

# 2013–2014 Annual Report to Parliament

## on the Administration of the *Access to Information Act*







## Foreword

Each fiscal year, the head of every government institution has to prepare and submit to Parliament an annual report on the administration of the *Access to Information Act*.

This annual report is tabled in Parliament in accordance with section 72 of the *Access to Information Act* under the direction of the Minister of National Revenue and the Commissioner of the Canada Revenue Agency (CRA). It describes how the CRA administered and fulfilled its obligations under the *Access to Information Act* during the period April 1, 2013, to March 31, 2014. It also discusses issues of interest related to program delivery, emerging trends, and areas of focus for the year ahead.

## The Access to Information Act

The *Access to Information Act* came into force on July 1, 1983. It gives Canadian citizens, along with persons and corporations physically present in Canada, the right to request access to federal government records.

The *Access to Information Act* is based on three main principles:

- Government information should be available to the public.
- Exceptions to the right of access should be limited and specific.
- Decisions about disclosures should be reviewable independently of government.

The *Access to Information Act*'s formal processes do not replace other ways of obtaining government information. The CRA encourages individuals, businesses, and other groups to consider getting information through the following informal methods:

- topical indexes on the CRA Web site: **[www.cra.gc.ca/azindex/menu-eng.html](http://www.cra.gc.ca/azindex/menu-eng.html)**
- individual income tax enquiries (including requests for forms and publications): **1-800-959-8281**
- enquires from businesses and self-employed individuals (including requests for forms and publications): **1-800-959-5525**
- universal child care benefit, Canada child tax benefit, and related provincial and territorial programs, child disability benefit, and children's special allowances enquiries: **1-800-387-1193**
- Charities Client Assistance (information about registered charities): **1-800-267-2384**
- international tax and non-resident enquiries: **1-855-284-5942** for individuals and non-resident trusts; **1-855-284-5944** for non-resident corporations and corporation accounts; and **1-855-284-5946** for Part XIII tax and non-resident withholding accounts
- TTY (teletypewriter for persons who are deaf or hard of hearing or who have a speech impairment): **1-800-665-0354**





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## Overview of the Canada Revenue Agency

The Canada Revenue Agency (CRA) administers tax laws for the Government of Canada and for most provinces and territories. It also administers various social and economic benefit and incentive programs delivered through the tax system. In addition, the CRA has the authority to enter into new partnerships with the provinces, territories, and other government bodies—at their request and on a cost-recovery basis—to administer non-harmonized taxes and other services. Overall, the CRA promotes compliance with Canada’s tax legislation and regulations and plays an important role in the economic and social well-being of Canadians.

The Minister of National Revenue is accountable to Parliament for all of the CRA’s activities, including administering and enforcing the *Income Tax Act* and the *Excise Tax Act*.

The *Canada Revenue Agency Act* provides for the establishment of a Board of Management consisting of 15 directors appointed by the Governor in Council. They include the Chair, the Commissioner and Chief Executive Officer, a director nominated by each province, one director nominated by the territories, and two directors nominated by the federal government. Under the provisions of the *Canada Revenue Agency Act*, the Board of Management oversees the organization and administration of the CRA, including the management of its resources, services, property, personnel, and contracts. In fulfilling this role, the Board of Management brings a forward-looking strategic perspective to the CRA’s operations, fosters sound management practices, and is committed to efficient and effective service delivery.

As the CRA’s Chief Executive Officer, the Commissioner is responsible for the day-to-day administration and enforcement of the program legislation that falls under the Minister’s delegated authority. The Commissioner is accountable to the Board of Management for managing the CRA, supervising employees, and implementing policies and budgets. Moreover, the Commissioner must assist and advise the Minister with respect to legislated authorities, duties, functions, and Cabinet responsibilities.

The CRA is made up of 12 branches and 5 regional offices across the country.

### Branches

- Appeals
- Assessment and Benefit Services
- Audit, Evaluation, and Risk
- Compliance Programs
- Finance and Administration
- Human Resources
- Information Technology
- Legal Services
- Legislative Policy and Regulatory Affairs
- Public Affairs
- Strategy and Integration
- Taxpayer Services and Debt Management

### Regions

- Atlantic
- Ontario
- Pacific
- Prairie
- Quebec



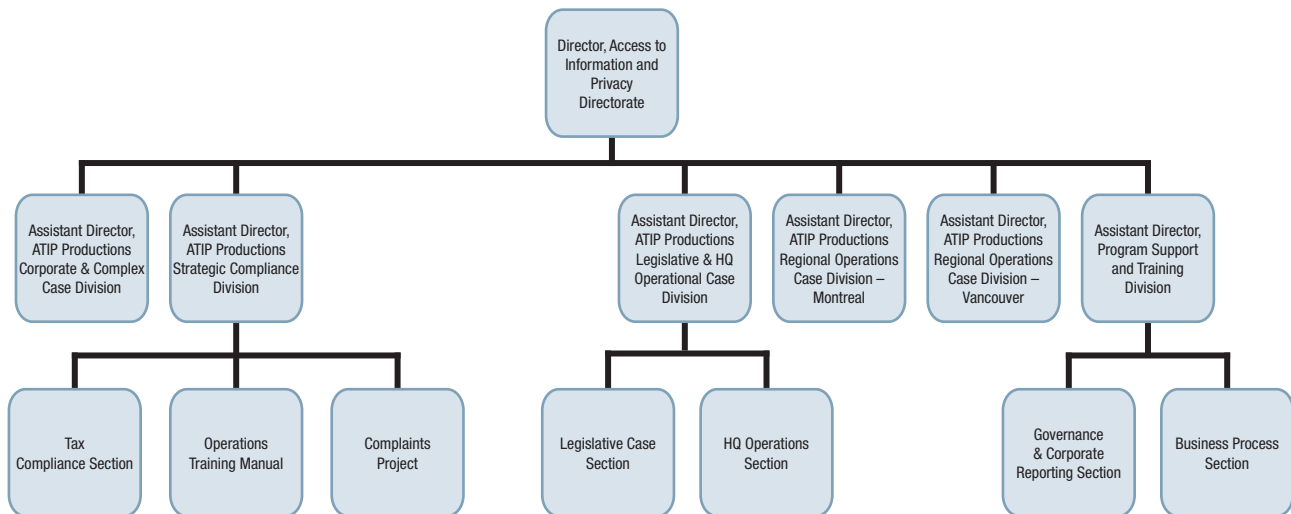
## The Access to Information and Privacy Directorate

The ATIP Directorate supports the CRA in meeting its requirements under the *Access to Information Act* and the *Privacy Act*. To fulfill this mandate, the ATIP Directorate:

- responds to requests and enquiries under the *Access to Information Act* and the *Privacy Act*;
- provides advice and guidance to CRA employees on requirements related to requests for, and the proper management and protection of, personal information under the CRA's control;
- coordinates privacy impact assessment processes within the CRA, including giving expert advice to CRA employees on privacy implications, risks, and options for avoiding or reducing risks;
- gives training and awareness sessions on the *Access to Information Act* and the *Privacy Act* and the practices and requirements for managing personal information;
- communicates with the Treasury Board Secretariat and the offices of the information and privacy commissioners of Canada about complaints, audits, and policy or legislative requirements; and
- fulfills corporate planning and reporting obligations such as the CRA's annual reports to Parliament on the administration of the *Access to Information Act* and the *Privacy Act*.

The Director of the ATIP Directorate has the full delegated authority of the Minister of National Revenue, manages and coordinates the ATIP program, leads strategic planning and development initiatives, and supports the Assistant Commissioner, Public Affairs Branch, and Chief Privacy Officer.

The ATIP Directorate is made up of two main divisions: processing, and program support and training (within the Directorate and CRA-wide). In addition to its Headquarters office in Ottawa, the ATIP Directorate has an office in Vancouver and an office in Montreal. In 2013–2014, 130 full-time employees were responsible for administering the *Access to Information Act* and the *Privacy Act*.





## The Access to Information and Privacy Oversight Review Committee

The Access to Information and Privacy (ATIP) Oversight Review Committee is an executive-level committee with representatives from all CRA branches and regions. The Committee was established to ensure horizontal consultation, collaboration, and decision-making on emerging ATIP issues at the CRA. Among other responsibilities, the Committee reviews high-risk privacy impact assessments, identifies measures to support more effective administration of ATIP-related matters within the CRA, and champions ATIP-related activities within the CRA.

In 2013–2014, the membership of this committee was raised to assistant commissioner-level and the Assistant Commissioner, Public Affairs Branch, and Chief Privacy Officer was appointed the Chair. These changes make sure ATIP matters are at the forefront for senior management at the CRA.

## Delegation of responsibilities under the *Access to Information Act*

As head of the CRA, the Minister of National Revenue is responsible for how the CRA administers the *Access to Information Act* and complies with the *Access to Information Regulations* and Treasury Board Secretariat policy instruments. Section 73 of the *Access to Information Act* gives the Minister of National Revenue the authority to designate one or more officers or employees of the CRA to exercise or perform all, or part, of the Minister's powers, duties, and functions under the Act.

The CRA's current delegation order for the *Access to Information Act* was signed by the Minister of National Revenue on March 6, 2014. It identifies specific provisions of the *Access to Information Act* and its regulations that the Minister has delegated to various positions within the CRA.

The Access to Information and Privacy Director and assistant directors, as well as the managers of the processing units, approve responses to requests under the *Access to Information Act*. Delegations are also extended to the Commissioner, the Deputy Commissioner, and the Assistant Commissioner and Chief Privacy Officer, Public Affairs Branch.





Access to Information Act  
Delegation Order

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

I, Kerry-Lynne D. Findlay, Minister of National Revenue, do hereby designate, pursuant to section 73 of the *Access to Information Act*, the officers or employees of the Canada Revenue Agency who hold the positions set out in the attached Schedule to exercise or perform the powers, duties, or functions that have been given to me as head of a government institution under the provisions of the *Access to Information Act* as set out in the Schedule.

This designation replaces all previous delegation orders.

Je, Kerry-Lynne D. Findlay, ministre du Revenu national, délègue par les présentes, en vertu de l'article 73 de la *Loi sur l'accès à l'information*, aux cadres ou employés de l'Agence du revenu du Canada détenteurs des postes mentionnés dans l'annexe ci-jointe les attributions dont je suis, en qualité de responsable d'une institution fédérale, investie par les dispositions de la *Loi sur l'accès à l'information* qui sont mentionnées dans l'annexe.

Le présent document remplace et annule tout arrêté antérieur.

La ministre du Revenu national,

Kerry-Lynne D. Findlay  
Minister of National Revenue

Signed in Ottawa, Ontario, Canada this 6th day of March, 2014  
Signé à Ottawa, Ontario, Canada le 6<sup>e</sup> jour de mars 2014

Canada



## Schedule – Access to Information Act

The positions authorized to perform the powers, duties, or functions given to the Minister of National Revenue as head of a government institution under the provisions of the *Access to Information Act* and its regulations.

### **Commissioner**

- Full authority

### **Deputy Commissioner**

- Full authority

### **Assistant Commissioner, Public Affairs Branch (PAB) and Chief Privacy Officer**

- Full authority

### **Director, Access to Information and Privacy (ATIP) Directorate, PAB**

- Full authority

### **Assistant directors, ATIP Directorate, PAB**

- Full authority

### **Managers, ATIP Directorate, PAB**

- Subsection 4(2.1); paragraphs 7(a) and (b); subsection 8(1); section 9; subsections 11(2) to (6); section 10; paragraphs 12(2)(b) and 12(3)(b); sections 13 to 16; sections 17 and 18; section 19 and 20; section 21 to 26; subsections 27(1) and (4); paragraph 28(1)(b); subsections 28(2) and (4); subsection 29(1); section 33; paragraph 35(2)(b); subsections 37(4), 43(1), 44(2) and 71(1) of the *Access to Information Act*; subsections 6(1), 7(2) and 7(3); and sections 8 and 8.1 of the *Access to Information Regulations*.



## Statistical report (Appendix A) – Interpretation and explanation

Appendix A is a statistical report on the CRA's activities under the *Access to Information Act* for the 2013–2014 reporting period. The following explains and interprets the statistical information.

### Requests under the *Access to Information Act*

During this reporting period (April 1, 2013, to March 31, 2014), the Canada Revenue Agency (CRA) received 2,751 new requests under the *Access to Information Act*. This represents a decrease of 386 requests (12.3%) from last year's total of 3,137. In addition to the new requests, 636 requests were carried forward from 2012–2013, resulting in 3,387 active requests.

Of the 2,751 requests received during the 2013–2014 reporting period, 1,522 (55.3%) came from the public, 1,105 (40.2%) came from business (private sector), and the remaining 124 (4.5%) were from media, academia, and organizations.

Over the year, the number of bulk requests made by one frequent requester decreased significantly. This decrease can be directly attributed to the positive working relationship that has developed between the ATIP Directorate and the Office of the Information Commissioner over the past few years. The relationship proved instrumental in developing strategies and best practices to manage the high volume of requests associated with this requester.

In 2013–2014, the CRA's ATIP Directorate reviewed a larger volume of material—433,529 (36.03%) more pages than last year. The following table shows a five-year trend.

### Requests received and completed in the past five fiscal years

Fiscal year	Requests received	Requests completed	Pages processed
2009–2010	1,798	1,651	1,068,810
2010–2011	2,589	2,605	1,116,838
2011–2012	2,237	2,683	998,802
2012–2013	3,137	3,083	1,203,253
2013–2014	2,751	2,795	1,636,782

### Other Requests

In 2013–2014, the ATIP Directorate closed 116 consultation requests from other government institutions and organizations. A total of 3,416 pages were reviewed to respond to these requests. Another six consultation requests were carried forward to the 2014–2015 reporting period. (For more details on the consultations received from other government institutions and organizations, including disposition and completion times, see Appendix A.)



During the same reporting period, as a result of the web posting of summaries of completed requests made under the *Access to Information Act*, the CRA also received 297 requests for previously released information. These are informal requests that do not fall under the *Access to Information Act*.

In addition, the ATIP Directorate's Program Support and Training Division responded to 2,987 emails and 515 telephone enquiries from inside and outside the CRA. The responses to these enquiries included giving advice and guidance on processes and procedures relating to the *Access to Information Act* and the *Privacy Act* and providing alternate contact information.

## Disposition of completed requests

During the reporting period, the ATIP Directorate completed 2,795 requests following the provisions of the *Access to Information Act*.

- 477 were fully disclosed (17.07%)
- 1,458 were partially disclosed (52.16%)
- 10 were exempted in their entirety (0.36%)
- 148 were excluded in their entirety (5.30%)
- 214 resulted in no existing records (7.66%)
- 5 were transferred to another institution (0.18%)
- 473 were abandoned by requesters (16.92%)
- 10 were treated informally (0.36%)


For more details, see table 2.1 of Appendix A.

## Exemptions

The *Access to Information Act* allows and sometimes requires that access to information be refused (for example, information about taxpayers other than the requester if consent is not provided). These types of refusals are called exemptions and they must be limited and specific to sections of the *Access to Information Act*.

In 2013–2014, the CRA used the following sections of the Act to refuse access to information in full or in part for 1,468 (52.52%) of the 2,795 requests closed during the reporting period.

- Section 13 – Information obtained in confidence (applied to 115 requests)
- Section 14 – Federal-provincial affairs (applied to 33 requests)
- Section 15 – International affairs and defence (applied to 29 requests)
- Section 16 – Law enforcement and investigation, and security (applied to 933 requests)
- Section 17 – Safety of individuals (applied to 1 request)
- Section 18 – Economic interests of Canada (applied to 1 request)
- Section 19 – Personal information (applied to 915 requests)
- Section 20 – Third-party information (applied to 16 requests)
- Section 21 – Operations of Government (applied to 368 requests)
- Section 22 – Testing procedures, tests, and audits (applied to 10 requests)

- 
- Section 23 – Solicitor-client privilege (applied to 260 requests)
  - Section 24 – Statutory prohibitions (applied to 1240 requests)
  - Section 26 – Information to be published (applied to 2 requests)

## Exclusions

The *Access to Information Act* does not apply to information that is already publicly available, such as government publications and material in libraries and museums. It also excludes material such as Cabinet confidences.

In 2013–2014, the CRA applied exclusions 230 times: 198 times for information that is publicly available and 32 times for Cabinet confidences.

## Format of responses

The ATIP Directorate allows requesters to choose to receive their response package on CD or DVD. Providing documents electronically significantly reduces manual processes and paper consumption. In 2013–2014, of the 1,935 access to information requests for which information was disclosed in full or in part, 1,550 (80.1%, a 6% increase over last year) were released in electronic format. This involved electronically reviewing 1,538,338 pages, followed by the release of 1,191,220 pages in electronic rather than paper format. This is a significant reduction in paper use. As well, the CRA respected the preferences of other requesters by providing 381 (19.7%) responses in paper format and 4 (0.2%) in other ways (for example, by viewing the information in a CRA reading room).

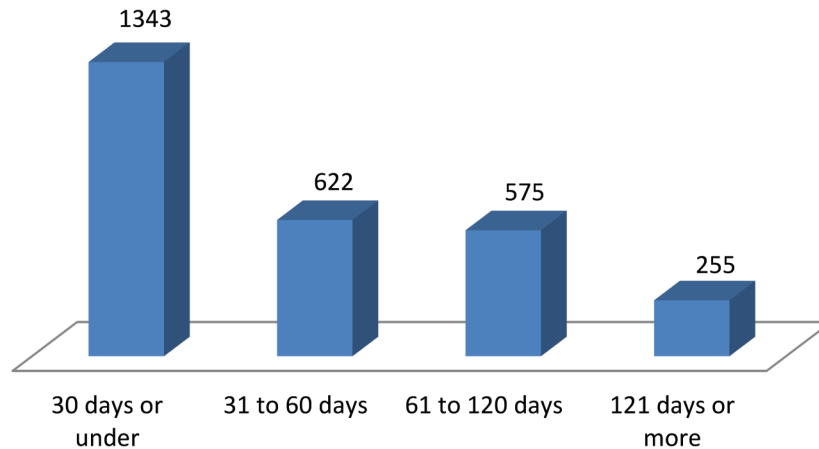
## Completion time and extensions

The *Access to Information Act* sets the timelines for responding to access to information requests and allows for time extensions to be taken when there is a large volume of records or a need for consultations (for example, if there is a need to consult another taxpayer or another government institution). Of the requests closed in 2013–2014, the CRA took extensions on 1,229. Most of them, 1,205 (98%), were taken because the requests involved large volumes of pages and meeting the original 30-day time limit would have resulted in an unreasonable interference with CRA operations. The other 24 (2%) extensions were taken to consult with third parties or other government institutions.



The chart that follows shows the completion times for the 2,795 requests closed in 2013–2014.

### Completion time



The ATIP Directorate completed 2,466 (88.2%) requests within the timelines required by the *Access to Information Act*. This means that responses were provided within 30 calendar days or, when an extension was taken, within the extended deadline.

### Deemed refusals and complexities

Of the 2,795 requests closed during the reporting period, 329 were closed past the statutory deadline, resulting in a deemed refusal rate of 12%. This is a modest decrease from previous reporting periods: 15% in 2012–2013 and 32% in 2011–2012. This trend shows that the CRA is continuing to improve its performance in this area.

Although the CRA continues to strive toward a deemed refusal rate of zero, as has been recommended by the Office of the Information Commissioner, operational pressures make achieving this goal a challenge. Based on the Treasury Board Secretariat’s complexity criteria, the CRA continues to handle a large number of requests that are considered to be complex based on the volume of pages to be processed. (See table 2.5 of Appendix A for details.) For the requests closed in 2013–2014, the CRA reviewed 1,636,782 pages, an increase of 36.03% over the previous year. This significant increase in the volume of pages contributed to the number of late responses (329) for 2013–2014.



## Completion time of consultations on Cabinet confidences

Although Cabinet confidences are excluded from the application of the *Access to Information Act* under section 69, policies of the Treasury Board Secretariat require departments to process information that, if released, could reveal a confidence. However, departments must consult their legal services for an opinion about whether or not, in their opinion, the information should be excluded. If there is any doubt, or when the records contain discussion papers, legal counsel must consult the Office of the Counsel to the Clerk of the Privy Council Office (PCO).

In 2013–2014, the CRA applied Cabinet confidence exclusions to 32 of the requests closed. These exclusions were applied after the ATIP Directorate consulted the Legal Services Branch and received confirmation that the information qualified as a Cabinet confidence. No consultations with PCO were required.

## Requests for translation

In 2013–2014, the CRA agreed to translate records to respond to four access to information requests.

## Fees

Fees collected during the reporting period amounted to \$17,173. For more details, see Part 4 of Appendix A.

## Costs

In 2013–2014, the ATIP Directorate's cost to administer the *Access to Information Act* was \$6,173,802, excluding significant coordination support from the branches and regions. For more details, see Appendix A.



## Operational environment

Historically, the CRA's ATIP Directorate has processed a large volume of access to information requests. Although this continued to be the case in 2013–2014, the CRA received slightly fewer (386) requests than the previous year. This reduction in requests may, in part, be related to the CRA's ongoing efforts to expand informal disclosure methods (for example, by making more information about its programs and services available on the CRA website and e-portals.)

The reduction in requests may also be linked to the CRA's continued efforts to support the Government of Canada's Open Government Initiative. In 2013–2014, the CRA added seven new datasets to the Government of Canada's open data website (<http://data.gc.ca/eng/open-data>). The CRA's Charities Listings dataset on the website was downloaded more than any other data set, 642 times in one month. (Go to <http://data.gc.ca/eng/facts-and-figures#>.)

The CRA now has the following datasets on the open data website:

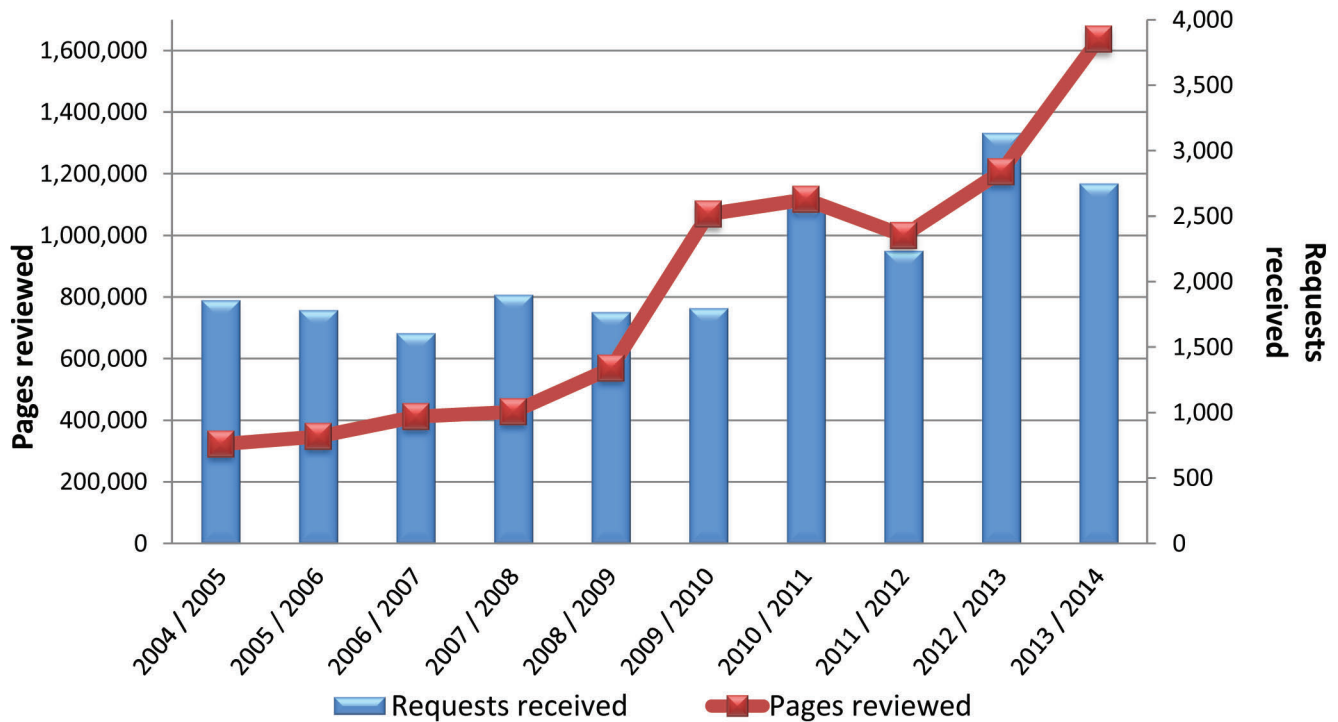
- **Benefit Program Guideline Tables:** data on the estimated benefit based on family net income and number of children.
- **Canada Child Tax Benefit (and integrated programs) Payment Dates:** the dates on which the benefit payment will be issued. Canada Child Tax Benefits are paid over a 12-month period from July of one year to June of the next year.
- **Charities Listings:** Canadian charities that are registered under the Income Tax Act and are eligible to issue official donation receipts. The data includes details on a charity's financial information, activities, and directors.
- **Goods and Services Tax Credit Payment Dates:** the dates the credit will be issued.
- **GST/HST Incremental Federal Rebate for Municipalities Report:** the Goods and Services Tax and Harmonized Sales Tax Incremental Federal Rebate for Municipalities Report.
- **Sub-provincial Data:** this is personal income tax data based on geographic area. The statistics are compiled by province and territory, as well as all of Canada.
- **T1 Final Statistics:** this is data from personal income returns that were processed for the tax year two years prior to year of publication. For example, the 2011 edition of the tables analyze returns from the 2009 tax year, which generally had to be filed by the end of April 2010.
- **T2 Corporate Statistics:** the Canada Revenue Agency's publication of Corporation Income Tax Statistics. This publication provides key taxation and select accounting information for all corporation income tax returns that have been assessed or re-assessed.
- **Universal Child Care Benefit Payment Dates:** the dates on which the benefit payment will be paid. The Universal Child Care Benefits are paid over a 12-month period and generally, payments are made on the 20th of each month.
- **Working Income Tax Benefit Advanced Payment Dates:** the dates on which the advanced payment will be paid. The Working Income Tax Benefit advanced payments are generally issued on the 5th day of each quarter from April of one year to January of the next year.





In spite of the reduction in requests received, the CRA's ATIP operations continue to be challenged by the large volume of pages that required processing. As shown in the chart below, in 2013–2014, the ATIP Directorate processed more pages than ever before (1,636,782 pages).

## Workload Trends



## Right to Know Week

Right to Know Week is an international event that raises awareness about public rights of access to information. In September 2013, the CRA participated in this event for the third year in a row.

The focus of the week's activities was informal disclosure. Toward this end, CRA employees were encouraged to participate in an online forum to suggest ways in which the CRA could enhance and provide information to the public quickly, efficiently, and transparently. The ATIP Directorate used this information to pursue opportunities within the CRA to strengthen informal disclosure and to develop a policy instrument to support informal disclosure at the CRA. (See "CRA Access to Information Policy.") In addition to the online forum, the Legal Services Branch gave training to 148 employees to advise them on preparing manuals for release in public reading rooms.



## ATIP request and pay online

In 2013–2014, the CRA continued to participate in Treasury Board Secretariat-led discussions on the ATIP request and pay online initiative. This project delivers on a key commitment of the Government of Canada's Open Government Action Plan: the modernization of access to information. It provides a convenient way for individuals to send and, when applicable, to pay for requests made under the *Access to Information Act* or the *Privacy Act* using the Internet.

The first phase of the project was launched in April 2011 with the Treasury Board Secretariat, Citizenship and Immigration Canada, and Shared Services Canada participating. In 2013–2014, the CRA made plans to be included in the next phase of the pilot project to be launched in April 2014. The CRA sees this as an opportunity to give requesters an additional option for making requests that is cost-effective and sustainable.

## Training

The ATIP Directorate provides targeted training to CRA employees about the requirements of, and their responsibilities under, the *Access to Information Act* and the *Privacy Act*. This training is tailored to respond to the needs of specific audiences. For instance, ATIP 101 training is given to those who have little or no knowledge of ATIP, and more specific training is given to subject matter experts (for example, training on how to respond to tasking requests for records).

In 2013–2014, ATIP training was given to 1,621 participants in 116 sessions across Canada. An additional 61 managers received training under the CRA's management learning program. The ATIP Director and the Assistant Commissioner, Public Affairs Branch, and Chief Privacy Officer also presented ATIP awareness sessions to 11 senior management committees across the CRA during the reporting period.

Finally, the CRA's Legal Services Branch also provided 17 training sessions to 124 CRA employees. These sessions focused on preparing documents for release in CRA reading rooms, on ATIP legal awareness, and on ATIP for information technology specialists.

## Virtual Library

In 2013–2014, the ATIP Directorate continued to work on a virtual library project to support the release of many of the CRA's procedures manuals on the CRA website. This project supports the CRA's informal disclosure objectives and responds to recommendations from both the Office of the Information Commissioner and the Office of the Taxpayers' Ombudsman to expand the informal release of information. The virtual library also supports the Open Government Initiative.

In 2013–2014, consultations with stakeholders across the CRA were held, and a project proposal for creating a virtual library was presented to the Public Affairs Advisory Committee in February 2014 for feedback. The Committee agreed that the proposal should be brought forward to the ATIP Oversight Review Committee to support the launch of the project. If approved, the CRA will start implementing the proposal in 2014–2015.



## Monitoring request inventories

The CRA's ATIP Directorate produces a monthly dashboard report that captures key statistical information about the CRA's inventory of ATIP requests. This report shows the average times for each of the key phases of request processing (for example, intake, search and locate, and analysis). The report also provides statistical information about the number of time extensions taken, completion times, pages processed, complaints, and complaint disposition.

The ATIP Director uses this report to monitor trends, measure ATIP Directorate performance, and determine any process changes required to improve performance. The inventory is a regular agenda item for senior management meetings within the ATIP Directorate. As well, the ATIP Director keeps the Assistant Commissioner, Public Affairs Branch, and Chief Privacy Officer informed about the inventory.

## Policies, guidelines, and procedures

The CRA continues to promote and support compliance with Treasury Board Secretariat policies, guidelines, and procedures through its communications and training.

### **ATIP manual**

In October 2013, the ATIP manual was completed and released to employees of the ATIP Directorate. Its release represented the first major update and revision to the manual since 2007. The manual captures all of the major request processes and procedures and includes templates, guidance sheets, and other tools. The primary goal of the manual is to make sure analysts and managers follow a consistent approach when processing ATIP requests. It also supports the quality of processing and reduces the time spent training new employees. The manual is the primary resource tool for all analysts. The manual will be updated formally each year, and supplemented by interim technical bulleting, to make sure it continues to meet the needs of the ATIP Directorate.

### **CRA Access to Information Policy**

In 2012–2013, the ATIP Directorate began work on an access to information policy, as part of the CRA's information management policy suite renewal strategy led by the Strategy and Integration Branch. In 2013–2014, the ATIP Directorate continued to develop this policy. By clearly outlining roles and responsibilities related to informal disclosure, the policy reinforces and responds to recommendations of the Office of the Information Commissioner and the Office of the Taxpayers' Ombudsman to enhance and expand the CRA's use of informal disclosure mechanisms.

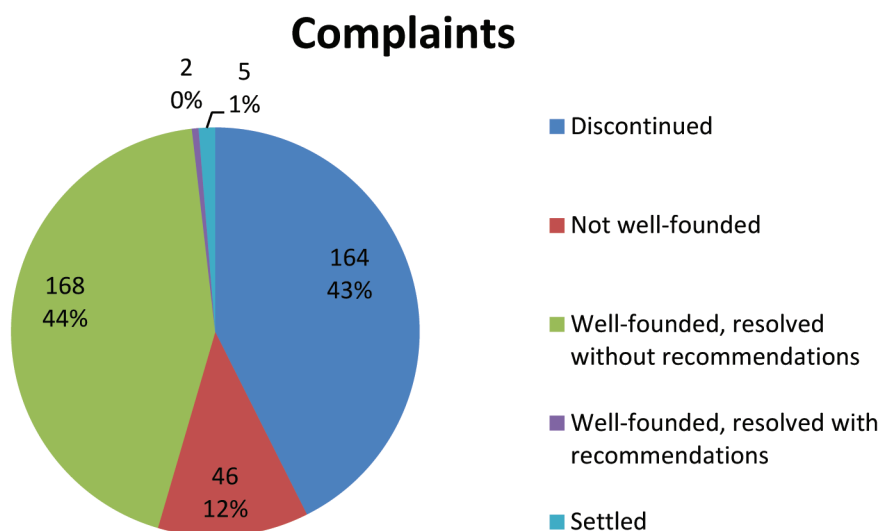
During the reporting period, the policy was circulated to the ATIP Oversight Review Committee for feedback, and it was presented to the Public Affairs Advisory Committee in February 2014. In 2014–2015, the ATIP Directorate will continue working on this policy instrument and will work with stakeholders on additional measures that could be taken to support the CRA in fulfilling its obligations related to informal disclosure.

## Complaints and investigations

During 2013–2014, the CRA received 344 access to information complaints, which is a reduction of 77 (18.3%) from the 421 complaints received in the previous reporting period. A great challenge for the CRA is the number of complaints received from two frequent requesters, which amounted to almost one-quarter (23%) of the complaints received in 2013–2014. Indeed, full-time employees were dedicated to responding to the complaints made by these requesters.

In 2013–2014, the number of systematic complaints filed by one frequent requester decreased significantly. As well, a considerable number of related complaint investigations were completed. This decrease can be directly attributed to the positive working relationship that has developed between the ATIP Directorate and the Office of the Information Commissioner over the past few years. The relationship proved instrumental in developing strategies and best practices to manage the high volume of complaints associated with this requester.

The CRA closed 385 complaints, 84 (27.3%) more than the 301 closed in 2012–2013. The following chart details the disposition of the complaints closed during the fiscal year. (For definitions of the disposition categories, go to [www.oic-ci.gc.ca/eng/inv-inv\\_disposition-categories-des-plaintes.aspx](http://www.oic-ci.gc.ca/eng/inv-inv_disposition-categories-des-plaintes.aspx).)





## Conclusion

The CRA is committed to providing all Canadians with access to information in keeping with the *Access to Information Act*. In 2013–2014, the CRA made significant progress in addressing its challenges and responding to the recommendations made by oversight bodies on its access to information performance, and it modestly reduced its deemed refusal rate.

To continue to improve operations, and to fully respond to the recommendations made by oversight bodies, the CRA will focus its efforts on the following actions in 2014–2015:

- promoting the use of informal disclosure internally;
- providing support to program areas that are transitioning toward releasing more information informally;
- implementing the CRA's project proposal for creating a virtual library; and
- reviewing its complaint inventory to make necessary systemic changes to improve its processing operations.



## Appendix A – Statistical report

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

**Name of institution:** Canada Revenue Agency

**Reporting period:** April 1, 2013, to March 31, 2014

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

##### **1.1 Number of requests**

	Number of requests
Received during reporting period	2,751
Outstanding from previous reporting period	636
<b>Total</b>	<b>3,387</b>
Closed during reporting period	2,795
Carried over to next reporting period	592

##### **1.2 Sources of requests**

Source	Number of requests
Media	108
Academia	3
Business (Private sector)	1,105
Organization	13
Public	1522
<b>Total</b>	<b>2,751</b>



## PART 2 – Requests closed during the reporting

### 2.1 Disposition and completion time

Disposition of requests	Completion time							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	More than 365 days	
All disclosed	66	240	87	62	12	8	2	477
Disclosed in part	36	427	356	424	103	67	45	1,458
All exempted	0	3	4	2	0	0	1	10
All excluded	2	42	97	7	0	0	0	148
No records exist	16	101	53	36	4	4	0	214
Request transferred	5	0	0	0	0	0	0	5
Request abandoned	358	39	24	44	3	1	4	473
Treated informally	5	4	1	0	1	0	0	10
<b>Total</b>	<b>487</b>	<b>856</b>	<b>622</b>	<b>575</b>	<b>123</b>	<b>80</b>	<b>52</b>	<b>2,795</b>

### 2.2 Exemptions

Section	Number of requests	Section	Number of requests	Section	Number of requests	Section	Number of requests
13(1)(a)	32	16(2)(a)	0	18(a)	1	20.1	0
13(1)(b)	1	16(2)(b)	0	18(b)	0	20.2	0
13(1)(c)	77	16(2)(c)	31	18(c)	0	20.4	0
13(1)(d)	5	16(3)	0	18(d)	0	21(1)(a)	104
13(1)(e)	0	16.1(1)(a)	0	18.1(1)(a)	0	21(1)(b)	251
14(a)	18	16.1(1)(b)	0	18.1(1)(b)	0	21(1)(c)	4
14(b)	15	16.1(1)(c)	0	18.1(1)(c)	0	21(1)(d)	9
15(1) - I.A.*	29	16.1(1)(d)	0	18.1(1)(d)	0	22	10
15(1) - Def.*	0	16.2(1)	0	19(1)	915	22.1(1)	0
15(1) - S.A.*	0	16.3	0	20(1)(a)	0	23	260
16(1)(a)(i)	15	16.4(1)(a)	0	20(1)(b)	12	24(1)	1,240
16(1)(a)(ii)	19	16.4(1)(b)	0	20(1)(b.1)	0	26	2
16(1)(a)(iii)	0	16.5	0	20(1)(c)	4		
16(1)(b)	244	17	1	20(1)(d)	0		
16(1)(c)	622						
16(1)(d)	0						

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

## 2.3 Exclusions

Section	Number of requests	Section	Number of requests	Section	Number of requests
68(a)	198	69(1)(a)	8	69(1)(g) re (a)	12
68(b)	0	69(1)(b)	0	69(1)(g) re (b)	0
68(c)	0	69(1)(c)	0	69(1)(g) re (c)	1
68.1	0	69(1)(d)	0	69(1)(g) re (d)	0
68.2(a)	0	69(1)(e)	0	69(1)(g) re (e)	10
68.2(b)	0	69(1)(f)	0	69(1)(g) re (f)	1
				69.1(1)	0

## 2.4 Format of information released

Disposition	Paper	Electronic	Other formats
All disclosed	208	265	4
Disclosed in part	173	1,285	0
<b>Total</b>	<b>381</b>	<b>1,550</b>	<b>4</b>

## 2.5 Complexity

### 2.5.1 Relevant pages processed and disclosed

Disposition of requests	Number of pages processed	Number of pages disclosed	Number of requests
All disclosed	35,410	34,688	477
Disclosed in part	1,480,111	1,186,320	1,458
All exempted	9,977	0	10
All excluded	31,336	0	148
Request abandoned	79,948	78,489	473
<b>Total</b>	<b>1,636,782</b>	<b>1,299,497</b>	<b>2,566</b>





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

Disposition of requests	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	391	8,515	74	17,981	12	8,192	0	0	0	0
Disclosed in part	411	18,177	570	149,574	217	154,642	224	452,184	36	411,743
All exempted	10	0	0	0	0	0	0	0	0	0
All excluded	148	0	0	0	0	0	0	0	0	0
Abandoned	444	789	17	5,286	8	5,028	3	7,684	1	59,702
<b>Total</b>	<b>1,404</b>	<b>27,481</b>	<b>661</b>	<b>172,841</b>	<b>237</b>	<b>167,862</b>	<b>227</b>	<b>459,868</b>	<b>37</b>	<b>471,445</b>

## 2.5.3 Other complexities

Disposition	Consultation required	Assessment of fees	Legal advice sought	Other	Total
All disclosed	0	0	2	27	29
Disclosed in part	0	2	4	38	44
All exempted	0	0	0	1	1
All excluded	0	0	0	1	1
Abandoned	0	1	4	31	36
<b>Total</b>	<b>0</b>	<b>3</b>	<b>10</b>	<b>98</b>	<b>111</b>

## 2.6 Deemed refusals

### 2.6.1 Reasons for not meeting statutory deadline

Number of requests closed past the statutory deadline	Principal reason			
	Workload	External consultation	Internal consultation	Other
329	193	10	17	109



## 2.6.2 Number of days past deadline

Number of days past deadline	Number of requests past deadline where no extension was taken	Number of requests past deadline where an extension was taken	Total
1 to 15 days	34	53	87
16 to 30 days	14	30	44
31 to 60 days	17	40	57
61 to 120 days	6	37	43
121 to 180 days	8	23	31
181 to 365 days	5	31	36
More than 365 days	10	21	31
<b>Total</b>	<b>94</b>	<b>235</b>	<b>329</b>

## 2.7 Requests for translation

Translation Requests	Accepted	Refused	Total
English to French	4	0	4
French to English	0	0	0
<b>Total</b>	<b>4</b>	<b>0</b>	<b>4</b>

## Part 3 – Extensions

### 3.1 Reasons for extensions and disposition of requests

Disposition of requests where an extension was taken	9(1)(a) Interference with operations	9(1)(b) Consultation		9(1)(c) Third party notice
		Section 69	Other	
All disclosed	121	0	5	0
Disclosed in part	922	0	16	2
All exempted	3	0	0	0
All excluded	37	0	0	0
No records exist	56	0	0	0
Request abandoned	66	0	1	0
<b>Total</b>	<b>1,205</b>	<b>0</b>	<b>22</b>	<b>2</b>



### 3.2 Length of extensions

Length of extensions	9(1)(a) Interference with operations	9(1)(b) Consultation		9(1)(c) Third party notice
		Section 69	Other	
30 days or less	485	0	4	1
31 to 60 days	419	0	7	0
61 to 120 days	241	0	10	0
121 to 180 days	43	0	1	1
181 to 365 days	15	0	0	0
365 days or more	2	0	0	0
<b>Total</b>	<b>1,205</b>	<b>0</b>	<b>22</b>	<b>2</b>

### Part 4 – Fees

Fee Type	Fees Collected		Fees Waived or Refunded	
	Number of requests	Amount \$	Number of requests	Amount \$
Application	2,486	12,430	447	2,235
Search	4	2,745	2	800
Production	0	0	0	0
Programming	1	341	0	0
Preparation	0	0	0	0
Alternative format	0	0	0	0
Reproduction	10	1,657	0	0
<b>Total</b>	<b>2,501</b>	<b>17,173</b>	<b>449</b>	<b>3,035</b>

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

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

Consultations	Other government institutions	Number of pages to review	Other organizations	Number of pages to review
Received during reporting period	103	3,037	2	25
Outstanding from the previous reporting period	19	607	1	281
<b>Total</b>	<b>122</b>	<b>3,644</b>	<b>3</b>	<b>306</b>
Closed during the reporting period	116	3,416	2	299
Pending at the end of the reporting period	6	228	1	7

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

Recommendation	Number of days required to complete consultation requests							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	More than 365 days	
Disclose entirely	15	29	16	5	0	1	0	66
Disclose in part	4	7	9	7	3	2	0	32
Exempt entirely	0	3	2	2	0	0	0	7
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	1	1	1	0	0	0	3
Other	6	1	1	0	0	0	0	8
<b>Total</b>	<b>25</b>	<b>41</b>	<b>29</b>	<b>15</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>116</b>



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

Recommendation	Number of days required to complete consultation requests							Total
	1 to 15 days	16 to 30 days	31 to 60 days	61 to 120 days	121 to 180 days	181 to 365 days	More than 365 days	
Disclose entirely	0	0	0	1	0	0	0	1
Disclose in part	0	0	0	0	0	0	1	1
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	1	0	0	1	2

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

### Completion time of consultations on Cabinet confidences

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



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

### 7.1 Costs

Expenditures		Amount \$
Salaries		5,194,966
Overtime		47,420
Goods and Services		931,416
– Professional services contracts	931,416	
– Other	0	
<b>Total</b>		<b>6,173,802</b>

### 7.2 Human Resources

Resources	Dedicated full-time to ATI activities	Dedicated part-time to ATI activities	Total
Full-time employees	85	0	85
Part-time and casual employees	0	0	0
Regional staff	0	0	0
Consultants and agency personnel	6	1	7
Students	0	0	0
<b>Total</b>	<b>91</b>	<b>1</b>	<b>92</b>

### Previously released access to information packages released informally

Institution	Number of informal releases of previously released informally
Canada Revenue Agency	297