



# 2021-2022 Annual Report to Parliament on the Administration of the Access to Information Act



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# 2021-2022 Annual Report to Parliament 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, 2021, to March 31, 2022.

# 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:

- A safe and sound Canadian financial system
- 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 Central Office Directorate within the Office of the Chief Financial Officer Division, Corporate Services and Transformation. 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 now reports to the Director, Central Office, Corporate Services and Transformation and is supported by a senior ATIP Officer, an ATIP Officer and a Junior ATIP Officer. Both the ATIP Officer and the Junior ATIP Officer are considered regional staff. The ATIP unit also relies upon the support of contract and student resources.

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

For the period of FY 2021-2022, the ATIP unit reported to the Director, Strategic Governance, ATIP and Privacy Offices. For the 2022-2023 fiscal year, the ATIP unit will report to the Director, Central Office, Corporate Services and Transformation.

## **4.3 Education and Training**

Training efforts in 2021-2022 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 (4 sessions, 32 participants) as well as tailored sessions for participants in the processes stemming from proactive disclosure requirements as set out in the Act (3 sessions, 3 participants).

## **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 and Chief Operating Officer for review and approval.

## **4.5 Delegation of authority**

Administration of the *Access to Information Act* at OSFI is ultimately the responsibility of the Superintendent; However, 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. Effective May 21st, 2021, all powers, duties or functions are delegated to the Assistant Superintendent, Corporate Services, the Special Advisor, Corporate Services, the Director, Strategic Governance, Access to Information and Privacy Offices and the Manager, Access to Information & Privacy. This will be updated to reflect the organizational changes which have recently taken place.

## **4.6 Monitoring compliance**

The time taken to process access to information requests is tracked in the ATIP tracking system. Proposed final responses to ATI requests are ultimately reviewed and approved by the Assistant Superintendent / Chief Operating Officer. 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 2021-2022. With the easing of certain COVID-related restrictions, employees are once again able to access physical files. Requests received by OSFI through the mail are

retrieved by the Manager, Access to Information and Privacy as needed. Another change of note is that effective April 1st, 2022, the ATIP team will report to the Office of the Chief Financial Officer, Corporate Services and Transformation 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 31st, 2022, due to necessary restrictions arising from the COVID-19 pandemic.

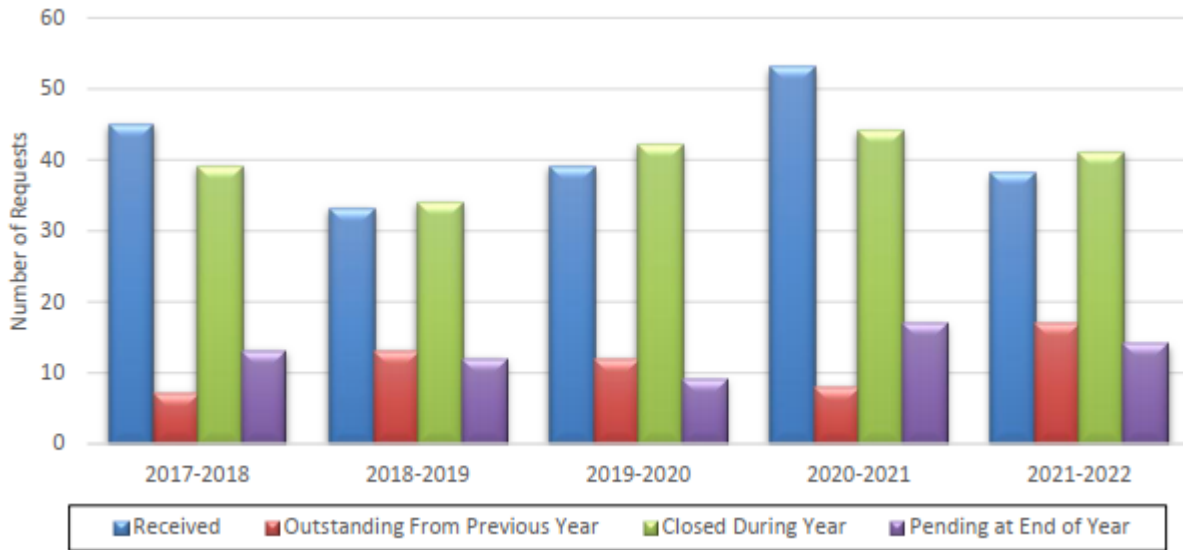
# 5. Interpretation of the Statistical Report

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*

**Access to Information Requests for OSFI: Received, Outstanding from Previous Year, Closed, and Pending at End of Year: 2017-2018 to 2021-2022**

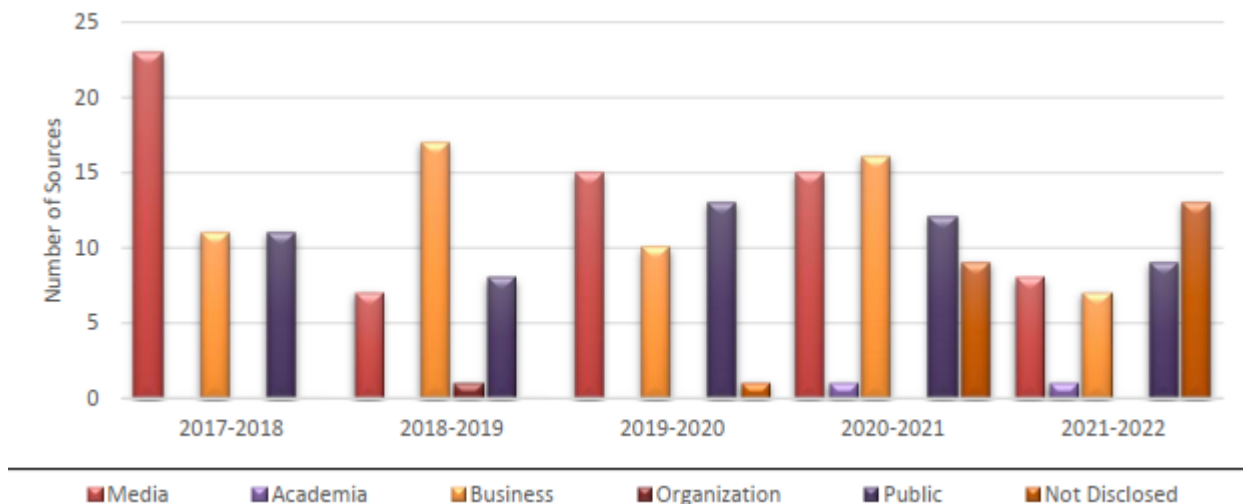




### Access to Information Requests for OSFI: Received, Outstanding from Previous Year, Closed, and Pending at End of Year - Description

OSFI received a total of 38 formal ATI requests in 2021-2022, a decrease of 28% from the 53 received in 2020-2021. 41 requests were closed in 2021-2022, down slightly from the 44 completed requests closed in 2020-2021, 85.37% within legislated timeframes. 17 requests were outstanding from the previous reporting period and 14 requests were carried over to the next year. Since the inception of the Act to March 31, 2020, OSFI has received 1,369 Access to Information requests.

### Number and Source of Access to Information Requests at OSFI: Reporting Year 2017-2018 to 2021-2022



## Number and Source of Access to Information Requests at OSFI - Description

The profile of requesters has also changed in 2021-2022, with slight decreases in the number of requests from the media, the public, and businesses and an increase in the number of requestors that declined to identify themselves.

The number of informal requests completed in 2021-2022 was 50% lower than the previous year (5 in 2021-2022 compared to 10 in 2020-2021).

## 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	2
Disclosed in part	32
All exempted	1
All excluded	0
No records exist	2
Request transferred	0
Request abandoned	4
Neither confirmed nor denied	0
Total	41

For the 2021-2022 reporting period, 4.87% of completed requests were “all disclosed” and 75.61% 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.

3 requests were completed within 1-15 days, 7 within 16-30 days, 5 within 31-60 days, 14 within 61-120 days, 6 within 181-365 days and 4 requests required more than 365 days.

Of the 14 requests carried over to the 2022-2023 reporting period, 2 were carried over from the 2019-2020 reporting period (1 beyond legislated timelines), 5 were carried over from the 2020-2021 reporting period (3 beyond legislated timelines) and 7 were carried over from the 2021-2022 period (1 beyond legislated timelines).

## **2.2 Exemptions**

In the 2020-2021 reporting year, for the 41 requests completed, OSFI applied exemptions to withhold information under subsections 13(1)(a) and (b), 14, 14(a), 15(1), 16(1)(b) and (c), 16.1(1)(c), 16(2), 16(2)(c), 18(a) and (d), 19(1), 20(1)(a),(b), (c) and (d), 21(1)(a), (b), (c) and (d), 22 and 23 of the *Act*, as applicable.

## **2.3 Exclusions**

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

## **2.4 Format of Information Released**

Responses for 32 requests were provided in electronic format and 2 were provided on paper.

## 2.5 Relevant Pages Processed and Disclosed

There was a marked increase in both the number of pages processed (17,084 in 2021-2022 compared to 1,827 in 2020-2021) and the number of pages disclosed (6,820 in 2021-2022 compared to 776 in 2020-2021). These figures do not include the pages processed and reviewed (approximately 28,000) for requests carried over to the next reporting period.

## 2.6 Deemed Refusal

85.37% of all requests closed in 2020-2021 were closed within legislated timelines. There were 2 requests for which a response was provided past the statutory deadline due to external consultations and 4 resulting from other internal delays. The rate of deemed refusals has increased this year over last reporting period – 6 of 41 (14.63%) compared to 1 of 44 (2.3%) in the previous year. An action plan has been implemented to address files currently open beyond their legislated timelines.

## 2.7 Requests for Translation

No translations were requested in 2021-2022.

## Part 3 – Extensions

3 requests required extensions of 30 days or less for:

- interference with operations pursuant to section 9(1)(a) and/or
- consultation with third parties pursuant to section 9(1)(b).

15 requests 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).

7 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)
- consultation with third parties pursuant to section 9(1)(c)

6 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)

3 requests required an extension of 181 to 365 days for:

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

## 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 \$185.00 were collected for 37 of the 38 requests received over this period. The total amount of fees waived was \$5.00.

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 2021-2022, OSFI saw a 27% increase in the number of consultations received, 47, compared to the 37 received the previous year. 49 consultations were processed during the reporting period, compared to 32 the previous year. In total, 2150 pages were reviewed, an increase of 296.14% from 2020-2021.

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

32 consultations were processed within 1 to 15 days, 11 were processed within 16 to 30 days and 6 were processed within 31-60 days. 3 consultations were carried over to the next reporting period. OSFI recommended that the records contained in 35 consultations be disclosed in their entirety, 13 be disclosed in part and 1 request be exempted entirely.

In the last 8 years, OSFI has responded to 264 consultation requests within 1 to 15 days, 66 within 16 to 30 days, 18 within 31 to 60 days and 1 within 61 to 120 days.

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

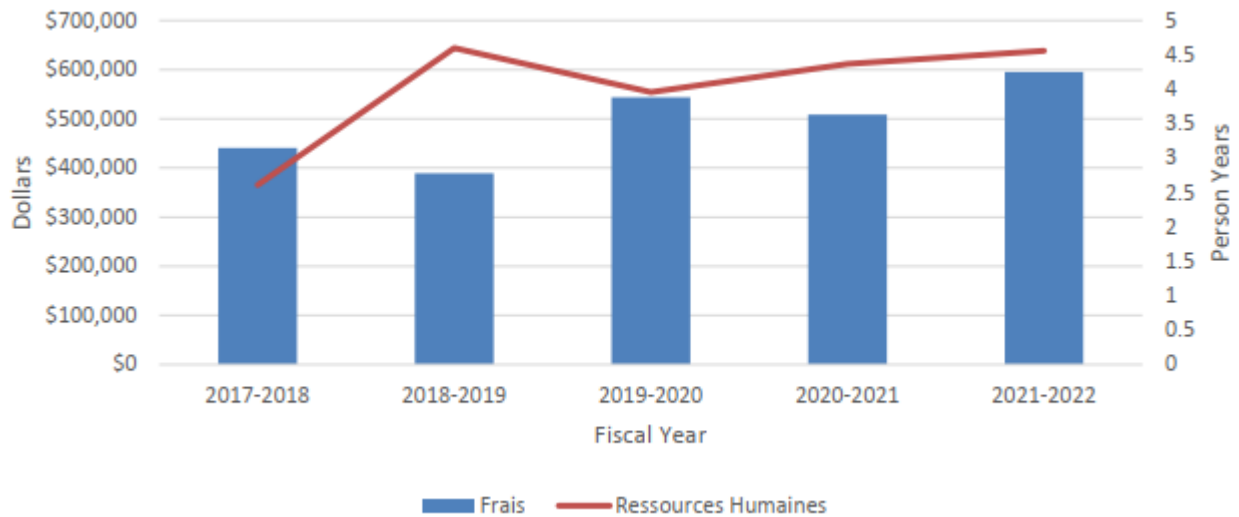
In 2021-2022, OSFI did not receive any formal consultations from an organization outside of the Government of Canada.

## **Part 6 – Completion Time of Consultations on Cabinet Confidences**

OSFI consulted on 1 Cabinet Confidence during the reporting period.

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

### Access to Information at OSFI: Costs and Human Resources: 2017-2018 to 2021-2022



#### Access to Information at OSFI: Costs and Human Resources - Description

The cost to administer the Act during the reporting period was \$595,117. Due to the volume and increasing complexity of the requests received in 2021-2022, 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 55.2% of total costs incurred, and represent 59.2% of the 4.56 person/years required to administer the Act.

## 6. Complaints and Investigations

There were 6 new complaints received during the reporting period. 1 complaint under investigation was closed during the same period and the Information Commissioner provided OSFI with their findings. At the end of the reporting period, there were 7 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***

Statistical Report on the *Access to Information Act*



Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 4/1/2021 to 3/31/2022

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

### 1.1 Number of requests

		Number of Requests
Received during reporting period		38
Outstanding from previous reporting periods		17
Outstanding from previous reporting period	17	
Outstanding from more than one reporting period	0	
Total		55
Closed during reporting period		41
Carried over to next reporting period		14
Carried over within legislated timeline	8	
Carried over beyond legislated timeline	6	

### 1.2 Sources of requests

Source	Number of Requests
Media	8
Academia	1

Source	Number of Requests
Business (private sector)	7
Organization	0
Public	9
Decline to Identify	13
<b>Total</b>	<b>38</b>

### 1.3 Channels of requests

Source	Number of Requests
Online	37
E-mail	1
Mail	0
In person	0
Phone	0
Fax	0
<b>Total</b>	<b>38</b>

## Section 2: Informal Requests

### 2.1 Number of informal requests

		Number of Requests
Received during reporting period		5
Outstanding from previous reporting periods		0
Outstanding from previous reporting period	0	
Outstanding from more than one reporting period	0	
Total		5
Closed during reporting period		5
Carried over to next reporting period		0

## 2.2 Channels of informal requests

Source	Number of Requests
Online	5
E-mail	0
Mail	0
In person	0
Phone	0
Fax	0
Total	5

## 2.3 Completion time of 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	0	0	0	0	0	0	5

## 2.4 Pages released informally

Less Than 100 Pages Released		100-500 Pages Released		501-1000 Pages Released		1001-5000 Pages Released	
Number of Requests	Pages Released	Number of Requests	Pages Released	Number of Requests	Pages Released	Number of Requests	Pages Release
0	0	0	0	0	0	0	0



## 2.5 Pages re-released informally

Less Than 100 Pages Re-released		100-500 Pages Re-released		501-1000 Pages Re-released		1001-5000 Pages Re-released	
Number of Requests	Pages Re-released	Number of Requests	Pages Re-released	Number of Requests	Pages Re-released	Number of Requests	Pages Re-released
5	192	0	0	0	0	0	0



## Section 3: Applications to the Information Commissioner on Declining to Act on 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
Withdrawn during reporting period	0
Carried over to next reporting period	0

## Section 4: Requests Closed During the Reporting Period

### 4.1 Disposition and completion time

Disposition of 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
All disclosed	0	0	1	1	0	0	0	2
Disclosed in part	0	4	4	12	2	6	4	32
All exempted	0	0	0	1	0	0	0	1
All excluded	0	0	0	0	0	0	0	0
No records exist	2	0	0	0	0	0	0	2
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	1	3	0	0	0	0	0	4
Neither confirmed nor denied	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
<b>Total</b>	<b>3</b>	<b>7</b>	<b>5</b>	<b>14</b>	<b>2</b>	<b>6</b>	<b>4</b>	<b>41</b>

## 4.2 Exemptions

Section	Number of Requests
13(1)(a)	1
13(1)(b)	2
13(1)(c)	1
13(1)(d)	0
13(1)(e)	0
14	3
14(a)	1
14(b)	0
15(1)	4
15(1) - I.A. <sup>1</sup>	0
15(1) - Def. <sup>2</sup>	0
15(1) - S.A. <sup>3</sup>	0
16(1)(a)(i)	0
16(1)(a)(ii)	0

1 I.A.: International Affairs

2 Def.: Defence of Canada

2 S.A.: Subversive Activities

Section	Number of Requests
16(1)(a)(iii)	0
16(1)(b)	1
16(1)(c)	13
16(1)(d)	0
16(2)	2
16(2)(a)	0
16(2)(b)	0
16(2)(c)	3
16(3)	0
16.1(1)(a)	0
16.1(1)(b)	0
16.1(1)(c)	1
16.1(1)(d)	0
16.2(1)	0
<p data-bbox="126 1549 646 1591"><u>1</u> I.A.: International Affairs</p> <p data-bbox="126 1684 646 1726"><u>2</u> Def.: Defence of Canada</p> <p data-bbox="126 1818 659 1860"><u>2</u> S.A.: Subversive Activities</p>	



Section	Number of Requests
16.3	0
16.4(1)(a)	0
16.4(1)(b)	0
16.5	0
16.6	0
17	0
18(a)	2
18(b)	0
18(c)	0
18(d)	8
18.1(1)(a)	0
18.1(1)(b)	0
18.1(1)(c)	0
18.1(1)(d)	0

1 I.A.: International Affairs

2 Def.: Defence of Canada

2 S.A.: Subversive Activities

Section	Number of Requests
19(1)	25
20(1)(a)	1
20(1)(b)	17
20(1)(b.1)	0
20(1)(c)	22
20(1)(d)	4
20.1	0
20.2	0
20.4	0
21(1)(a)	14
21(1)(b)	27
21(1)(c)	4
21(1)(d)	1
22	1
<u>1</u> I.A.: International Affairs  <u>2</u> Def.: Defence of Canada  <u>2</u> S.A.: Subversive Activities	

Section	Number of Requests
22.1(1)	0
23	5
23.1	0
24(1)	0
26	0
<u>1</u> I.A.: International Affairs	
<u>2</u> Def.: Defence of Canada	
<u>2</u> S.A.: Subversive Activities	

### 4.3 Exclusions

Section	Number of Requests
69(1)	0
69(1)(a)	0
69(1)(b)	0
69(1)(c)	0
69(1)(d)	0
69(1)(e)	0

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

#### 4.4 Format of information released

Paper	Electronic				Other
	E-record	Data set	Video	Audio	
2	32	0	0	0	0

#### 4.5 Complexity

##### 4.5.1 Relevant pages processed and disclosed for \*paper\* and \*e-record\* formats

Number of Pages Processed	Number of Pages Disclosed	Number of Requests
17084	6820	39

##### 4.5.2 Relevant pages processed per request disposition for \*paper\* and \*e-record\* formats by size of requests

Disposition	Less Than 100 Pages Processed		100-500 Pages Processed		501-1000 Pages Processed	
	Number of Requests	Pages Processed	Number of Requests	Pages Processed	Number of Requests	Pages Processed
All disclosed	2	46	0	0	0	0
Disclosed in part	18	367	9	1633	2	1322
All exempted	1	36	0	0	0	0
All excluded	0	0	0	0	0	0
Request abandoned	4	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0
<b>Total</b>	<b>25</b>	<b>449</b>	<b>9</b>	<b>1633</b>	<b>2</b>	<b>1322</b>



#### 4.5.3 Relevant minutes processed and disclosed for \*audio\* formats

<b>Number of Minutes Processed</b>	<b>Number of Minutes Disclosed</b>	<b>Number of Requests</b>
0	0	0

#### 4.5.4 Relevant minutes processed per request disposition for \*audio\* formats by size of requests

<b>Disposition</b>	<b>Less Than 60 Minutes Processed</b>		<b>60 - 120 Minutes Processed</b>		<b>More than 120 Minutes Processed</b>	
	<b>Number of Requests</b>	<b>Minutes Processed</b>	<b>Number of Requests</b>	<b>Minutes Processed</b>	<b>Number of Requests</b>	<b>Minutes Processed</b>
<b>All disclosed</b>	0	0	0	0	0	0
<b>Disclosed in part</b>	0	0	0	0	0	0
<b>All exempted</b>	0	0	0	0	0	0
<b>All excluded</b>	0	0	0	0	0	0
<b>Request abandoned</b>	0	0	0	0	0	0
<b>Neither confirmed nor denied</b>	0	0	0	0	0	0

Disposition	Less Than 60 Minutes Processed		60 - 120 Minutes Processed		More than 120 Minutes Processed	
	Number of Requests	Minutes Processed	Number of Requests	Minutes Processed	Number of Requests	Minutes Processed
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0

#### 4.5.5 Relevant minutes processed and disclosed for \*video\* formats

Number of Minutes Processed	Number of Minutes Disclosed	Number of Requests
0	0	0

#### 4.5.6 Relevant minutes processed per request disposition for \*video\* formats by size of requests

Disposition	Less Than 60 Minutes Processed		60 - 120 Minutes Processed		More than 120 Minutes Processed	
	Number of Requests	Minutes Processed	Number of Requests	Minutes Processed	Number of Requests	Minutes Processed
All disclosed	0	0	0	0	0	0

Disposition	Less Than 60 Minutes Processed		60 - 120 Minutes Processed		More than 120 Minutes Processed	
	Number of Requests	Minutes Processed	Number of Requests	Minutes Processed	Number of Requests	Minutes Processed
Disclosed in part	0	0	0	0	0	0
All exempted	0	0	0	0	0	0
All excluded	0	0	0	0	0	0
Request abandoned	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0

#### 4.5.7 Other complexities



<b>Disposition</b>	<b>Consultation Required</b>	<b>Legal Advice Sought</b>	<b>Other</b>	<b>Total</b>
All disclosed	1	0	0	1
Disclosed in part	7	1	6	14
All exempted	0	0	0	0
All excluded	0	0	0	0
Request abandoned	0	0	0	0
Neither confirmed nor denied	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0
<b>Total</b>	<b>8</b>	<b>1</b>	<b>6</b>	<b>15</b>

## 4.6 Closed requests

### 4.6.1 Requests closed within legislated timelines

Number of requests closed within legislated timelines	35
Percentage of requests closed within legislated timelines (%)	85.36585366

## 4.7 Deemed refusals

### 4.7.1 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
6	0	2	0	4

#### 4.7.2 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	1	1
121 to 180 days	0	2	2
181 to 365 days	0	1	1
More than 365 days	0	1	1
<b>Total</b>	0	6	6

#### 4.8 Requests for translation

Translation Requests	Accepted	Refused	Total
English to French	0	0	0

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

## Section 5: Extensions

### 5.1 Reasons for extensions and disposition of requests

Disposition of Requests Where an Extension Was Taken	9(1)(a) Interference With Operations/ Workload	9(1)(b) Consultation		9(1)(c) Third-Party Notice
		Section 69	Other	
All disclosed	1	0	1	0
Disclosed in part	19	1	7	4
All exempted	1	0	0	0
All excluded	0	0	0	0
Request abandoned	0	0	0	0
No records exist	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0
<b>Total</b>	21	1	8	4

### 5.2 Length of extensions

Length of Extensions	9(1)(a) Interference With Operations/ Workload	9(1)(b) Consultation		9(1)(c) Third-Party Notice
		Section 69	Other	
30 days or less	2	0	1	0
31 to 60 days	14	0	1	0
61 to 120 days	1	0	4	2
121 to 180 days	3	1	2	0
181 to 365 days	1	0	0	2
365 days or more	0	0	0	0
<b>Total</b>	21	1	8	4

## Section 6: Fees

Fee Type	Fee Collected		Fee Waived		Fee Refunded	
	Number of Requests	Amount	Number of Requests	Amount	Number of Requests	Amount
Application	37	\$185.00	1	\$5.00	0	\$0.00
Other fees	0	\$0.00	0	\$0.00	0	\$0.00
<b>Total</b>	37	\$185.00	1	\$5.00	0	\$0.00

## Section 7: Consultations Received from Other Institutions and Organizations

### 7.1 Consultations received from other Government of Canada institutions and other organizations

Consultations	Other Government of Canada Institutions	Number of Pages to Review	Other Organizations	Number of Pages to Review
Received during the reporting period	47	2122	0	0
Outstanding from the previous reporting period	5	41	0	0
<b>Total</b>	52	2163	0	0
Closed during the reporting period	49	2150	0	0
Carried over within negotiated timelines	3	13	0	0
Carried over beyond negotiated timelines	0	0	0	0

### 7.2 Recommendations and completion time for consultations received from other Government of Canada institutions



Recommendation	Number of Days Required to Complete Consultation Requests							
	1 to 15 Days	16 to 30 Days	31 to 60 Days	61 to 120 Days	121 to 180 Days	181 to 365	More Than 365 Days	Total
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 8: Completion Time of Consultations on Cabinet Confidences

### 8.1 Requests with Legal Services

Number of Days	Fewer Than 100 Pages Processed		100-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests
1 to 15	0	0	0	0	0	0	0
16 to 30	1	3	0	0	0	0	0

Number of Days	Fewer Than 100 Pages Processed		100-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests
31 to 60	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0
<b>Total</b>	<b>1</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

## 8.2 Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		100-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests
1 to 15	0	0	0	0	0	0	0



Number of Days	Fewer Than 100 Pages Processed		100-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests
16 to 30	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0

## Section 9: Investigations and Reports of finding

### 9.1 Investigations

Section 32 Notice of intention to investigate	Subsection 30(5) Ceased to investigate	Section 35 Formal Representations
3	0	3

## 9.2 Investigations and Reports of finding

Section 37(1) Initial Reports			Section 37(2) Final Reports		
Received	Containing recommendations issued by the Information Commissioner	Containing orders issued by the Information Commissioner	Received	Containing recommendations issued by the Information Commissioner	Containing orders issued by the Information Commissioner
0	0	0	1	0	0

## Section 10: Court Action

### 10.1 Court actions on complaints

#### Section 41

Complainant (1)	Institution (2)	Third Party (3)	Privacy Commissioner (4)	Total
0	0	0	0	0

### 10.2 Court actions on third party notifications under paragraph 28(1)(b)

Section 44 - under paragraph 28(1)(b): 0

## Section 11: Resources Related to the *Access to Information Act*

### 11.1 Allocated Costs

Expenditures		Amount
Salaries		\$328,517
Overtime		\$0
Goods and Services		\$266,600
Professional services contracts	\$248,820	
Other	\$17,780	
<b>Total</b>		<b>\$595,117</b>

## 11.2 Human Resources

Resources	Person Years Dedicated to Access to Information Activities
Full-time employees	1.705
Part-time and casual employees	0.000
Regional staff	0.996
Consultants and agency personnel	1.367
Students	0.492
<b>Total</b>	<b>4.560</b>

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

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 2021-04-01 to 2022-03-31

## Section 1: Capacity to Receive Requests under the *Access to Information Act* and the *Privacy Act*

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 under the *Access to Information Act* and the *Privacy Act*

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	51	1	52

	No Capacity	Partial Capacity	Full Capacity	Total
Protected B Paper Records	0	51	1	52
Secret and Top Secret Paper Records	51	0	1	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	51	0	1	52

## **Section 3: Open Requests and Complaints Under the Access to Information Act**

**3.1 Enter the number of open requests that are outstanding from previous reporting periods.**

<b>Fiscal Year Open Requests Were Received</b>	<b>Open Requests that are Within Legislated Timelines as of March 31, 2022</b>	<b>Open Requests that are Beyond Legislated Timelines as of March 31, 2022</b>	<b>Total</b>
Received in 2021-2022	3	3	6
Received in 2020-2021	4	2	6
Received in 2019-2020	1	1	2
Received in 2018-2019	0	0	0
Received in 2017-2018	0	0	0
Received in 2016-2017	0	0	0
Received in 2015-2016 or earlier	0	0	0
<b>Total</b>	<b>8</b>	<b>6</b>	<b>14</b>

**3.2 Enter the number of open complaints with the Information Commissioner of Canada that are outstanding from previous reporting periods**

<b>Fiscal Year Open Complaints Were Received by Institution</b>	<b>Number of Open Complaints</b>
Received in 2021-2022	3
Received in 2020-2021	2
Received in 2019-2020	0
Received in 2018-2019	1
Received in 2017-2018	0
Received in 2016-2017	0
Received in 2015-2016 or earlier	0
<b>Total</b>	<b>6</b>

## **Section 4: Open Requests and Complaints Under the Privacy**

**4.1 Enter the number of open requests that are outstanding from previous reporting periods.**

<b>Fiscal Year Open Requests Were Received</b>	<b>Open Requests that are Within Legislated Timelines as of March 31, 2022</b>	<b>Open Requests that are Beyond Legislated Timelines as of March 31, 2022</b>	<b>Total</b>
Received in 2021-2022	0	0	<b>0</b>

<b>Fiscal Year Open Requests Were Received</b>	<b>Open Requests that are Within Legislated Timelines as of March 31, 2022</b>	<b>Open Requests that are Beyond Legislated Timelines as of March 31, 2022</b>	<b>Total</b>
Received in 2020-2021	0	0	0
Received in 2019-2020	0	0	0
Received in 2018-2019	0	0	0
Received in 2017-2018	0	0	0
Received in 2016-2017	0	0	0
Received in 2015-2016 or earlier	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>

**4.2 Enter the number of open complaints with the Privacy Commissioner of Canada that are outstanding from previous reporting periods.**

<b>Fiscal Year Open Complaints Were Received by Institution</b>	<b>Number of Open Complaints</b>
Received in 2021-2022	0
Received in 2020-2021	0



Fiscal Year Open Complaints Were Received by Institution	Number of Open Complaints
Received in 2019-2020	0
Received in 2018-2019	0
Received in 2017-2018	0
Received in 2016-2017	0
Received in 2015-2016 or earlier	0
<b>Total</b>	<b>0</b>

## Section 5: Social Insurance Number (SIN)

Did your institution receive authority for a new collection or new consistent use of the SIN in 2021-2022? : No

# 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.

Dated in Ottawa on this 25<sup>th</sup> day of May, 2021

**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 du surintendant 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.

Fait à Ottawa en ce 25<sup>ième</sup> jour de mai 2021

Jeremy Rudin

Superintendent of Financial Institutions/

Le surintendant des institutions financières

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
4(2.1)	Reasonable effort to assist, respond accurately and completely and provide timely access in the format requested	X	X	X	X

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
7(a)	To give notice to applicant that access will be given	X	X	X	X
7(b)	To give access to the record	X	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	X
9	To extend time limit and give notice	X	X	X	X
11(2)	To require payment of additional fees	X	X	X	X

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
11(3)	To require payment for machine readable record	X	X	X	X
11(4)	To require payment of a deposit	X	X	X	X
11(5)	To give notice of amount required	X	X	X	X
11(6)	To waive the requirement to pay a fee	X	X	X	X
12(2)(b)	To determine whether a record should be translated	X	X	X	X
12(3)(b)	To determine whether a record should be provided in an alternative format	X	X	X	X

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
13	To refuse to disclose a record referred to in that section	X	X	X	X
14	To refuse to disclose a record referred to in that section	X	X	X	X
15	To refuse to disclose a record referred to in that section	X	X	X	X
16	To refuse to disclose a record referred to in that section	X	X	X	X
16.5	To refuse to disclose a record referred to in that section	X	X	X	X

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
17	To refuse to disclose a record referred to in that section	X	X	X	X
18	To refuse to disclose a record referred to in that section	X	X	X	X
18.1	To refuse to disclose a record referred to in that section	X	X	X	X
19	To refuse to disclose a record referred to in that section	X	X	X	X
20(1)	To refuse to disclose a record referred to in that subsection	X	X	X	X

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
20(2)	To disclose part of a record referred to in that subsection	X	X	X	X
20(3)	To disclose part of a record referred to in that subsection and provide written explanation	X	X	X	X
20(5)	To disclose, with the consent of third party, a record referred to in subsection 20(1)	X	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	X

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
21(1)	To refuse to disclose a record referred to in that subsection	X	X	X	X
22	To refuse to disclose a record referred to in that section	X	X	X	X
22.1	To refuse to disclose a record referred to in that section	X	X	X	X
23	To refuse to disclose a record referred to in that section	X	X	X	X
24	To refuse to disclose a record referred to in that section	X	X	X	X



Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
25	To disclose information that can reasonably be severed	X	X	X	X
26	To refuse to disclose a record referred to in that section	X	X	X	X
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)(b)	To decide on disclosure after third party representation and to give notice of decision to third party	X	X	X	X

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
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	X
29(1)	To give notice to applicant and to third party	X	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

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
35(2)(b)	To make representations to the Information Commissioner	X	X	X	X
37(1)	Notice of actions to implement recommendations of 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

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
44(2)	To give notice to applicant that third party has applied for Court review	X	X	X	X
52(2)(b)	To request hearing in the National Capital Region	X	X	X	X
52(3)	To request opportunity to make representations <i>ex parte</i>	X	X	X	X
71(1)	To provide facilities where manuals may be inspected by public	X	X	X	X

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Assistant Superintendent, Corporate Services</b>	<b>Special Advisor, Corporate Services</b>	<b>Director, Strategic Governance, Access to Information and Privacy Offices</b>	<b>Manager, Privacy &amp; Access to Information</b>
72	To prepare annual report for submission to Parliament	X	X	X	X

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Assistant Superintendent, Corporate Services</b>	<b>Special Advisor, Corporate Services</b>	<b>Director, Strategic Governance, Access to Information and Privacy Offices</b>	<b>Manager, Privacy &amp; Access to Information</b>
6(1)	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

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
8	Providing access to record(s)	X	X	X	X
8.1	Limitation	X	X	X	X

Date modified:

2022-11-01