

# Annual Report on the *Access to Information Act* and the *Privacy Act*

2016–17



Office of the  
Auditor General  
of Canada

Bureau du  
vérificateur général  
du Canada

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Office of the  
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9 June 2017

**Office of the Auditor General of Canada  
2016–17 Annual Report on the *Access to Information Act*  
and the *Privacy Act***

To the Honourable Speakers of the House of Commons and the Senate:

In accordance with section 72 of both the *Access to Information Act* and the *Privacy Act*, please find attached the Office of the Auditor General of Canada's 2016–17 Annual Report on the *Access to Information Act* and the *Privacy Act*.

Yours sincerely,

Michael Ferguson, CPA, CA  
FCA (New Brunswick)  
Auditor General of Canada  
240 Sparks Street  
Ottawa, Ontario K1A 0G6

Enclosure



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# Highlights and accomplishments for the 2016–17 fiscal year

## One hundred percent compliance

All formal *Access to Information Act* or *Privacy Act* requests received during the 2016–17 fiscal year met their legislative deadline. The Office of the Auditor General of Canada (OAG) is proud to have maintained 100 percent compliance with deadlines under both acts.

## Challenging *Access to Information Act* requests

The OAG received a significantly smaller number of *Access to Information Act* requests during the reporting period in comparison with the previous reporting period. However, three of the requests were received from one requester, and each request presented challenges to the OAG as a whole, due to the breadth of the request and the volume of records involved.

The first request was for records related to the OAG's information technology / information management (IT/IM) infrastructure. This request resulted in several employees dedicating a significant amount of time to retrieving and providing records. When the Access to Information and Privacy (ATIP) Coordinator contacted the requester to seek clarification, the requester added new components to the request, which increased the scope of both the request and the subject matter. This occurred on two separate occasions. Ultimately, the request was abandoned by the requester before the legislated, non-extended deadline.

The second request was for records related to investigations regarding employee wrongdoing, harassment complaints, and other similar human resource and labour relation subjects. A large volume of highly sensitive personal information of OAG employees was contained in the records that were relevant to the request. Again, the request was abandoned by the requester, this time during the extended legislated deadline.

The third request was for all records related to contracts that were issued between 1 January 2016 and 28 March 2017, the date the request was received by the OAG. The OAG initially estimated that the requested subject matter applied to approximately 980 contracts. The work required by OAG staff to produce the records in response to this request is a challenge, with more than 1,250 staff hours already spent exclusively on the task of retrieving the records at the time of this report's tabling. This request was carried over into the new fiscal year, and the OAG intends to include more information about this request in next year's report.

## Privacy awareness and framework

During the reporting period, the OAG introduced a personal information component to its audit methodology. This component focuses on limiting the collection of personal information during audits and ensures that unnecessary personal information is destroyed or retained personal information is made anonymous in audit files, whenever possible.

An updated Privacy Statement was published on the OAG website as well, informing the public of the OAG's collection and use of personal information obtained while a visitor browses the website.

At the time of this report's tabling, guidance on employee privacy has been drafted and is near completion. Once completed, the policy is intended to inform and enable OAG employees to know exactly what personal information is collected for the purposes of employment, how it is used, and for how long it is retained.

## **Training**

Previously, ATIP training was included with training on other areas, such as security and IT/IM. The OAG now requires that all employees attend mandatory training focused solely on ATIP. This new ATIP-specific training focuses on employee requirements when the OAG receives a request, as well as a significant training component related to personal information handling and the legislation, policies, directives, and best practices related to privacy in the Canadian public sector.

During the reporting period, two training sessions were given, with a total attendance of 86 employees.



**Annual Report on  
the *Access to Information Act*—2016–17**



## Introduction

When the *Federal Accountability Act* was enacted in 2006, amendments were made to the *Access to Information Act* (the Act) and the *Privacy Act*, both of which came into force in 1983. The scope of application of these laws was expanded, and the Office of the Auditor General of Canada (OAG) became subject to the *Access to Information Act*.

The *Access to Information Act* gives Canadian citizens and permanent residents, and any person and corporation present in Canada, the right to access information contained in government records, subject to certain specific and limited exceptions.

Section 72 of the Act requires the head of each government institution to prepare an annual report on the administration of the Act within the institution and to submit the report to Parliament.

This annual report on the administration of the *Access to Information Act* at the OAG describes how we administered our responsibilities under the Act during the 2016–17 fiscal year.

If you require more information or wish to make a request under the *Access to Information Act* or the *Privacy Act*, please direct your inquiries to the following:

Coordinator  
Access to Information and Privacy  
Office of the Auditor General of Canada  
240 Sparks Street  
Ottawa, Ontario K1A 0G6  
  
Tel.: 613-952-0213 (ext. 6455)  
Fax: 613-954-0441  
Email: [privacy@oag-bvg.gc.ca](mailto:privacy@oag-bvg.gc.ca)

## Who we are

The Office of the Auditor General of Canada (OAG) audits federal government operations and provides Parliament with independent information, advice, and assurance regarding the federal government's stewardship of public funds. While the OAG may comment on policy implementation in an audit, it does not comment on policy itself.

We are in the business of legislative auditing. We conduct

- performance audits of federal departments and agencies;
- annual financial audits of the government's financial statements;
- special examinations and annual financial audits of Crown corporations; and
- audits of the governments of Nunavut, Yukon, and the Northwest Territories.

Since 1995, the OAG has also had a specific environmental and sustainable development mandate, which was established through amendments to the *Auditor General Act*.

The Auditor General of Canada is the designated head of the institution for the *Access to Information Act* as well as the *Privacy Act*. Pursuant to section 73 of both acts, the Auditor General has delegated full authority to the Access to Information and Privacy Coordinator and the Senior General Counsel.

## Access to Information and Privacy Office

The Access to Information and Privacy (ATIP) Coordinator is accountable for the development and implementation of effective policies, guidelines, systems, and procedures to ensure that the Office of the Auditor General of Canada (OAG) meets its responsibilities under the *Access to Information Act* and the *Privacy Act*.

The ATIP Office at the OAG comprises

- one full-time ATIP Coordinator;
- two full-time employees from other groups at the OAG, who help the ATIP Office on a part-time, ad hoc basis; and
- one full-time legal counsel, who advises the ATIP Office on a part-time, ad hoc basis.

The main activities of the ATIP Coordinator include

- monitoring OAG compliance with the acts, regulations, and relevant procedures and policies;
- processing requests under both acts;
- developing and maintaining policies, procedures, and guidelines to ensure that the OAG respects the acts;
- promoting awareness of the acts within the OAG to ensure that employees are aware of their responsibilities;

- preparing annual reports to Parliament and other statutory reports, as well as other material that may be required by central agencies;
- representing the OAG in dealings with the Treasury Board of Canada Secretariat, the information and privacy commissioners, and other government departments and agencies to determine how the acts apply to the OAG; and
- helping the OAG meet its commitments to ensure openness and transparency, through proactive and informal disclosure of information.



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## DELEGATION ORDER

### *ACCESS TO INFORMATION ACT AND PRIVACY ACT*

I, Michael Ferguson, Auditor General of Canada, pursuant to section 73 of the *Access to Information Act* and section 73 of the *Privacy Act*, hereby designates the persons holding the positions set out in the schedule hereto, or the persons occupying on an acting basis those positions, to exercise the powers, duties and functions as the head of Office of the Auditor General of Canada, under the provisions of the Act and related regulations set out in the schedule opposite each position. This designation replaces all previous delegation orders.

#### Schedule

Position	<i>Access to Information Act</i> and Regulations	<i>Privacy Act</i> and Regulations
Senior General Counsel	Full authority	Full authority
Access to Information and Privacy Coordinator	Full authority	Full authority

Dated at the City of Ottawa this 10 day of July 2015

Michael Ferguson, CPA, CA  
FCA (New Brunswick)  
Auditor General of Canada

240 rue Sparks Street, Ottawa, Ontario K1A 0G6

# Administration of the Access to Information Act

## Requests under the Access to Information Act

Received during the reporting period:	7
Outstanding from the previous period:	<u>1</u>
<b>Total:</b>	<b>8</b>

## Sources of requests received

During the reporting period, requests were received from the public (4), businesses (2), and the media (1).

## Disposition of completed requests

The Office of the Auditor General of Canada (OAG) finalized 7 formal requests in the reporting period:

- 4 requests were disclosed in their entirety,
- 1 request could not be processed because no relevant records existed, and
- 2 requests were abandoned by the requester.

## Exemptions invoked

The OAG did not invoke any exemptions in any finalized requests. However, the two abandoned requests would have contained a significant number of exemptions.

## Exclusions cited

The OAG did not invoke any exclusions for the reporting period.

## Extension of time limits

Section 9 of the Act provides for the extension of the statutory time limits if consultations are necessary, or if a large number of records have been requested and processing the request within the original time limit would unreasonably interfere with OAG operations.

Of the 7 requests responded to during the reporting period,

- 2 were extended for 30 days or less pursuant to section 9(1)(a),
- 2 were extended for 31 to 60 days pursuant to section 9(1)(a),
- 1 was extended for 31 to 60 days pursuant to section 9(1)(b), and
- 2 requests were extended for more than 30 days pursuant to section 9(1)(c).

## Completion time

Of the 7 requests completed during the reporting period,

- 3 were completed by the original 30-day deadline,
- 1 required up to an additional 30 days,
- 1 required up to an additional 60 days, and
- 2 required between 61 and 120 days.

## Method of access

Where the relevant documents were given either in part or in their entirety, paper copies of documents were provided for three requests, and electronic copies were provided for one request.

## Fees

The fees collected during the reporting period totalled \$20. The OAG complies with the Treasury Board's Interim Directive on the Administration of the Access to Information and does not charge search or production fees, and waives the application fee when requested. During the reporting period, the \$5 application fee was waived in three instances.

## Costs

The costs directly associated with administration of the *Access to Information Act* for the reporting period are estimated to be \$109,065 for salaries and \$4,117 for goods and services, for a total of \$113,182.

## Complaints and investigations

The OAG received no complaints in the reporting period. The OAG has not received any complaints since the 2011–12 fiscal year.

## Institution-specific policies, guidelines, and procedures

The OAG did not revise policies, guidelines, or procedures—or implement new ones—during the 2016–17 fiscal year.

## Monitoring

The OAG uses time-code (product-code) management software, essentially a digital “timesheet,” to track all audit and audit-service activities, including

- management of the Access to Information and Privacy (ATIP) Office,
- management of access to information cases (treatment of formal *Access to Information Act* requests and consultations),
- management of privacy cases (treatment of formal and informal *Privacy Act* requests), and
- privacy impact assessments.

Whenever employees or contractors of the OAG participate in any ATIP-related activity, they must track the time they spend on the activity by entering the number of hours or partial hours into the product-code management software. These records are monitored on a regular basis for human resource and financial purposes. Any employee with access to the OAG network can use the OAG's INTRANet (internal Internet) to view this data.

As reflected in part 9.2 of Appendix A, the OAG dedicated 1.25 person-years to ATIP-related activities.



# Appendix A—Statistical Report on the Access to Information Act



## Statistical Report on the Access to Information Act

Name of institution: Office of the Auditor General of Canada

Reporting period: 2016-04-01 to 2017-03-31

### Part 1: Requests Under the Access to Information Act

#### 1.1 Number of requests

	Number of Requests
Received during reporting period	7
Outstanding from previous reporting period	1
<b>Total</b>	<b>8</b>
Closed during reporting period	7
Carried over to next reporting period	1

#### 1.2 Sources of requests

Source	Number of Requests
Media	1
Academia	0
Business (private sector)	2
Organization	0
Public	4
Decline to Identify	0
<b>Total</b>	<b>7</b>

#### 1.3 Informal 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	
0	0	0	0	0	0	0	0

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

## Part 2: Requests Closed During the Reporting Period

### 2.1 Disposition and completion time

Disposition of Requests	Completion Time							Total
	1 to 15 Days	16 to 30 Days	31 to 60 Days	61 to 120 Days	121 to 180 Days	181 to 365 Days	More Than 365 Days	
All disclosed	1	1	1	1	0	0	0	4
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
No records exist	0	1	0	0	0	0	0	1
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	0	1	0	1	0	0	0	2
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	1	3	1	2	0	0	0	7

### 2.2 Exemptions

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

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

## 2.3 Exclusions

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

## 2.4 Format of information released

Disposition	Paper	Electronic	Other Formats
All disclosed	3	1	0
Disclosed in part	0	0	0
<b>Total</b>	<b>3</b>	<b>1</b>	<b>0</b>

## 2.5 Complexity

### 2.5.1 Relevant pages processed and disclosed

Disposition of Requests	Number of Pages Processed	Number of Pages Disclosed	Number of Requests
All disclosed	323	323	4
Disclosed in part	0	0	0
All exempted	0	0	0
All excluded	0	0	0
Request abandoned	63615	0	2
Neither confirmed nor denied	0	0	0

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

Disposition	Less Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More Than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
All disclosed	3	17	1	306	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0	0	0
Request abandoned	0	0	1	0	0	0	0	0	1	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	<b>3</b>	<b>17</b>	<b>2</b>	<b>306</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>

### 2.5.3 Other complexities

Disposition	Consultation Required	Assessment of Fees	Legal Advice Sought	Other	Total
All disclosed	1	0	0	0	1
Disclosed in part	0	0	0	0	0
All exempted	0	0	0	0	0
All excluded	0	0	0	0	0
Request abandoned	0	0	2	0	2
Neither confirmed nor	0	0	0	0	0
<b>Total</b>	1	0	2	0	3

### 2.6 Deemed refusals

#### 2.6.1 Reasons for not meeting statutory deadline

Number of Requests Closed Past the Statutory Deadline	Principal Reason			
	Workload	External Consultation	Internal Consultation	Other
0	0	0	0	0

#### 2.6.2 Number of days past deadline

Number of Days Past Deadline	Number of Requests Past Deadline Where No Extension Was Taken	Number of Requests Past Deadline Where An Extension Was Taken	Total
1 to 15 days	0	0	0
16 to 30 days	0	0	0
31 to 60 days	0	0	0
61 to 120 days	0	0	0
121 to 180 days	0	0	0
181 to 365 days	0	0	0
More than 365 days	0	0	0
<b>Total</b>	0	0	0

### 2.7 Requests for translation

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

## Part 3: Extensions

### 3.1 Reasons for extensions and disposition of requests

Disposition of Requests Where an Extension Was Taken	9(1)(a) Interference With Operations	9(1)(b) Consultation		9(1)(c) Third-Party Notice
		Section 69	Other	
All disclosed	2	0	0	1
Disclosed in part	0	0	0	0
All exempted	0	0	0	0
All excluded	0	0	0	0
No records exist	0	0	0	0
Request abandoned	1	0	0	0
<b>Total</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>1</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	2	0	0	0
31 to 60 days	1	0	0	1
61 to 120 days	0	0	0	0
121 to 180 days	0	0	0	0
181 to 365 days	0	0	0	0
365 days or more	0	0	0	0
<b>Total</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>1</b>

## Part 4: Fees

Fee Type	Fee Collected		Fee Waived or Refunded	
	Number of Requests	Amount	Number of Requests	Amount
Application	4	\$20	3	\$15
Search	0	\$0	0	\$0
Production	0	\$0	0	\$0
Programming	0	\$0	0	\$0
Preparation	0	\$0	0	\$0
Alternative format	0	\$0	0	\$0
Reproduction	0	\$0	0	\$0
<b>Total</b>	<b>4</b>	<b>\$20</b>	<b>3</b>	<b>\$15</b>

## Part 5: Consultations Received From Other Institutions and Organizations

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

Consultations	Other Government of Canada Institutions	Number of Pages to Review	Other Organizations	Number of Pages to Review
Received during reporting period	20	319	0	0
Outstanding from the previous reporting period	0	0	0	0
<b>Total</b>	20	319	0	0
Closed during the reporting period	20	319	0	0
Pending at the end of the reporting period	0	0	0	0

### 5.2 Recommendations and completion time for consultations received from other Government of Canada 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	11	9	0	0	0	0	0	20
Disclose in part	0	0	0	0	0	0	0	0
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	11	9	0	0	0	0	0	20

### 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	0	0	0	0	0
Disclose in part	0	0	0	0	0	0	0	0
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0

## Part 6: Completion Time of Consultations on Cabinet Confidences

### 6.1 Requests with Legal Services

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More Than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

### 6.2 Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More Than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

## Part 7: Complaints and Investigations

Section 32	Section 35	Section 37	Total
0	0	0	0

## Part 8: Court Action

Section 41	Section 42	Section 44	Total
0	0	0	0

## Part 9: Resources Related to the Access to Information Act

### 9.1 Costs

Expenditures		Amount
Salaries		\$109,065
Overtime		\$0
Goods and Services		\$4,117
• Professional services contracts	\$0	
• Other	\$4,117	
<b>Total</b>		<b>\$113,182</b>

### 9.2 Human Resources

Resources	Person Years Dedicated to Access to Information Activities
Full-time employees	1.25
Part-time and casual employees	0.00
Regional staff	0.00
Consultants and agency personnel	0.00
Students	0.00
<b>Total</b>	<b>1.25</b>

**Note:** Enter values to two decimal places.



**Annual Report on  
the *Privacy Act*—2016–17**



## Introduction

The *Privacy Act* gives individuals the right to access information about themselves that is held by the Office of the Auditor General of Canada (OAG), subject to certain specific and limited exceptions. The *Privacy Act* also protects the privacy of individuals by giving them substantial control over the collection, use, and disclosure of their personal information and by preventing others from having access to that information.

Section 72 of the Act requires the head of each government institution to prepare an annual report on the administration of the Act within the institution and to submit the report to Parliament.

This annual report on the administration of the *Privacy Act* at the OAG describes how we administered our responsibilities under the Act during the 2016–17 fiscal year.

If you require more information or wish to make a request under the *Access to Information Act* or the *Privacy Act*, please direct your inquiries to the following:

Coordinator  
Access to Information and Privacy  
Office of the Auditor General of Canada  
240 Sparks Street  
Ottawa, Ontario K1A 0G6

Tel.: 613-952-0213 (ext. 6455)  
Fax: 613-954-0441  
Email: [privacy@oag-bvg.gc.ca](mailto:privacy@oag-bvg.gc.ca)

## Who we are

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We are in the business of legislative auditing. We conduct

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- annual financial audits of the government's financial statements;
- special examinations and annual financial audits of Crown corporations; and
- audits of the governments of Nunavut, Yukon, and the Northwest Territories.

Since 1995, the OAG has also had a specific environmental and sustainable development mandate, which was established through amendments to the *Auditor General Act*.

The Auditor General of Canada is the designated head of the institution for the *Access to Information Act* as well as the *Privacy Act*. Pursuant to section 73 of both acts, the Auditor General has delegated full authority to the Access to Information and Privacy Coordinator and the Senior General Counsel.

## Access to Information and Privacy Office

The Access to Information and Privacy (ATIP) Coordinator is accountable for the development and implementation of effective policies, guidelines, systems, and procedures to ensure that the Office of the Auditor General of Canada (OAG) meets its responsibilities under the *Access to Information Act* and the *Privacy Act*.

The ATIP OAG at the OAG comprises

- one full-time ATIP Coordinator;
- two full-time employees from other groups at the OAG, who help the ATIP Office on a part-time, ad hoc basis; and
- one full-time legal counsel, who advises the ATIP Office on a part-time, ad hoc basis.

The main activities of the ATIP Coordinator include

- monitoring OAG compliance with the acts, regulations, and relevant procedures and policies;
- processing requests under both acts;
- developing and maintaining policies, procedures, and guidelines to ensure that the OAG respects the acts;
- promoting awareness of the acts within the OAG to ensure that employees are aware of their responsibilities;

- preparing annual reports to Parliament and other statutory reports, as well as other material that may be required by central agencies;
- representing the OAG in dealings with the Treasury Board of Canada Secretariat, the information and privacy commissioners, and other government departments and agencies to determine how the acts apply to the OAG; and
- helping the OAG meet its commitments to ensure openness and transparency, through proactive and informal disclosure of information.



Office of the  
Auditor General  
of Canada

Bureau du  
vérificateur général  
du Canada

## DELEGATION ORDER

### *ACCESS TO INFORMATION ACT AND PRIVACY ACT*

I, Michael Ferguson, Auditor General of Canada, pursuant to section 73 of the *Access to Information Act* and section 73 of the *Privacy Act*, hereby designates the persons holding the positions set out in the schedule hereto, or the persons occupying on an acting basis those positions, to exercise the powers, duties and functions as the head of Office of the Auditor General of Canada, under the provisions of the Act and related regulations set out in the schedule opposite each position. This designation replaces all previous delegation orders.

#### Schedule

Position	<i>Access to Information Act</i> and Regulations	<i>Privacy Act</i> and Regulations
Senior General Counsel	Full authority	Full authority
Access to Information and Privacy Coordinator	Full authority	Full authority

Dated at the City of Ottawa this 10 day of July 2015

Michael Ferguson, CPA, CA  
FCA (New Brunswick)  
Auditor General of Canada

240 rue Sparks Street, Ottawa, Ontario K1A 0G6

## Administration of the *Privacy Act*

### Requests under the *Privacy Act*

Received during the reporting period:	2
Outstanding from the previous period:	<u>0</u>
<b>Total:</b>	<b>2</b>

### Disposition of completed requests

The Office of the Auditor General of Canada (OAG) finalized one request in the 2016–17 fiscal year. The request was transferred to Library and Archives Canada with the consent of the requester.

### Exemptions invoked

The OAG did not invoke any exemptions for the 2016–17 fiscal year.

### Exclusions cited

The OAG did not invoke any exclusions for the 2016–17 fiscal year.

### Completion time

The one finalized request was completed within the original 30-day legislated deadline, although the request was on hold for 33 days prior to its transfer to Library and Archives Canada.

### Extension of time limits

The OAG did not invoke any extensions for the 2016–17 fiscal year.

### Method of access

As the completed request was transferred to Library and Archives Canada, no records were disclosed by the OAG to the requester.

### Costs

The costs directly associated with administration of the *Privacy Act* for the reporting period are estimated to be \$36,676 for salaries. No costs were incurred for goods and services, contracts, or other expenses.

### Complaints and investigations

The OAG did not receive any complaints pursuant to the *Privacy Act* during this reporting period, and no investigations regarding the OAG were carried out.

### Disclosure of personal information under section 8(2)

The OAG did not disclose any personal information pursuant to section 8(2) during the reporting period.

## **Institution-specific policies, guidelines, and procedures**

The OAG did not revise policies, guidelines, or procedures—or implement new ones—during the 2016–17 fiscal year. However, the Privacy Statement on the OAG website was revised to clarify for the public what information is collected and used while a visitor browses the website.

## **Monitoring**

The OAG uses time-code (product-code) management software, essentially a digital “timesheet,” to track all audit and audit-service activities, including

- management of the Access to Information and Privacy (ATIP) Office,
- management of access to information cases (treatment of formal *Access to Information Act* requests and consultations),
- management of privacy cases (treatment of formal and informal *Privacy Act* requests), and
- privacy impact assessments.

Whenever employees or contractors of the OAG participate in any ATIP-related activity, they must track the time they spend on the activity by entering the number of hours or partial hours into the product-code management software. These records are monitored on a regular basis for human resource and financial purposes. Any employee with access to the OAG network can use the OAG’s INTRAnet (internal Internet) to view this data.

As reflected in part 10.2 of Appendix B, the OAG dedicated 1.25 person-years to ATIP-related activities.

## **Breaches**

No breaches of privacy occurred as a result of any OAG activity during the 2016–17 fiscal year.

## **Privacy impact assessments**

No privacy impact assessments were completed during the 2016–17 fiscal year because no program or activity underwent any significant change that affected privacy.



# Appendix B—Statistical Report on the *Privacy Act*



## Statistical Report on the *Privacy Act*

Name of institution: Office of the Auditor General of Canada

Reporting period: 2016-04-01 to 2017-03-31

### Part 1: Requests Under the *Privacy Act*

	Number of Requests
Received during reporting period	2
Outstanding from previous reporting period	0
<b>Total</b>	<b>2</b>
Closed during reporting period	1
Carried over to next reporting period	1

### Part 2: Requests Closed During the Reporting Period

#### 2.1 Disposition and completion time

Disposition of Requests	Completion Time							Total
	1 to 15 Days	16 to 30 Days	31 to 60 Days	61 to 120 Days	121 to 180 Days	181 to 365 Days	More Than 365 Days	
All disclosed	0	0	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
No records exist	0	0	0	0	0	0	0	0
Request abandoned	1	0	0	0	0	0	0	1
Neither confirmed nor denied	0	0	0	0	0	0	0	0
<b>Total</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>

## 2.2 Exemptions

Section	Number of Requests	Section	Number of Requests	Section	Number of Requests
18(2)	0	22(1)(a)(i)	0	23(a)	0
19(1)(a)	0	22(1)(a)(ii)	0	23(b)	0
19(1)(b)	0	22(1)(a)(iii)	0	24(a)	0
19(1)(c)	0	22(1)(b)	0	24(b)	0
19(1)(d)	0	22(1)(c)	0	25	0
19(1)(e)	0	22(2)	0	26	0
19(1)(f)	0	22.1	0	27	0
20	0	22.2	0	28	0
21	0	22.3	0		

## 2.3 Exclusions

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

## 2.4 Format of information released

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

## 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	0	0	0
Disclosed in part	0	0	0
All exempted	0	0	0
All excluded	0	0	0
Request abandoned	0	0	1
Neither confirmed nor denied	0	0	0
<b>Total</b>	0	0	1

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

Disposition	Less Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More Than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
All disclosed	0	0	0	0	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0	0	0
Request abandoned	1	0	0	0	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

## 2.5.3 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
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
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

## 2.6 Deemed refusals

### 2.6.1 Reasons for not meeting statutory deadline

Number of Requests Closed Past the Statutory Deadline	Principal Reason			
	Workload	External Consultation	Internal Consultation	Other
0	0	0	0	0

## 2.6.2 Number of days past deadline

Number of Days Past Deadline	Number of Requests Past Deadline Where No Extension Was Taken	Number of Requests Past Deadline Where An Extension Was Taken	Total
1 to 15 days	0	0	0
16 to 30 days	0	0	0
31 to 60 days	0	0	0
61 to 120 days	0	0	0
121 to 180 days	0	0	0
181 to 365 days	0	0	0
More than 365 days	0	0	0
<b>Total</b>	0	0	0

## 2.7 Requests for translation

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

## Part 3: Disclosures Under Subsections 8(2) and 8(5)

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

## Part 4: Requests for Correction of Personal Information and Notations

Disposition for Correction Requests Received	Number
Notations attached	0
Requests for correction accepted	0
<b>Total</b>	0

## Part 5: Extensions

### 5.1 Reasons for extensions and disposition of requests

Disposition of Requests Where an Extension Was Taken	15(a)(i) Interference With Operations	15(a)(ii) Consultation		15(b) Translation or Conversion
		Section 70	Other	
All disclosed	0	0	0	0
Disclosed in part	0	0	0	0
All exempted	0	0	0	0
All excluded	0	0	0	0
No records exist	0	0	0	0
Request abandoned	0	0	0	0
<b>Total</b>	0	0	0	0

## 5.2 Length of extensions

Length of Extensions	15(a)(i) Interference with operations	15(a)(ii) Consultation		15(b) Translation purposes
		Section 70	Other	
1 to 15 days	0	0	0	0
16 to 30 days	0	0	0	0
<b>Total</b>	0	0	0	0

## Part 6: Consultations Received From Other Institutions and Organizations

### 6.1 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
<b>Total</b>	0	0	0	0
Closed during the reporting period	0	0	0	0
Pending at the end of the reporting period	0	0	0	0

### 6.2 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 Days	More Than 365 Days	Total
All disclosed	0	0	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0

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

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 Days	More Than 365 Days	Total
All disclosed	0	0	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0

## Part 7: Completion Time of Consultations on Cabinet Confidences

### 7.1 Requests with Legal Services

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

### 7.2 Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

## Part 8: Complaints and Investigations Notices Received

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

## Part 9: Privacy Impact Assessments (PIAs)

Number of PIA(s) completed	0
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## Part 10: Resources Related to the *Privacy Act*

### 10.1 Costs

Expenditures		Amount
Salaries		\$36,676
Overtime		\$0
Goods and Services		\$0
• Professional services contracts	\$0	
• Other	\$0	
<b>Total</b>		<b>\$36,676</b>

### 10.2 Human Resources

Resources	Person Years Dedicated to Privacy Activities
Full-time employees	1.25
Part-time and casual employees	0.00
Regional staff	0.00
Consultants and agency personnel	0.00
Students	0.00
<b>Total</b>	<b>1.25</b>

**Note:** Enter values to two decimal places.