



Office of the Superintendent of  
Financial Institutions Canada

Bureau du surintendant des  
institutions financières Canada

# Annual Report to Parliament on the administration of the *Privacy Act*

## 2019-2020

August 2020



Canada 





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## **1. Introduction**

The purpose of the *Privacy Act* is to extend the present laws of Canada that protect the privacy of individuals with respect to personal information about themselves held by a government institution and that provide individuals with a right of access to that information.

This annual report was prepared and submitted in accordance with section 72 of the *Privacy Act* and covers the period from April 1, 2019 to March 31, 2020.

## **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 *Privacy Act*, the head of OSFI is the Superintendent and the responsible minister is the Minister of Finance.

### **4. Administration of the *Privacy 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. As such, the ATIP unit coordinates the timely processing of requests under the legislation, handles complaints lodged with the Privacy 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, due to the increased demand for privacy impact assessments and privacy protocols for the use of personal information for a non-administrative purpose, OSFI created and staffed the Manager, Privacy position. This position is dedicated to overseeing the administration of the *Privacy Act*, Regulations and related policies as well as providing input and support to IM/IT projects and to ensure EIM considerations (e.g. Privacy, Information lifecycle management) are suitably addressed. Staffing is currently underway to hire a Privacy Officer to support this role. The ATIP unit also relied upon the support of contract resources.

#### **4.2 Institutional changes to the administration of the *Privacy Act***

No significant institutional changes to the administration of the *Privacy Act* to report during this reporting period.

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

Training efforts over the last year have been focused on continued privacy awareness building with staff in service areas supporting project delivery in Information Management/Information Technology, with Regulatory Data Governance, and within the Office's senior and operational governance committees. Training efforts also focused on ATIP awareness for all OSFI staff as part of an Information Management and ATIP awareness program. OSFI held four awareness sessions and a total of 50 employees attended.

#### **4.4 Processing of Privacy Requests**

All formal privacy 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 appointed sectoral ATIP Liaison Officer(s) 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, the release package is submitted to the Assistant Superintendent, Corporate Services for review and approval.

Employees have the right to review their personal records at intervals specified in the various collective agreements. To exercise this right, an employee contacts the appropriate official in the Human Resources and Administration Division. The review of personal records is considered informal and no data on these requests is compiled. The employee, however, does have the option of submitting a formal request under the privacy legislation. Employees of the Human Resources and Administration Division are aware of the provisions of the *Privacy Act* as they relate to the use and disclosure of personal information.

#### **4.5 Delegation of Authority**

Delegation orders set out what powers, duties and functions for the administration of the *Privacy Act* have been delegated by the head of the institution and to whom. Administration of the *Privacy 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 the ATIP Coordinator.

#### **4.6 Monitoring Compliance**

The time taken to process personal information requests and requests for the correction of personal information is tracked in the ATIP tracking system. The ATIP caseload is reviewed monthly with the Director, EIM and the anticipated responses to privacy 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 2019-2020, an external consultant was engaged to perform a LEAN assessment of OSFI's ATIP processes. Several recommendations were subsequently made and are under consideration. The most significant of these recommendations was the establishment of the ATIP Liaison role. The ATIP Office has since developed and implemented the role of ATIP Liaison within each sector. The Liaisons

facilitate the ATIP process by acting as subject matter experts (SME's) and as a single point of contact for their respective sectors.

OSFI's existing Information Management/Information Technology (IM/IT) policies and infrastructure allowed the organization to avoid any significant disruptions relating to the COVID-19 pandemic and have had little effect on OSFI's ability to fulfill its responsibilities under the *Privacy Act*. The planned review of current ATIP procedures and the selection/training of new ATIP Liaisons was accelerated to coincide with OSFI's work-from-anywhere posture. With the closure of OSFI's offices on March 13<sup>th</sup>, employees were no longer able to access paper files. Requests received by OSFI through the mail are retrieved by the Manager, Access to Information and Privacy on a weekly basis.

#### **4.8 Reading room**

In accordance with the *Privacy Act*, a public reading room is available in Ottawa. It is located at 255 Albert Street, on the 16<sup>th</sup> floor. The reading room was not available to the public as of March 13<sup>th</sup> 2020 due to necessary restrictions arising from the COVID-19 pandemic.

### **5. Interpretation of the Statistical Report**

#### **Part 1 – Requests under the *Privacy Act***

Due to the nature of OSFI's work regulating and supervising financial institutions and private pension plans under federal jurisdiction, much of the information in the Office's possession is third-party business information rather than personal information about individuals. The financial institutions and pension plans are OSFI's clients. As OSFI does not provide services directly to individuals, the volume of personal information collected by the Office is relatively small. This information is generally limited to employment records of current and previous OSFI employees and information about individual contract consultants at OSFI.

In 2019-2020, six new requests were received. Since the inception of the *Privacy Act*, July 1, 1983, OSFI has received 67 privacy requests.

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

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

<b>Disposition</b>	<b>Number of requests</b>
All disclosed	2
Disclosed in part	0
All exempted	0
All excluded	0



No records exist	3
Request abandoned	1
Neither confirmed nor denied	0
<b>Total</b>	<b>6</b>

For the 6 requests received in 2019-2020:

- 2 were completed in less than 15 days;
- 1 was completed in 16 to 30 days; and
- 3 were completed in 31 to 60 days.

***Exemptions***

No exemptions were applied during the reporting period.

***Exclusions***

No exclusions were cited during the reporting period.

***Format of information released***

No information was released pursuant to a request under the *Privacy Act* during the reporting period.

***Relevant pages processed and disclosed***

497 relevant pages were processed and 439 pages disclosed during the reporting period.

***Other complexities***

To complete the processing of the requests, 2 required consultations during this reporting period.

***Deemed refusal***

There were no deemed refusals during this reporting period.

***Request for translation***

No requests for translation were made during this reporting period.

**Part 3 – Disclosures under Subsections 8(2) and 8(5)**

No disclosures were made pursuant to subsections 8(2)(e), 8(2)(m) or 8(5) of the *Privacy Act* during this reporting period.

#### **Part 4 – Request for correction of personal information and notations**

No requests for correction of personal information and no notations were made during this reporting period.

#### **Part 5 – Extensions**

Additional 30 day extensions were required for 3 requests during this reporting period:

- 1 pursuant to s.15(a)(i) – Large volume of pages;
- 2 pursuant to s.15(a)(ii) – External consultations.

#### **Part 6 – Consultations received from other government institutions and organizations**

No consultations from other government institutions and organizations were received during the reporting period.

#### **Part 7 – Completion time of consultations on Cabinet confidences**

No consultations with respect to Cabinet confidences were required during the reporting period.

#### **Part 8 – Resources related to the *Privacy Act***

The cost to administer the *Act* during this reporting period was \$239,930.

### **6. Complaints and Investigations**

OSFI did not receive any complaints pursuant to the *Privacy Act* during this reporting period.

### **7. Privacy Breaches**

There were no material privacy breaches reported during the 2019-2020 fiscal year.

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

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

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

## **8.2 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.

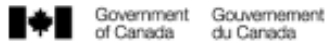
## **8.3 Number of applications or appeals to the Federal Court or the Federal Court of Appeal during the fiscal year**

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

## **9. Completed Privacy Impacts Assessments**

No privacy impact assessments (PIA) were completed in 2019-2020; however, OSFI did complete 4 privacy protocols for personal information being used for a non-administrative purpose.

## APPENDIX A



### Statistical Report on the *Privacy Act*

Name of institution Office of the Superintendent of Financial Institutions

Reporting period: 4/1/2019 to 3/31/2020

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

	Number of Requests
Received during reporting period	6
Outstanding from previous reporting period	
<b>Total</b>	<b>6</b>
Closed during reporting period	6
Carried over to next reporting period	

#### Section 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	2	0	0	0	0	2
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
No records exist	1	1	1	0	0	0	0	3
Request abandoned nor denied	1	0	0	0	0	0	0	1
	0	0	0	0	0	0	0	0
<b>Total</b>	<b>2</b>	<b>1</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>6</b>

## 2.2 Exemptions

Section	Number of Requests	Section	Number of Requests	Section	Number of Requests
18(2)	0	22(1)(a)(i)	0	23(a)	0
19(1)(a)	0	22(1)(a)(ii)	0	23(b)	0
19(1)(b)	0	22(1)(a)(iii)	0	24(a)	0
19(1)(c)	0	22(1)(b)	0	24(b)	0
19(1)(d)	0	22(1)(c)	0	25	0
19(1)(e)	0	22(2)	0	26	0
19(1)(f)	0	22.1	0	27	0
20	0	22.2	0	27.1	0
21	0	22.3	0	28	0
		22.4	0		

## 2.3 Exclusions

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

## 2.4 Format of information released

Paper	Electronic	Other
2	0	0

## 2.5 Complexity

### 2.5.1 Relevant pages processed and disclosed

Number of Pages Processed	Number of Pages Disclosed	Number of Requests
497	439	3

### 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	1	7	1	432	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0	0	0
Request abandoned	1	0	0	0	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	<b>2</b>	<b>7</b>	<b>1</b>	<b>432</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

### 2.5.3 Other complexities

Disposition	Consultation Required	Legal Advice Sought	Interwoven Information	Other	Total
All disclosed	2	0	0	0	2
Disclosed in part	0	0	0	0	0
All exempted	0	0	0	0	0
All excluded	0	0	0	0	0
Request abandoned	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0
<b>Total</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>

### 2.6 Closed requests

#### 2.6.1 Number of requests closed within legislated timelines

	Requests closed within legislated timelines
Number of requests closed within legislated timelines	6
Percentage of requests closed within legislated timelines (%)	100

## 2.7 Deemed refusals

### 2.7.1 Reasons for not meeting legislated timelines

Number of Requests Closed Past the Legislated Timelines	Principal Reason			
	Interference with Operations / Workload	External Consultation	Internal Consultation	Other
0	0	0	0	0

### 2.7.2 Requests closed beyond legislated timelines (including any extension taken)

Number of Days Past Legislated Timelines	Number of Requests Past Legislated Timeline Where No Extension Was Taken	Number of Requests Past Legislated Timelines 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>

## 2.8 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>



**Section 3: Disclosures Under Subsections 8(2) and 8(5)**

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

**Section 4: Requests for Correction of Personal Information and Notations**

Disposition for Correction Requests Received	Number
Notations attached	0
Requests for correction accepted	0
Total	0

**Section 5: Extensions**

5.1 Reasons for extensions and disposition of requests

Number of requests where an extension was taken	15(a)(i) Interference with operations				15 (a)(ii) Consultation			15(b) Translation purposes or conversion
	Further review required to determine exemptions	Large volume of pages	Large volume of requests	Documents are difficult to obtain	Cabinet Confidence Section (Section 70)	External	Internal	
3	0	1	0	0	0	2	0	0

## 5.2 Length of extensions

Length of Extensions	15(a)(i) Interference with operations				15 (a)(ii) Consultation			15(b) Translation purposes or conversion
	Further review required to determine exemptions	Large volume of pages	Large volume of requests	Documents are difficult to obtain	Cabinet Confidence Section (Section 70)	External	Internal	
1 to 15 days	0	0	0	0	0	0	0	0
16 to 30 days	0	1	0	0	0	2	0	0
31 days or greater								0
<b>Total</b>	0	1	0	0	0	2	0	0

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

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

Consultations	Other Government of Canada Institutions	Number of Pages to Review	Other Organizations	Number of Pages to Review
Received during the reporting period	0	0	0	0
Outstanding from the previous reporting period	0	0	0	0
<b>Total</b>	0	0	0	0
Closed during the reporting period	0	0	0	0
Carried over to the next reporting period	0	0	0	0

**6.2 Recommendations and completion time for consultations received from other Government of Canada institutions**

Recommendation	Number of Days Required to Complete Consultation Requests							Total
	1 to 15 Days	16 to 30 Days	31 to 60 Days	61 to 120 Days	121 to 180 Days	181 to 365 Days	More Than 365 Days	
All disclosed	0	0	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**6.3 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	
All disclosed	0	0	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0	0	0
All exempted	0	0	0	0	0	0	0	0
All excluded	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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

### 7.1 Requests with Legal Services

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

### 7.2 Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	of Requests	Pages Disclosed	of Requests	Pages Disclosed	of Requests	Pages Disclosed	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>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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**Section 8: Complaints and Investigations Notices Received**

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

**Section 9: Privacy Impact Assessments (PIA) and Personal Information Banks (PIB)**

## 9.1 Privacy Impact Assessments

Number of PIA(s) completed	0
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## 9.2 Personal Information Banks

Personal Information Banks	Active	Created	Terminated	Modified
	57	0	0	0

**Section 10: Material Privacy Breaches**

Number of material privacy breaches reported to TBS	0
Number of material privacy breaches reported to OPC	0

**Section 11: Resources Related to the *Privacy Act***

## 11.1 Costs

Expenditures		Amount
Salaries		\$136,899
Overtime		\$0
Goods and Services		\$103,031
• Professional services contracts	\$103,031	
• Other	\$0	
<b>Total</b>		<b>\$239,930</b>

## 11.2 Human Resources

Resources	Person Years Dedicated to Privacy Activities
Full-time employees	0.99
Part-time and casual employees	0.00
Regional staff	0.02
Consultants and agency personnel	0.36
Students	0.00
<b>Total</b>	<b>1.37</b>

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

## Supplemental Statistical Report on the *Privacy Act*

The following table reports the total number of formal requests received during two periods; 2019-04-01 to 2020-03-13 and 2020-03-14 to 2020-03-31.

**Table 4 – Requests Received**

		<b>Column (Col.) 1</b>
		<b>Number of requests</b>
<b>Row 1</b>	Received from 2019-04-01 to 2020-03-13	6
<b>Row 2</b>	Received from 2020-03-14 to 2020-03-31	0
<b>Row 3</b>	<b>Total<sup>1</sup></b>	6

<sup>1</sup> – Total for Row 3 should equal the total in the Privacy Statistical Report Section 1.1 Row 1

The following table reports the total number of requests closed within the legislated timelines and the number of closed requests that were deemed refusals during two periods 2019-04-01 to 2020-03-13 and 2020-03-14 to 2020-03-31.

**Table 5 – Requests Closed**

		<b>Col. 1</b>	<b>Col. 2</b>
		<b>Number of requests closed within the legislated timelines</b>	<b>Number of requests closed past the legislated timelines</b>
<b>Row 1</b>	Received from 2019-04-01 to 2020-03-13 and outstanding from previous reporting periods	6	0
<b>Row 2</b>	Received from 2020-03-14 to 2020-03-31	0	0
<b>Row 3</b>	<b>Total<sup>2</sup></b>	6	0

<sup>2</sup> – Total for Row 3 Col. 1 should equal the total in the Privacy Statistical Report Section 2.6.1 Row 1 -- Total for Row 3 Col. 2 should equal the total in the Privacy Statistical Report Section 2.7.1. Col. 1 Row 1

The following table reports the total number of requests carried over during two periods; 2019-04-01 to 2020-03-13 and 2020-03-14 to 2020-03-31.

**Table 6– Requests Carried Over**

	<b>Col. 1</b>
	<b>Number of requests</b>

<b>Row 1</b>	Requests from 2019-04-01 to 2020-03-13 and outstanding from previous reporting period that were carried over to the 2020-2021 reporting period	0	
<b>Row 2</b>	Requests from 2020-03-14 to 2020-03-31 that were carried over to the 2020-2021 reporting period	0	
<b>Row 3</b>	<b>Total<sup>3</sup></b>	0	
<sup>3</sup> – Total for Row 3 should equal the total in the Privacy Statistical Report Section 1.1 Row 5			



## APPENDIX B

### DESIGNATION / DÉLÉGATION

*PRIVACY ACT /  
LOI SUR LA PROTECTION DES RENSEIGNEMENTS PERSONNELS*

**Privacy Act Designation Order**

**Arrêté sur la délégation en vertu de la  
Loi sur la protection des renseignements  
personnels**

By this order made pursuant to section 73 of the *Privacy 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.

Par le présent arrêté pris en vertu de l'article 73 de la *Loi sur la protection des renseignements personnels*, j'autorise les agents et les employés du Bureau du surintendant 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.

This designation replaces and repeals all previous orders.

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 2**  
**Designation Order - Privacy Act**

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
8(2)(j)	To disclose personal information when satisfied that the purpose for which the information is disclosed cannot reasonably be accomplished unless the information is provided in a form that identifies the person to whom it relates and obtain a written undertaking that no subsequent disclosure of the information will be made in a form that could reasonably be expected to identify the individual to whom it relates	X			
8(2)(m)	To disclose personal information when public interest outweighs invasion of privacy or when disclosure benefits the individual	X			
8(4)	To keep copies of requests made under 8(2)(e), keep records of information disclosed pursuant to such requests and to make those copies and records available to Privacy Commissioner	X	X	X	X
8(5)	To notify the Privacy Commissioner in writing of disclosure under paragraph 8(2)(m)	X	X	X	X
9(1)	To retain a record of use of personal information.	X	X	X	X
9(4)	To notify the Privacy Commissioner of consistent use of personal information and update index accordingly	X	X	X	X
10	To include personal information in personal information banks	X	X	X	X
14(a)	To give written notice as to whether or not access will be given	X	X	X	X
14(b)	To give access to requester	X	X	X	X
15	To extend time limit and give notice of extension	X	X	X	X

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**SCHEDULE 2**  
**Designation Order - Privacy Act**

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
17(2)(b)	To determine the necessity for a translation or interpretation of a record	X	X	X	
17(3)	To determine whether a record should be provided in an alternative format	X	X	X	
18(2)	To refuse to disclose personal information referred to in that section	X			
19(1)	To refuse to disclose personal information referred to in that section	X			
19(2)	To disclose, with consent, personal information referred to in that subsection	X	X	X	
20	To refuse to disclose personal information referred to in that section	X			
21	To refuse to disclose personal information referred to in that section	X			
22	To refuse to disclose personal information referred to in that section	X			
22.3	To refuse to disclose personal information referred to in that section	X			
23	To refuse to disclose personal information referred to in that section	X			
24	To refuse to disclose personal information under that section	X			
25	To refuse to disclose personal information under that section	X			
26	To refuse to disclose personal information under that section	X			
27	To refuse to disclose personal information under that section	X			
28	To refuse to disclose personal information under that section	X			
31	To receive notice of investigation by the Privacy Commissioner	X	X	X	

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**SCHEDULE 2**  
**Designation Order - Privacy Act**

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
33(2)	To make representations to the Privacy Commissioner	X	X	X	X
35(1)	To receive the report of findings of the investigation and give notice of action taken or proposed to be taken or reasons why no action has been or is proposed to be taken	X	X	X	
35(4)	To provide access to personal information	X	X	X	
36(3)	To receive the report of findings of the investigation of files in exempt banks	X	X	X	
37(3)	To receive the report of findings after investigation in respect of personal information	X	X	X	
51(2)(b)	To request that the matter be heard and determined in the National Capital Region	X	X	X	
51(3)	To request the opportunity to make representations ex parte	X	X	X	
72(1)	To prepare annual report for submission to Parliament	X	X	X	X

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**SCHEDULE 2**  
**Designation Order - Privacy Act**

**Privacy Regulations**

Section	Powers, Duties or Functions	Assistant Superintendent, Corporate Services	Director, Enterprise Information Management	Manager, Privacy & Access to Information	ATIP Coordinator
9	Reasonable facilities and time provided to examine personal information	X	X	X	X
11(2)	Notification that correction to personal information has been made	X	X	X	X
11(4)	Notification that correction to personal information has been refused	X	X	X	X
13(1)	Disclosure of personal information relating to physical or mental health may be made to qualified medical practitioner or psychologist for an opinion on whether to release information to requestor	X			
14	Disclosure of personal information relating to physical or mental health may be made to requestor in presence of qualified medical practitioner or psychologist	X			

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