



2022-2023 Annual Report to Parliament on the Administration of the Access to Information Act

Date: August 2023



OSFI
BSIF

Canada 

Cat. No.: IN3-36E-PDF

ISSN: 2817-9439

Office of the Superintendent of Financial Institutions

255 Albert Street – 12th floor

Ottawa, ON K1A 0H2

Telephone: 1-800-385-8647

Email: information@osfi-bsif.gc.ca

© His Majesty the King in Right of Canada, 2023

Aussi disponible en français

2022-2023 Annual Report to Parliament on the Administration of the Access to Information Act

Type of publication: Annual report

Date: August 2023

Table of contents

1. Introduction

The purpose of the *Access to Information Act* (ATIA) is to enhance the accountability and transparency of federal institutions in order to promote an open and democratic society and to enable public debate on the conduct of those institutions. In furtherance of that purpose, Part 1 of the ATIA extends 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 that government information should be available to the public, that necessary exceptions to the right of access should be limited and specific and that decisions on the disclosure of government information should be reviewed independently of government. Part 2 of the ATIA sets out requirements for the proactive publication of information.

This annual report was prepared and submitted in accordance with sections 94(1) and 94(2) of the ATIA as well as Section 20 of the *Service Fees Act* and covers the period from April 1, 2022, to March 31, 2023.

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 Central Office Directorate within the Office of the Chief Financial Officer Division, Corporate Services and Transformation. 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 now reports to the Director, Central Office, Corporate Services and Transformation and is supported by a senior ATIP Officer, an ATIP Officer and a Junior ATIP Officer. Both the ATIP Officer and the Junior ATIP Officer are considered regional staff. The ATIP unit also relies upon the support of contract and student 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 Act in 2022-2023.

4.3 Education and training

Training efforts in 2022-2023 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 new OSFI staff as part of an Information Management and ATIP awareness program (2 sessions, 19 participants) as well as tailored sessions for participants in the processes stemming from proactive disclosure requirements as set out in the Act (4 sessions, 4 participants).

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 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 to, the release package is submitted to the Assistant Superintendent and Chief Operating Officer for review and approval.

4.5 Delegation of authority

Administration of the *Access to Information Act* at OSFI is ultimately the responsibility of the Superintendent; However, delegation orders set out which powers, duties and functions relating to the administration of the *Access to Information Act*, have been delegated by the head of the institution, and to whom. Effective May 21st, 2021, all powers, duties, or functions are delegated to the Assistant Superintendent, Corporate Services, the Special Advisor, Corporate Services, the Director, Strategic Governance, Access to Information and Privacy Offices and the Manager, Access to Information & Privacy. The delegation order is currently being updated to reflect the organizational changes which have recently taken place in 2022-2023.

4.6 Monitoring compliance

The time taken to process access to information requests is tracked in the ATIP tracking system. Proposed final responses to ATI requests are ultimately reviewed and approved by the Assistant Superintendent. 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

Requests received by OSFI through the mail are retrieved by the Manager, Access to Information and Privacy as needed. Of note, effective April 1st, 2022, the ATIP team reports to the Office of the Chief Financial Officer, Corporate Services and Transformation division. OSFI now utilizes the Government of Canada's ATIP Online Request Service

(AORS) to receive, process and respond to request made under the *Access to Information Act*. OSFI is also in the process of modernizing its existing ATIP case management software.

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.

4.9 Proactive publication under Part 2 of the ATIA

OSFI, as an institution listed in Schedule I.1 of the *Financial Administration Act* is considered a government entity for the purposes of Part 2 of the ATIA. As such, it is subject to the following proactive publication requirements:

- 82 Travel Expenses: Travel expenses are published monthly on the Government of Canada's Open Government site. 100% of the expenses for 2022-2023 were published within legislated timelines.
- 83 Hospitality Expenses: Hospitality expenses are published monthly on the Government of Canada's Open Government site. 100% of the expenses for 2022-2023 were published within legislated timelines.
- 84 Reports Tables in Parliament: 2 reports were tabled in Parliament, 100% were published within legislated timelines.
- 86 Contracts over \$10,000: Contracts are published quarterly. During the reporting period, 75% were published within legislated timelines. 1 quarterly posting was published 3 days following the required publication date.
- 87 Grants and contributions over \$25,000: OSFI did not issue any grants or contributions during the reporting period.
- 88 Briefing Materials: During the reporting period, OSFI published 2 Briefing packages for Parliamentary appearances for Deputy Heads, 100% of which were published within legislated timelines. Memoranda for the deputy head are

published monthly on the government of Canada's Open Government website. For the 2022-2023 reporting period, 91.7% of these were published within legislated timelines. 1 monthly posting was published 2 days following the required publication date.

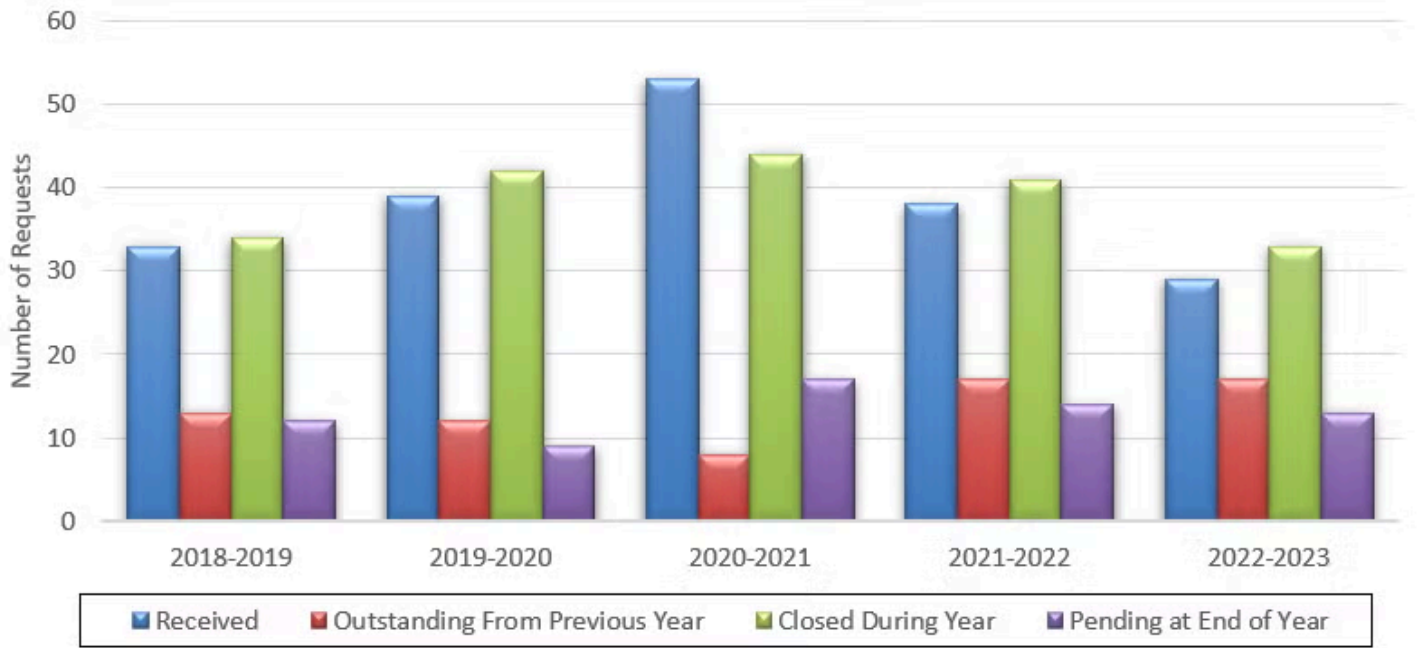
All information published under Part 2 of the Act is published on the Government of Canada's [Open Government site \(https://open.canada.ca/en/proactive-disclosure\)](https://open.canada.ca/en/proactive-disclosure). Prior to Bill C-58 receiving royal ascent, OSFI had developed internal policies and procedures to satisfy its new requirement relating to proactive publication. These processes have been updated to align with changes to staffing and OSFI's corporate structure. Processes relating to proactive disclosure are reviewed annually by the ATIP team.

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.

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

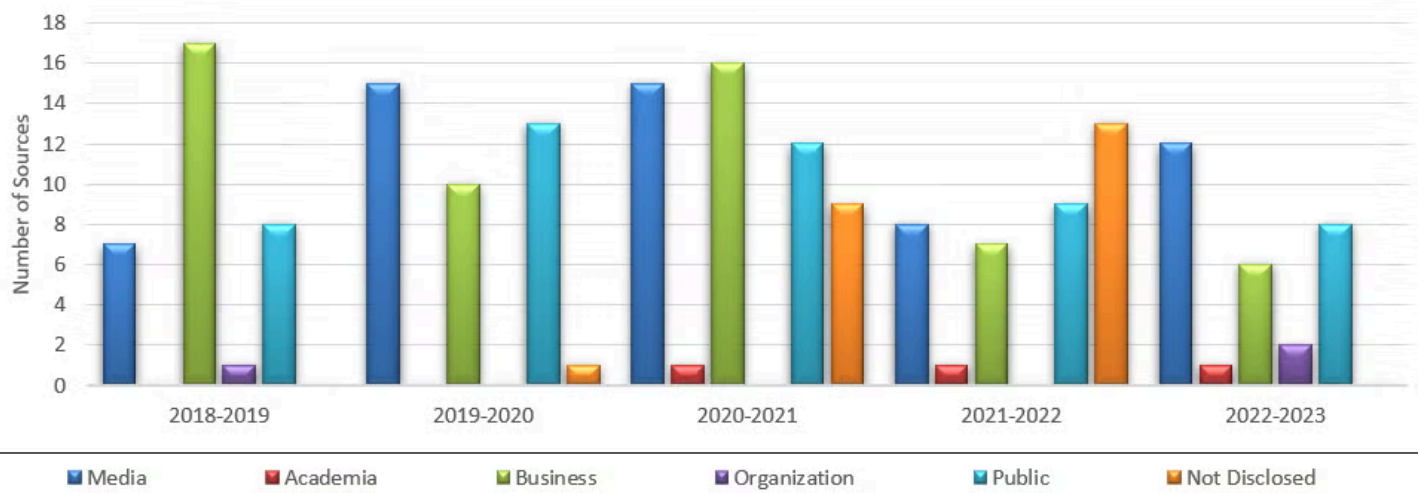
Access to information requests for OSFI: Received, outstanding from previous year, closed, and pending at end of year: 2018-2019 to 2022-2023



Access to information requests for OSFI – Text description

OSFI received a total of 29 formal ATI requests in 2022-2023, a decrease of 24% from the 38 received in 2021-2022. 33 requests were closed in 2022-2023, down from the 41 completed requests closed in 2021-2022, 82% within legislated timeframes. 17 requests were outstanding from the previous reporting period and 13 requests were carried over to the next year. Since the inception of the Act to March 31, 2023, OSFI has received 1,398 Access to Information requests.

Number and source of access to information requests at OSFI: Reporting year 2018-2019 to 2022-2023



Number and source of access to information requests at OSFI – Text description

The profile of requesters has also changed in 2022-2023, with slight increase in the number of requests from the media and organizations and a decrease in the number of requestors from the public and businesses. There was a significant decrease in the number of requestors that chose not to self-identify.

The number of informal requests completed in 2022-2023 was 20% lower than the previous year (4 in 2022-2023 compared to 5 in 2021-2022).

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	4
Disclosed in part	21
All exempted	2
All excluded	0
No records exist	5
Request transferred	0
Request abandoned	1
Neither confirmed nor denied	0

Disposition	Number of requests
Total	33

For the 2022-2023 reporting period, 12% of completed requests were "all disclosed" and 64% of completed requests were "disclosed in part".

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.

3 requests were completed within 1-15 days, 12 within 16-30 days, 4 within 31-60 days, 3 within 61-120 days, 4 within 121-180 days, 2 within 181-365 days and 5 requests required more than 365 days.

Of the 13 requests carried over to the 2023-2024 reporting period, 3 were carried over from the 2020-2021 reporting period (all beyond legislated timelines), 3 were carried over from the 2021-2022 reporting period (none beyond legislated timelines) and 7 were carried over from the 2022-2023 period (none beyond legislated timelines).

2.2 Exemptions

In the 2020-2021 reporting year, for the 33 requests completed, OSFI applied exemptions to withhold information under subsections 13(1)(a), (b), and (c), 14(a) and (b), 15(1), 16(1) (c), 16(2), 16(2)(c), 18(a), (b) and (d), 18.1(1)(b), 19(1), 20(1)(a),(b), (c) and (d), 21(1)(a), (b), (c) and (d), 22 and 23 of the Act, as applicable.

2.3 Exclusions

No exclusions were applied.

2.4 Format of information released

Responses for 25 requests were provided in electronic format.

2.5 Relevant pages processed and disclosed

There was a marked decrease in both the number of pages processed (11,267 in 2022-2023 compared to 17,084 in 2021-2022) and the number of pages disclosed (2,062 in 2022-2023 compared to 6,820 in 2021-2022). These figures do not include the pages processed and reviewed for requests carried over to the next reporting period.

2.6 Deemed refusal

81.81% of all requests closed in 2022-2023 were closed within legislated timelines. There were 6 requests for which a response was provided past the statutory deadline resulting from other internal delays. The rate of deemed refusals has increased this year over last reporting period – 6 of 33 (18.19%) compared to 6 of 41 (14.63%) in the previous year. An action plan has been implemented to address files currently open beyond their legislated timelines.

2.7 Requests for translation

No translations were requested in 2022-2023.

Part 3 – Extensions

3 requests required extensions of 30 days or less for:

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

3 requests required extensions of 31 days to 60 days for:

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

7 requests required an extension of 61 to 120 days for:

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

2 requests required an extension of 121 to 180 days for:

- interference with operations pursuant to section 9(1)(a) and/or

3 requests required an extension of 181 to 365 days for:

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

Part 4 – Fees

The *Service Fees Act* requires a responsible authority to report annually to Parliament on the fees collected by the institution. With respect to fees collected under the *Access to Information Act*, the information below is reported in accordance with the requirements of section 20 of the *Service Fees Act*.

Application fees of \$130.00 were collected for 26 of the 29 requests received over this period. The total amount of fees waived was \$15.00.

In accordance with the Interim Directive on the Administration of the *Access to Information Act*, issued on May 5, 2016, and the changes to the *Access to Information Act* that came into force on June 21, 2019, OSFI waives all fees prescribed by the Act and Regulations, other than the \$5 application fee set out in paragraph 7(1)(a) of the Regulations.

Part 5 - Consultations received from other government institutions and organizations

In 2022-2023, OSFI saw a 23.4% decrease in the number of consultations received, 36, compared to the 47 received the previous year. 39 consultations were processed during the reporting period, compared to 49 the previous year. In total, 926 pages were reviewed, a decrease of 56.93% from 2021-2022.

5.1 Recommendations and completion time for consultations received from other government institutions

29 consultations were processed within 1 to 15 days, 8 were processed within 16 to 30 days and 1 was processed within 31-60 days. 1 consultation was carried over to the next reporting period. OSFI recommended that the records contained in 17 consultations be disclosed in their entirety, and 21 be disclosed in part. No request was recommended to be exempted entirely.

In the last 8 years, OSFI has responded to 293 consultation requests within 1 to 15 days, 87 within 16 to 30 days, 19 within 31 to 60 days and 1 within 61 to 120 days.

5.2 Recommendations and completion time for consultations received from other institutions

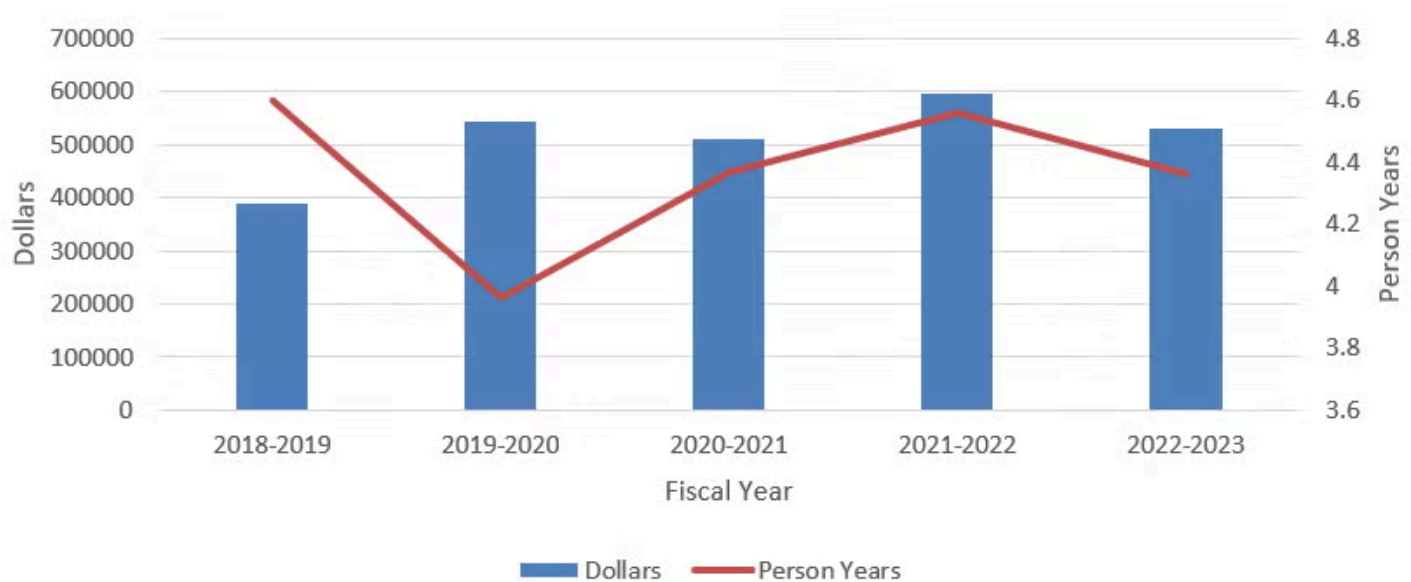
In 2021-2022, OSFI did not receive any formal consultations from an organization outside of the Government of Canada.

Part 6 – Completion time of consultations on Cabinet Confidences

OSFI consulted on 1 Cabinet Confidence during the reporting period.

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

Access to information at OSFI: Costs and human resources: 2018-2019 to 2022-2023



Access to information at OSFI: Costs and human resources – Text description

The cost to administer the Act during the reporting period was \$528,292. Due to the increasing complexity of the requests received in 2022-2023, OSFI employed an agency-supplied consultants to supplement its small ATIP team and ensure the delivery of Access to Information requests within statutory timelines. Employee salaries accounted for 67.9% of total costs incurred, and represent 70.71% of the 4.36 person/years required to administer the Act.

6. Complaints and investigations

There were 2 new complaints received during the reporting period. 4 complaints under investigation were closed during the same period and the Information Commissioner provided OSFI with their findings. At the end of the reporting period, there were 2 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 appeal 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.

Appendix A – Statistical report on the *Access to Information Act*

Statistical report on the *Access to Information Act*

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 4/1/2022 to 3/31/2023

Section 1: Requests under the *Access to Information Act*

1.1 Number of requests

	Number of requests
Received during reporting period	29
Outstanding from previous reporting periods	17
Outstanding from previous reporting period	11
Outstanding from more than one reporting period	6
Total	46
Closed during reporting period	33
Carried over to next reporting period	13
Carried over within legislated timeline	10
Carried over beyond legislated timeline	3

1.2 Sources of requests

Source	Number of requests
Media	12
Academia	1

Source	Number of requests
Business (private sector)	6
Organization	2
Public	8
Decline to identify	0
Total	29

1.3 Channels of requests

Source	Number of requests
Online	29
E-mail	0
Mail	0
In person	0
Phone	0
Fax	0
Total	29

Section 2: Informal requests

2.1 Number of informal requests

	Number of requests

	Number of requests
Received during reporting period	4
Outstanding from previous reporting periods	0
Outstanding from previous reporting period	0
Outstanding from more than one reporting period	0
Total	4
Closed during reporting period	3
Carried over to next reporting period	1

2.2 Channels of informal requests

Source	Number of requests
Online	0
E-mail	4
Mail	0
In person	0
Phone	0
Fax	0
Total	4

2.3 Completion time of informal requests

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	Total
3	0	0	0	0	0	0	3

2.4 Pages released informally

Less than 100 pages released		100-500 pages released		501-1000 pages released		1001-5000 pages released	
Number of requests	Pages released	Number of requests	Pages released	Number of requests	Pages released	Number of requests	Pages released
0	0	0	0	0	0	0	0



2.5 Pages re-released informally

Less than 100 pages re-released		100-500 pages re-released		501-1000 pages re-released		1001-5000 pages re-released	
Number of requests	Pages re-released	Number of requests	Pages re-released	Number of requests	Pages re-released	Number of requests	Pages re-released
2	47	1	124	0	0	0	0



Disposition of requests	Completion time							
	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	Total
All disclosed	0	4	0	0	0	0	0	4
Disclosed in part	2	4	4	3	2	2	4	21
All exempted	0	0	0	0	2	0	0	2
All excluded	0	0	0	0	0	0	0	0
No records exist	1	4	0	0	0	0	0	5
Request transferred	0	0	0	0	0	0	0	0
Request abandoned	0	0	0	0	0	0	1	1
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0	0	0
Total	3	12	4	3	4	2	5	33

4.2 Exemptions

Section	Number of requests
13(1)(a)	3
13(1)(b)	3
13(1)(c)	2
13(1)(d)	0
13(1)(e)	0
14	0
14(a)	3
14(b)	1
15(1)	7
15(1) - I.A. ¹	0
15(1) - Def. ²	0
15(1) - S.A. ³	0
16(1)(a)(i)	0
16(1)(a)(ii)	0
16(1)(a)(iii)	0
<p>¹ I.A.: International Affairs</p> <p>² Def.: Defence of Canada</p> <p>³ S.A.: Subversive Activities</p>	

Section	Number of requests
16(1)(b)	0
16(1)(c)	19
16(1)(d)	0
16(2)	4
16(2)(a)	0
16(2)(b)	0
16(2)(c)	5
16(3)	0
16.1(1)(a)	0
16.1(1)(b)	0
16.1(1)(c)	0
16.1(1)(d)	0
16.2(1)	0
16.3	0
16.4(1)(a)	0

1 I.A.: International Affairs

2 Def.: Defence of Canada

3 S.A.: Subversive Activities

Section	Number of requests
16.4(1)(b)	0
16.5	0
16.6	0
17	0
18(a)	2
18(b)	1
18(c)	0
18(d)	8
18.1(1)(a)	0
18.1(1)(b)	1
18.1(1)(c)	0
18.1(1)(d)	0
19(1)	20
20(1)(a)	2
20(1)(b)	20
<u>1</u> I.A.: International Affairs <u>2</u> Def.: Defence of Canada <u>3</u> S.A.: Subversive Activities	

Section	Number of requests
20(1)(b.1)	0
20(1)(c)	13
20(1)(d)	2
20.1	0
20.2	0
20.4	0
21(1)(a)	18
21(1)(b)	20
21(1)(c)	2
21(1)(d)	1
22	1
22.1(1)	0
23	2
23.1	0
24(1)	0

1 I.A.: International Affairs

2 Def.: Defence of Canada

3 S.A.: Subversive Activities

Section	Number of requests
26	0
<u>1</u> I.A.: International Affairs	
<u>2</u> Def.: Defence of Canada	
<u>3</u> S.A.: Subversive Activities	

4.3 Exclusions

Section	Number of requests
68(a)	0
68(b)	0
68(c)	0
68.1	0
68.2(a)	0
68.2(b)	0
69(1)	0
69(1)(a)	0
69(1)(b)	0
69(1)(c)	0
69(1)(d)	0

Section	Number of requests
69(1)(e)	0
69(1)(g) re (a)	0
69(1)(g) re (b)	0
69(1)(g) re (c)	0
69(1)(g) re (d)	0
69(1)(g) re (e)	0
69(1)(g) re (f)	0
69.1(1)	0
69(1)(f)	0

4.4 Format of information released

Paper	Electronic				Other
	E-record	Data set	Video	Audio	
0	25	0	0	0	0

4.5 Complexity

4.5.1 Relevant pages processed and disclosed for paper and e-record formats

Number of pages processed	Number of pages disclosed	Number of requests
11267	2062	28

4.5.2 Relevant pages processed per request disposition for paper and e-record formats by size of requests

Disposition	Less than 100 pages processed		100-500 pages processed		501-1000 pages processed	
	Number of requests	Pages processed	Number of requests	Pages processed	Number of requests	Pages processed
All disclosed	3	31	1	116	0	0
Disclosed in part	8	179	8	2236	3	2118
All exempted	0	0	0	0	1	895
All excluded	0	0	0	0	0	0
Request abandoned	1	31	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0
Total	12	241	9	2352	4	3013



4.5.3 Relevant minutes processed and disclosed for audio formats

Number of minutes processed	Number of minutes disclosed	Number of requests
0	0	0

4.5.4 Relevant minutes processed per request disposition for audio formats by size of requests

Disposition	Less than 60 minutes processed		60 - 120 minutes processed		More than 120 minutes processed	
	Number of requests	Minutes processed	Number of requests	Minutes processed	Number of requests	Minutes processed
All disclosed	0	0	0	0	0	0
Disclosed in part	0	0	0	0	0	0
All exempted	0	0	0	0	0	0
All excluded	0	0	0	0	0	0
Request abandoned	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0

Disposition	Less than 60 minutes processed		60 - 120 minutes processed		More than 120 minutes processed	
	Number of requests	Minutes processed	Number of requests	Minutes processed	Number of requests	Minutes processed
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0
Total	0	0	0	0	0	0

4.5.5 Relevant minutes processed and disclosed for video formats

Number of minutes processed	Number of minutes disclosed	Number of requests
0	0	0

4.5.6 Relevant minutes processed per request disposition for video formats by size of requests

Disposition	Less than 60 minutes processed		60 - 120 minutes processed		More than 120 minutes processed	
	Number of requests	Minutes processed	Number of requests	Minutes processed	Number of requests	Minutes processed
All disclosed	0	0	0	0	0	0

Disposition	Less than 60 minutes processed		60 - 120 minutes processed		More than 120 minutes processed	
	Number of requests	Minutes processed	Number of requests	Minutes processed	Number of requests	Minutes processed
Disclosed in part	0	0	0	0	0	0
All exempted	0	0	0	0	0	0
All excluded	0	0	0	0	0	0
Request abandoned	0	0	0	0	0	0
Neither confirmed nor denied	0	0	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0	0	0
Total	0	0	0	0	0	0

4.5.7 Other complexities

Disposition	Consultation required	Legal advice sought	Other	Total

Disposition	Consultation required	Legal advice sought	Other	Total
All disclosed	0	0	0	0
Disclosed in part	6	2	0	8
All exempted	0	0	0	0
All excluded	0	0	0	0
Request abandoned	0	0	0	0
Neither confirmed nor denied	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0
Total	6	2	0	8

4.6 Closed requests

4.6.1 Requests closed within legislated timelines

Number of requests closed within legislated timelines	27
Percentage of requests closed within legislated timelines (%)	81.81818182

4.7 Deemed refusals

4.7.1 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
6	0	0	0	6

4.7.2 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 timeline 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	2	2
121 to 180 days	0	0	0
181 to 365 days	0	0	0
More than 365 days	1	3	4
Total	1	5	6

4.8 Requests for translation

Translation requests	Accepted	Refused	Total

Translation requests	Accepted	Refused	Total
English to French	0	0	0
French to English	0	0	0
Total	0	0	0

Section 5: Extensions

5.1 Reasons for extensions and disposition of requests

Disposition of requests where an extension was taken	9(1)(a) Interference with operations/ workload	9(1)(b) Consultation		9(1)(c) Third-party notice
		Section 69	Other	
All disclosed	0	0	0	0
Disclosed in part	8	1	6	1
All exempted	2	0	0	0
All excluded	0	0	0	0
Request abandoned	0	0	0	0
No records exist	0	0	0	0
Declined to act with the approval of the Information Commissioner	0	0	0	0
Total	10	1	6	1

5.2 Length of extensions

Length of extensions	9(1)(a) Interference with operations/ workload	9(1)(b) Consultation		9(1)(c) Third-party notice
		Section 69	Other	
30 days or less	2	0	1	0
31 to 60 days	2	0	1	0
61 to 120 days	3	1	2	1
121 to 180 days	2	0	0	0
181 to 365 days	1	0	2	0
365 days or more	0	0	0	0
Total	10	1	6	1

Section 6: Fees

Fee type	Fee collected		Fee waived		Fee refunded	
	Number of requests	Amount	Number of requests	Amount	Number of requests	Amount
Application	26	\$130.00	3	\$15.00	0	\$0.00
Other fees	0	\$0.00	0	\$0.00	0	\$0.00
Total	26	\$130.00	3	\$15.00	0	\$0.00

Section 7: Consultations received from other institutions and organizations

7.1 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	36	913	0	0
Outstanding from the previous reporting period	3	13	0	0
Total	39	926	0	0
Closed during the reporting period	38	738	0	0
Carried over within negotiated timelines	1	188	0	0
Carried over beyond negotiated timelines	0	0	0	0

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

Recommendation	Number of days required to complete consultation requests							
	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	Total
Disclose in part	0	0	0	0	0	0	0	0
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0

Section 8: Completion time of consultations on Cabinet Confidences

8.1 Requests with legal services

Number of days	Fewer than 100 pages processed		100-500 pages processed		501-1000 pages processed		1001-500 pages processed
	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests
1 to 15	0	0	0	0	0	0	0
16 to 30	1	3	0	0	0	0	0

Number of days	Fewer than 100 pages processed		100-500 pages processed		501-1000 pages processed		1001-500 pages pro
	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests
31 to 60	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0
Total	1	3	0	0	0	0	0

8.2 Requests with Privy Council Office

Number of days	Fewer than 100 pages processed		100-500 pages processed		501-1000 pages processed		1001-500 pages pro
	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests
1 to 15	0	0	0	0	0	0	0

Number of days	Fewer than 100 pages processed		100-500 pages processed		501-1000 pages processed		1001-500 pages pro
	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests	Pages disclosed	Number of requests
16 to 30	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0
181 to 365	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0

Section 9: Investigations and reports of finding

9.1 Investigations

Section 32 Notice of intention to investigate	Subsection 30(5) Ceased to investigate	Section 35 Formal representations
2	1	0

9.2 Investigations and reports of finding

Section 37(1) Initial reports			Section 37(2) Final reports		
Received	Containing recommendations issued by the Information Commissioner	Containing orders issued by the Information Commissioner	Received	Containing recommendations issued by the Information Commissioner	Containing orders issued by the Information Commissioner
0	0	0	4	0	



Section 10: Court action

10.1 Court actions on complaints

Section 41				
Complainant (1)	Institution (2)	Third party (3)	Privacy Commissioner (4)	Total
0	0	0	0	0

10.2 Court actions on third party notifications under paragraph 28(1)(b)

Section 44 - under paragraph 28(1)(b): 0

Section 11: Resources related to the *Access to Information Act*

11.1 Allocated costs

Expenditures	Amount
Salaries	\$358,600
Overtime	\$0
Goods and services	\$169,692
Professional services contracts	\$151,323
Other	\$18,369
Total	\$528,292

11.2 Human resources

Resources	Person years dedicated to access to information activities
Full-time employees	1.618
Part-time and casual employees	0.092
Regional staff	1.451
Consultants and agency personnel	0.902
Students	0.300
Total	4.363
Note: Enter values to three decimal places.	

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

Name of institution: Office of the Superintendent of Financial Institutions

Reporting period: 2022-04-01 to 2023-03-31

Section 1: Capacity to receive requests under the *Access to Information Act* and the *Privacy Act*

1.1 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 under the *Access to Information Act* and the *Privacy Act*

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	0	52	52

	No capacity	Partial capacity	Full capacity	Total
Protected B paper records	0	0	52	52
Secret and Top Secret paper records	0	0	52	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	0	0	52	52

Section 3: Open requests and complaints under the *Access to Information Act*

3.1 Enter the number of open requests that are outstanding from previous reporting periods

Fiscal year open requests were received	Open requests that are within legislated timelines as of March 31, 2023	Open requests that are beyond legislated timelines as of March 31, 2023	Total
Row 11, Col. 3 of Section 3.1 must equal Row 7, Col. 1 of Section 1.1 of the 2022-2023 Statistical Report on the <i>Access to Information Act</i> .			

Fiscal year open requests were received	Open requests that are within legislated timelines as of March 31, 2023	Open requests that are beyond legislated timelines as of March 31, 2023	Total
Received in 2022-2023	7	0	7
Received in 2021-2022	3	0	3
Received in 2020-2021	0	3	3
Received in 2019-2020	0	0	0
Received in 2018-2019	0	0	0
Received in 2017-2018	0	0	0
Received in 2016-2017	0	0	0
Received in 2015-2016	0	0	0
Received in 2014-2015	0	0	0

Row 11, Col. 3 of Section 3.1 must equal Row 7, Col. 1 of Section 1.1 of the 2022-2023 Statistical Report on the *Access to Information Act*.

Fiscal year open requests were received	Open requests that are within legislated timelines as of March 31, 2023	Open requests that are beyond legislated timelines as of March 31, 2023	Total
Received in 2013-2014 or earlier	0	0	0
Total	10	3	13

Row 11, Col. 3 of Section 3.1 must equal Row 7, Col. 1 of Section 1.1 of the 2022-2023 Statistical Report on the *Access to Information Act*.

3.2 Enter the number of open complaints with the Information Commissioner of Canada that are outstanding from previous reporting periods

Fiscal year open complaints were received by institution	Number of open complaints
Received in 2022-2023	1
Received in 2021-2022	1
Received in 2020-2021	0
Received in 2019-2020	0
Received in 2018-2019	0
Received in 2017-2018	0
Received in 2016-2017	0
Received in 2015-2016	0
Received in 2014-2015	0

Fiscal year open complaints were received by institution	Number of open complaints
Received in 2013-2014 or earlier	0
Total	2

Section 4: Open requests and complaints under the *Privacy Act*

4.1 Enter the number of open requests that are outstanding from previous reporting periods

Fiscal year open requests were received	Open requests that are within legislated timelines as of March 31, 2023	Open requests that are beyond legislated timelines as of March 31, 2023	Total
Received in 2022-2023	0	0	0
Received in 2021-2022	0	0	0
Received in 2020-2021	0	0	0
Received in 2019-2020	0	0	0

Row 11, Col. 3 of Section 4.1 must equal Row 7, Col. 1 of Section 1.1 of the 2022-2023 Statistical Report on the *Privacy Act*

Fiscal year open requests were received	Open requests that are within legislated timelines as of March 31, 2023	Open requests that are beyond legislated timelines as of March 31, 2023	Total
Received in 2018-2019	0	0	0
Received in 2017-2018	0	0	0
Received in 2016-2017	0	0	0
Received in 2015-2016	0	0	0
Received in 2014-2015	0	0	0
Received in 2013-2014 or earlier	0	0	0
Total	0	0	0

Row 11, Col. 3 of Section 4.1 must equal Row 7, Col. 1 of Section 1.1 of the 2022-2023 Statistical Report on the *Privacy Act*

4.2 Enter the number of open complaints with the Privacy Commissioner of Canada that are outstanding from previous reporting periods

Fiscal year open complaints were received by institution	Number of open complaints
Received in 2022-2023	1

Fiscal year open complaints were received by institution	Number of open complaints
Received in 2021-2022	0
Received in 2020-2021	0
Received in 2019-2020	0
Received in 2018-2019	0
Received in 2017-2018	0
Received in 2016-2017	0
Received in 2015-2016	0
Received in 2014-2015	0
Received in 2013-2014 or earlier	0
Total	1

Section 5: Social Insurance Number

Has your institution begun a new collection or a new consistent use of the SIN in 2022-2023? : No

Section 6: Universal access under the *Privacy Act*

How many requests were received from confirmed foreign nationals outside of Canada in 2022-2023? : 0

Row 1, Col. 1 of Section 6 must be equal to or less than Row 1, Col. 1 of Section 1.1 of the 2022-2023 Statistical Report on the *Privacy Act*

Appendix B – Designation order: *Access to Information Act*

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.

Dated in Ottawa on this 25th day of May, 2021

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 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.

Le présent document remplace et annule tous les arrêtés antérieurs.

Fait à Ottawa en ce 25ième jour de mai 2021

Jeremy Rudin

Superintendent of Financial Institutions/

Le surintendant des institutions financières

Access to Information Act

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
4(2.1)	Reasonable effort to assist, respond accurately and completely and provide timely access in the format requested	X	X	X	X
7(a)	To give notice to applicant that access will be given	X	X	X	X
7(b)	To give access to the record	X	X	X	X
8(1)	To transfer to another institution or to accept transfer from another institution and to give notice to applicant	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
9	To extend time limit and give notice	X	X	X	X
11(2)	To require payment of additional fees	X	X	X	X
11(3)	To require payment for machine readable record	X	X	X	X
11(4)	To require payment of a deposit	X	X	X	X
11(5)	To give notice of amount required	X	X	X	X
11(6)	To waive the requirement to pay a fee	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
12(2) (b)	To determine whether a record should be translated	X	X	X	X
12(3) (b)	To determine whether a record should be provided in an alternative format	X	X	X	X
13	To refuse to disclose a record referred to in that section	X	X	X	X
14	To refuse to disclose a record referred to in that section	X	X	X	X
15	To refuse to disclose a record referred to in that section	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
16	To refuse to disclose a record referred to in that section	X	X	X	X
16.5	To refuse to disclose a record referred to in that section	X	X	X	X
17	To refuse to disclose a record referred to in that section	X	X	X	X
18	To refuse to disclose a record referred to in that section	X	X	X	X
18.1	To refuse to disclose a record referred to in that section	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
19	To refuse to disclose a record referred to in that section	X	X	X	X
20(1)	To refuse to disclose a record referred to in that subsection	X	X	X	X
20(2)	To disclose part of a record referred to in that subsection	X	X	X	X
20(3)	To disclose part of a record referred to in that subsection and provide written explanation	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
20(5)	To disclose, with the consent of third party, a record referred to in subsection 20(1)	X	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	X
21(1)	To refuse to disclose a record referred to in that subsection	X	X	X	X
22	To refuse to disclose a record referred to in that section	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
22.1	To refuse to disclose a record referred to in that section	X	X	X	X
23	To refuse to disclose a record referred to in that section	X	X	X	X
24	To refuse to disclose a record referred to in that section	X	X	X	X
25	To disclose information that can reasonably be severed	X	X	X	X
26	To refuse to disclose a record referred to in that section	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
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) (b)	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	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
29(1)	To give notice to applicant and to third party	X	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) (b)	To make representations to the Information Commissioner	X	X	X	X

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
37(1)	Notice of actions to implement recommendations of 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

Section	Powers, duties or functions	Assistant Superintendent, Corporate Services	Special Advisor, Corporate Services	Director, Strategic Governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
52(2) (b)	To request hearing in the National Capital Region	X	X	X	X
52(3)	To request opportunity to make representations ex parte	X	X	X	X
71(1)	To provide facilities where manuals may be inspected by public	X	X	X	X
72	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	Special Advisor, Corporate Services	Director, Strategic governance, Access to Information and Privacy Offices	Manager, Privacy & Access to Information
6(1)	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	X

Date modified:

2023-11-01