



Office of the Superintendent of
Financial Institutions Canada

Bureau du surintendant des
institutions financières Canada

2021

2020-2021 Annual Report to Parliament on the Administration of the Access to Information Act

2020-2021

2020-2021 OSFI Annual Report on the administration of the *Access to Information Act*

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1. Introduction

The purpose of the *Access to Information Act (ATIA)* is to enhance the accountability and transparency of federal institutions in order to promote an open and democratic society and to enable public debate on the conduct of those institutions. In furtherance of that purpose, Part 1 of the *ATIA* extends 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 that government information should be available to the public, that necessary exceptions to the right of access should be limited and specific and that decisions on the disclosure of government information should be reviewed independently of government. Part 2 of the *ATIA* sets out requirements for the proactive publication of information.

This annual report was prepared and submitted in accordance with sections 94(1) and 94(2) of the *ATIA* as well as Section 20 of the *Service Fees Act* and covers the period from April 1, 2020 to March 31, 2021.

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

Under its legislation, OSFI's mandate is:

Fostering sound risk management and governance practices

OSFI advances a regulatory framework designed to control and manage risk.

Supervision and early intervention

OSFI supervises federally regulated financial institutions and pension plans to determine whether they are in sound financial condition and meeting regulatory and supervisory requirements.

OSFI promptly advises financial institutions and pension plans if there are material deficiencies and takes corrective measures or requires that they be taken to expeditiously address the situation.

Environmental scanning linked to safety and soundness of financial institutions

OSFI monitors and evaluates system-wide or sectoral developments that may have a negative impact on the financial condition of federally regulated financial institutions.

Taking a balanced approach

OSFI acts to protect the rights and interests of depositors, policyholders, financial institution creditors and pension plan beneficiaries while having due regard for the need to allow financial institutions to compete effectively and take reasonable risks.

OSFI recognizes that management, boards of directors and pension plan administrators are ultimately responsible for risk decisions, that financial institutions can fail, and pension plans can experience financial difficulties resulting in the loss of benefits.

In fulfilling its mandate, OSFI supports the government's objective of contributing to public confidence in the Canadian financial system.

The Office of the Chief Actuary is an independent unit within OSFI that provides a range of actuarial valuation and advisory services to the Government of Canada. 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 (OSFI). 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 Manager, Privacy and Access to Information reports to the Director, EIM and is supported by a senior ATIP Officer, an ATIP Officer and a Junior ATIP Officer. The ATIP unit also relied upon the support of contract and student resources.

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

There were no significant institutional changes to the administration of the Access to Information Act to report during this reporting period. Effective FY 2021-2022, the ATIP unit will report to the Director, Strategic Governance, ATIP and Privacy Offices.

4.3 Education and Training

Training efforts in 2020-2021 have been focused on ensuring OSFI staff understand their roles and responsibilities in the effective management and protection of OSFI's information resources as an enabler in the delivery of the ATI program through a combination of presentations, information sessions and information bulletins. Training efforts focused on ATIP awareness for new OSFI staff as part of an Information Management and ATIP awareness program (5 sessions, 54 participants) as well as tailored sessions for participants in the processes stemming from proactive disclosure requirements as set out in the Act (2 sessions, 2 participants). In addition, project-specific ATIP training sessions were held to reinforce core *ATIA* principles and responsibilities with key stakeholders (4 sessions, 96 users).

4.4 Processing of access to information requests

All formal Access to Information requests are submitted to the Manager, Privacy and Access to Information, who reviews and assigns them to an ATIP Officer. The Officer requests the information from the appointed sectoral ATIP Liaison Officer(s) concerned. In gathering the material and subsequently reviewing it, the ATIP Office provides advice and direction to ensure that the provisions of the Act are respected.

Assembled material is reviewed by the ATIP Officer and the Manager, Privacy and Access to Information. The material and the recommendations pertaining to each request are then submitted to the program area for validation. Once agreed to, the release package is submitted to the Assistant Superintendent, Corporate Services for review and approval.

4.5 Delegation of authority

Delegation orders set out which powers, duties and functions relating to 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 Assistant Superintendent, Corporate Services. The authority to issue various statutory notices has also been delegated to the Director, Enterprise Information Management and the Manager, Privacy and Access to Information. A copy of the delegation order may be found in Appendix B.

4.6 Monitoring compliance

The time taken to process access to information requests is tracked in the ATIP tracking system. The ATIP caseload is reviewed monthly with the Director, EIM and the proposed final responses to ATI requests are ultimately reviewed and approved by the Assistant Superintendent, Corporate Services. Concerns are raised as appropriate throughout the lifecycle of the request and priority is given to fulfilling OSFI's statutory obligations.

4.7 Summary of significant changes to programs, operations, policies or procedures

There were no significant changes to ATIP programs, operations policies, or procedures in 2020-2021. OSFI's existing Information Management/Information Technology (IM/IT) policies and infrastructure allowed the organization to avoid any significant disruptions relating to the COVID-19 pandemic and have had little effect on OSFI's ability to fulfill its Access to Information responsibilities. With the closure of OSFI's offices on March 13th, 2020, employees were no longer able to access paper files. Requests received by OSFI through the mail are retrieved by the Manager, Access to Information and Privacy on a weekly basis. Another change of note is that effective April 1st, 2021, the ATIP team will report to the Director, Strategic Governance Office in the Communications and Corporate Affairs division. This organizational change will be addressed in greater detail in the 2021-2022 annual report.

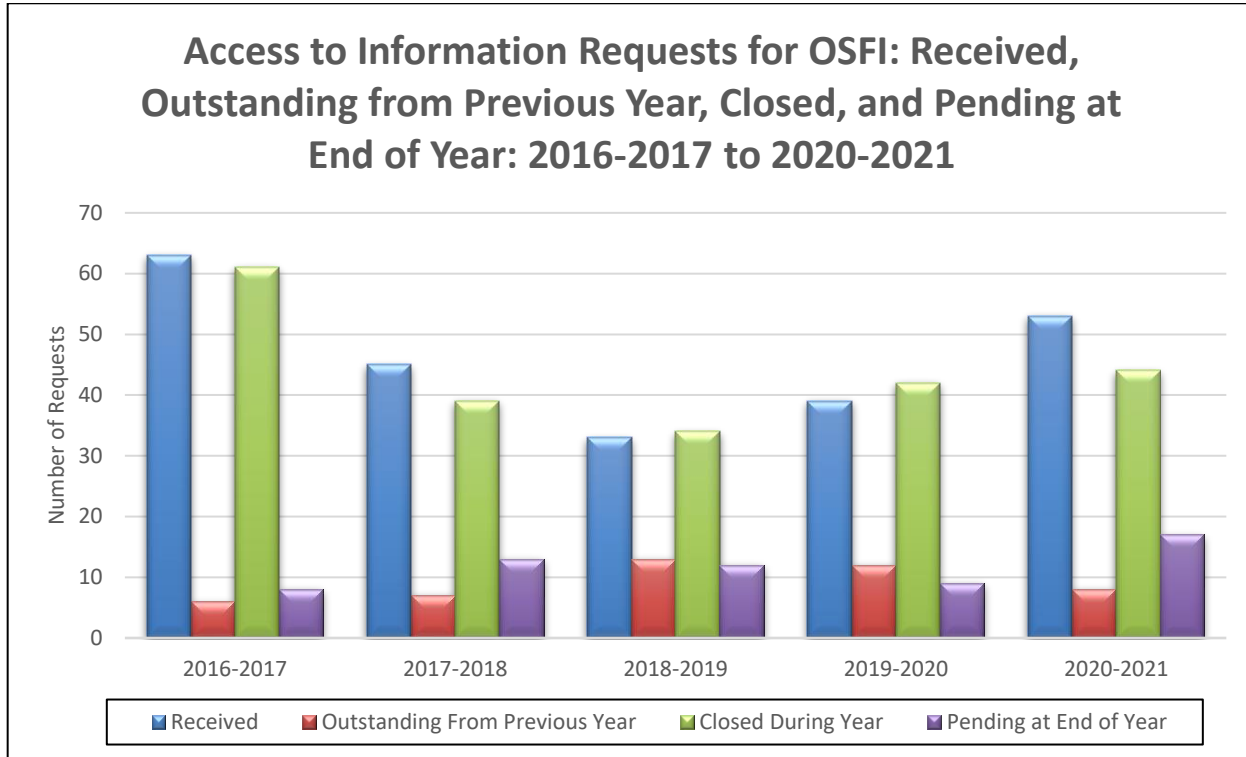
4.8 Reading room

In accordance with the *Access to Information Act*, a public reading room is available in Ottawa. It is located at 255 Albert Street, on the 16th floor. The reading room was not available to the public as of March 13th, 2020 due to necessary restrictions arising from the COVID-19 pandemic.

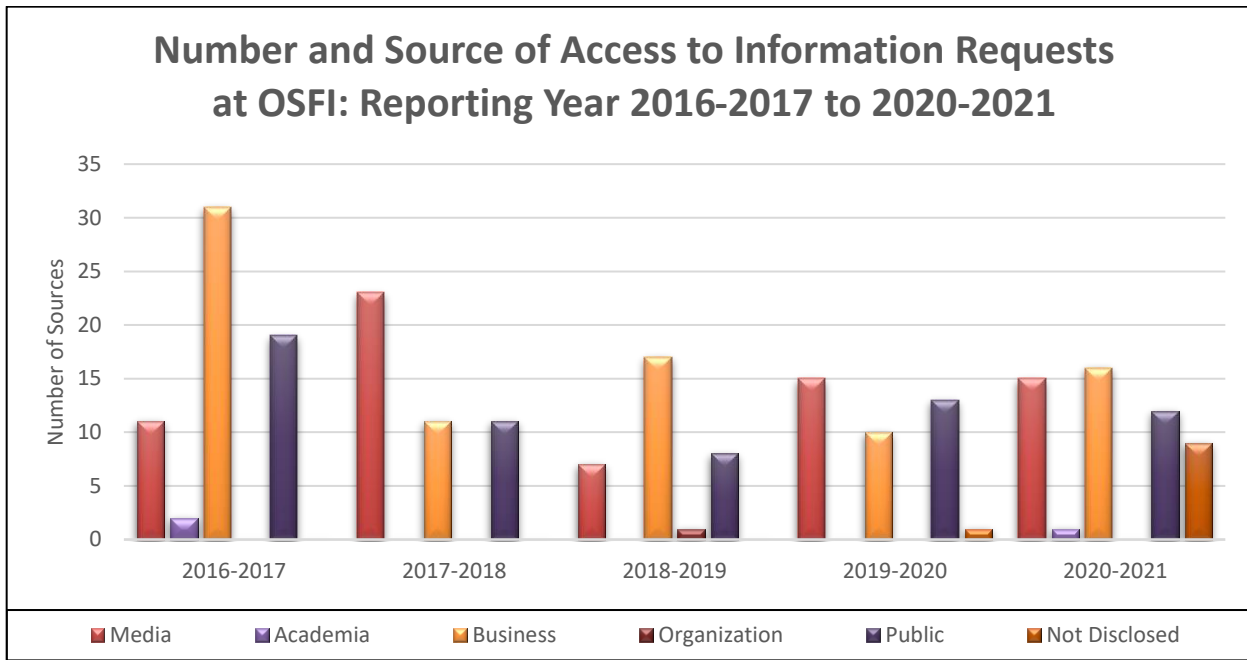
5. Interpretation of the Statistical Report

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.

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



OSFI saw a 35.9% increase in ATI requests received in 2020-2021 - 53 requests were received compared to the 39 requests received the year prior. 44 requests were closed in 2020-2021. 8 requests were outstanding from the previous reporting period and 17 requests were carried over to the next year. Since the inception of the Act to March 31, 2020, OSFI has received 1,331 Access to Information requests.



The profile of requesters has also changed in 2020-2021, with an increase from requestors identifying themselves as businesses (16 in 2020-2021, up 60% compared to 10 in 2019-2020). Request from the media remained constant at 15.

The number of informal requests completed in 2020-2021 was 42% lower than the previous year (10 in 2020-2021 compared to 17 in 2019-2020).

Part 2 – Requests closed during the reporting period

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

2.1 Disposition and Completion Time

Disposition	Number of requests
All disclosed	1
Disclosed in part	27
All exempted	3
All excluded	1
No records exist	10
Request transferred	0
Request abandoned	1
Neither confirmed nor denied	1
Total	44

For the 2020-2021 reporting period, 2.27% of completed requests were “all disclosed” and 61.36% of completed requests were “disclosed in part”.

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

There was a marked decrease in both the number of pages processed (1827 in 2020-2021 compared to 66,366 in 2019-2020) and the number of pages disclosed (776 in 2020-2021 compared to 3,660 in 2019-2020). These figures do not include the pages processed and reviewed (approximately 25,000) for requests carried over to the next reporting period.

2.2 Exemptions

In the 2020-2021 reporting year, for the 44 requests completed, OSFI applied exemptions to withhold information under subsections 13(1)(a)(b), 14(a), 15(1), 16(1)(c), 16(2), 16(2)(c), 18(a)(b) and (d), 19(1), 20(1)(b), (c) and (d), 21(1)(a), (b), (c) and (d) and 23 of the Act, as applicable.

2.3 Exclusions

Subsections 69(1)(g) re (a) and (e) were each applied once.

2.4 Format of Information Released

Responses for 28 requests were provided in electronic format.

2.5 Relevant Pages Processed and Disclosed

1,827 pages were processed, and 776 pages were disclosed during the reporting period. In 2020-2021, the majority of requests (27) resulted in partial disclosure. 1 request was all disclosed, 1 request was abandoned, 1 request resulted in a response of neither confirm nor deny and 1 request resulted in a response of all excluded. The remaining 10 requests were not counted in this section as OSFI held no responsive records.

2.6 Deemed Refusal

97.7% of all requests closed in 2020-2021 were closed within legislated timelines. There was 1 request for which a response was provided past the statutory deadline due to a delay related to an internal consultation. The rate of deemed refusals has decreased this year over last reporting period – 1 of 44 (2.3%) compared to 3 of 42 (7.1%) in the previous year.

2.7 Requests for Translation

No translations were requested in 2020-2021.

Part 3 – Extensions

1 request required extensions of 30 days or less for:

- consultation with third parties pursuant to section 9(1)(c).

4 request required extensions of 31 days to 60 days for:

- interference with operations pursuant to section 9(1)(a) and/or
- consultation with another government department pursuant to section 9(1)(b).

3 requests required an extension of 61 to 120 days for:

- interference with operations pursuant to section 9(1)(a) and/or
- consultation with another government department pursuant to section 9(1)(b)

11 requests required an extension of 121 to 180 days for:

- interference with operations pursuant to section 9(1)(a) and/or
- consultation with another government department pursuant to section 9(1)(b) and/or
- consultation with third parties pursuant to section 9(1)(c)

1 request required an extension of 181 to 365 days for:

- consultation with another government department pursuant to section 9(1)(b).

3 requests required extensions of 365 days or more for:

- interference with operations pursuant to section 9(1)(a)

Part 4 – Fees

The Service Fees Act requires a responsible authority to report annually to Parliament on the fees collected by the institution. With respect to fees collected under the *Access to Information Act*, the information below is reported in accordance with the requirements of section 20 of the Service Fees Act.

Application fees of \$225.00 were collected for 45 of the 53 requests received over this period. The total amount of fees waived was \$40.00.

In accordance with the Interim Directive on the Administration of the *Access to Information Act*, issued on May 5, 2016, and the changes to the *Access to Information Act* that came into force on June 21, 2019, OSFI waives all fees prescribed by the Act and Regulations, other than the \$5 application fee set out in paragraph 7(1)(a) of the Regulations.

Part 5 - Consultations Received from Other Government Institutions and Organizations

In 2020-2021, OSFI saw a 28.5% decrease in the number of consultations received, 37, compared to 49 the previous year. This may have been due to disruptions to ATIP departments caused by the COVID-19 pandemic. 32 consultations were processed during this reporting period, compared to 49 in the previous year. In total, 726 pages were reviewed, a decrease of 50.1% from 2019-2020.

Recommendations and completion time for consultations received from other government Institutions

23 consultations were processed within 1 to 15 days, 7 were processed within 16 to 30 days and 2 were processed within 31-60 days. 5 consultations were carried over to the next reporting period. OSFI recommended that the records contained in 22 consultations be disclosed in their entirety, 8 be disclosed in part and 2 requests be exempted entirely.

In the last 7 years, OSFI has responded to 232 of the requests within 1 to 15 days, 55 within 16 to 30 days, 12 within 31 to 60 days and 1 within 61 to 120 days.

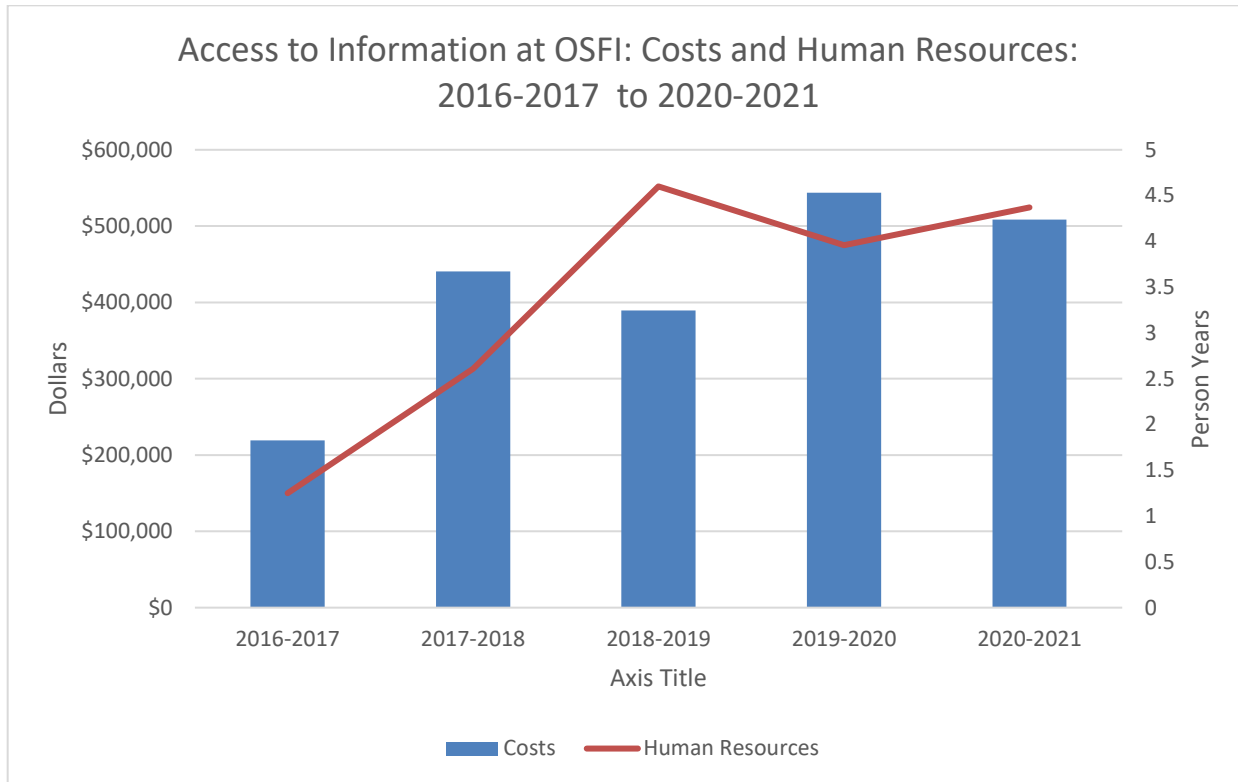
Recommendations and completion time for consultations received from other institutions

In 2020-2021, OSFI did not receive any consultations from organization outside the government of Canada.

Part 6 – Completion Time of Consultations on Cabinet Confidences

OSFI did not consult on Cabinet Confidences during the reporting period.

Part 7 – Resources Related to the *Access to Information Act*



The cost to administer the Act during the reporting period was \$508,525. Due to the volume and increasing complexity of the requests received in 2020-2021, OSFI employed multiple agency-supplied consultants to supplement its small ATIP team and ensure the delivery of Access to Information requests within statutory timelines. Employee salaries accounted for 69.6% of total costs incurred, and represent 69.6% of the 4.37 person/years required to administer the Act. OSFI's reliance on agency-supplied consultants is diminishing as a result of hiring employees, representing only 25.7% of the total cost.

6. Complaints and Investigations

There were 6 new complaints received during the reporting period. 4 complaints under investigation were closed during the same period and the Information Commissioner provided OSFI with their findings. At the end of the reporting period, there were 4 complaints still under investigation by the Office of the Information Commissioner.

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

The Information Commissioner of Canada did not raise any concerns or issues related to OSFI, therefore no major changes were implemented.

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 appeal the Federal Court of the Federal Court of Appeal during the fiscal year

There were no access to information related 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*



Government of Canada
Gouvernement du Canada

Statistical Report on the *Access to Information Act*

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 4/1/2020 to 3/31/2021

Section 1: Requests Under the *Access to Information Act*

1.1 Number of requests

	Number of Requests
Received during reporting period	53
Outstanding from previous reporting period	8
Total	61
Closed during reporting period	44
Carried over to next reporting period	17

1.2 Sources of requests

Source	Number of Requests
Media	15
Academia	1
Business (private sector)	16
Organization	0
Public	12
Decline to Identify	9
Total	53

1.3 Informal requests

Completion Time							
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	Total
5	5	0	0	0	0	0	10

Note: All requests previously recorded as “treated informally” will now be accounted for in this section only.

Section 2: Decline to act vexatious, made in bad faith or abuse of right requests

	Number of Requests
Outstanding from previous reporting period	0
Sent during reporting period	0
Total	0
Approved by the Information Commissioner during reporting period	0
Declined by the Information Commissioner during reporting period	0
Carried over to next reporting period	0

Section 3: Requests Closed During the Reporting Period

3.1 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	0	1	0	0	0	0	0	1
Disclosed in part	1	7	3	4	1	11	0	27
All exempted	0	1	0	1	0	1	0	3
All excluded	0	0	0	0	1	0	0	1
No records exist	2	5	2	1	0	0	0	10
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	1	0	0	0	0	0	0	1
Neither confirmed nor denied	0	0	1	0	0	0	0	1
Decline to act with the approval of the Information Commissioner	0	0	0	0	0	0	0	0
Total	4	14	6	6	2	12	0	44

3.2 Exemptions

Section	Number of Requests	Section	Number of Requests	Section	Number of Requests	Section	Number of Requests
13(1)(a)	2	16(2)	1	18(a)	2	20.1	0
13(1)(b)	3	16(2)(a)	0	18(b)	1	20.2	0
13(1)(c)	0	16(2)(b)	0	18(c)	0	20.4	0
13(1)(d)	0	16(2)(c)	2	18(d)	12	21(1)(a)	10
13(1)(e)	0	16(3)	0	18.1(1)(a)	0	21(1)(b)	18
14	0	16.1(1)(a)	0	18.1(1)(b)	0	21(1)(c)	1
14(a)	1	16.1(1)(b)	0	18.1(1)(c)	0	21(1)(d)	2
14(b)	0	16.1(1)(c)	0	18.1(1)(d)	0	22	1
15(1)	9	16.1(1)(d)	0	19(1)	17	22.1(1)	0
15(1) - I.A.*	0	16.2(1)	0	20(1)(a)	0	23	3
15(1) - Def.*	0	16.3	0	20(1)(b)	13	23.1	0
15(1) - S.A.*	0	16.31	0	20(1)(b.1)	0	24(1)	0
16(1)(a)(i)	0	16.4(1)(a)	0	20(1)(c)	17	26	0
16(1)(a)(ii)	0	16.4(1)(b)	0	20(1)(d)	12		
16(1)(a)(iii)	0	16.5	0				
16(1)(b)	0	16.6	0				
16(1)(c)	16	17	0				
16(1)(d)	0						

* I.A.: International Affairs

Def.: Defence of Canada

S.A.: Subversive Activities

3.3 Exclusions

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

3.4 Format of information released

Paper	Electronic	Other
0	28	0

3.5 Complexity

3.5.1 Relevant pages processed and disclosed

Number of Pages Processed	Number of Pages Disclosed	Number of Requests
1827	776	34

3.5.2 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	1	19	0	0	0	0	0	0	0	0
Disclosed in part	22	348	5	409	0	0	0	0	0	0
All exempted	3	0	0	0	0	0	0	0	0	0
All excluded	1	0	0	0	0	0	0	0	0	0
Request abandoned	1	0	0	0	0	0	0	0	0	0
Neither confirmed nor denied	1	0	0	0	0	0	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0	0	0	0	0
Total	29	367	5	409	0	0	0	0	0	0

3.5.3 Other complexities

Disposition	Consultation Required	Assessment of Fees	Legal Advice Sought	Other	Total
All disclosed	0	0	0	0	0
Disclosed in part	6	0	2	0	8
All exempted	1	0	1	0	2

All excluded	1	0	1	0	2
Request abandoned	0	0	0	0	0
Neither confirmed nor denied	0	0	1	0	1
Declined to act with the approval of the Information Commissioner	0	0	0	0	0
Total	8	0	5	0	13

3.6 Closed requests

3.6.1 Number of requests closed within legislated timelines

	Requests closed within legislated timelines
Number of requests closed within legislated timelines	43
Percentage of requests closed within legislated timelines (%)	97.7

3.7 Deemed refusals

3.7.1 Reasons for not meeting legislated timelines

Number of Requests Closed Past the Legislated Timelines	Principal Reason			
	Interference with Operations / Workload	External Consultation	Internal Consultation	Other
1	0	0	1	0

3.7.2 Requests closed beyond legislated timelines (including any extension taken)

Number of Days Past Legislated Timelines	Number of Requests Past Legislated Timeline Where No Extension Was Taken	Number of Requests Past Legislated Timeline Where an Extension Was Taken	Total
1 to 15 days	0	1	1
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
Total	0	1	1

3.8 Requests for translation

Translation Requests	Accepted	Refused	Total
English to French	0	0	0
French to English	0	0	0
Total	0	0	0

Section 4: Extension

4.1 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	13	1	4	1
All exempted	0	0	1	1
All excluded	0	1	0	0
No records exist	1	0	0	0
Request abandoned	0	0	0	0
Decline to act with the approval of the Information Commissioner	0	0	0	0
Total	14	2	5	2

4.2 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	0	1
31 to 60 days	1	0	3	0
61 to 120 days	2	0	1	0
121 to 180 days	8	2	0	1
181 to 365 days	0	0	1	0

Other	0	0	0	0	0	0	0	0
Total	23	7	2	0	0	0	0	32

6.3 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	More 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
Total	0	0	0	0	0	0	0	0

Section 7: Completion Time of Consultations on Cabinet Confidences

7.1 Requests with Legal Services

Number of Days	Fewer 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 Request	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
Total	0	0	0	0	0	0	0	0	0	0

7.2 Requests with Privy Council Office

	Fewer Than 100 Pages Processed	101-500 Pages Processed	501-1000 Pages Processed	1001-5000 Pages Processed	More Than 5000 Pages Processed

Number of Days	Number of Requests		Pages Disclosed		Number of Requests		Pages Disclosed		Number of Requests		Pages Disclosed	
	Number of Requests	Pages Disclosed	Number of Request	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	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0	0	0	0	0

Section 8: Complaints and investigations

Section 32 Notice of intention to investigate	Subsection 30(5) Ceased to investigate	Section 35 Formal representations	Section 37 Reports of finding received	Section 37 Reports of finding containing recommendations issued by the Information Commissioner	Section 37 Reports of finding containing orders issued by the Information Commissioner
6	0	0	4	0	0

Section 9: Court Action

9.1 Court actions on complaints received before June 21, 2019 and on-going

Section 41 (before June 21, 2019)	Section 42	Section 44
0	0	0

9.2 Court actions on complaints received after June 21, 2019

Section 41 (after June 21, 2019)				
Complainant (1)	Institution (2)	Third Party (3)	Privacy Commissioner (4)	Total
0	0	0	0	0

Section 10: Resources Related to the *Access to Information Act*

10.1 Costs

Expenditures		Amount
Salaries		\$353,959
Overtime		\$0
Goods and Services		\$154,566
• Professional services contracts	\$130,581	
• Other	\$23,985	
Total		\$508,525

10.2 Human Resources

Resources	Person Years Dedicated to Access to Information Activities
Full-time employees	1.480
Part-time and casual employees	0.000
Regional staff	1.560
Consultants and agency personnel	0.760
Students	0.570
Total	4.370



Supplemental Statistical Report on the *Access to Information Act* and *Privacy Act*

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 2020-04-01 to 2021-03-31

Section 1: Capacity to Receive Requests

Enter the number of weeks your institution was able to receive ATIP requests through the different channels.

	Number of Weeks
Able to receive requests by mail	52
Able to receive requests by email	52
Able to receive requests through the digital request service	52

Section 2: Capacity to Process Records

2.1 Enter the number of weeks your institution was able to process paper records in different classification levels.

	No Capacity	Partial Capacity	Full Capacity	Total
Unclassified Paper Records	0	52	0	52
Protected B Paper Records	0	52	0	52
Secret and Top Secret Paper Records	52	0	0	52

2.2 Enter the number of weeks your institution was able to process electronic records in different classification levels.

	No Capacity	Partial Capacity	Full Capacity	Total

Unclassified Electronic Records	0	0	52	52
Protected B Electronic Records	0	0	52	52
Secret and Top Secret Electronic Records	52	0	0	52

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Canada

Appendix B – Designation Order: *Access to Information Act*

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 5 day
of July, 2016

Fait à Ottawa en ce 5 jour
de juillet, 2016



Superintendent of Financial Institutions/
Le surintendant des institutions financières

SCHEDULE 1
Designation Order - Access to Information Act

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

SCHEDULE 1
Designation Order - Access to Information Act

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
27(1)	To give to third party notice of intent to disclose	X	X	X	X
27(4)	To extend time limit set out in 27(1)	X	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	X
28(2)	To waive requirement for written representations	X	X	X	X
28(4)	To give access unless review of decision is requested	X	X	X	
29(1)	To give notice to applicant and to third party	X	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	X
35(2)	To make representations to the Information Commissioner	X	X	X	X
37(4)	To give notice to the Information Commissioner that access to a record will be given	X	X	X	X
43(1)	To give notice to a third party of application for Court review	X	X	X	X
44(2)	To give notice to applicant that third party has applied for Court review	X	X	X	X
52(2)	To request hearing in the National Capital Region	X	X	X	
52(3)	To request opportunity to make representations <i>ex parte</i>	X	X	X	
71(1)	To provide facilities where manuals may be inspected by public	X	X	X	X
71(2)	To exempt information severed from manuals	X	X	X	

SCHEDULE 1
Designation Order - Access to Information Act

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
72(1)	To prepare annual report for submission to Parliament	X	X	X	X

Access to Information Regulations

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
6(1)9	Transfer of request	X	X	X	X
7(2)	Search and preparation fees	X	X	X	X
7(3)	Production and programming fees	X	X	X	X
8	Providing access to record(s)	X	X	X	X
8.1	Limitation	X	X	X	

