Annual Report on the Administration of the *Privacy Act*

2018-2019



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Annual Report on the Administration of the Privacy Act

Introduction

The *Privacy Act* (PA), proclaimed in 1983, protects the privacy of individuals who are Canadian citizens or permanent residents with respect to personal information about themselves held by the Canadian government. The PA provides individuals with the right to access their personal information and protects the privacy of individuals by prescribing the manner in which the government may collect, use, disclose, retain and dispose of personal information. Individuals may also request correction of personal information where they perceive inaccuracies or omissions and may have notations attached to the information where corrections are refused.

Section 72 of the PA requires that the head of every government institution prepare for submission to Parliament an annual report on the administration of the PA within the institution during each financial year.

This report covers the period from April 1, 2018 to March 31, 2019.

About the Canadian Transportation Agency

The Canadian Transportation Agency (CTA) is an independent, quasi-judicial tribunal and regulator that has, with respect to all matters necessary for the exercise of its jurisdiction, all the powers of a superior court.

The CTA oversees a very large and complex <u>national transportation system</u>, which is essential to the economic and social well-being of Canadians.

The CTA's decision-makers are regular <u>Members</u> appointed by the Governor-in-Council (GIC) and temporary Members appointed by the Minister of Transport from a GIC-approved roster. Members' key functions include making adjudicative rulings, regulations, and regulatory determinations, as well as designating CTA staff to exercise the role of enforcement officers.

The CTA has three core mandates:

 to help ensure that the national transportation system runs efficiently and smoothly in the interests of all Canadians: those who work and invest in it; the producers, shippers, travellers and businesses who rely on it; and the communities where it operates.

- to protect the human right of persons with disabilities to an accessible transportation network.
- to provide consumer protection for air passengers.

To help advance these mandates, the CTA has three tools at its disposal:

- Rule-making: The CTA develops and applies ground rules that establish the
 rights and responsibilities of transportation service providers and users and that
 level the playing field among competitors. These rules can take the form of
 binding regulations or less formal guidelines, codes of practice or interpretation
 notes.
- Dispute resolution: The CTA resolves disputes that arise between transportation service providers on the one hand, and their clients and neighbours on the other, using a range of tools from facilitation and mediation to arbitration and adjudication.
- **Information provision:** The CTA provides information on the transportation system, the rights and responsibilities of transportation service providers and users, and the CTA's legislation and services.

Organizational Structure of the ATIP Office

During this reporting period, the Access to Information and Privacy (ATIP) Office was positioned in the Information Management and Technology Services Directorate (IMTSD). The Office is comprised of one ATIP Coordinator reporting to the Director of IMTSD and one administrative assistant.

The ATIP Coordinator is responsible for the daily activities related to the administration of the *Access to Information Act* (ATIA) and PA and ensuring compliance with the requirements of the Acts, the policies and directives, and any other ATIP policy instrument issued by the Treasury Board of Canada Secretariat.

Some of the activities of the ATIP Office include:

- processing requests for information submitted under the ATIA and requests for personal information pursuant to the PA;
- responding to consultation requests received from other government institutions;
- providing advice and guidance to requesters and promoting awareness among CTA employees;
- updating, developing and implementing CTA procedures and practices for the application of the ATIA and PA;
- collaborating with the Office of the Information Commissioner and with the Office of the Privacy Commissioner on the resolution of complaints;

 preparing statistical reports and annual reports to Parliament on the administration of the ATIA and PA.

Open Court Principle

In its role as a quasi-judicial tribunal, the CTA operates like a court when adjudicating disputes and is therefore bound by the open court principle. This means that the CTA's adjudication proceedings must be open and accessible to all Canadians.

Any submissions or documents filed with the CTA as part of its formal adjudication process are made part of the public record without redaction, unless a request for confidentiality has been made to and accepted by the CTA. Requests for information related to adjudication decisions are processed informally, and records are released in their entirety unless a request for confidentiality was granted.

While requests for information on the public record are processed informally by other units of the CTA, the ATIP Office must also apply the open court principle when these records form part of a response to a request made under the PA.

Delegation Order

Delegation orders set out what the powers, duties and functions for the administration of the PA that have been delegated by the head of the institution, and to whom.

In May 2016, the Chair and Chief Executive Officer as head of the CTA delegated full authority of the administration of the PA to the Director of IMTSD and the Chief Corporate Officer as well as a partial authority to the ATIP Coordinator.

A copy of the signed delegation instrument is included in Appendix B.

Highlights of the Statistical Report, 2018-2019

Following the departure of the ATIP Coordinator and administrative assistant in the ATIP Office, the CTA was required to rebuild its ATIP Office with a new ATIP Coordinator to take over the administration of the PA. On April 1, 2019, the CTA welcomed its new ATIP Coordinator to take over the CTA's ATIP activities.

Requests Received under the Act, Consultations and Informal Requests

During the reporting period, the CTA received six new requests under the PA. This represents an increase of three requests (50%) over the previous year. The CTA had no outstanding request from the previous reporting period.

The CTA closed four requests within the legislative timeframe and carried over two requests to the next reporting year, 2019-2020.

No requests for consultation were received and no informal requests were processed within the ATIP Office.

Overview of requests received and completed in the ATIP Office over the last four years

Reporting Year	Requests Received	Requests Completed*
2018-2019	6	4
2017-2018	3	4
2016-2017	6	5
2015-2016	1	1
2014-2015	1	1

^{*}includes requests outstanding from the previous reporting year

Disposition of Completed Requests

With respect to the disposition of requests under the PA, one request resulted in full disclosure to the requester, two requests were disclosed in part while no record existed in response to one request.

Completion Time and Extensions on Completed Requests

Of the four requests completed in the reporting period, one request (25%) was completed in 15 days or less and three requests (75%) were completed within 30 days.

The PA allows institutions to extend the time limit for processing a request for a maximum of 30 days, if:

 Paragraph 15(a)(i): meeting the original time limit would unreasonably interfere with the operations of the government institution, or Paragraph 15(a)(ii): consultations are necessary to comply with the request that cannot reasonably be completed within the original time limit.

It may also extend the time limit for a period of time as is reasonable, if additional time is necessary for translation purposes or for the purposes of converting the personal information into an alternative format.

No extension was required. The four requests were disclosed within the legislative timeline.

Exemptions and Exclusions

Exemptions and exclusions are the only grounds to withhold information found in records that are requested under the PA and their application is limited and specific. Section 26, which protects personal information pertaining to individuals other than the requester, was invoked on two requests and remains to be the most used section in the past five years.

The PA indicates that certain types of materials are excluded from its application, specifically, records that are already available to the public (section 69) and Cabinet Confidences (section 70). The CTA did not invoke exclusions on any requests completed during the reporting period.

The CTA's statistical report on the PA for reporting year 2018-2019 is provided in Appendix A.

Training

During the reporting period, the ATIP Office provided guidance to management and employees regarding the requirements of the PA through ongoing dialogue and informal discussions. However, no formal training was provided by the ATIP Office during the reporting year.

Policies, Guidelines, Procedures and Initiatives

Continued efforts were made by the ATIP Office during the reporting period to refine and update processes to enable CTA employees to meet the requirements of the PA by understanding their role and responsibilities. The ATIP Office is updating its ATIP guidelines describing roles and responsibilities at each of the steps involved in an ATIP request at the CTA. More precisely, the Office is working on the ATIP liaison's role and responsibilities relating to the searching and retrieval of records in order to maximize processing efficiency and ensure that requesters receive their information in a timely

manner. The ATIP Office has also reviewed and updated employee access to the Records, Document and Information Management System (RDIMS) and the ATIP Office's Access Pro Case Management (APCM) system to ensure access to personal information is on a need-to-know basis only.

Summary of Key Issues and Actions Taken on Complaints or Audits

In the last reporting period, the CTA was notified by the Office of the Privacy Commissioner (OPC) of a complaint for which the individual alleged that the CTA contravened the access provisions of the PA by inappropriately invoking exemptions. The OPC's investigation into this complaint is ongoing.

During the reporting period, the OPC closed the following two complaints:

The first complaint was closed by the OPC at the early resolution (ER) stage. The complainant alleged that the CTA contravened the disclosure provisions of the PA by improperly disclosing on its website a Decision relating to the complainant's personal information.

The second complaint was determined to be not well-founded and closed by the OPC. The complainant alleged that the CTA contravened the use and disclosure provisions of the PA when it disclosed a personal e-mail address in the c.c. field of its e-mails to over 100 applicants involved in the adjudication of a dispute with an airline.

Monitoring Compliance

During the reporting period, the CTA continued to use Access Pro Case Management (APCM) system to track and monitor all administrative activities and set due dates in order to meet statutory timelines. Due dates for all actions were communicated to staff and reminders sent as required. All actions were also detailed in a separate tracking tool and the status of each request continues to be communicated to the Chief Corporate Officer and the Director of IMTSD on a weekly basis.

There were no requests for corrections of personal information over the reporting year.

Material Privacy Breaches

No material privacy breaches were identified during the reporting period.

Privacy Impact Assessments

The CTA did not complete any Privacy Impact Assessments in 2018-2019.

Public Interest Disclosures

During the reporting period, the CTA did not disclose information pursuant to paragraph 8(2)(m) of the PA.

Appendix A: Statistical Report on the Privacy Act

Reporting Period: April 1, 2018 to March 31, 2019

Part 1: Requests Under the *Privacy Act*

	Number of Requests
Received during reporting period	6
Outstanding from previous reporting period	0
Total	6
Closed during reporting period	4
Carried over to next reporting period	2

Part 2: Requests Closed During the Reporting Period

2.1 Disposition and completion time

Completion Tin)		
Disposition of 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	1	0	0	0	0	0	0	1
Disclosed in part	0	2	0	0	0	0	0	2
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 abandoned	0	0	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	1	3	0	0	0	0	0	4

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	2
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	1	0
Disclosed in part	0	2	0
Total	0	3	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	5	5	1
Disclosed in part	228	77	2
All exempted	0	0	0
All excluded	0	0	0

Request abandoned	0	0	0
Neither confirmed nor			
denied	0	0	0
Total	233	82	3

2.5.2 Relevant pages processed and disclosed by size of requests

Disposition	Pag	nan 100 ges essed	Pag	101-500 501-1000 Pages Pages Processed Processed		1001-5000 Pages Processed		More Than 5000 Pages Processed		
·	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
All disclosed	1	5	0	0	0	0	0	0	0	0
Disclosed in part	0	0	2	77	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	0	0	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
Total	1	5	2	77	0	0	0	0	0	0

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
Total	0	0	0	0	0

2.6 Deemed refusals

2.6.1 Reasons for not meeting statutory deadline

	Principal Reason					
Number of Requests Closed Past the Statutory Deadline	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
Total	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
Total	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
Total	0

Part 5: Extensions

5.1 Reasons for extensions and disposition of requests

	15(a)(i)		a)(ii) ultation	
Disposition of Requests Where an Extension Was Taken	Interference With Operations	Section 70	Other	15(b) Translation or Conversion
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
Total	0	0	0	0

5.2 Length of extensions

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

	Numb	Number of Days Required to Complete Consultation Requests							
Recommendation	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	
Total	0	0	0	0	0	0	0	0	

6.3 Recommendations and completion time for consultations received from other organizations

Number of days required to complete consultati								
Recommendation	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
Total	0	0	0	0	0	0	0	0

Part 7: Completion Time of Consultations on Cabinet Confidences

7.1 Requests with Legal Services

	Pa	han 100 ges essed) Pages essed	Pa	1000 ges essed	Pag	-5000 ges essed		an 5000 ges essed
Number of Days	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0	0	0

7.2 Requests with Privy Council Office

	Pa	han 100 ges essed		0 Pages essed	Pa	1000 ges essed	Pag	-5000 ges essed	Pag	an 5000 ges essed
Number of Days	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0	0	0

Part 8: Complaints and Investigations Notices Received

Section 31	Section 33	Section 35	Court action	Total
1	1	2	0	4

Part 9: Privacy Impact Assessments (PIAs)

Number of PIA(s) completed

Part 10: Resources Related to the *Privacy Act*

10.1 Costs

Expenditures		Amount		
Salaries		\$33,293		
Overtime		\$1,025		
Goods and Services		\$1,625		
Professional services contracts	\$0			
• Other	\$1,625			
Total		\$35,943		

10.2 Human Resources

Resources	Person Years Dedicated to Privacy Activities
Full-time employees	0.50
Part-time and casual employees	0.15
Regional staff	0.00
Consultants and agency personnel	0.00
Students	0.00
Total	0.65

Appendix B: May 2016 Delegation Order

CANADIAN TRANSPORTATION AGENCY

DELEGATION ORDER ACCESS TO INFORMATION ACT, ACCESS TO INFORMATION REGULATIONS, PRIVACY ACT AND PRIVACY REGULATIONS

The Chairman and Chief Executive Officer of the Canadian Transportation Agency, pursuant to section 73 of the *Access to Information Act* and section 73 of the *Privacy Act*, designates the persons holding the positions set out in the attached Schedule, or the persons occupying on an acting basis those positions, to exercise the powers, duties and functions of the Chairman and Chief Executive Officer as the head of the Canadian Transportation Agency, under the provisions of the Acts and related regulations set out in the Schedule opposite to each position. This designation replaces all previous delegation orders.

Scott Streiner
Chairman and Chief Executive Officer

Dated, at the City of Ottawa, this 02 day of May, 2016

Section of the Privacy Act		Authority Delegated to			
Administration of the <i>Privacy A</i>	Chief ct Corporate Officer	Director IMTSD	ATIP Coordinator	ATIP Analyst	
8(2)(j)(m) Disclosure of personal infor authorize the disclosure of information for research personal interest of interest of the individual	f personal urposes X	Х			
8(4) Requests from investigative • retain a copy of the requesting disclosed records		Х			
8(5) Notify Privacy Commissione 8(2)(m) disclosures notify Commissioner of pudisclosures and disclosure would clearly benefit indiviously whom the information relation	blic interest which duals to	х	Х		
9(1) Retain record of disclosures retain a record of use or di personal information wher disclosure is not included InfoSource, and attach the the personal information	isclosure of e the use or in X	Х	Х		
Notify Privacy Commissione consistent use notify Commissioner of couse or disclosure where the disclosure is not included InfoSource and update in publication	nsistent le use or X in	x	Х		
Include personal information Personal Information Banks 10 include all personal inform the control of the CTA in F Information Banks	ation under X	x	X		
 Notice where access reques give written notice to indivious whether or not access to to will be given and provide access is to be given 	iduals, as to he records X	Х	Х	Х	
14(b) Giving access to the record	X	X	X		
Extension of time limits • extend time limits for response requests for access	onding to X	Х	Х	Х	
1040000 101 000000	Х	Χ	Х		

	decide whether to translate information				
	Access in an alternative format				
17(3)(b)					
	determine if the giving of access in an alternative format to a person with a	Х	X	X	
(0)(0)	sensory disability is necessary and				
	reasonable				
	Exemption Provision	ns of the <i>Pri</i> v	vacy Act		
	Exempt banks				
18(2)	Refuse to disclose information	X	X	X	
	contained in an exempt bank				
19(1)(2)	Personal information obtained in	Х	X	X	
19(1)(2)	confidence	^	^	^	
20	Federal-provincial affairs	X	X		
21	International affairs and defence	X	X		
22	Law enforcement and investigation	X	X		
	Information prepared by an				
23	investigative body for security	X	X		
	clearances				
	Information collected by the Canadian				
24	Penitentiary Services, National Parole	X	X		
	Services or National Parole Board				
25	Safety of individuals	X	X		
26	Personal information about other	Х	Х	X	
20	individuals	^	^	^	
27	Solicitor-client privilege	X	X		
28	Medical records	X	X		
	Receive notice of investigations				
31	 receive notice of investigations by the 	X	X	X	
	Privacy Commissioner				
22(2)	Right to make representations				
33(2)	make representations to the Privacy	Х	X	X	
	Commissioner during investigation				
25/4)	Privacy Commissioner's Report	Х	~	_	
35(1)	receive Commissioner's report of findings, give notice of action taken	^	Х	X	
	findings, give notice of action taken Access to be given to complainant				
35(4)		Х	X	X	
33(4)	 give complainant access to information after 35(1)(b) notice 	^	^	^	
	Review of exempt banks				
36(3)	 receive Commissioner's findings of 	Х	X	X	
55(5)	investigation of exempt bank				
	Compliance investigation				
	receive report of Privacy				
37(3)	Commissioner's findings after	X	X	X	
	compliance investigations of sections				
	4 to 8				
	Special rules for hearings				
51(2)(b)	 request that section 51 hearings be 	X	X	X	
	held in NCR				
51(3)	Representations in hearings	X	X	X	

	 request and be given right to make representations in section 51 hearings 				
70	Cabinet Confidences	X	X		
72(1)	Annual Report submit Annual Report to Parliament	Х	х	Х	
	Responsibilities under t	he Privacy R	egulations:		
9	Provide reasonable facilities and time for examination of information	Х	Х	Х	
11(2)	Upon receipt of Correction Request Form, provide notification to individual that correction has been made and provide notifications in 11(2)(b) and (c)	Х	Х	Х	
11(4)	Where a request for correction is refused, attach notification to the personal information that a correction was refused and provide notifications in 11(4)(b)(c) and (d)	Х	Х	Х	
13(1)	Authorize the disclosure of medical records to a qualified medical practitioner or psychologist for opinion as to whether disclosure would be contrary to the best interests of the individual	Х	Х		
14	Examination in presence of medical practitioner of psychologist	Х	Х	Х	