

**From:** Jocelyn Allard <jocelyn.allard@src.sk.ca>  
**Sent:** Friday, January 12, 2024 1:23 PM  
**To:** Committees LEG <committees\_branch@legassembly.sk.ca>  
**Subject:** SRC Follow Up - Public Accounts December 14/23

Hi there,

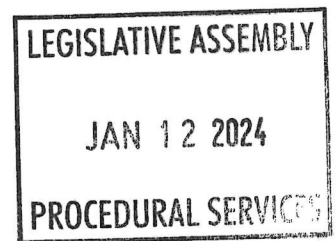
At SRC's appearance on December 14, 2023, we were requested to provide additional information to the Committee. The attached items include:

- Inventory items purchased for the Rare Earth Elements (REE) facility and country of origin,
- Sole source contracts over \$25,000 with amounts, vendor and description for 2020-present,
- Equipment built in-house by SRC rather than procure externally for the REE facility, and
- Policies or procedures related to Code of Conduct for employees and Board members.

Please let me know if there are any questions on the attached items.

Thank you and have a great weekend,

Jocelyn



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### Rare Earths Inventory by Country

Inventory item	Country of Origin
Fluoride, Lithium (LiF)	China
Fluoride, Neodymium (NdF <sub>3</sub> )	China
Fluoride, Praseodymium (PrF <sub>3</sub> )	China
Oxide, Neodymium (Nd <sub>2</sub> O <sub>3</sub> )	China
Oxide, Praseodymium (Pr <sub>2</sub> O <sub>3</sub> )	China
Monazite	Brazil
Phosphonic Acid (P507)	China

## 2020-21 Sole Source Contracts

PO Nbr	Date	Vendor ID	Value	Description
256642	4-6-2020	07062 Ministry Of Government Service	66,052.63	CVA Vehicles
256643	4-6-2020	07062 Ministry Of Government Service	40,000.00	Postal services
256644	4-6-2020	05563 The Saskatchewan Association Of Optometrists	40,000.00	Safety equipment and Eye exams
256666	4-15-2020	07988 Northstar Innovative Developments Inc	1,068,343.57	Accommodations (Rent)
256667	4-15-2020	05452 Innovation Saskatchewan	10,005,392.52	Accommodations (Rent)
256668	4-15-2020	05452 Innovation Saskatchewan	450,934.99	Accommodations (Rent)
256712	6-9-2020	05452 Innovation Saskatchewan	179,017.44	Accommodations (Rent)
256739	6-26-2020	05452 Innovation Saskatchewan	175,234.69	Accommodations (Rent)
256745	7-8-2020	07062 Ministry Of Government Service	212,019.60	Accommodations (Rent)
256835	10-28-2020	07988 Northstar Innovative Developments Inc	15,761,424.08	Leaseholds
256889	12-15-2020	05313 Dell Computer Corporation	34,552.50	Computer hardware
256976	3-16-2021	15804 Microsoft Corporation	143,817.62	Computer hardware

## 2021-22 Sole Source Contracts

PO	Date	Vendor ID	Value	Description
257046	4-15-2021	07988 Northstar Innovative Developments Inc	414,440.00	Accommodations (Rent)
257047	4-15-2021	07988 Northstar Innovative Developments Inc	521,160.00	Accommodations (Rent)
257049	4-15-2021	07988 Northstar Innovative Developments Inc	71,625.04	Accommodations (Rent)
257070	4-20-2021	07988 Northstar Innovative Developments Inc	422,400.00	Accommodations (Rent)
257071	4-21-2021	15804 Microsoft Corporation	80,803.80	Computer hardware
257081	4-23-2021	07988 Northstar Innovative Developments Inc	912,000.00	Accommodations (Rent)
257107	5-5-2021	05313 Dell Computer Corporation	40,103.00	Computer hardware
257131	5-12-2021	05563 The Saskatchewan Association Of Optometrists	40,000.00	Safety equipment and Eye exams
257132	5-13-2021	07062 Ministry Of Government Service	40,000.00	Postal services
257133	5-14-2021	07062 Ministry Of Government Service	77,091.56	CVA Vehicles
257144	5-19-2021	05452 Innovation Saskatchewan	7,640,396.48	Accommodations (Rent)
257186	6-10-2021	05452 Innovation Saskatchewan	145,392.34	Accommodations (Rent)
257187	6-10-2021	05452 Innovation Saskatchewan	88,202.34	Accommodations (Rent)
257269	8-27-2021	06547 SaskTel CMR	115,156.16	Phones and Utilities
257295	10-28-2021	05313 Dell Computer Corporation	177,009.25	Computer hardware
257368	1-7-2022	05452 Innovation Saskatchewan	42,488.26	Accommodations (Rent)
257398	2-1-2022	15804 Microsoft Corporation	1,117,511.53	Computer hardware
257412	2-11-2022	05313 Dell Computer Corporation	45,300.20	Computer hardware
257481	3-25-2022	07062 Ministry Of Government Service	40,000.00	Postal services
257482	3-25-2022	05563 The Saskatchewan Association Of Optometrists	40,000.00	Safety equipment and Eye exams
257490	3-28-2022	15804 Microsoft Corporation	267,652.65	Computer hardware

## 2022-23 Sole Source Contracts

PO Nbr	Date	Vendor ID	Value	Description
257533	4-6-2022	05452 Innovation Saskatchewan	98,479.27	Accommodations (Rent)
257602	4-29-2022	07988 Northstar Innovative Developments Inc	921,720.00	Accommodations (Rent)
257603	4-29-2022	07988 Northstar Innovative Developments Inc	938,776.30	Accommodations (Rent)
257605	4-29-2022	07988 Northstar Innovative Developments Inc	52,080.00	Accommodations (Rent)
257606	4-29-2022	07988 Northstar Innovative Developments Inc	1,177,800.00	Accommodations (Rent)
257607	4-29-2022	07988 Northstar Innovative Developments Inc	52,160.00	Accommodations (Rent)
257608	4-29-2022	17482 New North Developments Inc	625,920.00	Accommodations (Rent)
257626	5-9-2022	05452 Innovation Saskatchewan	6,153,497.00	Accommodations (Rent)
257645	5-17-2022	15804 Microsoft Corporation	402,800.00	Computer hardware
257665	5-25-2022	05452 Innovation Saskatchewan	126,500.40	Accommodations (Rent)
257666	5-27-2022	07988 Northstar Innovative Developments Inc	31,800.00	Accommodations (Rent)
257668	5-27-2022	07062 Ministry Of Government Service	82,000.00	CVA Vehicles
257681	6-2-2022	05452 Innovation Saskatchewan	210,000.00	Accommodations (Rent)
257713	6-22-2022	05452 Innovation Saskatchewan	47,700.00	Accommodations (Rent)
257747	7-13-2022	15804 Microsoft Corporation	62,412.80	Computer hardware
257819	9-6-2022	05452 Innovation Saskatchewan	250,000.00	Accommodations (Rent)
257851	9-22-2022	15804 Microsoft Corporation	195,856.20	Computer hardware
257933	11-16-2022	01726 University Of Saskatchewan-Bu	103,395.00	Accommodations (Rent)
258027	1-5-2023	07988 Northstar Innovative Developments Inc	695,045.00	Accommodations (Rent)
258141	3-6-2023	15804 Microsoft Corporation	232,799.66	Computer hardware
258173	4-1-2023	05452 Innovation Saskatchewan	210,000.00	Accommodations (Rent)
258178	3-27-2023	05452 Innovation Saskatchewan	6,221,772.00	Accommodations (Rent)

### 2023-24 Sole Source Contracts to Dec 31, 2023

PO Nbr	Date	Vendor ID	Completed	Description
258215	4-3-2023	07988 Northstar Innovative Developments Inc	1,013,136.00	Accommodations (Rent)
258216	4-3-2023	07988 Northstar Innovative Developments Inc	34,800.00	Accommodations (Rent)
258217	4-3-2023	07988 Northstar Innovative Developments Inc	993,400.00	Accommodations (Rent)
258219	4-3-2023	07988 Northstar Innovative Developments Inc	52,080.00	Accommodations (Rent)
258220	4-3-2023	07988 Northstar Innovative Developments Inc	1,235,800.00	Accommodations (Rent)
258221	4-3-2023	17482 New North Developments Inc	635,920.00	Accommodations (Rent)
258223	4-3-2023	17482 New North Developments Inc	135,668.00	Accommodations (Rent)
258301	4-28-2023	05563 The Saskatchewan Association Of Optometrists	40,000.00	Safety equipment and Eye exams
258302	4-28-2023	07062 Ministry Of Government Service	40,000.00	Postal services
258321	5-3-2023	07062 Ministry Of Government Service	82,000.00	CVA Vehicles
258431	6-9-2023	05452 Innovation Saskatchewan	47,700.00	Accommodations (Rent)
258554	8-24-2023	07988 Northstar Innovative Developments Inc	542,926.00	Accommodations (Rent)
258555	8-25-2023	05452 Innovation Saskatchewan	86,585.04	Accommodations (Rent)
258561	8-30-2023	07988 Northstar Innovative Developments Inc	76,080.00	Accommodations (Rent)
258610	9-27-2023	07988 Northstar Innovative Developments Inc	68,703.00	Accommodations (Rent)
258729	12-7-2023	07988 Northstar Innovative Developments Inc	591,000.00	Accommodations (Rent)

The following is a list of equipment developed in-house by SRC, rather than externally sourced, related to the Rare Earth Elements Facility:

1. Solvent extraction cells
2. Chemical makedown system
3. Filler for FIBC (Flexible Intermediate Bulk Container)
4. Automated Metal Smelting Furnace
5. Optical Level Sensor
6. Laser level sensor
7. Vibration sensor
8. PLC/HMI Programming and Automation

# SRC Code of Conduct and Ethics

The Saskatchewan Research Council's (SRC) Code of Conduct and Ethics outlines how we expect our employees to behave in association with their employment at SRC. Our expectations for conduct and ethical behavior are aligned directly with our core values:

Integrity:	We deal with people and organizations honestly and ethically.
Respect:	We treat people, property, and the environment with respect.
Quality:	We deliver quality to clients and colleagues.
One Team:	We work together in the best interests of SRC.

This Code of Conduct and Ethics applies to all employees of the Saskatchewan Research Council.

## Laws, Regulations, Ethics and SRC Policy

SRC and its employees abide by applicable laws and regulations. We also conduct our business in an ethical manner and follow SRC policies.

## Confidentiality

SRC and its employees indefinitely protect confidential information about our business activities, projects, employees, clients, suppliers and stakeholders.

- Unless explicitly stated or in the public domain, any information you are exposed to at work about SRC's business or stakeholders is considered confidential.
- If you are giving a presentation or speech, or publishing a manuscript or technical report, be sure to have it reviewed and approved by your Division VP.
- If you are conducting a tour or having a guest into your area, be sure that no confidential information or materials are exposed.

## Conflict of Interest including Trading

At SRC, we avoid actual and perceived conflicts of interest. A conflict of interest arises when your personal activities interfere, or may be perceived to interfere, with SRC's business dealings and relationships. For example:

- Excuse yourself from decisions at SRC that could result in your financial gain or financial gain of family members and relatives.
- Don't use or share information gained during your course of employment at SRC to buy, sell, or trade stocks in companies that SRC does business with.
- Don't engage in activities outside your work that directly compete with or otherwise negatively impact SRC's business.

*Examples of potential conflict of interest scenarios:*

- *I'm interested in investing in a company that SRC does business with.*
- *I am a professional engineer and my neighbour has asked me to certify an invention.*
- *I have been asked to sit on a Board of an organization that is tied to SRC.*
- *I have been asked to do some work on the side by a friend of mine.*

When you think you might have a conflict of interest, be sure to discuss with your VP or Manager.





## Use of SRC's Assets, Services and Time

SRC's assets, services, and time should be respected and used in a manner that will not interfere or conflict with SRC's business interests or reputation. We know that personal use of assets and time may occur on occasion and trust employees to ensure alignment with SRC policies and to ensure it does not interfere with business responsibilities.

## Intellectual Property

SRC and its employees will not knowingly infringe the valid intellectual property (IP) rights of any organization or individual. Contact SRC's External Relations Division if:

- you are aware that your work may be overlapping with IP rights of another organization or individual, or you are uncertain whether there may be overlap.
- you are copying logos, photos, videos, or other copyrightable works from any source, including the internet. Appropriate references, approvals and/or licenses may be required.
- you are using information or research results that may be confidential and proprietary to a client or other organization or individual, contracts may create restrictions on what you can do with that information.

IP rights may arise from work you do. Anything you create in the course of your work is owned by SRC (including computer files and records). This also includes work related to SRC's business, whether you are hired to create it or not and whether it is created at SRC locations or elsewhere. If you have any IP related questions, contact SRC's External Relations Division.

## Protection of Personal Information

SRC and its employees protect private information collected from employees, clients, partners, and suppliers.

- If you must collect personal information, be sure to disclose why the information is needed. Also be sure to implement the right measures to keep the information protected.
- If a Freedom of Information request is received, or a privacy complaint arises, it should be provided to SRC's Privacy Officer in a timely manner for completion.

In addition, you should be aware that on occasion, SRC uses photos or videos that are collected during the course of SRC activities for promotional or educational purposes. This does not include security footage collected by security cameras which is only accessed if a security issue arises. If you have any questions, please contact SRC's privacy officer or privacy administrator.

## Professional Liability

When you make an honest mistake while carrying out your duties at SRC and are sued in a personal capacity, SRC will not hold you personally responsible. In addition, SRC will compensate you for harm or loss that results, provided that your actions were in compliance with SRC policies and this code. This commitment to indemnify you continues after employment for acts or omissions that occurred during employment. This indemnity will only apply when you fully cooperate with SRC in defending any claims and where you utilize legal counsel and professionals selected by SRC.

## Fraud

Fraud is a serious, and sometimes criminal, offense. Fraud includes acts committed against SRC, but can also include acts committed against outside parties to the benefit of SRC or individuals employed by SRC.

### *Do not:*

- *Personally investigate.*
- *Contact the suspected individual.*

If you suspect a fraudulent situation, do not take steps to personally investigate, but report it immediately through one of the channels identified in this code. In addition, once reported, the Vice-President of Finance should be immediately informed.

## Environmental, Social and Governance

SRC and its employees conduct business in a responsible manner.

- We seek ways to reduce environmental impacts in our work.
- We seek ways to have a positive impact on individuals and communities through our work.
- We have effective corporate governance practices that align with our mandate, mission, vision and values and are consistent with regulatory expectations and evolving best practices.

## Gifts

SRC allows employees to give and accept nominal gifts through customary business interactions with clients and suppliers. Key points to remember:

- Any gifts you give or receive cannot influence supplier contracts or agreements with clients.
- Cash is not an acceptable form of gift.

## Online Conduct Including Social Media

Your online interactions both during work and after hours, including social media, must still comply with SRC's policies and this code. Any social media or online account you utilize has the potential to reflect upon SRC and damage its reputation. Even if you do not identify as an SRC employee or utilize your full name, a connection may still be established between your activity and SRC (for example, through your circle of friends or co-workers).

## After Hours Conduct

As an employee of SRC, your conduct after hours is capable of negatively impacting SRC's business interests and reputation. You must still comply with this code outside of working hours, and refrain from engaging in conduct that may negatively impact SRC's business interests, reputation, employees, and clients.

## Criminal Record Check

Some positions at SRC require a criminal record check as a condition of employment. If you have one of these positions, you are required to report to Human Resources any charges, convictions, or changes to your criminal record on an ongoing basis as they occur.

## Administration

All employees are required to sign this code as a condition of employment and renew on an annual basis as part of your ongoing responsibility to follow and uphold the Code of Conduct and Ethics. There are consequences to violating this code that may include discipline or even dismissal.

## Violations of this Code

If you know of, or suspect, any violations of this code, you should let us know. You have lots of options of where you can go depending on your comfort level. The most important thing is that you let someone know.



\*Whistleblower Hotline - SRC utilizes an external, third-party service provider to deliver its Whistleblower hotline. They can be contacted at 306-242-1010 or 1-800-567-3327

*What happens when I let someone know (from above diagram) about a potential violation?*

A: When you let someone know they will work with you to gain a better understanding of the situation and to determine if it should be taken to another source or looked into further.

SRC will not tolerate retaliation against you for making a good faith report.

SRC may be required to pass on any information to the proper law, or other, enforcement agency.

*What happens when I report a violation of the code via the Whistleblower hotline?*

A: If you contact SRC's Whistleblower hotline you will be asked to sign a release of information form so that the information may be reported to an appropriate source.

Your identity will remain anonymous unless you provide written consent to disclose or if the service provider must ethically or legally reveal your identity.



# SRC Board Code of Conduct and Ethics

## Annual Compliance Statement

As a condition of my continued appointment to SRC's Board of Directors I have reviewed, understand and am complying with and will continue to comply with SRC's Board Code of Conduct and Ethics.

Please select one of the following statements:

☐ To the best of my knowledge, there are no Code of Conduct and Ethics violations relevant to SRC's Board of Directors.

OR,

☐ I have questions or concerns regarding potential Code of Conduct and Ethics violations relevant to the following area(s) for SRC's Board of Directors<sup>1</sup>:

- ☐ Laws, Regulations, Ethics and SRC Policy
- ☐ Confidentiality
- ☐ Conflict of Interest including Trading
- ☐ Public Accountability
- ☐ SRC's Assets, Services and Time

- ☐ Protection of Personal Information
- ☐ Corporate Social Responsibility
- ☐ Gifts
- ☐ Online Conduct including Social Media

### Description

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\_\_\_\_\_  
name of Board member (PLEASE PRINT)

\_\_\_\_\_  
date (month/day/year)

\_\_\_\_\_  
signature of Board member

Received by:

\_\_\_\_\_  
signature of Board Chair<sup>2</sup>

\_\_\_\_\_  
date (month/day/year)

\_\_\_\_\_  
signature of Secretary

\_\_\_\_\_  
date (month/day/year)

**Note:** Original to Recording Secretary for filing

<sup>1</sup> SRC's Chair and Secretary will follow-up.

<sup>2</sup> Signature of the Vice-Chair in the case of the Board Chair's Declaration.



# SRC Code of Conduct and Ethics

## Annual Compliance Statement

**As a condition of my continued employment with the Saskatchewan Research Council, I have reviewed, understand, and will continue to comply with SRC's Code of Conduct and Ethics policy.**

\_\_\_\_\_  
name of Employee (PLEASE PRINT)

\_\_\_\_\_  
date (month/ day/year)

\_\_\_\_\_  
signature of Employee

Even if previously disclosed, SRC requires employees to disclose any conflicts of interest they may have on an annual basis. This is because SRC's business is regularly evolving and changing.

I may have a direct or indirect conflict with my duty as an employee of SRC which may arise from (check any that apply):

- ☐ **Positions or Offices** - appointed, elected, or otherwise (examples – political appointment, board member, officer)
- ☐ **Business Interest or Shares** - ownership or possession, directly or indirectly, the following interests (e.g. businesses, shares, properties)
- ☐ **Financial Remuneration** - I or an associate<sup>1</sup> receive financial remuneration (such as for services performed by me, as an owner or part owner, trustee, employee or otherwise)
- ☐ **Other (please identify)** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

<sup>1</sup> "associate" means any person related or connected to the employee who one could reasonably consider would gain a benefit.



**ATTESTATION AND SIGNATURE:**

I, \_\_\_\_\_,

please print your name

- attest to the veracity of the information provided in this Declaration which is provided to the best of my knowledge, and
- consent to the collection and use of the personal information set forth in this Declaration for the purposes of administration of SRC's policies and procedures, including its Code of Conduct and Ethics and as otherwise explained to me.

If, at any time following the signing of this Declaration, there are changes to the information given on this Declaration regarding conflict of interest, either by way of addition or deletion, I will immediately submit to SRC a supplementary disclosure statement describing the change.

\_\_\_\_\_  
signature of employee

\_\_\_\_\_  
date (month/day/year)

**Vice-President's Comments and Actions record of discussion (must be completed):**

VP approval: \_\_\_\_\_ Date: \_\_\_\_\_

VP of Finance approval: \_\_\_\_\_

Date: \_\_\_\_\_



# SRC Code of Conduct and Ethics

## New Employee Compliance Statement

**As a condition of my employment with the Saskatchewan Research Council, I have reviewed, understand and will comply with SRC's Code of Conduct and Ethics policy.**

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name of Employee (PLEASE PRINT)

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date (month/ day/year)

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signature of Employee