



Office of the Superintendent of
Financial Institutions Canada

Bureau du surintendant des
institutions financières Canada

Annual Report to Parliament on the administration of the *Access to Information Act*

2016-2017

May 2017



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* and covers the period from April 1, 2016 to March 31, 2017.

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

Under its legislation, OSFI's mandate is:

Fostering sound risk management and governance practices

OSFI advances a regulatory framework designed to control and manage risk.

Supervision and early intervention

OSFI supervises federally regulated financial institutions and pension plans to determine whether they are in sound financial condition and meeting regulatory and supervisory requirements.

OSFI promptly advises financial institutions and pension plans if there are material deficiencies, and takes corrective measures or requires that they be taken to expeditiously address the situation.

Environmental scanning linked to safety and soundness of financial institutions

OSFI monitors and evaluates system-wide or sectoral developments that may have a negative impact on the financial condition of federally regulated financial institutions.

Taking a balanced approach

OSFI acts to protect the rights and interests of depositors, policyholders, financial institution creditors and pension plan beneficiaries while having due regard for the need to allow financial institutions to compete effectively and take reasonable risks.

OSFI recognizes that management, boards of directors and pension plan administrators are ultimately responsible for risk decisions and that financial institutions can fail and pension plans can experience financial difficulties resulting in the loss of benefits.

In fulfilling its mandate, OSFI supports the government's objective of contributing to public confidence in the Canadian financial system.

The Office of the Chief Actuary is an independent unit within OSFI that provides a range of actuarial valuation and advisory services to the Government of Canada. In conducting its work, the OCA plays a vital and independent role towards a financially sound and sustainable Canadian public retirement income system.

3. Strategic Outcomes

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

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

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

4. Administration of the *Access to Information Act*

4.1 Access to Information and Privacy (ATIP) Unit

The Access to Information and Privacy (ATIP) Unit is part of the 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*.

Of particular note, OSFI has created and staffed a new position in the ATIP Unit. The Manager, Privacy and Access to Information reports to the Director, EIM and is supported by the ATIP Coordinator, a backup resource and an administrative coordinator. Due to the extended absence of the ATIP coordinator during this reporting period the ATIP unit also relied upon the support of contract resources.

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

In July 2016, the *Access to Information Act* Designation Orders were updated to reflect the changes in governance at OSFI. The Assistant Superintendent, Corporate Services has assumed responsibility and been delegated full powers by the Superintendent. The new role of Manager, Privacy and Access to Information has also been added.

4.3 Education and Training

Training efforts in 2016-2017 have been focused on ensuring OSFI staff understand their roles and responsibilities in the effective management and protection of OSFI's information resources as an enabler in the delivery of the ATI program through a combination of presentations, information sessions and information bulletins. Training efforts focused on ATIP awareness for all OSFI staff as part of an Information Management and ATIP awareness program. Five (5) awareness sessions were held and 70 employees attended.

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 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, the Manager, Privacy and Access to Information and by Legal Services, as appropriate. The material and the recommendations pertaining to each request are then submitted to the program area for validation. Once agreed to, the release package is submitted to the Assistant Superintendent, Corporate Services 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 Assistant Superintendent, Corporate Services. The authority to issue various statutory notices has also been delegated to the Director, Enterprise Information Management, the Manager, Privacy and Access to Information and to the Access to Information and Privacy Coordinator.

4.6 Monitoring Compliance

The time taken to process access to information requests is tracked in the ATIP tracking system. The ATIP case load is reviewed bi-weekly with the Director, EIM and the proposed final responses to ATI requests are ultimately reviewed and approved by the Assistant Superintendent, Corporate Services. Concerns are raised as appropriate throughout the lifecycle of the request and priority is given to fulfilling OSFI's statutory obligations.

4.7 Summary of significant changes to programs, operations, policies or procedures

The most significant change to the ATIP process within OSFI was the implementation of the the Treasury Board Secretariat's new *Interim Directive on the Administration of the Access to Information Act*. The waiver of all fees, other than the application fee, was a marked departure from the previous process and there has been a noticeable impact on the ability of the ATIP Unit to narrow the scope of broad requests.

In order to enhance the accountability for the *Access to Information* program, OSFI has further strengthened the internal approval process to ensure Executive Management from the responsible program area has reviewed and understood the proposed disclosure of information under their purview. This concurrence is now reflected in the formal approval process.

4.8 Reading room

In accordance with the *Access to Information Act*, a public reading room is available in Ottawa. It is located at 255 Albert Street, on the 16th floor.

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.

OSFI saw a 70% increase in ATI requests received in 2016-2017. Sixty-three (63) requests received versus the 37 requests received the year prior. Six requests were outstanding from the previous reporting period and eight requests were carried over to the next. The total number of pages processed decreased slightly from 10,132 in 2015-2016 to 9,328 in 2016-2017. Since the inception of the *Act* to March 31, 2017, OSFI has received 1,128 access to information requests.

The number of requests from those identifying themselves as “media” and “the public” remained virtually unchanged from last year (11 and 19 respectively), but there was a significant increase in “business” requests from the private sector (31 from 6 requests the previous year). This represents a 417% increase.

While the number of informal requests was comparable to the previous year (22 versus 20 respectively), the completion time for these requests was reduced significantly in 2016-17.

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:

Disposition	Number of requests
All disclosed	10
Disclosed in part	34
All exempted	2
All excluded	2
No records exist	8
Request transferred	0
Request abandoned	5
Neither confirmed nor denied	0
Total	61

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

Exemptions

OSFI has applied exemptions to withhold information under subsections 13(1)(a), 15(1), 16(1)(c), 16(2)(c), 18(d), 19(1), 20(1)(b), (c) and (d), 21(1) (a) and (b), 23 and 24(1) of the Act, as applicable.

Exclusions

Subsection 68(a) was applied in two cases.

Format of information released

Paper documents were disclosed in 39 requests and five were provided in an electronic format.

Relevant Pages Processed and Disclosed

Two thousand, four hundred and eighty-four (2,484) pages were processed and disclosed in full. Under the “Disclosed in part” category, 3,137 pages were processed and 1,477 pages were disclosed. Two thousand seven hundred and eighty-seven (2,787) pages were exempted in their entirety. Five hundred and fifty-eight pages (558) were excluded in their entirety. Three hundred sixty-two (362) pages were being processed when the requests were abandoned. During this reporting period, OSFI disclosed 3,961 pages of the 9,328 relevant pages processed.

Deemed Refusal

There were nine requests for which responses were provided past the statutory deadline. The rate of deemed refusals has declined this year over last - 9 of 61 (15%) compared to 7 of 35 (20%) in the previous year - with workload contributing to almost half of the requests closed past the statutory deadline.

Request for Translation

No translations were requested.

Part 3 – Extensions

Six (6) requests required extensions of 30 days or less for:

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

Eleven (11) requests required extensions of 30 days or more 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).

Extensions for 3rd party consultations have resulted in the disclosure of more information than the year prior, supporting the principle of increased openness in line with the Interim Directive on ATI.

Part 4 – Fees

Application fees of \$255 for 51 of the 61 requests closed over this reporting period were received. The total amount of fees waived was \$50.

Part 5 – Consultations Received from Other Institutions and Organizations

Forty-one (41) consultations from other government departments were also processed during this reporting period. In total, 1,183 pages from other government institutions were reviewed.

Recommendations and completion time for consultations received from other government institutions

OSFI saw an 86% increase in consultations received from other GC institutions -39 requests received this year compared to 21 requests in the previous year. Thirty-one (31) consultations were processed within 1 to 15 days and ten were processed within 16 to 30 days. OSFI recommended that twenty-three consultations be disclosed entirely, fifteen disclosed in part, one withheld in its entirety, one was provided to OSFI for information only and one was recommended for consultation with another institution.

Recommendations and completion time for consultations received from other organizations

No consultations were received from other organizations.

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 \$219,259. These costs represent the work of one employee at the RE-06 level, one employee at the REX-07 level and the cost of consultant support during the absence of the ATIP Coordinator – a total of 1.25 full-time equivalents (FTE) – and include related professional development costs for the employees.

6. Complaints and Investigations

Two complaints were filed with the Office of the Information Commissioner of Canada (OIC) during the reporting period. Both complaints, pertained to the application of exclusions, and are pending resolution of an OIC investigation. While the number of complaints received was comparable in

number to the previous year - 2 in 2016-17 compared to 3 in 2015-16 - the percentage of complaints to number of requests is less than ½ of that of the previous year - 3.2% in 2016-17 compared to 8.6% in 2015-16.

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



Statistical Report on the *Access to Information Act*

Name of institution: OSFI

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	63
Outstanding from previous reporting period	6
Total	69
Closed during reporting period	61
Carried over to next reporting period	8

1.2 Sources of requests

Source	Number of Requests
Media	11
Academia	2
Business (private sector)	31
Organization	0
Public	19
Decline to Identify	0
Total	63

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	
17	2	3	0	0	0	0	22

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	5	5	0	0	0	0	0	10
Disclosed in part	3	9	5	14	2	1	0	34
All exempted	1	0	0	1	0	0	0	2
All excluded	2	0	0	0	0	0	0	2
No records exist	6	2	0	0	0	0	0	8
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	3	2	0	0	0	0	0	5
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	20	18	5	15	2	1	0	61

2.2 Exemptions

Section	Number of Requests	Section	Number of Requests	Section	Number of Requests	Section	Number of Requests
13(1)(a)	1	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)	3	18(d)	1	21(1)(a)	15
13(1)(e)	0	16(3)	0	18.1(1)(a)	0	21(1)(b)	22
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)	24	22.1(1)	0
15(1) - I.A.*	2	16.2(1)	0	20(1)(a)	0	23	1
15(1) - Def.*	0	16.3	0	20(1)(b)	20	24(1)	4
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)	16		
16(1)(a)(ii)	0	16.5	0	20(1)(d)	1		
16(1)(a)(iii)	0	17	0				
16(1)(b)	0						
16(1)(c)	4						
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)	2	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	9	1	0
Disclosed in part	30	4	0
Total	39	5	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	2484	2484	10
Disclosed in part	3137	1477	34
All exempted	2787	0	2
All excluded	558	0	2
Request abandoned	362	0	5
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	8	18	0	0	0	0	2	2466	0	0
Disclosed in part	25	523	8	899	0	0	1	55	0	0
All exempted	0	0	1	0	0	0	1	0	0	0
All excluded	0	0	2	0	0	0	0	0	0	0
Request abandoned	4	0	1	0	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
Total	37	541	12	899	0	0	4	2521	0	0

2.5.3 Other complexities

Disposition	Consultation Required	Assessment of Fees	Legal Advice Sought	Other	Total
All disclosed	0	0	0	0	0
Disclosed in part	17	0	5	0	22
All exempted	1	0	0	0	1
All excluded	0	0	0	0	0
Request abandoned	0	0	0	0	0
Neither confirmed nor	0	0	0	0	0
Total	18	0	5	0	23

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
9	4	4	1	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	1	1
16 to 30 days	0	0	0
31 to 60 days	2	1	3
61 to 120 days	2	2	4
121 to 180 days	0	0	0
181 to 365 days	1	0	1
More than 365 days	0	0	0
Total	5	4	9

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: 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	2	0	12	2
All exempted	1	0	0	0
All excluded	0	0	0	0
No records exist	0	0	0	0
Request abandoned	0	0	0	0
Total	3	0	12	2

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	1	0	5	0
31 to 60 days	1	0	7	2
61 to 120 days	1	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
Total	3	0	12	2

Part 4: Fees

Fee Type	Fee Collected		Fee Waived or Refunded	
	Number of Requests	Amount	Number of Requests	Amount
Application	51	\$255	10	\$50
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
Total	51	\$255	10	\$50

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	39	1077	0	0
Outstanding from the previous reporting period	2	106	0	0
Total	41	1183	0	0
Closed during the reporting period	41	1183	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	19	4	0	0	0	0	0	23
Disclose in part	9	6	0	0	0	0	0	15
Exempt entirely	1	0	0	0	0	0	0	1
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	1	0	0	0	0	0	0	1
Other	1	0	0	0	0	0	0	1
Total	31	10	0	0	0	0	0	41

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
Total	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
Total	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
Total	0	0	0	0	0	0	0	0	0	0

Part 7: Complaints and Investigations

Section 32	Section 35	Section 37	Total
2	0	0	2

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		\$65,617
Overtime		\$0
Goods and Services		\$153,642
• Professional services contracts	\$153,319	
• Other	\$323	
Total		\$219,259

9.2 Human Resources

Resources	Person Years Dedicated to Access to Information Activities
Full-time employees	0.54
Part-time and casual employees	0.00
Regional staff	0.00
Consultants and agency personnel	0.71
Students	0.00
Total	1.25

Note: Enter values to two decimal places.

APPENDIX B

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 5 day
of July, 2016

Fait à Ottawa en ce 5 jour
de juillet, 2016



Superintendent of Financial Institutions/
Le surintendant des institutions financières

SCHEDULE 1
Designation Order - Access to Information Act

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

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SCHEDULE 1
Designation Order - Access to Information Act

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
27(1)	To give to third party notice of intent to disclose	X	X	X	X
27(4)	To extend time limit set out in 27(1)	X	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	X
28(2)	To waive requirement for written representations	X	X	X	X
28(4)	To give access unless review of decision is requested	X	X	X	
29(1)	To give notice to applicant and to third party	X	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	X
35(2)	To make representations to the Information Commissioner	X	X	X	X
37(4)	To give notice to the Information Commissioner that access to a record will be given	X	X	X	X
43(1)	To give notice to a third party of application for Court review	X	X	X	X
44(2)	To give notice to applicant that third party has applied for Court review	X	X	X	X
52(2)	To request hearing in the National Capital Region	X	X	X	
52(3)	To request opportunity to make representations <i>ex parte</i>	X	X	X	
71(1)	To provide facilities where manuals may be inspected by public	X	X	X	X
71(2)	To exempt information severed from manuals	X	X	X	

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SCHEDULE 1
Designation Order - Access to Information Act

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
72(1)	To prepare annual report for submission to Parliament	X	X	X	X

Access to Information Regulations

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
6(1)9	Transfer of request	X	X	X	X
7(2)	Search and preparation fees	X	X	X	X
7(3)	Production and programming fees	X	X	X	X
8	Providing access to record(s)	X	X	X	X
8.1	Limitation	X	X	X	

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