



Office of the Superintendent of  
Financial Institutions Canada

Bureau du surintendant des  
institutions financières Canada

*Access to Information Act*

**Annual Report**

**2013-2014**

**June 2014**



OSFI  
BSIF

**Canada** 

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## 1. Introduction

The purpose of the *Access to Information Act* is to extend the present laws of Canada to provide a right of access to information in records under the control of a government institution in accordance with the principles whereby government information should be available to the public, necessary exceptions to the right of access should be limited and specific and decisions on the disclosure of government information should be reviewed independently of government.

This annual report was prepared and submitted in accordance with section 72 of the *Access to Information Act*.

The information provided in this report covers the period from April 1, 2013 to March 31, 2014.

## 2. Mandate of the Office of the Superintendent of Financial Institutions (OSFI)

OSFI's legislated mandate was implemented in 1996 and under the legislation, OSFI's mandate is to:

- supervise federally regulated financial institutions and private pension plans to determine whether they are in sound financial condition and meeting minimum plan funding requirements, respectively, and are complying with their governing law and supervisory requirements;
- promptly advise institutions and plans in the event there are material deficiencies and take, or require management, boards or plan administrators to take, necessary corrective measures expeditiously;
- advance and administer a regulatory framework that promotes the adoption of policies and procedures designed to control and manage risk; and
- monitor and evaluate system-wide or sectoral issues that may impact institutions negatively.

OSFI's prudential mandate supports a safe and sound Canadian financial system.

OSFI's legislation also acknowledges the need to allow institutions to compete effectively and take reasonable risks. It recognizes that management, boards of directors, and plan administrators are ultimately responsible and that financial institutions and pension plans can fail.

The Office of the Chief Actuary (OCA) is a separate unit within OSFI and provides expert actuarial services and advice on the state of various public pension plans and on the financial implications of options being considered by policymakers. In conducting its work, the OCA plays a vital and independent role towards a financially sound and sustainable Canadian public retirement income system.

### **3. Strategic Outcomes**

Primary to OSFI's mandate and central to its contribution to Canada's financial system are two strategic outcomes:

1. A safe and sound Canadian financial system
2. A financially sound and sustainable Canadian public retirement income system.

For the purposes of the *Access to Information Act*, the head of OSFI is the Superintendent and the responsible minister is the Minister of Finance.

### **4. Administration of the *Access to Information Act***

#### **4.1 Access to Information and Privacy (ATIP) Unit**

The Access to Information and Privacy (ATIP) Unit is part of the Enterprise Information Management (EIM) Directorate within the Information Management/Information Technology (IM/IT) Division. The unit is responsible for administering the *Act* for the Office of the Superintendent of Financial Institutions. As such, the ATIP unit coordinates the timely processing of requests under the legislation, handles complaints lodged with the Information Commissioner, and responds to informal inquiries. The ATIP unit also provides advice and guidance to Office staff on matters involving the *Act*.

The unit is comprised of one ATIP coordinator reporting to a Director, and supported by a backup resource and an administrative coordinator.

#### **4.2 Institutional changes to the administration of the *Access to Information Act***

In June 2013, the ATIP unit was transferred from Security and Administrative Services to the Enterprise Information Management directorate within the IM/IT Division. This transfer has allowed OSFI to build on the natural alignment of information management and access to information and privacy as part of the Office's enterprise approach to the management and protection of its corporate information resources.

#### **4.3 Education and Training**

Training efforts in 2013-2014 have been focused on briefing OSFI staff in the appropriate review of information in response to ATI requests. The coming year will also focus on ATIP awareness for all OSFI staff as part of an Information Management and ATIP awareness program now under development.

In addition, as part of the institutionalization of backup support for the single ATIP resource, a resource within the EIM Directorate has been assigned and a plan put in place to provide the necessary training to ensure effective support for the ATIP function in the absence of the ATIP

Coordinator. This training began in the current reporting period and will continue into the next year.

#### **4.4 Processing of access to information requests**

All access to information requests are forwarded to the Coordinator, who then checks them for completeness. After removal of information that could identify the requester, a copy of the request is sent to the head of the division or divisions concerned for the necessary information. In gathering the material and subsequently reviewing it, the Coordinator provides advice and direction to ensure that the provisions of the Act are respected.

The assembled material is reviewed by the Coordinator, by Legal Services, and by the responsible director, as appropriate. The material and the recommendations pertaining to each access file are then submitted to the responsible Deputy Superintendent, Regulation Sector for review and approval.

#### **4.5 Delegation of authority**

Delegation orders set out what powers, duties and functions for the administration of the *Access to Information Act* have been delegated by the head of the institution and to whom. Administration of the *Access to Information Act* at OSFI is the responsibility of The Superintendent. The authority to claim exemptions and to issue various statutory notices has been delegated to the Deputy Superintendent, Regulation. The authority to issue various statutory notices has also been delegated to the Access to Information and Privacy Coordinator.

In February 14, 2014, the delegation of authority was revised to extend the authority to issue various statutory notices to the Director, Enterprise Information Management as part of the transfer of the ATIP Function to the EIM directorate.

#### **4.6 Summary of significant changes to programs, operations, policies or procedures**

As part of OSFI's recent Internet Renewal Project the Access to Information and Privacy page on the Office's new Internet site has been updated and expanded to facilitate access to information about ATIP at OSFI. In addition, a new "Guide to Processing Access to Information and Privacy (ATIP) request at OSFI" has been developed as a support tool for staff dealing with ATI requests.

#### **4.7 Reading room**

In accordance with the *Access to Information Act*, OSFI's Kennet Room in Ottawa has been designated a public reading room. It is located at 255 Albert Street, on the 16<sup>th</sup> floor.

## 5. Interpretation of the Statistical Report

### Part 1 – Requests under the *Access to Information Act*

Due to the nature of OSFI's work regulating financial institutions and private pension plans under federal jurisdiction, much of the information in its possession is third-party information about these supervised institutions and pension plans.

In 2013-2014, one request was outstanding from previous reporting period and 20 new requests were received. Two requests were carried over to the next reporting period. Total pages processed increased from 622 in 2012-2013 to 3,566 in 2013-2014. OSFI also processed 33 consultations and reviewed 566 pages from other government institutions whereas last reporting period we processed 42 consultations and reviewed 1,489 pages. One consultation was carried over the next reporting period and OSFI did not process any consultations from other organizations. From inception of the Act to March 31, 2014, OSFI received 989 requests for access to information.

### Part 2 – Requests closed during the reporting period

#### *Disposition and completion time*

The following table summarizes the actions taken with respect to the completed requests:

<b>Disposition</b>	<b>Number of requests</b>
All disclosed	7
Disclosed in part	10
No records exist	3
Transferred	0
Abandoned	0
Treated informally	0
<b>Total</b>	<b>20</b>

Parts of some of the records were subject to exemptions. In every case, the applicant was given access to the remaining portion of the records relevant to the request.

#### *Exemptions*

OSFI has only applied exemptions to withhold information under subsections 19(1), 20(1) (b), 21(1) (a), (b) and (c) of the Act, as applicable.

#### *Exclusions*

No exclusions were applied.

### ***Format of information released***

Paper documents were disclosed in 16 requests and one was provided in electronic format.

### ***Relevant pages processed and disclosed***

Five hundred and twenty-seven (527) pages were processed and disclosed which is the same number of pages referred to in the “All disclosed” column. Under the “Disclosed in part” category, 2,735 pages were processed and 2,527 pages were disclosed. No other dispositions were used.

### ***Relevant pages processed and disclosed by size of requests***

Please refer to section 2.5.2 of the Statistical Report (Appendix A).

### ***Other complexities***

Seven (7) requests “All disclosed” were identified under “Other”, one (1) “Disclosed in part” under “Consultation required” and nine (9) “Disclosed in part” under “Other”.

### ***Deemed refusal***

All responses were provided within the statutory deadline.

### ***Request for translation***

No translations were requested.

### **Part 3 – Extensions**

One request required extensions of 30 days or less for consultation with third parties.

### **Part 4 – Fees**

Application fees of \$80 for 20 of the 21 requests submitted were received. The total amount of fees waived was \$461.

### **Part 5 – Consultations received from other institutions and organizations**

OSFI received 33 consultations and reviewed 566 pages from other government institutions. Thirty-two (32) consultations were processed within the reporting period. One consultation was carried over to next reporting period. OSFI had processed 43 consultations and reviewed 1,489 pages in the previous reporting period.



### ***Recommendations and completion time for consultations received from other government institutions***

All consultations were processed within 1 to 15 days. OSFI recommended that 18 consultations be disclosed entirely and 14 disclosed in part.

### ***Recommendations and completion time for consultations received from other organizations***

No consultations were received from other organizations.

### **Part 6 – Completion time of consultations on cabinet confidences**

OSFI did not consult on any Cabinet confidences.

### **Part 7 – Resources related to the *Access to Information Act***

The cost to administer the *Act* during this reporting period was \$113,647. This represents the work of two employees at the RE-05 level and one employee at the REX-07 level, which is a 0.89 full time equivalents (FTE).

## **6. Complaints and Investigations**

One complaint was filed to the Office of the Information commissioner of Canada (OIC) during this reporting period. The requester's complaint is described as "Deemed Refusal". The investigation was ongoing during this reporting period.

## **7. Appeals to the Federal Court of Canada**

### **7.1 Major changes implemented as a result of concerns or issues raised by the Information Commissioner of Canada in her annual report to Parliament**

No major changes were implemented by OSFI as the Information Commissioner of Canada did not raise any concerns or issues related to OSFI.

### **7.2 Major changes implemented as a result of concerns or issues raised by other agents of Parliament**

No major changes were implemented by OSFI as other agents of Parliament did not raise any concerns or issues.

### **7.3 Number of applications or appeals to the Federal Court or the Federal Court of Appeal during the fiscal year**

There were no applications or appeals to the Federal Court or the Federal Court of Appeal during this fiscal year related to OSFI.

## APPENDIX A



### Statistical Report on the *Access to Information Act*

Name of institution: Office of the Superintendent of Financial Institutions Canada

Reporting period: 01/04/2013 to 31/03/2014

#### PART 1 – Requests under the *Access to Information Act*

##### 1.1 Number of Requests

	Number of Requests
Received during reporting period	21
Outstanding from previous reporting period	1
<b>Total</b>	<b>22</b>
Closed during reporting period	20
Carried over to next reporting period	2

##### 1.2 Sources of requests

Source	Number of Requests
Media	6
Academia	1
Business (Private Sector)	11
Organization	0
Public	3
<b>Total</b>	<b>21</b>

#### PART 2 – Requests closed during the reporting period

##### 2.1 Disposition and completion time

Disposition of requests	Completion Time							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	More than 365 days	
All disclosed	6	1	0	0	0	0	0	7
Disclosed in part	5	4	1	0	0	0	0	10
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
No records exist	3	0	0	0	0	0	0	3
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	0	0	0	0	0	0	0	0
Treated informally	0	0	0	0	0	0	0	0
<b>Total</b>	<b>14</b>	<b>5</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>20</b>

## 2.2 Exemptions

Section	Number of requests	Section	Number of requests	Section	Number of requests	Section	Number of requests
13(1)(a)	0	16(2)(a)	0	18(a)	0	20.1	0
13(1)(b)	0	16(2)(b)	0	18(b)	0	20.2	0
13(1)(c)	0	16(2)(c)	0	18(c)	0	20.4	0
13(1)(d)	0	16(3)	0	18(d)	0	21(1)(a)	1
13(1)(e)	0	16.1(1)(a)	0	18.1(1)(a)	0	21(1)(b)	1
14(a)	0	16.1(1)(b)	0	18.1(1)(b)	0	21(1)(c)	1
14(b)	0	16.1(1)(c)	0	18.1(1)(c)	0	21(1)(d)	0
15(1) - I.A.*	0	16.1(1)(d)	0	18.1(1)(d)	0	22	0
15(1) - Def.*	0	16.2(1)	0	19(1)	9	22.1(1)	0
15(1) - S.A.*	0	16.3	0	20(1)(a)	0	23	0
16(1)(a)(i)	0	16.4(1)(a)	0	20(1)(b)	4	24(1)	0
16(1)(a)(ii)	0	16.4(1)(b)	0	20(1)(b.1)	0	26	0
16(1)(a)(iii)	0	16.5	0	20(1)(c)	0		
16(1)(b)	0	17	0	20(1)(d)	0		
16(1)(c)	0						
16(1)(d)	0						

\* I.A.: International Affairs    Def.: Defence of Canada    S.A.: Subversive Activities

## 2.3 Exclusions

Section	Number of requests	Section	Number of requests	Section	Number of requests
68(a)	0	69(1)(a)	0	69(1)(g) re (a)	0
68(b)	0	69(1)(b)	0	69(1)(g) re (b)	0
68(c)	0	69(1)(c)	0	69(1)(g) re (c)	0
68.1	0	69(1)(d)	0	69(1)(g) re (d)	0
68.2(a)	0	69(1)(e)	0	69(1)(g) re (e)	0
68.2(b)	0	69(1)(f)	0	69(1)(g) re (f)	0
				69.1(1)	0

## 2.4 Format of information released

Disposition	Paper	Electronic	Other formats
All disclosed	6	1	0
Disclosed in part	10	0	0
<b>Total</b>	<b>16</b>	<b>1</b>	<b>0</b>

## 2.5 Complexity

### 2.5.1 Relevant pages processed and disclosed

Disposition of requests	Number of pages processed	Number of pages disclosed	Number of requests
All disclosed	527	527	7
Disclosed in part	2735	2527	10
All exempted	0	0	0
All excluded	0	0	0
Request abandoned	0	0	0

## 2.5.2 Relevant pages processed and disclosed by size of requests

Disposition	Less than 100 pages processed		101-500 pages processed		501-1000 pages processed		1001-5000 pages processed		More than 5000 pages processed	
	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests	Pages disclosed
All disclosed	4	106	3	421	0	0	0	0	0	0
Disclosed in part	5	173	4	1182	0	0	1	1172	0	0
All exempted	0	0	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0	0	0
Abandoned	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	<b>9</b>	<b>279</b>	<b>7</b>	<b>1603</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>1172</b>	<b>0</b>	<b>0</b>

## 2.5.3 Other complexities

Disposition	Consultation required	Assessment of fees	Legal advice sought	Other	Total
All disclosed	0	0	0	7	7
Disclosed in part	1	0	0	9	10
All exempted	0	0	0	0	0
All excluded	0	0	0	0	0
Abandoned	0	0	0	0	0
<b>Total</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>16</b>	<b>17</b>

## 2.6 Deemed refusals

### 2.6.1 Reasons for not meeting statutory deadline

Number of requests closed past the statutory deadline	Principal Reason			
	Workload	External consultation	Internal consultation	Other
0	0	0	0	0

### 2.6.2 Number of days past deadline

Number of days past deadline	Number of requests past deadline where no extension was taken	Number of requests past deadline where an extension was taken	Total
1 to 15 days	0	0	0
16 to 30 days	0	0	0
31 to 60 days	0	0	0
61 to 120 days	0	0	0
121 to 180 days	0	0	0
181 to 365 days	0	0	0
More than 365 days	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>

## 2.7 Requests for translation

Translation Requests	Accepted	Refused	Total
English to French	0	0	0
French to English	0	0	0
<b>Total</b>	0	0	0

## PART 3 – Extensions

### 3.1 Reasons for extensions and disposition of requests

Disposition of requests where an extension was taken	9(1)(a) Interference with operations	9(1)(b) Consultation		9(1)(c) Third party notice
		Section 69	Other	
All disclosed	0	0	0	0
Disclosed in part	0	0	1	0
All exempted	0	0	0	0
All excluded	0	0	0	0
No records exist	0	0	0	0
Request abandoned	0	0	0	0
<b>Total</b>	0	0	1	0

### 3.2 Length of extensions

Length of extensions	9(1)(a) Interference with operations	9(1)(b) Consultation		9(1)(c) Third party notice
		Section 69	Other	
30 days or less	0	0	1	0
31 to 60 days	0	0	0	0
61 to 120 days	0	0	0	0
121 to 180 days	0	0	0	0
181 to 365 days	0	0	0	0
365 days or more	0	0	0	0
<b>Total</b>	0	0	1	0

## PART 4 – Fees

Fee Type	Fee Collected		Fee Waived or Refunded	
	Number of requests	Amount	Number of requests	Amount
Application	21	\$80	0	\$0
Search	0	\$0	0	\$0
Production	0	\$0	0	\$0
Programming	0	\$0	0	\$0
Preparation	0	\$0	0	\$0
Alternative format	0	\$0	1	\$2
Reproduction	0	\$0	16	\$459
<b>Total</b>	21	\$80	17	\$461

## PART 5 – Consultations received from other institutions and organizations

### 5.1 Consultations received from other government institutions and organizations

Consultations	Other government institutions	Number of pages to review	Other organizations	Number of pages to review
Received during reporting period	33	566	0	0
Outstanding from the previous reporting period	0	0	0	0
<b>Total</b>	33	566	0	0
Closed during the reporting period	32	566	0	0
Pending at the end of the reporting period	1	0	0	0

### 5.2 Recommendations and completion time for consultations received from other government institutions

Recommendation	Number of days required to complete consultation requests							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	than 365 days	
Disclose entirely	18	0	0	0	0	0	0	18
Disclose in part	14	0	0	0	0	0	0	14
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	32	0	0	0	0	0	0	32

### 5.3 Recommendations and completion time for consultations received from other organizations

Recommendation	Number of days required to complete consultation requests							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	than 365 days	
Disclose entirely	0	0	0	0	0	0	0	0
Disclose in part	0	0	0	0	0	0	0	0
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0

### PART 6 – Completion time of consultations on Cabinet confidences

Number of days	Number of responses received	Number of responses received past deadline
1 to 15	0	0
16 to 30	0	0
31 to 60	0	0
61 to 120	0	0
121 to 180	0	0
181 to 365	0	0
More than 365	0	0
<b>Total</b>	0	0

### PART 7 – Resources related to the Access to Information Act

#### 7.1 Costs

Expenditures	Amount
Salaries	\$110,852
Overtime	\$1,597
Goods and Services	\$1,198
• Professional services contracts	\$0
• Other	\$1,198
<b>Total</b>	<b>\$113,647</b>

## 7.2 Human Resources

<b>Resources</b>	<b>Dedicated full-time to ATI activities</b>	<b>Dedicated part-time to ATI activities</b>	<b>Total</b>
Full-time employees	0.80	0.09	0.89
Part-time and casual employees	0.00	0.00	0.00
Regional staff	0.00	0.00	0.00
Consultants and agency personnel	0.00	0.00	0.00
Students	0.00	0.00	0.00
<b>Total</b>	0.80	0.09	0.89



Appendix A

Previously released ATI package released informally

Institution	Number of informal releases of previously released ATI packages
Office of the Superintendent of Financial Institutions Canada	0

Completed Privacy Impact Assessments (PIAs)

Institution	Number of Completed PIAs
Office of the Superintendent of Financial Institutions	1

Completion Time of Consultations on Cabinet Confidences under the ATIA - Requests with Legal Services

Number of Days	Fewer Than 100 Pages Processed		101–500 Pages Processed		501–1,000 Pages Processed		1,001–5,000 Pages Processed		More Than 5,000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

Completion Time of Consultations on Cabinet Confidences under the ATIA - Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		101–500 Pages Processed		501–1,000 Pages Processed		1,001–5,000 Pages Processed		More Than 5,000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

Completion Time of Consultations on Cabinet Confidences under the PA - Requests with Legal Services

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1,000 Pages Processed		1,001-5,000 Pages Processed		More Than 5,000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

Completion Time of Consultations on Cabinet Confidences under the PA - Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1,000 Pages Processed		1,001-5,000 Pages Processed		More Than 5,000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

## APPENDIX B



Office of the Superintendent of  
Financial Institutions Canada

Bureau du surintendant des  
institutions financières Canada

### DESIGNATION / DÉLÉGATION

#### *ACCESS TO INFORMATION ACT / LOI SUR L'ACCÈS À L'INFORMATION*

##### **Access to Information Act Designation Order**

By this order made pursuant to section 73 of the *Access to Information Act*, I hereby authorize those officers and employees of the Office of the Superintendent of Financial Institutions occupying, on an acting basis or otherwise, the positions identified within the attached schedule to perform on my behalf any of the powers, duties or functions specified therein.

This designation replaces and repeals all previous orders.

##### **Arrêté sur la délégation en vertu de la Loi sur l'accès à l'information**

Par le présent arrêté pris en vertu de l'article 73 de la *Loi sur l'accès à l'information*, j'autorise les agents et les employés du Bureau des institutions financières occupant, par intérim ou autrement, les postes identifiés dans l'annexe ci-jointe à exercer en mon nom, les attributions, les fonctions et les pouvoirs qui y sont spécifiés.

Le présent document remplace et annule tous les arrêtés antérieurs.

Dated in Ottawa on this 14<sup>th</sup> day of February, 2014

Fait à Ottawa en ce 14 jour de Fevrier 2014

Superintendent of Financial Institutions/  
Le surintendant des institutions financières



255 Albert Street  
Ottawa, Canada  
K1A 0H2  
[www.osfi-bsif.gc.ca](http://www.osfi-bsif.gc.ca)

**SCHEDULE 1**  
**Designation Order - Access to Information Act**

Section	Powers, Duties or Functions	Deputy Superintendent, Regulation Sector	Director, Enterprise Information Management	ATIP Coordinator
4(2.1)	Reasonable effort to assist, respond accurately and completely and provide timely access in the format requested	X	X	X
7(a)	To give notice to applicant that access will be given	X	X	X
7(b)	To give access to the record	X	X	X
8(1)	To transfer to another institution or to accept transfer from another institution and to give notice to applicant	X	X	X
9	To extend time limit and give notice	X	X	X
10	No records exist	X	X	X
11(2)	To require payment of additional fees	X	X	X
11(3)	To require payment for machine readable record	X	X	X
11(4)	To require payment of a deposit	X	X	X
11(5)	To give notice of amount required	X	X	X
11(6)	To waive the requirement to pay a fee	X	X	X
12(2)	To determine whether a record should be translated	X	X	X
12(3)	To determine whether a record should be provided in an alternative format	X	X	X
13	To refuse to disclose a record referred to in that section	X	X	
14	To refuse to disclose a record referred to in that section	X	X	
15	To refuse to disclose a record referred to in that section	X	X	
16	To refuse to disclose a record referred to in that section	X	X	

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**SCHEDULE 1**  
**Designation Order - Access to Information Act**

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Deputy Superintendent, Regulation Sector</b>	<b>Director, Enterprise Information Management</b>	<b>ATIP Coordinator</b>
16.5	To refuse to disclose a record referred to in that section	X	X	
17	To refuse to disclose a record referred to in that section	X	X	
18	To refuse to disclose a record referred to in that section	X	X	
18.1	To refuse to disclose a record referred to in that section	X	X	
19	To refuse to disclose a record referred to in that section	X	X	
20(1)	To refuse to disclose a record referred to in that subsection	X	X	
20(2)	To disclose part of a record referred to in that subsection	X	X	
20(3)	To disclose part of a record referred to in that subsection and provide written explanation	X	X	
20(5)	To disclose, with the consent of third party, a record referred to in subsection 20(1)	X	X	
20(6)	To disclose, in the public interest, a record referred to in paragraphs 20(1)(b),(c) or (d)	X	X	
21(1)	To refuse to disclose a record referred to in that subsection	X	X	
22	To refuse to disclose a record referred to in that section	X	X	
22.1	To refuse to disclose a record referred to in that section	X	X	
23	To refuse to disclose a record referred to in that section	X	X	
24	To refuse to disclose a record referred to in that section	X	X	
25	To disclose information that can reasonably be severed	X	X	

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**SCHEDULE 1**  
**Designation Order - Access to Information Act**

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Deputy Superintendent, Regulation Sector</b>	<b>Director, Enterprise Information Management</b>	<b>ATIP Coordinator</b>
26	To refuse to disclose a record referred to in that section	X	X	
27(1)	To give to third party notice of intent to disclose	X	X	X
27(4)	To extend time limit set out in 27(1)	X	X	X
28(1)	To decide on disclosure after third party representation and to give notice of decision to third party	X	X	X
28(2)	To waive requirement for written representations	X	X	X
28(4)	To give access unless review of decision is requested	X	X	
29(1)	To give notice to applicant and to third party	X	X	
33	To advise the Information Commissioner of any third party who received notification or, if the document would have been disclosed, would have received notification	X	X	X
35(2)	To make representations to the Information Commissioner	X	X	X
37(4)	To give notice to the Information Commissioner that access to a record will be given	X	X	X
43(1)	To give notice to a third party of application for Court review	X	X	X
44(2)	To give notice to applicant that third party has applied for Court review	X	X	X
52(2)	To request hearing in the National Capital Region	X	X	
52(3)	To request opportunity to make representations <i>ex parte</i>	X	X	
71(1)	To provide facilities where manuals may be inspected by public	X	X	X
71(2)	To exempt information severed from manuals	X	X	

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**SCHEDULE 1**  
**Designation Order - Access to Information Act**

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Deputy Superintendent, Regulation Sector</b>	<b>Director, Enterprise Information Management</b>	<b>ATIP Coordinator</b>
72(1)	To prepare annual report for submission to Parliament	X	X	X

**Access to Information Regulations**

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Deputy Superintendent, Regulation Section</b>	<b>Director, Enterprise Information Management</b>	<b>ATIP Coordinator</b>
6(1)9	Transfer of request	X	X	X
7(2)	Search and preparation fees	X	X	X
7(3)	Production and programming fees	X	X	X
8	Providing access to record(s)	X	X	X
8.1	Limitation	X	X	

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