



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

2018-2019

May 2019



OSFI
BSIF

Canada

Table of Contents

1. Introduction	1
2. Mandate of the Office of the Superintendent of Financial Institutions (OSFI)	1
3. Strategic Outcomes	2
4. Administration of the <i>Access to Information Act</i>	2
4.1 Access to Information and Privacy (ATIP) Unit	2
4.2 Institutional Changes to the Administration of the Access to Information Act	2
4.3 Education and Training	2
4.4 Processing of Access to Information Requests	3
4.5 Delegation of Authority	3
4.6 Monitoring Compliance	3
4.7 Summary of Significant Changes to Programs, Operations, Policy or Procedures	3
4.8 Reading Room	3
5. Interpretation of Statistical Report	4
Part 1 - Requests Under the Access to Information Act	4
Part 2 - Requests Closed During the Reporting Period	5
Disposition and Completion Time	5
Exemptions	6
Exclusions	6
Format of Information Released	6
Relevant Pages Processed and Disclosed	6
Deemed Refusal	6
Request for Translation	6
Part 3 - Extensions	7
Part 4 - Fees	7
Part 5 - Consultations Received from Other Government Institutions and Organizations	7
Recommendations and completion time for consultations received from other government institutions	8
Recommendations and completion time for consultations received from other institutions	8
Part 6 - Completion Time of Consultations on Cabinet confidences	8
Part 7 - Resources Related to the Access to Information Act	8
6. Complaints and Investigations	9

7. Appeals to the Federal Court of Canada	9
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	9
7.2 Major changes implemented as a result of concerns or issued raised by other agents of Parliament	9
7.3 Number of applications or appeals to the Federal Court or the Federal Court of Appeal during the fiscal year	9
Appendix A - Statistical Report on the <i>Access to Information Act</i>	10
Appendix B - Additional Reporting Requirements	18
Appendix C - Designation Order: <i>Access to Information Act</i>	19

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, 2018 to March 31, 2019.

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, 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*.

The Manager, Privacy and Access to Information reports to the Director, EIM and is supported by an ATIP Officer and a Junior ATIP Officer. In 2018-2019, the Senior ATIP Officer – Open Government position was created. Work is currently underway to staff this position in anticipation of Bill C-58 receiving royal assent in fiscal year 2019-2020. The ATIP unit also relied upon the support of contract resources.

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

There were no significant institutional changes to the administration of the *Access to Information Act* to report during this reporting period.

4.3 Education and Training

Training efforts in 2018-2019 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. Four (4) awareness sessions were held and 50 employees attended.

4.4 Processing of access to information requests

All formal Access to Information requests are submitted to the Manager, Privacy and Access to Information, who reviews and assigns them to an ATIP Officer. The Officer requests the information from the head of the division or divisions concerned. In gathering the material and subsequently reviewing it, the ATIP Office provides advice and direction to ensure that the provisions of the *Act* are respected.

Assembled material is reviewed by the ATIP Officer and the Manager, Privacy and Access to Information. 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 and the Manager, Privacy and Access to Information.

4.6 Monitoring Compliance

The time taken to process access to information requests is tracked in the ATIP tracking system. The ATIP caseload 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

In support of the new proactive disclosure requirements, to be introduced should Bill C-58 receive royal assent, OSFI has developed a process to facilitate the identification, review and posting of relevant briefing note titles. This process will utilize functionality currently available through OSFI's electronic document and record management system (eSpace). ATIP Liaisons have been appointed by each Sector to coordinate proactive disclosure efforts for their groups and to ensure timely release of briefing note titles and other material as per the established internal process. Once Bill C-58 is enacted, OSFI will be well positioned to comply with the additional reporting requirements.

4.8 Reading room

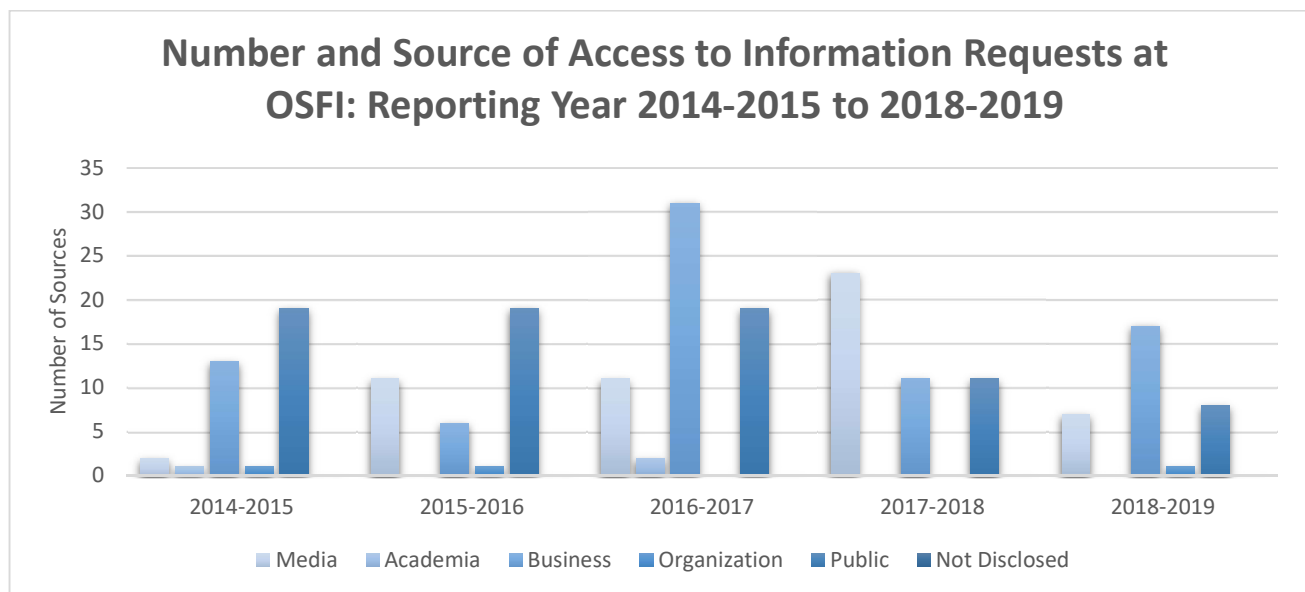
In accordance with the *Access to Information Act*, a public reading room is available in Ottawa. It is located at 255 Albert Street, on the 16th floor.

5. Interpretation of the Statistical Report

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.

The ATIP Office processed a total of 79 requests (34 formal ATI and 45 ATI consultations) in 2018-2019 (excluding informal requests). These requests along with the 12 carried over to the next fiscal year, comprise 85,396 pages of information retrieved and processed (or currently being processed) by the ATIP Office. While this represents a 17.1% decrease from the 103,000 pages being processed in the previous years, these rates continue to be significantly higher than OSFI’s typical rates leading up to FY2017-2018.

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



OSFI saw a 26.6% decrease in ATI requests received in 2018-2019 - 33 requests were received versus the 45 requests received the year prior. 34 requests were closed in 2018-2019. 13 requests were outstanding from the previous reporting period and 12 requests were carried over to the next year. Since the inception of the *Act* to March 31, 2018, OSFI has received 1,206 Access to Information requests.

The profile of requesters changed significantly in 2018-2019 from the previous year, with a marked decrease in requests from requesters identifying themselves as “media” (7 compared to 23 requests in the year prior). Until 2018-2019 OSFI had seen a steady year-over-year growth in the number of requests from the media over the last five years with six (6), eleven (11), nineteen (19) and twenty-three (23) requests in 2014-2015, 2015-2016, 2016-2017 and 2017-2018 respectively.

2018-2019 saw a slight increase in requests from the private sector with 17 requests from “business” in 2018-2019 compared to 11 requests in 2017-2018 – a 55% increase – and 8 from 11 in 2017-2018 for requests from “the public” – a 27% decrease.

The number of informal requests completed in 2018-2019 was 57.2% less than the previous year (9 versus 21 respectively).

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	0
Disclosed in part	25
All exempted	3
All excluded	0
No records exist	3
Request transferred	0
Request abandoned	3
Neither confirmed nor denied	0
Total	34

Parts 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.

Access to Information Consultation Requests to OSFI: Received, Outstanding from Previous Year, Closed, and Pending at End of Year: 2014-2015 to 2018-2019



Because of the lower number of ATI requests in 2018-2019 compared to 2017-2018, the total number of pages processed decreased (29.4%), from 13,142 in 2017-2018 to 9,290 in 2018-2019.

Exemptions

In the 2018-2019 reporting year, for the 34 requests completed, OSFI applied exemptions to withhold information under subsections 13(1), 15(1), 16(1)(c), 16(2), 18(d), 18.1(1)(b), 19(1), 20(1)(b), (c) and (d), 21(1) (a), (b), (c) and (d) and 23 of the *Act*, as applicable.

Exclusions

Subsection 69(1)(e) and 69(1)(g) re (e) were applied in one (1) case each.

Format of information released

Responses for thirteen (13) requests were provided in electronic format and paper copies were provided for another twelve (12) requests.

Relevant Pages Processed and Disclosed

During 2018-2019, the vast majority of requests (25) resulted in partial disclosure. 9,290 pages were processed and 1,861 pages were disclosed. Three (3) requests resulted in full exemption and three (3) requests were abandoned. The remaining three (3) requests were not counted in this section as OFSI held no responsive records.

Deemed Refusal

There were 7 requests for which responses were provided past the statutory deadline. The rate of deemed refusals has increased this year over last - 7 of 35 (20%) compared to 5 of 39 (12%) in the previous year.

Request for Translation

No translations were requested in 2018-2019.

Part 3 – Extensions

Two (2) requests required extensions of 30 days or less for:

- interference with operations pursuant to 9(1)(a).

One (1) request required extensions of 31 days to 60 days for:

- consultation with third parties pursuant to section 9(1)(c).

Nine (9) requests required an extension of 61 to 120 days for:

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

Four (4) requests required extensions of 365 days or more for:

- interference with operations pursuant to 9(1)(a).

Part 4 – Fees

Application fees of \$145.00 for 29 of the 33 requests received over this reporting period. The total amount of fees waived was \$20.00.

Part 5 – Consultations Received from Other Institutions and Organizations

In 2018-2019, OSFI saw an 18.5% decrease in consultations received from other Government of Canada institutions. Forty-four (44) consultations from other Government of Canada institutions were processed during this reporting period, compared to 54 in the previous year. In total, 1,516 pages from other government institutions were reviewed. In addition, one (1) consultation was received from a provincial government, with 12 pages reviewed, for a total of 45 consultations and 1,528 pages. While fewer consultation requests were received this fiscal year, OSFI processed more pages through consultation requests than in the previous reporting period (1, 212 pages in FY2017-2018).

Recommendations and completion time for consultations received from other government institutions

Twenty-nine (29) consultations were processed within 1 to 15 days, twelve (12) were processed within 16 to 30 days, one (1) in 31 to 60 days, one (1) in 61 to 120 days and one (1) was carried over to the next reporting period. OSFI recommended that the records contained in 28 consultations be disclosed in their entirety, 14 disclosed in part and 1 was outside of OSFI’s mandate and consultation with another government department was recommended.

In the last 6 years, OSFI has responded to 175 of the requests within 1 to 15 days, 35 within 16 to 30 days, 7 within 31 to 60 days and 1 within 61 to 120 days.

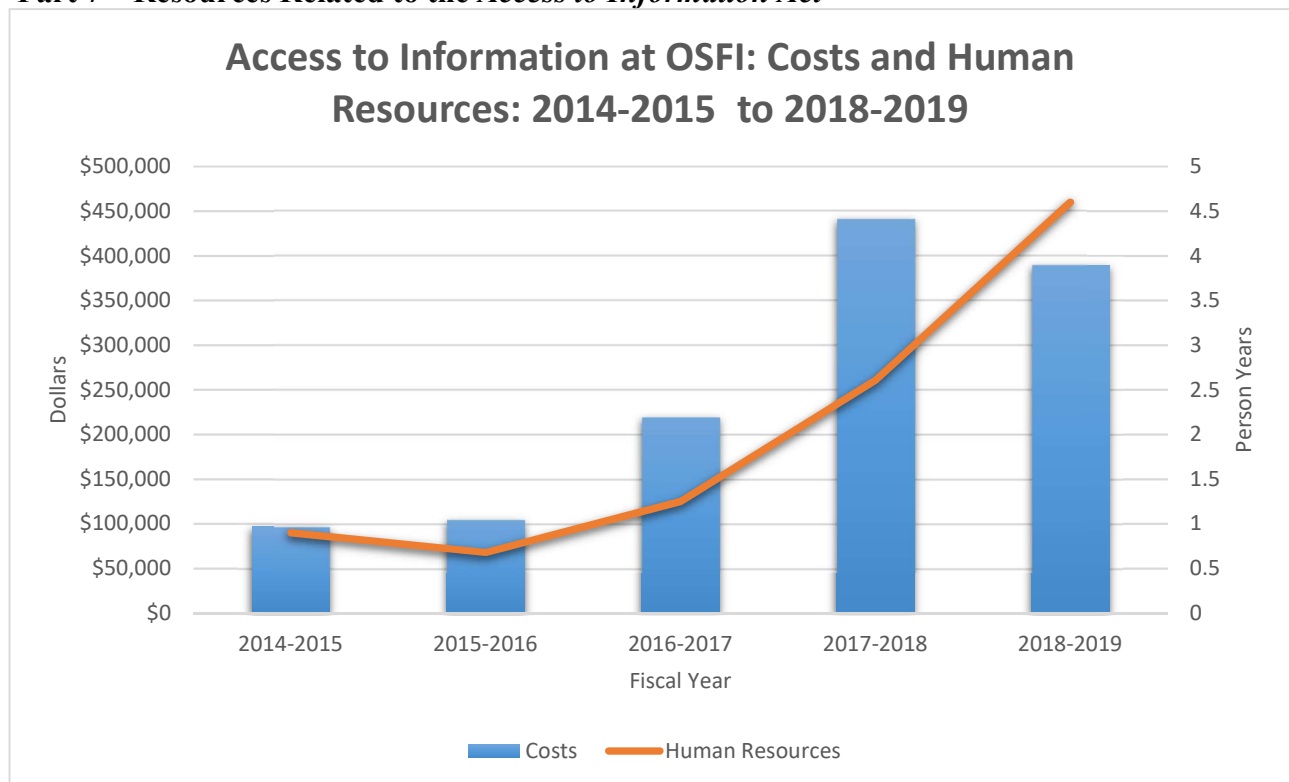
Recommendations and completion time for consultations received from other organizations

In 2018-2019, OSFI received one (1) consultation from another organization outside of the Government of Canada for a total of 12 pages. The request was completed in one to 15 days. As the records fell outside of OSFI’s mandate, consultation with another government department was recommended. Two were received in the previous reporting period.

Part 6 – Completion Time of Consultations on Cabinet Confidences

OSFI consulted on Cabinet Confidences for 2 requests. Both consultations took 20 days.

Part 7 – Resources Related to the *Access to Information Act*



The cost to administer the *Act* during this reporting period was \$389,281. Due to the large volume of pages to be processed in 2018-2019, OSFI relied heavily on agency-supplied consultants to supplement its small ATIP team and ensure the delivery of Access to Information requests within statutory timelines. Consultants supplied 2.41 of the 4.60 person years spent on the delivery of Access to Information services. \$210,088 was spent on professional services contracts, representing approximately 54% of the total cost for this year. By comparison, 2017-2018 costs for Access to Information consultants were significantly higher at \$309,615. OSFI's reliance on agency-supplied consultants is diminishing as a result of hiring employees.

6. Complaints and Investigations

There were three (3) extension complaints, two (2) delay complaints and one (1) complaint that OSFI "failed to provide all of the records" filed with the Office of the Information Commissioner of Canada (OIC) during the reporting period. Six (6) requests under investigation were closed during the reporting period and the Information Commissioner provided OSFI with their findings. These complaints were deemed "resolved". At the end of this reporting period, there were seven (7) complaints still under investigation by the Office of the Information Commissioner.

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

The Information Commissioner of Canada did not raise any concerns or issues related to OSFI, therefore no major changes were implemented.

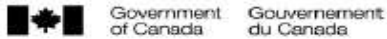
7.2 Major changes implemented as a result of concerns or issues raised by other agents of Parliament

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 access to information related 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: Office of the Superintendent of Financial Institutions

Reporting period: 2018-04-01 to 2019-03-31

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

1.1 Number of requests

	Number of Requests
Received during reporting period	33
Outstanding from previous reporting period	13
Total	46
Closed during reporting period	34
Carried over to next reporting period	12

1.2 Sources of requests

Source	Number of Requests
Media	7
Academia	0
Business (private sector)	17
Organization	1
Public	8
Decline to Identify	0
Total	33

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	
8	0	1	0	0	0	0	9

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	0	0	0	0	0	0	0	0
Disclosed in part	0	7	7	3	2	4	2	25
All exempted	0	2	1	0	0	0	0	3
All excluded	0	0	0	0	0	0	0	0
No records exist	0	3	0	0	0	0	0	3
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	3	0	0	0	0	0	0	3
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	3	12	8	3	2	4	2	34

2.2 Exemptions

Section	Number of Requests	Section	Number of Requests	Section	Number of Requests	Section	Number of Requests
13(1)(a)	5	16(2)	4	18(a)	0	20.1	0
13(1)(b)	1	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)	3	21(1)(a)	10
13(1)(e)	0	16(3)	0	18.1(1)(a)	0	21(1)(b)	12
14	0	16.1(1)(a)	0	18.1(1)(b)	1	21(1)(c)	1
14(a)	1	16.1(1)(b)	0	18.1(1)(c)	0	21(1)(d)	1
14(b)	0	16.1(1)(c)	0	18.1(1)(d)	0	22	0
15(1)	5	16.1(1)(d)	0	19(1)	23	22.1(1)	0
15(1) - I.A.*	0	16.2(1)	0	20(1)(a)	0	23	4
15(1) - Def.*	0	16.3	0	20(1)(b)	13	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)	25		
16(1)(a)(ii)	0	16.5	0	20(1)(d)	14		
16(1)(a)(iii)	0	17	0				
16(1)(b)	0						
16(1)(c)	8						
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	89(1)(g) re (a)	0
68(b)	0	69(1)(a)	0	89(1)(g) re (b)	0
68(c)	0	69(1)(b)	0	89(1)(g) re (c)	0
68.1	0	69(1)(c)	0	89(1)(g) re (d)	0
68.2(a)	0	69(1)(d)	0	89(1)(g) re (e)	1
68.2(b)	0	69(1)(e)	1	89(1)(g) re (f)	0
		69(1)(f)	0	89.1(1)	0

2.4 Format of information released

Disposition	Paper	Electronic	Other Formats
All disclosed	0	0	0
Disclosed in part	12	13	
Total	12	13	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	8579	1861	25
All exempted	711	0	3
All excluded	0	0	0
Request abandoned	0	0	3
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	0	0	0	0	0	0	0	0	0	0
Disclosed in part	11	183	9	1318	2	284	3	76	0	0
All exempted	1	0	2	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0	0	0
Request abandoned	3	0	0	0	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
Total	15	183	11	1318	2	284	3	76	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	6	0	3	5	14
All exempted	1	0	0	3	4
All excluded	0	0	0	0	0
Request abandoned	0	0	0	0	0
Neither confirmed nor	0	0	0	0	0
Total	7	0	3	8	18

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
7	1	1	1	4

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	3	1	4
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	1	0	1
181 to 365 days	0	2	2
More than 365 days	0	0	0
Total	4	3	7

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	8	1	4	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	9	1	4	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	2	0	0	0
31 to 60 days	0	0	0	1
61 to 120 days	3	1	4	1
121 to 180 days	0	0	0	0
181 to 365 days	0	0	0	0
365 days or more	4	0	0	0
Total	9	1	4	2

Part 4: Fees

Fee Type	Fee Collected		Fee Waived or Refunded	
	Number of Requests	Amount	Number of Requests	Amount
Application	29	\$145	4	\$20
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	29	\$145	4	\$20

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	44	1528	1	12
Outstanding from the previous reporting period	0	0	0	0
Total	44	1528	1	12
Closed during the reporting period	43	1478	1	12
Pending at the end of the reporting period	1	50	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	24	4	0	0	0	0	0	28
Disclose in part	4	8	1	1	0	0	0	14
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	1	0	0	0	0	0	0	1
Other	0	0	0	0	0	0	0	0
Total	29	12	1	1	0	0	0	43

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	1	0	0	0	0	0	0	1
Other	0	0	0	0	0	0	0	0
Total	1	0	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	2	24	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	2	24	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
6	1	6	13

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		\$178,795
Overtime		\$0
Goods and Services		\$210,486
• Professional services contracts	\$210,088	
• Other	\$398	
Total		\$389,281

9.2 Human Resources

Resources	Person Years Dedicated to Access to Information Activities
Full-time employees	1.79
Part-time and casual employees	0.40
Regional staff	0.00
Consultants and agency personnel	2.41
Students	0.00
Total	4.60

Note: Enter values to two decimal places.

Appendix B
Additional Reporting Requirements

Access to Information Act	
Section	Number of requests
16.31 Investigation under the Elections Act	0
16.6 National Security and Intelligence Committee	0
23.1 Patent or Trademark privilege	0

APPENDIX C

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	

July 2016 2

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	

July 2016 3

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	

July 2016 4