



2020-2021 Annual Report to Parliament on the Administration of the Privacy Act

2020-2021

August 2021

2020-2021 OSFI Annual Report on the administration of the *Privacy Act*

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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, 2020 to March 31, 2021.

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) UnitThe 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 reports to the Director, EIM and is supported by two Privacy Officers. Both Privacy Officer positions were staffed in 2020-2021. The Manager, Privacy 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.

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

There were no significant institutional changes to the administration of the *Privacy Act* to report during this reporting period. Effective FY 2021-2022, the ATIP unit will report to the Director, Strategic Governance, ATIP and Privacy Offices.

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 Risk and Data Analytics, and within the Office's senior and operational governance committees. Multiple project-specific awareness sessions were delivered in 2020-2021 (4 sessions, 96 participants) to ensure users and administrators of new tools/technology at OSFI were made

aware of their responsibilities as they relate to the *Privacy Act*. Training efforts also focused on broader ATIP awareness for all OSFI staff as part of an Information Management and ATIP awareness program (5 sessions, 54 participants) as well as in-depth privacy-specific session (4 sessions, 458 participants).

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 department. 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 and the Manager, Privacy and Access to Information.

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

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*. With the closure of OSFI's offices on March 13th 2020, 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 16th floor. The reading room was not available to the public as of March 13th, 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 2020-2021, four new requests were received. Since the inception of the *Privacy Act*, July 1, 1983, OSFI has received 71 privacy requests.

Part 2 – Requests closed during the reporting period

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

2.1 Disposition and Completion Time

| Disposition | Number of requests |
|-------------------|--------------------|
| All disclosed | 0 |
| Disclosed in part | 2 |
| All exempted | 0 |
| All excluded | 0 |

| | |
|------------------------------|----------|
| No records exist | 1 |
| Request abandoned | 1 |
| Neither confirmed nor denied | 0 |
| Total | 4 |

For the 4 requests received in 2020-2021:

- 2 were completed in 16 to 30 days: and
- 2 were completed in 61 to 120 days.

2.2 Exemptions

Section 26 was applied to 2 privacy requests.

2.3 Exclusions

No exclusions were cited during the reporting period.

2.4 Format of Information Released

During the reporting period, one request under the *Privacy Act* was released electronically and one was released in paper format.

2.5 Relevant Pages Processed and Disclosed

369 relevant pages were processed, and 128 pages disclosed during the reporting period. 50% of the requests received during the reporting period were disclosed in part and OSFI was unable to process the remaining 2 requests as the requested records did not exist or the request was abandoned.

2.6 Other complexities

There were no other complexities required during the reporting period.

2.7 Deemed Refusal

There were two deemed refusals during this reporting period. Both were delays due to internal consultations and challenges arising from the COVID 19 pandemic.

2.8 Requests for Translation

No translations were requested in 2020-2021.

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 – Requests 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 2 requests during this reporting period:

- 2 pursuant to s.15(a)(i) – Interference with operations.

Part 6 - Consultations received from other government Institutions

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 \$313,339.

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 2020-2021 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 his 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 of 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.

9. Completed Privacy Impact Assessments

No privacy impact assessments (PIA) were completed in 2020-2021; however, OSFI did complete 4 privacy protocols for personal information being used for a non-administrative purpose as well as 2 privacy risk assessments.

Appendix A – Statistical Report on the *Privacy Act*



Government
of Canada

Gouvernement
du Canada

Statistical Report on the *Privacy Act*

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 4/1/2020 to 3/31/2021

Section 1: Requests Under the *Privacy Act*

1.1 Number of requests

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

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 | 0 | 0 | 0 | 0 | 0 | 0 |
| Disclosed in part | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 2 |
| All exempted | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| All excluded | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| No records exist | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 1 |
| Request abandoned | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 1 |
| Neither confirmed nor denied | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | 0 | 2 | 0 | 2 | 0 | 0 | 0 | 4 |

2.2 Exemptions

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

2.5 Complexity

2.5.1 Relevant pages processed and disclosed

| Number of Pages Processed | Number of Pages Disclosed | Number of Requests |
|---------------------------|---------------------------|--------------------|
| 369 | 128 | 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 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Disclosed in part | 1 | 31 | 1 | 97 | 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 |
| Total | 2 | 31 | 1 | 97 | 0 | 0 | 0 | 0 | 0 | 0 |

2.5.3 Other complexities

| Disposition | Consultation Required | Legal Advice Sought | Interwoven Information | Other | Total |
|------------------------------|-----------------------|---------------------|------------------------|----------|----------|
| All disclosed | 0 | 0 | 0 | 0 | 0 |
| Disclosed in part | 0 | 0 | 0 | 0 | 0 |
| All exempted | 0 | 0 | 0 | 0 | 0 |
| All excluded | 0 | 0 | 0 | 0 | 0 |
| Request abandoned | 0 | 0 | 0 | 0 | 0 |
| Neither confirmed nor denied | 0 | 0 | 0 | 0 | 0 |
| Total | 0 | 0 | 0 | 0 | 0 |

2.6 Closed requests

2.6.1 Number of requests closed within legislated timelines

| | Requests closed within legislated timelines |
|---|---|
| Number of requests closed within legislated timelines | 2 |
| Percentage of requests closed within legislated timelines (%) | 50 |

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 |
| 2 | 0 | 0 | 0 | 2 |

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 | 1 | 1 |
| 16 to 30 days | 0 | 1 | 1 |
| 31 to 60 days | 0 | 0 | 0 |
| 61 to 120 days | 0 | 0 | 0 |
| 121 to 180 days | 0 | 0 | 0 |
| 181 to 365 days | 0 | 0 | 0 |
| More than 365 days | 0 | 0 | 0 |
| Total | 0 | 2 | 2 |

2.8 Requests for translation

| Translation Requests | Accepted | Refused | Total |
|----------------------|----------|---------|-------|
| English to French | 0 | 0 | 0 |
| French to English | 0 | 0 | 0 |
| Total | 0 | 0 | 0 |

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 | |
| 2 | 2 | 0 | 0 | 0 | 0 | 0 | 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 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 31 days or greater | | | | | | | | 0 |
| Total | 2 | 0 | 0 | 0 | 0 | 0 | 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 |
| Total | 0 | 0 | 0 | 0 |
| Closed during the reporting period | 0 | 0 | 0 | 0 |
| Carried over to the next reporting period | 0 | 0 | 0 | 0 |

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 |
| Total | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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 | 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 |

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 |
|-----------------------------------|---|

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 | \$166,846 |
| Overtime | \$0 |
| Goods and Services | \$146,493 |
| • Professional services contracts | \$146,066 |
| • Other | \$427 |
| Total | \$313,339 |

11.2 Human Resources

| Resources | Person Years Dedicated to Privacy Activities |
|----------------------------------|---|
| Full-time employees | 1.220 |
| Part-time and casual employees | 0.000 |
| Regional staff | 0.070 |
| Consultants and agency personnel | 0.560 |
| Students | 0.000 |
| Total | 1.850 |

Note: Enter values to three decimal places.



Supplemental Statistical Report on the *Access to Information Act* and *Privacy Act*

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 2020-04-01 to 2021-03-31

Section 1: Capacity to Receive Requests

Enter the number of weeks your institution was able to receive ATIP requests through the different channels.

| | Number of Weeks |
|--|-----------------|
| Able to receive requests by mail | 52 |
| Able to receive requests by email | 52 |
| Able to receive requests through the digital request service | 52 |

Section 2: Capacity to Process Records

2.1 Enter the number of weeks your institution was able to process paper records in different classification levels.

| | No Capacity | Partial Capacity | Full Capacity | Total |
|--|-------------|------------------|---------------|-----------|
| Unclassified Paper Records | 0 | 52 | 0 | 52 |
| Protected B Paper Records | 0 | 52 | 0 | 52 |
| Secret and Top Secret Paper Records | 52 | 0 | 0 | 52 |

2.2 Enter the number of weeks your institution was able to process electronic records in different classification levels.

| | No Capacity | Partial Capacity | Full Capacity | Total |
|---|-------------|------------------|---------------|-----------|
| Unclassified Electronic Records | 0 | 0 | 52 | 52 |
| Protected B Electronic Records | 0 | 0 | 52 | 52 |
| Secret and Top Secret Electronic Records | 52 | 0 | 0 | 52 |

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Canada

Appendix B – Designation Order: *Privacy Act*

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 |

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 | |

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 |

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 | | | |