurement practices.*

The work has begun, identification of the principal activities is in progress.

*Indicator 1 / Action 5: Number of ecoresponsible procurement practices*

As part of its commitment to adopt ecoresponsible practices, the AMF is continuing to implement its sustainable development action plan by striving to further improve its practices in this area.

In addition to our firm decision to choose paper made with recycled fibres, this environmental concern is also evident in several strategic orientations that have been adopted:

- Introduction of electronic timesheets. Each staff member now enters the hours worked, absences, vacations, training hours and the like electronically, from his own workstation. A very conservative estimate indicates a reduction in our paper consumption of 13,000 sheets annually (based on approximately 500 employees);
- Conversion of the medium used for pay stubs. Since January 2010 pay stubs have been produced in electronic format rather than on paper (savings slightly greater than that arising from the implementation of electronic timesheets, given that pay stubs were sent systematically to every staff member, including management);
- Use of direct deposit rather than cheques for the reimbursement of expense accounts since September 2009 (we process approximately 20 expense accounts per week);
- Amendment of contractual clauses with respect to terms and conditions of billing in order to ask suppliers to send us their bills electronically;
- Participation in Microsoft's "Digital by Choice" program which makes it possible to download new versions of Microsoft rather than using a CD for upgrades since February 2010;
- Virtualization of servers, during the year 2009; we shut down 24 servers and expect to pursue this activity in 2010-11 (power savings, server savings);
- Adherence to the EPEAT standard for portable and desktop computers;
- Amendments to our calls for tenders to include a sustainable development clause.

Moreover, when disposing of its surplus assets, the AMF strove to favour a disposal method that fosters the social economy. Thus, the transfer of our surplus assets to social economy enterprises provided the equivalent of one month of work for one handicapped individual. By proceeding in this manner, the AMF contributes to the social and economic component of sustainable development. This component will be added as an initiative in its action plan.

*Indicator 1 / Action 6: Through the Education and Good Governance Fund, finance projects with a positive impact on business conducted in Québec in terms of social accountability.*

The timeline for this objective was moved forward following a reorganization of the branch responsible for this activity. We will work with the new managers assigned to this branch in order to pursue this objective.

## Government Direction 5 Address demographic changes

**Government Objective 15**  
Increase standard of living.

**Organizational Objective 7**  
Maintain and improve knowledge about financial products and services.

### Action 7

Foster an increased standard of living for Quebeckers by carrying out activities that inform consumers of financial products and services.

#### Initiative

**Underway**  Prepare and disseminate information.  
E.g.: Visits by the mobile information teams, video capsule on fraud, fraud prevention guide, Bourstad, retirement planning guide, investor information tailored to visually-impaired persons (audio library).

#### Initiative

**Not started**  Promote the educational projects of the Education and Good Governance Fund.

#### INDICATOR 1 / Action 7

Number of information activities for consumers of financial products and services.

#### TARGET BY 2013

Two activities per year

**Underway**  **Result**

*This target has been met, but the AMF's involvement in this regard is ongoing.*

## Government Direction 5

### Address demographic changes

#### 2009-2010 Results

*Indicator 1 / Action 5: Number of ecoresponsible procurement practices*

This target has been met, but is still of ongoing interest. The AMF is continuing its efforts to reach out to consumers directly by means of its mobile team of speakers. As part of this activity, 51 conferences were offered in 2009-2010, with 2,442 consumers having attended.

Moreover, in order to have a greater presence and increase our visibility among our clientele, we also participate in various trade shows and symposiums:

#### Elderly and the general public

- Self-Directed Investor Show;
- Symposium on senior abuse;
- *Salon des baby-boomers*;
- Annual FADOQ conference (network of citizens aged 50+);
- General meeting of the *Association québécoise des retraité(e)s des secteurs public et parapublic* (retirees from the public and semi-public sectors);
- *Salon de l'immobilier et de la copropriété* (real estate and co-ownership fair);
- *Salon des générations de Montréal* (intergenerational fair);
- *Protect Your Identity On-line* campaign.

#### Youth

The AMF is fostering awareness among young people about the importance of developing sound financial habits and the dangers of taking on debt. Presentations were held in CEGEPs in the province and the site *tesaffaires.com* (It's Your Money), which is geared towards young people, was promoted to young people, parents and teachers at youth events. Promotional USB keys were distributed to inform people about on-line activities and tools.

- The National Education Fair;
- *Congrès de l'univers social* (social universe convention);
- Conference about Generation C (young people aged 15-24);
- Conference of the *Association Mathématique du Québec*;
- 17<sup>th</sup> annual conference of Québec student entrepreneur clubs;
- *Rassemblement jeunesse Passe à l'action!*

The AMF has also developed information documents about financial products. All of these documents are available on our website. The following are some examples:

- *Guide pratique de l'investisseur, Protégez-vous !*, investor protection guide published in January 2010, with nearly 32,000 copies having been distributed. This guide covers all facets of personal finance and provides information about basic concepts.
- *Benefit from the HBP while staying on course for retirement!* brochure, retirement planning in cooperation with *Question retraite*, 3,000 brochures distributed by the AMF.
- *Shareholders' meetings, It's your business*, brochure dealing with the rights of shareholders. Over 1,200 copies distributed.
- *Trop beau pour être vrai? Méfiez-vous!* brochure, in cooperation with the *Secrétariat aux aînés* (secretariat for seniors), over 8,000 copies distributed.

#### Updated brochures

- Brochure regarding fraud: 15,000 copies



## Government Direction 7

### Preserve and share the collective heritage

#### Government Objective 23

Step up cooperation with national and international partners on integrated sustainable development projects.

#### Organizational Objective 8

Be an active promoter of sustainable development principles among peers.

### Action 8

Promote and establish, with its peers, a project that incorporates the sustainable development process.

#### Initiative

Foster awareness among its peers about sustainable development.

#### Initiative

Develop a pan-Canadian (or international) project that incorporates the sustainable development process.

#### Initiative

Implement a pan-Canadian (or international) project that incorporates the sustainable development process.

#### INDICATOR 1 / Action 8

Number of projects carried out with its peers that incorporate the sustainable development process.

#### TARGET BY 2013

One project by 2013

#### Not started Result

*The action plan related to this commitment has not yet been developed.*

## Government Direction 8

### Promote social involvement

#### Government Objective 25

Increase consideration for the concerns of citizens in decisions.

#### Organizational Objective 9

Encourage the participation of citizens in public consultations

### Action 9

Improve communications and activities related to public consultations.

#### Initiative

Not started  Use public hearings.

#### Initiative

Not started  Report on public consultations.

#### Initiative

Underway  Enhance on-line service offerings.

E.g.: Addition of a section on the website covering securities exchanges, clearing houses, self-regulatory organizations and other similar entities

#### INDICATOR 1 / Action 9

Satisfaction rate of citizens (group of citizens) participating in public consultation sessions dealing directly with consumers of financial products and services or having used AMF services.

Not started  Result

## Government Direction 8

### Promote social involvement

#### 2009-2010 Results

*Indicator 1 / Action 9: Improve communications and activities related to public consultations*

Through public consultations held via its website, the AMF invites financial sector participants and consumers to give their opinions on various subjects related, in particular, to the regulation of financial markets in Québec. These public consultations allow the AMF to weigh the various opinions before adopting regulatory measures, changes to processes and methods, and guidelines. Documents relating to the various public consultations are updated on a regular basis and the comments received are generally added to the file.

During 2009-2010, more than forty public consultations took place via the website (consultation period of approximately 30, 90 or 144 days, as the case may be), in particular, on the following topics:

- *Regulation to amend the Regulation respecting information to be provided to consumers;*
- *Regulation to amend the Regulation respecting distribution without a representative;*
- *Regulation respecting the Issuance and Renewal of Representatives' Certificates.*

These types of consultations are user-friendly and fruitful, because the comments received within this structure are filed in PDF format on our website and are thus easily consulted. Moreover, in 2009-2010, there was no need to hold public hearings.

## Government Direction 9

### Prevent and reduce social and economic inequality

#### Government Objective 28

Increase participation in ongoing training activities and manpower qualification.

#### Organizational Objective 10

Maintain the qualifications of staff.

#### Action 10

Maintain the qualifications of staff.

##### Initiative

Offer training tailored to staff requirements.

##### Initiative

Enhance the training offered to staff.

#### INDICATOR 1 /Action 10

Percentage of payroll dedicated to training activities.

#### TARGET BY 2013

Maintain the existing percentage.

Underway  Result 2009-2010

## Government Direction 9

### Prevent and reduce social and economic inequality

#### Result 2009-2010

*INDICATOR 1 /Action 10: Percentage of payroll dedicated to training activities.*

*During 2009-2010, the total amounts invested in training, without taking into account the cost of salaries for staff participating in the training, represented 1.36% of our total payroll.*