



2021-2022 Annual Report to Parliament on the Administration of the Privacy Act



Cat. No.: IN3-38E-PDF

ISSN: 2817-9765

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2021-2022 Annual Report to Parliament on the Administration of the Privacy Act

Type of Publication: Annual Report

Date: August 2022

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1. Introduction

The purpose of the *Privacy Act* is to extend the present laws of Canada that protect the privacy of individuals with respect to personal information about themselves held by a government institution and that provide individuals with a right of access to that information.

This annual report was prepared and submitted in accordance with section 72 of the *Privacy 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:

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 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 reports to the Chief Financial Officer 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.

The Manager, Privacy reports to the Chief Financial Officer. The Privacy team also relies upon the support of contract 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. OSFI also introduced the role of Chief Privacy Officer in the same period. For the 2022-2023 fiscal year, the ATIP unit will report to the Chief Financial Officer.

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)

4.4 Processing of Privacy requests

All formal privacy 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, the release package is submitted to the Assistant Superintendent, Corporate Services for review and approval.

Employees have the right to review their personal records at intervals specified in the various collective agreements. To exercise this right, an employee contacts the appropriate official in the Human Resources department. The review of personal records

is considered informal and no data on these requests is compiled. The employee, however, does have the option of submitting a formal request under the privacy legislation. Employees of the Human Resources and Administration Division are aware of the provisions of the *Privacy Act* as they relate to the use and disclosure of personal information.

4.5 Delegation of authority

Administration of the *Privacy 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 *Privacy 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 requests made under the *Privacy Act* is tracked in the ATIP tracking system. Proposed final responses to privacy 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 2022-2023 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

Part 1 – Requests under the *Privacy Act*

Due to the nature of OSFI's work regulating and supervising financial institutions and private pension plans under federal jurisdiction, much of the information in the Office's possession is third-party business information rather than personal information about individuals. The financial institutions and pension plans are OSFI's clients. As OSFI does not provide services directly to individuals, the volume of personal information collected by the Office is relatively small. This information is generally limited to employment records of current and previous OSFI employees and information about individual contract consultants at OSFI.

In 2021-2022, four new requests were received. Since the inception of the *Privacy Act*, July 1, 1983, OSFI has received 75 privacy requests.

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	0
Disclosed in part	3
All exempted	0
All excluded	0
No records exist	0
Request abandoned	1
Neither confirmed nor denied	0
Total	4

For the 4 requests received in 2021-2022:

- 100% were closed within legislated timelines;
- There were no requests carried over from the previous reporting period, nor were any carried over to the next reporting period;
- 3 were completed in 16 to 30 days; and,
- 1 was closed in 31 to 60 days.

2.2 Exemptions

Section 26 was applied to 3 privacy requests. Section 27 was applied to 1 request.

2.3 Exclusions

No exclusions were cited during the reporting period.

2.4 Format of Information Released

During the reporting period, 3 requests under the *Privacy Act* were released electronically.

2.5 Relevant Pages Processed and Disclosed

3860 relevant pages were processed, and 907 pages were disclosed during the reporting period. 75% of the requests received during the reporting period were disclosed in part and OSFI was unable to process the remaining request as the request was abandoned.

2.6 Other complexities

There were no other complexities required during the reporting period.

2.7 Deemed Refusal

There were no deemed refusals during this reporting period.

2.8 Requests for Translation

No translations were requested in 2021-2022.

Part 3 – Disclosures under Subsections 8(2) and 8(5)

No disclosures were made pursuant to subsections 8(2)(e), 8(2)(m) or 8(5) of the *Privacy Act* during this reporting period.

Part 4 – Requests for correction of personal information and notations

No requests for correction of personal information and no notations were made during this reporting period.

Part 5 - Extensions

Additional 30-day extensions were required for 1 request during this reporting period:

- 1 pursuant to s.15(a)(i) – Interference with operations (large volume of pages).

Part 6 - Consultations received from other government Institutions

No consultations from other government institutions and organizations were received during the reporting period.

Part 7 – Completion Time of Consultations on Cabinet Confidences

No consultations with respect to Cabinet confidences were required during the reporting period.

Part 8 – Resources Related to the *Privacy Act*

The cost to administer the Act during this reporting period was \$179,515.

6. Complaints and Investigations

OSFI did not receive any complaints pursuant to the *Privacy Act* during this reporting period nor are there any active complaints from previous reporting periods.

7. Privacy Breaches

There were no material privacy breaches reported during the 2021-2022 fiscal year.

8. Appeals to the Federal Court of Canada

8.1 – Major changes implemented as a result of concerns or issues raised by the Privacy Commissioner of Canada in his annual report to Parliament

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

8.2 – 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.

8.3 – Number of applications or appeals to 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.

9. Completed Privacy Impact Assessments

OSFI completed a single Privacy Impact Assessment in 2021-2022. In June 2021, OSFI deployed the Annual Confidential Report (ACR) Power Automate solution, which automates the ACR process between HR and OSFI employees. It has yet to be published on OSFI's website.

10. Authority for new collection of Social Insurance Numbers

OSFI did not receive authority or undertake any new collections or consistent use of Social Insurance Numbers during the reporting period.

Appendix A – Statistical Report on the *Privacy Act*

Statistical Report on the *Privacy 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 *Privacy Act*

1.1 Number of requests received

	Number of Requests
Received during reporting period	4
Outstanding from previous reporting periods	0
Outstanding from previous reporting period	0
Outstanding from more than one reporting period	0
Total	4
Closed during reporting period	4
Carried over to next reporting period	0
Carried over within legislated timeline	0
Carried over beyond legislated timeline	0

1.2 Channels of requests

Source	Number of Requests
Online	4
E-mail	0
Mail	0
In person	0
Phone	0
Fax	0
Total	4

Section 2: Informal requests

2.1 Number of informal requests

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

2.2 Channels of informal requests

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

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
0	0	0	0	0	0	0	0

2.4 Pages released informally

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	
Request abandoned	0	1	0	0	0	0	0	1
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	0	3	1	0	0	0	0	4

3.2 Exemptions

Section	Number of Requests
18(2)	0
19(1)(a)	0
19(1)(b)	0
19(1)(c)	0
19(1)(d)	0
19(1)(e)	0
19(1)(f)	0
20	0
21	0

Section	Number of Requests
22(1)(a)(i)	0
22(1)(a)(ii)	0
22(1)(a)(iii)	0
22(1)(b)	0
22(1)(c)	0
22(2)	0
22.1	0
22.2	0
22.3	0
22.4	0
23(a)	0
23(b)	0
24(a)	0
24(b)	0
25	0
26	3
27	1
27.1	0
28	0

3.3 Exclusions

Section	Number of Requests
69(1)(a)	0
69(1)(b)	0
69.1	0
70(1)	0
70(1)(a)	0
70(1)(b)	0
70(1)(c)	0
70(1)(d)	0
70(1)(e)	0
70(1)(f)	0
70.1	0

3.4 Format of information released

Paper	Electronic				Other
	E-record	Data set	Video	Audio	
0	3	0	0	0	0

3.5 Complexity

3.5.1 Relevant pages processed and disclosed for *paper* and *e-record* formats

Number of Pages Processed	Number of Pages Disclosed	Number of Requests
3860	907	4

3.5.2 Relevant pages processed by 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		1000+ Pages Processed
	Number of Requests	Pages Processed	Number of Requests	Pages Processed	Number of Requests	Pages Processed	Number of Requests
All disclosed	0	0	0	0	0	0	0
Disclosed in part	1	14	1	169	0	0	1
All exempted	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0
Request abandoned	1	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0

Disposition	Less Than 100 Pages Processed		100-500 Pages Processed		501-1000 Pages Processed		1000+ Pages Processed
	Number of Requests	Pages Processed	Number of Requests	Pages Processed	Number of Requests	Pages Processed	Number of Requests
Total	2	14	1	169	0	0	1

3.5.3 Relevant minutes processed and disclosed for *audio* formats

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

3.5.4 Relevant minutes processed per request disposition for *audio* 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
Disclosed in part	0	0	0	0	0	0
All exempted	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
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
Total	0	0	0	0	0	0

3.5.5 Relevant minutes processed and disclosed for *video* formats

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

3.5.6 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
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
Total	0	0	0	0	0	0

3.5.7 Other complexities

Disposition	Consultation Required	Legal Advice Sought	Interwoven Information	Other	Total
All disclosed	0	0	0	0	0
Disclosed in part	0	0	0	0	0

Disposition	Consultation Required	Legal Advice Sought	Interwoven Information	Other	Total
All exempted	0	0	0	0	0
All excluded	0	0	0	0	0
Request abandoned	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0
Total	0	0	0	0	0

3.6 Closed requests

3.6.1 Number of requests closed within legislated timelines

Number of requests closed within legislated timelines	4
Percentage of requests closed within legislated timelines (%)	100

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
0	0	0	0	0

3.7.2 Request 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	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
Total	0	0	0

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: Disclosures Under Subsections 8(2) and 8(5)

Paragraph 8(2)(e)	Paragraph 8(2)(m)	Subsection 8(5)	Total
0	0	0	0

Section 5: Requests for Correction of Personal Information and Notations

Disposition for Correction Requests Received	Number
Notations attached	0
Requests for correction accepted	0
Total	0

Section 6: Extensions

6.1 Reasons for extensions

Number of requests where an extension was taken	15(a)(i) Interference with operations				15 (a)(ii) Consultation		
	Further review required to determine exemptions	Large volume of pages	Large volume of requests	Documents are difficult to obtain	Cabinet Confidence Section (Section 70)	External	Int
1	0	1	0	0	0	0	0

6.2 Length of extensions

Length of Extensions	15(a)(i) Interference with operations				15 (a)(ii) Consultation		
	Further review required to determine exemptions	Large volume of pages	Large volume of requests	Documents are difficult to obtain	Cabinet Confidence Section (Section 70)	External	Int
1 to 15 days	0	0	0	0	0	0	0
16 to 30 days	0	1	0	0	0	0	0
31 days or greater	0	0	0	0	0	0	0
Total	0	1	0	0	0	0	0

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	0	0	0	0
Outstanding from the previous reporting period	0	0	0	0
Total	0	0	0	0
Closed during the reporting period	0	0	0	0
Carried over within negotiated timelines	0	0	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	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
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

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: Complaints and Investigations Notices Received

Section 31	Section 33	Section 35	Court action	Total
0	0	0	0	0

Section 10: Privacy Impact Assessments (PIAs) and Personal Information Banks (PIBs)

10.1 Privacy Impact Assessments

Number of PIAs completed	1
Number of PIAs modified	0

10.2 Institution-specific and Central Personal Information Banks

Personal Information Banks	Active	Created	Terminated	Modified
Institution-specific	2	0	0	0
Central	55	0	0	0
Total	57	0	0	0

Section 11: Privacy Breaches

11.1 Material Privacy Breaches reported

Number of material privacy breaches reported to TBS	0
Number of material privacy breaches reported to OPC	0

11.2 Non-Material Privacy Breaches

Number of non-material privacy breaches: 2

Section 12: Resources Related to the *Privacy Act*

12.1 Allocated Costs

Expenditures		Amount
Salaries		\$154,441
Overtime		\$0
Goods and Services		\$25,074
Professional services contracts	\$25,074	
Other	\$0	
Total		\$179,515

12.2 Human Resources

Resources	Person Years Dedicated to Privacy Activities
Full-time employees	1.234
Part-time and casual employees	0.000
Regional staff	0.000
Consultants and agency personnel	0.097
Students	0.000
Total	1.331

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.

Fiscal Year Open Requests Were Received	Open Requests that are Within Legislated Timelines as of March 31, 2022	Open Requests that are Beyond Legislated Timelines as of March 31, 2022	Total
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
Total	8	6	14

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

Fiscal Year Open Complaints Were Received by Institution	Number of Open Complaints
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
Total	6

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

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

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

Fiscal Year Open Requests Were Received	Open Requests that are Within Legislated Timelines as of March 31, 2022	Open Requests that are Beyond Legislated Timelines as of March 31, 2022	Total
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
Total	0	0	0

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

Fiscal Year Open Complaints Were Received by Institution	Number of Open Complaints
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
Total	0

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: *Privacy Act*

Designation / Délégation

Privacy Act / Loi sur la protection des renseignements personnels

Privacy Act Designation Order

By this order made pursuant to section 73 of the *Privacy 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 25th day of May, 2021

Arrêté sur la délégation en vertu de la *Loi sur la protection des renseignements personnels*

Par le présent arrêté pris en vertu de l'article 73 de la *Loi sur la protection des renseignements personnels*, 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 25ième jour de mai, 2021

Jeremy Rudin

Superintendent of Financial Institutions/

Le surintendant des institutions financières

Schedule 2 Designation Order – *Privacy Act*

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
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8(2)(j)	To disclose personal information when satisfied that the purpose for which the information is disclosed cannot reasonably be accomplished unless the information is provided in a form that identifies the person to whom it relates and obtain a written undertaking that no subsequent disclosure of the information will be made in a form that could reasonably be expected to	X			
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	identify the individual to whom it relates				
8(2)(m)	To disclose personal information when public interest outweighs invasion of privacy or when disclosure benefits the individual	X			
8(4)	To keep copies of requests made under 8(2)(e), keep records of information disclosed pursuant to such requests and to make those copies and records available to Privacy Commissioner	X	X	X	X

8(5)	To notify the Privacy Commissioner in writing of disclosure under paragraph 8(2) (m)	X	X	X	X
9(1)	To retain a record of use of personal information.	X	X	X	X
9(4)	To notify the Privacy Commissioner of consistent use of personal information and update index accordingly	X	X	X	X
10	To include personal information in personal information banks	X	X	X	X

14(a)	To give written notice as to whether or not access will be given	X	X	X	X
14(b)	To give access to requester	X	X	X	X
15	To extend time limit and give notice of extension	X	X	X	X
17(2)(b)	To determine the necessity for a translation or interpretation of a record	X	X	X	X
17(3)(b)	To determine whether a record should be provided in an alternative format	X	X	X	X

18(2)	To refuse to disclose personal information referred to in that section	X	X	X	X
19(1)	To refuse to disclose personal information referred to in that section	X	X	X	X
19(2)	To disclose, with consent, personal information referred to in that subsection	X	X	X	X
20	To refuse to disclose personal information referred to in that section	X	X	X	X

21	To refuse to disclose personal information referred to in that section	X	X	X	X
22	To refuse to disclose personal information referred to in that section	X	X	X	X
22.3	To refuse to disclose personal information referred to in that section	X	X	X	X
23	To refuse to disclose personal information referred to in that section	X	X	X	X

24	To refuse to disclose personal information under that section	X	X	X	X
25	To refuse to disclose personal information under that section	X	X	X	X
26	To refuse to disclose personal information under that section	X	X	X	X
27	To refuse to disclose personal information under that section	X	X	X	X

28	To refuse to disclose personal information under that section	X	X	X	X
33(2)	To make representations to the Privacy Commissioner	X	X	X	X
35(1)(b)	To receive the report of findings of the investigation and give notice of action taken or proposed to be taken or reasons why no action has been or is proposed to be taken	X	X	X	X
35(4)	To provide access to personal information	X	X	X	X

36(3)(b)	To receive the report of findings of the investigation of files in exempt banks	X	X	X	X
51(2)(b)	To request that the matter be heard and determined in the National Capital Region	X	X	X	X
51(3)	To request the opportunity to make representations ex parte	X	X	X	X
70	Cabinet Confidences	X	X	X	X
72(1)	To prepare annual report for submission to Parliament	X	X	X	X

Privacy Regulations

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	Retention of personal information requested under paragraph 8(2)(e)	X	X	X	X
9	Reasonable facilities and time provided to examine personal information	X	X	X	X
11(2)	Notification that correction to personal information has been made	X	X	X	X

11(4)	Notification that correction to personal information has been refused	X	X	X	X
13(1)	Disclosure of personal information relating to physical or mental health may be made to qualified medical practitioner or psychologist for an opinion on whether to release information to requestor	X			

14	Disclosure of personal information relating to physical or mental health may be made to requestor in presence of qualified medical practitioner or psychologist	X			
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Date modified:

2022-11-01