



Office of the Superintendent of  
Financial Institutions Canada

Bureau du surintendant des  
institutions financières Canada

*Access to Information Act*

**Annual Report**

**2014-2015**

**June 2015**



OSFI  
BSIF

Canada 



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## **1. Introduction**

The purpose of the *Access to Information Act* is to extend the present laws of Canada to provide a right of access to information in records under the control of a government institution in accordance with the principles whereby government information should be available to the public, necessary exceptions to the right of access should be limited and specific and decisions on the disclosure of government information should be reviewed independently of government.

This annual report was prepared and submitted in accordance with section 72 of the *Access to Information Act*.

The information provided in this report covers the period from April 1, 2014 to March 31, 2015.

## **2. Mandate of the Office of the Superintendent of Financial Institutions (OSFI)**

OSFI's legislated mandate was implemented in 1996 and under the legislation, OSFI's mandate is to:

- supervise federally regulated financial institutions and private pension plans to determine whether they are in sound financial condition and meeting minimum plan funding requirements, respectively, and are complying with their governing law and supervisory requirements;
- promptly advise institutions and plans in the event there are material deficiencies and take, or require management, boards or plan administrators to take, necessary corrective measures expeditiously;
- advance and administer a regulatory framework that promotes the adoption of policies and procedures designed to control and manage risk; and
- monitor and evaluate system-wide or sectorial issues that may impact institutions negatively.

OSFI's prudential mandate supports a safe and sound Canadian financial system.

OSFI's legislation also acknowledges the need to allow institutions to compete effectively and take reasonable, measured risks. It recognizes that management, boards of directors, and plan administrators are ultimately responsible for the health of Canadian financial institutions and pension plans.

The Office of the Chief Actuary (OCA) is a separate unit within OSFI and provides expert actuarial services and advice on the state of various public pension plans and on the financial implications of options being considered by policymakers. In conducting its work, the OCA plays a vital and independent role towards a financially sound and sustainable Canadian public retirement income system.

### **3. Strategic Outcomes**

Primary to OSFI's mandate and central to its contribution to Canada's financial system are two strategic outcomes:

1. A safe and sound Canadian financial system
2. A financially sound and sustainable Canadian public retirement income system.

For the purposes of the *Access to Information Act*, the head of OSFI is the Superintendent and the responsible minister is the Minister of Finance.

### **4. Administration of the *Access to Information Act***

#### **4.1 Access to Information and Privacy Unit**

The Access to Information and Privacy (ATIP) Unit is part of the Enterprise Information Management (EIM) Directorate within the Information Management/Information Technology (IM/IT) Division. The unit is responsible for administering the *Act* for the Office of the Superintendent of Financial Institutions (OSFI). As such, the ATIP unit coordinates the timely processing of requests under the legislation, handles complaints lodged with the Information Commissioner, and responds to informal inquiries. The ATIP unit also provides advice and guidance to Office staff on matters involving the *Act*.

The unit is comprised of one ATIP Coordinator reporting to a Director, and supported by a backup resource and an administrative coordinator.

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

No institutional changes to the administration of the *Access to Information Act* were undertaken during this reporting period.

#### **4.3 Education and Training**

Training efforts in 2014-2015 have been focused on ensuring OSFI staff understands their roles and responsibilities in the effective management and protection of OSFI's information resources as an enabler in the delivery of the ATI program through a combination of presentations, information sessions and information bulletins. Training efforts in the coming year will be focused on ATIP awareness for all OSFI staff as part of an Information Management and ATIP awareness program now being finalized.

In addition, as part of the institutionalization of backup support for the single ATIP resource, a resource within the EIM Directorate has been assigned and a plan put in place to provide the necessary training to ensure effective support for the ATIP function in the absence of the ATIP

Coordinator. This training began in the past reporting period and will continue into the next year in order to ensure the ongoing sustainability of the organizational ATIP program

#### **4.4 Processing of access to information requests**

All access to information requests are forwarded to the ATIP Coordinator, who requests the information from the head of the division or divisions concerned. In gathering the material and subsequently reviewing it, the ATIP Coordinator provides advice and direction to ensure completeness and that the provisions of the Act are respected.

The assembled material is reviewed by the ATIP Coordinator, by Legal Services, and by the responsible Director, as appropriate. The material and the recommendations pertaining to each access file are then submitted to the Deputy Superintendent for review and approval.

#### **4.5 Delegation of authority**

Delegation orders set out what powers, duties and functions for the administration of the *Access to Information Act* have been delegated by the head of the institution and to whom. Administration of the *Access to Information Act* at OSFI is the responsibility of The Superintendent. The authority to claim exemptions and to issue various statutory notices has been delegated to the Deputy Superintendent. The authority to issue various statutory notices has also been delegated to the Director, Enterprise Information Management and to the Access to Information and Privacy Coordinator.

#### **4.6 Summary of significant changes to programs, operations, policies or procedures**

A fulsome review of internal Access to Information and Privacy procedures is currently underway to ensure practices are aligned with central agency best practices and relevant legislative instruments. This review is scheduled to be completed in the 2015-16 reporting period.

#### **4.7 Reading room**

In accordance with the *Access to Information Act*, OSFI's Kennet Room in Ottawa has been designated a public reading room. It is located at 255 Albert Street, on the 16<sup>th</sup> floor.

## 5. Interpretation of the Statistical Report

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

Due to the nature of OSFI's work regulating financial institutions and private pension plans under federal jurisdiction, much of the information in its possession is third-party information about these supervised institutions and pension plans.

In 2014-2015, two requests were outstanding from the previous reporting period, 39 new requests were received and two requests were carried over to the next reporting period. The total number of pages processed increased from 3,566 in 2013-2014 to 8,495 in 2014-2015. Twenty-five (25) consultations were processed (including one outstanding request from the previous reporting period) and 680 pages from other government institutions were reviewed. In addition, one consultation from another organization was received and a total of two pages were reviewed in response to the request. Since the inception of the Act to March 31, 2015, OSFI has received 1,028 access to information requests.

### Part 2 – Requests closed during the reporting period

#### *Disposition and completion time*

The following table summarizes the actions taken with respect to the completed requests:

<b>Disposition</b>	<b>Number of requests</b>
All disclosed	13
Disclosed in part	13
All exempted	1
No records exist	11
Transferred	0
Abandoned	1
Treated informally	0
<b>Total</b>	<b>39</b>

Parts of some of the records were subject to exemptions. In every case, the applicant was given access to the remaining portion of the records relevant to the request.

#### *Exemptions*

OSFI has only applied exemptions to withhold information under subsections 13(1)(c), 14(1)(a), 14(b), 18.1(1)(d), 19(1), 20(1)(a) and (b), 21(1)(a), (b) and (d) of the Act, as applicable.

#### *Exclusions*

No exclusions were applied.

### ***Format of information released***

Of the 39 requests received, paper documents were disclosed for 26 requests.

### ***Relevant pages processed and disclosed***

One thousand four hundred and seventy-five (1,475) pages were processed and disclosed which is the same number of pages referred to in the “All disclosed” column. Under the “Disclosed in part” category, 6,996 pages were processed and 5,512 pages were disclosed. Twenty-four (24) pages were exempted in their entirety.

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

Please refer to section 2.5.2 of the Statistical Report (Appendix A).

### ***Other complexities***

Please refer to section 2.5.3 of the Statistical Report (Appendix A).

### ***Deemed refusal***

All responses were provided within the statutory deadline.

### ***Request for translation***

No translations were requested.

## **Part 3 – Extensions**

Three (3) requests required extensions of 30 days or less for:

- interference with operations pursuant to 9(1)(a);
- consultation with another government department pursuant to 9(1)(b); and
- consultation with third parties pursuant to section 9(1)(c).

## **Part 4 – Fees**

Application fees of \$182 for 36 of the 39 requests submitted were received (including reproduction fees). The total amount of fees waived was \$605.

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

OSFI received 24 consultations and reviewed 604 pages from other government institutions. Twenty-five (25) consultations were processed within the reporting period which included one consultation outstanding from the previous reporting period. OSFI has also processed one consultation from other organization and reviewed two pages.

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

Twenty-three (23) consultations were processed within 1 to 15 days and two were processed within 16 to 30 days. OSFI recommended that 15 consultations be disclosed entirely, nine disclosed in part, and one be excluded entirely.

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

One consultation was received from another organization during the reporting period. Two pages were reviewed and the consultation was processed within 16 to 30 days.

### **Part 6 – Completion time of consultations on cabinet confidences**

OSFI did not consult on any Cabinet confidences.

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

The cost to administer the *Act* during this reporting period was \$96,729. This represents the work of one full-time employee at the RE-05 level, one backup employee at the RE-05 level, and one employee at the REX-07 level (which is a 0.90 full time equivalents (FTE)) and includes the related professional development costs for these employees.

## **6. Complaints and Investigations**

One complaint, was filed with the Office of the Information Commissioner of Canada (OIC) at the end of the previous reporting period and an investigation conducted in 2014. The complaint was well founded based on a failure in OSFI's "duty to assist" and was resolved in the current reporting period. The request required an extension of 220 days, was completed over eight month and closed in October 2014.

## **7. Appeals to the Federal Court of Canada**

### **7.1 Major changes implemented as a result of concerns or issues raised by the Information Commissioner of Canada in her annual report to Parliament**

No major changes were implemented by OSFI as the Information Commissioner of Canada did not raise any concerns or issues related to OSFI.

## **7.2 Major changes implemented as a result of concerns or issues raised by other agents of Parliament**

No major changes were implemented by OSFI as other agents of Parliament did not raise any concerns or issues.

## **7.3 Number of applications or appeals to the Federal Court or the Federal Court of Appeal during the fiscal year**

There were no applications or appeals to the Federal Court or the Federal Court of Appeal during this fiscal year related to OSFI.

## APPENDIX A



Government of Canada / Gouvernement du Canada

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

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 2014-04-01 to 2015-03-31

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

##### 1.1 Number of requests

	Number of Requests
Received during reporting period	39
Outstanding from previous reporting period	2
<b>Total</b>	<b>41</b>
Closed during reporting period	39
Carried over to next reporting period	2

##### 1.2 Sources of requests

Source	Number of Requests
Media	5
Academia	1
Business (private sector)	13
Organization	1
Public	19
Decline to Identify	0
<b>Total</b>	<b>39</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	10	3	0	0	0	0	0	13
Disclosed in part	7	4	1	0	0	1	0	13
All exempted	0	0	1	0	0	0	0	1
All excluded	0	0	0	0	0	0	0	0
No records exist	10	1	0	0	0	0	0	11
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	0	1	0	0	0	0	0	1
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	27	9	2	0	0	1	0	39

### 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)	1	16(2)(b)	0	18(c)	0	20.4	0
13(1)(d)	0	16(2)(c)	0	18(d)	0	21(1)(a)	6
13(1)(e)	0	16(3)	0	18.1(1)(a)	0	21(1)(b)	8
14	0	16.1(1)(a)	0	18.1(1)(b)	0	21(1)(c)	3
14(a)	3	16.1(1)(b)	0	18.1(1)(c)	0	21(1)(d)	1
14(b)	2	16.1(1)(c)	0	18.1(1)(d)	1	22	0
15(1)	0	16.1(1)(d)	0	19(1)	8	22.1(1)	0
15(1) - I.A.*	0	16.2(1)	0	20(1)(a)	1	23	0
15(1) - Def.*	0	16.3	0	20(1)(b)	6	24(1)	0
15(1) - S.A.*	0	16.4(1)(a)	0	20(1)(b.1)	1	26	0
16(1)(a)(i)	0	16.4(1)(b)	0	20(1)(c)	1		
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	13	0	0
Disclosed in part	13	0	0
<b>Total</b>	<b>26</b>	<b>0</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	1475	1475	13
Disclosed in part	6996	5512	13
All exempted	24	0	1
All excluded	0	0	0
Request abandoned	0	0	1
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	11	62	1	264	0	0	1	1149	0	0
Disclosed in part	7	160	4	672	1	848	0	0	1	3832
All exempted	1	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>20</b>	<b>222</b>	<b>5</b>	<b>936</b>	<b>1</b>	<b>848</b>	<b>1</b>	<b>1149</b>	<b>1</b>	<b>3832</b>

### 2.5.3 Other complexities

Disposition	Consultation Required	Assessment of Fees	Legal Advice Sought	Other	Total
All disclosed	0	0	0	13	13
Disclosed in part	2	0	0	13	15
All exempted	1	0	0	1	2
All excluded	0	0	0	0	0
Request abandoned	0	1	0	1	2
Neither confirmed nor	0	0	0	0	0
<b>Total</b>	<b>3</b>	<b>1</b>	<b>0</b>	<b>28</b>	<b>32</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>	<b>0</b>	<b>0</b>	<b>0</b>

### 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>	<b>0</b>	<b>0</b>	<b>0</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	0	0	0	0
Disclosed in part	1	0	0	1
All exempted	0	0	1	0
All excluded	0	0	0	0
No records exist	0	0	0	0
Request abandoned	0	0	0	0
<b>Total</b>	<b>1</b>	<b>0</b>	<b>1</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	0	0	1	1
31 to 60 days	0	0	0	0
61 to 120 days	0	0	0	0
121 to 180 days	0	0	0	0
181 to 365 days	1	0	0	0
365 days or more	0	0	0	0
<b>Total</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>1</b>

### Part 4: Fees

Fee Type	Fee Collected		Fee Waived or Refunded	
	Number of Requests	Amount	Number of Requests	Amount
Application	36	\$180	0	\$0
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	1	\$2	18	\$605
<b>Total</b>	<b>37</b>	<b>\$182</b>	<b>18</b>	<b>\$605</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	24	604	1	2
Outstanding from the previous reporting period	1	76	0	0
<b>Total</b>	25	680	1	2
Closed during the reporting period	25	680	1	2
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	15	0	0	0	0	0	0	15
Disclose in part	7	2	0	0	0	0	0	9
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	1	0	0	0	0	0	0	1
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	23	2	0	0	0	0	0	25

**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	1	0	0	0	0	0	1
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	1	0	0	0	0	0	1

**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		\$94,800
Overtime		\$0
Goods and Services		\$1,929
• Professional services contracts	\$0	
• Other	\$1,929	
<b>Total</b>		<b>\$96,729</b>

**9.2 Human Resources**

Resources	Person Years Dedicated to Access to Information Activities
Full-time employees	0.90
Part-time and casual employees	0.00
Regional staff	0.00
Consultants and agency personnel	0.00
Students	0.00
<b>Total</b>	<b>0.90</b>

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

## APPENDIX B



Office of the Superintendent of  
Financial Institutions Canada

Bureau du surintendant des  
institutions financières Canada

### DESIGNATION / DÉLÉGATION

#### *ACCESS TO INFORMATION ACT / LOI SUR L'ACCÈS À L'INFORMATION*

##### **Access to Information Act Designation Order**

By this order made pursuant to section 73 of the *Access to Information Act*, I hereby authorize those officers and employees of the Office of the Superintendent of Financial Institutions occupying, on an acting basis or otherwise, the positions identified within the attached schedule to perform on my behalf any of the powers, duties or functions specified therein.

This designation replaces and repeals all previous orders.

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

Par le présent arrêté pris en vertu de l'article 73 de la *Loi sur l'accès à l'information*, j'autorise les agents et les employés du Bureau des institutions financières occupant, par intérim ou autrement, les postes identifiés dans l'annexe ci-jointe à exercer en mon nom, les attributions, les fonctions et les pouvoirs qui y sont spécifiés.

Le présent document remplace et annule tous les arrêtés antérieurs.

Dated in Ottawa on this 14<sup>th</sup> day of February, 2014

Fait à Ottawa en ce 14 jour de Fevrier 2014

Superintendent of Financial Institutions/  
Le surintendant des institutions financières



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**SCHEDULE 1**  
**Designation Order - Access to Information Act**

Section	Powers, Duties or Functions	Deputy Superintendent, Regulation Sector	Director, Enterprise Information Management	ATIP Coordinator
4(2.1)	Reasonable effort to assist, respond accurately and completely and provide timely access in the format requested	X	X	X
7(a)	To give notice to applicant that access will be given	X	X	X
7(b)	To give access to the record	X	X	X
8(1)	To transfer to another institution or to accept transfer from another institution and to give notice to applicant	X	X	X
9	To extend time limit and give notice	X	X	X
10	No records exist	X	X	X
11(2)	To require payment of additional fees	X	X	X
11(3)	To require payment for machine readable record	X	X	X
11(4)	To require payment of a deposit	X	X	X
11(5)	To give notice of amount required	X	X	X
11(6)	To waive the requirement to pay a fee	X	X	X
12(2)	To determine whether a record should be translated	X	X	X
12(3)	To determine whether a record should be provided in an alternative format	X	X	X
13	To refuse to disclose a record referred to in that section	X	X	
14	To refuse to disclose a record referred to in that section	X	X	
15	To refuse to disclose a record referred to in that section	X	X	
16	To refuse to disclose a record referred to in that section	X	X	

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**SCHEDULE 1**  
**Designation Order - Access to Information Act**

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Deputy Superintendent, Regulation Sector</b>	<b>Director, Enterprise Information Management</b>	<b>ATIP Coordinator</b>
16.5	To refuse to disclose a record referred to in that section	X	X	
17	To refuse to disclose a record referred to in that section	X	X	
18	To refuse to disclose a record referred to in that section	X	X	
18.1	To refuse to disclose a record referred to in that section	X	X	
19	To refuse to disclose a record referred to in that section	X	X	
20(1)	To refuse to disclose a record referred to in that subsection	X	X	
20(2)	To disclose part of a record referred to in that subsection	X	X	
20(3)	To disclose part of a record referred to in that subsection and provide written explanation	X	X	
20(5)	To disclose, with the consent of third party, a record referred to in subsection 20(1)	X	X	
20(6)	To disclose, in the public interest, a record referred to in paragraphs 20(1)(b),(c) or (d)	X	X	
21(1)	To refuse to disclose a record referred to in that subsection	X	X	
22	To refuse to disclose a record referred to in that section	X	X	
22.1	To refuse to disclose a record referred to in that section	X	X	
23	To refuse to disclose a record referred to in that section	X	X	
24	To refuse to disclose a record referred to in that section	X	X	
25	To disclose information that can reasonably be severed	X	X	

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**SCHEDULE 1**  
**Designation Order - Access to Information Act**

Section	Powers, Duties or Functions	Deputy Superintendent, Regulation Sector	Director, Enterprise Information Management	ATIP Coordinator
26	To refuse to disclose a record referred to in that section	X	X	
27(1)	To give to third party notice of intent to disclose	X	X	X
27(4)	To extend time limit set out in 27(1)	X	X	X
28(1)	To decide on disclosure after third party representation and to give notice of decision to third party	X	X	X
28(2)	To waive requirement for written representations	X	X	X
28(4)	To give access unless review of decision is requested	X	X	
29(1)	To give notice to applicant and to third party	X	X	
33	To advise the Information Commissioner of any third party who received notification or, if the document would have been disclosed, would have received notification	X	X	X
35(2)	To make representations to the Information Commissioner	X	X	X
37(4)	To give notice to the Information Commissioner that access to a record will be given	X	X	X
43(1)	To give notice to a third party of application for Court review	X	X	X
44(2)	To give notice to applicant that third party has applied for Court review	X	X	X
52(2)	To request hearing in the National Capital Region	X	X	
52(3)	To request opportunity to make representations <i>ex parte</i>	X	X	
71(1)	To provide facilities where manuals may be inspected by public	X	X	X
71(2)	To exempt information severed from manuals	X	X	

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**SCHEDULE 1**  
**Designation Order - Access to Information Act**

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Deputy Superintendent, Regulation Sector</b>	<b>Director, Enterprise Information Management</b>	<b>ATIP Coordinator</b>
72(1)	To prepare annual report for submission to Parliament	X	X	X

**Access to Information Regulations**

<b>Section</b>	<b>Powers, Duties or Functions</b>	<b>Deputy Superintendent, Regulation Section</b>	<b>Director, Enterprise Information Management</b>	<b>ATIP Coordinator</b>
6(1)9	Transfer of request	X	X	X
7(2)	Search and preparation fees	X	X	X
7(3)	Production and programming fees	X	X	X
8	Providing access to record(s)	X	X	X
8.1	Limitation	X	X	

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