

2015-2016 Annual Report to Parliament

on the Administration of the Access to Information Act





Foreword

Each fiscal year, the head of every government institution prepares and submits an annual report to Parliament on the administration of the Access to Information Act.

This annual report is tabled in Parliament in accordance with section 72 of the Access to Information Act under the direction of the Minister of National Revenue and the Commissioner of the Canada Revenue Agency (CRA). It describes how the CRA administered and fulfilled its obligations under the Access to Information Act between April 1, 2015, and March 31, 2016. It also discusses emerging trends, program delivery, and areas of focus for the year ahead.

The Access to Information Act

The Access to Information Act came into force on July 1, 1983. It gives Canadian citizens, along with persons and corporations physically present in Canada, the right to request access to federal government records.

The Access to Information Act is based on three main principles:

- Government information should be available to the public.
- Exceptions to the right of access should be limited and specific.
- Decisions about disclosures should be reviewable independently of government.

The Access to Information Act's formal processes do not replace other ways of obtaining government information. The CRA encourages individuals, businesses, and other groups to consider getting information through the following informal methods:

- topical indexes on the CRA website: www.cra.gc.ca/azindex/menu-eng.html
- individual income tax and trust enquiries (including requests for forms and publications): **1-800-959-8281**
- enquires from businesses and self-employed individuals (including requests for forms and publications): **1-800-959-5525**
- universal child care benefit, Canada child tax benefit, and related provincial and territorial programs, child disability benefit, and children's special allowances enquiries: **1-800-387-1193**
- Charities Client Assistance (information about registered charities): **1-800-267-2384**
- Part XIII tax and non-resident withholding accounts: **1-855-284-5946**
- TTY (teletypewriter for persons who are deaf or hard of hearing or who have a speech impairment): **1-800-665-0354**



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Overview of the Canada Revenue Agency

The Canada Revenue Agency (CRA) administers tax laws for the Government of Canada and for most provinces and territories. It also administers various social and economic benefit and incentive programs delivered through the tax system. In addition, the CRA has the authority to enter into new partnerships with the provinces, territories, and other government bodies—at their request and on a cost-recovery basis—to administer non-harmonized taxes and other services. Overall, the CRA promotes compliance with Canada’s tax legislation and regulations and plays an important role in the economic and social well-being of Canadians.

The Minister of National Revenue is accountable to Parliament for all of the CRA’s activities, including administering and enforcing the Income Tax Act and the Excise Tax Act.

The Canada Revenue Agency Act provides for the establishment of the Board of Management consisting of 15 directors appointed by the Governor in Council. They include the Chair, the Commissioner and Chief Executive Officer, a director nominated by each province, one director nominated by the territories, and two directors nominated by the Government of Canada. Under the provisions of the Canada Revenue Agency Act, the Board of Management oversees the organization and administration of the CRA, including the management of its resources, services, property, personnel, and contracts. In fulfilling this role, the Board of Management brings a forward-looking strategic perspective to the CRA’s operations, fosters sound management practices, and is committed to efficient and effective service delivery.

As the CRA’s Chief Executive Officer, the Commissioner is responsible for the day-to-day administration and enforcement of the program legislation that falls under the Minister’s delegated authority. The Commissioner is accountable to the Board of Management for managing the CRA, supervising employees, and implementing policies and budgets. Moreover, the Commissioner must assist and advise the Minister with respect to legislated authorities, duties, functions, and Cabinet responsibilities.

The CRA is made up of 12 branches and 5 regional offices across the country.

Branches

- Appeals
- Assessment and Benefit Service
- Audit, Evaluation, and Risk
- Collections and Verification
- Compliance Programs
- Finance and Administration
- Human Resources
- Information Technology
- Legal Services
- Legislative Policy and Regulatory Affairs
- Public Affairs
- Strategy and Integration

Regions

- Atlantic
- Ontario
- Pacific
- Prairie
- Quebec

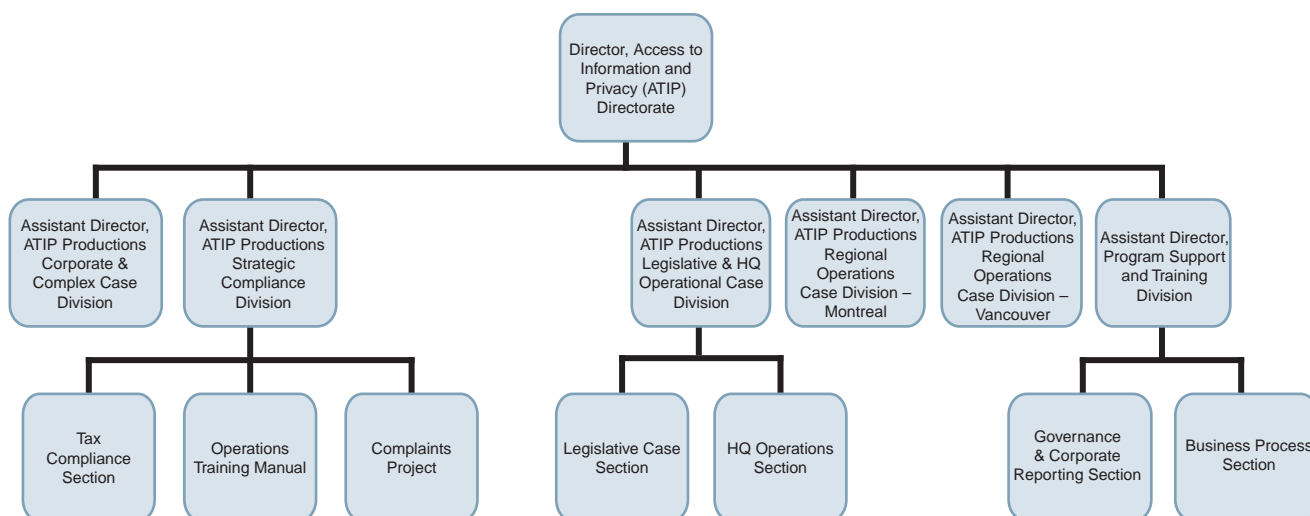
The Access to Information and Privacy Directorate

The Access to Information and Privacy Directorate helps the CRA meet its requirements under the Access to Information Act and the Privacy Act. To fulfill this mandate, the Directorate:

- responds to requests and enquiries under the Access to Information Act and the Privacy Act
- provides advice and guidance to CRA employees on requests for, and the proper management and protection of, personal information under the CRA's control
- coordinates privacy impact assessment processes within the CRA, including giving expert advice to CRA employees on privacy implications, risks, and options for avoiding or reducing risks
- gives training and awareness sessions on the Access to Information Act and the Privacy Act and the practices and requirements for managing personal information
- communicates with the Treasury Board of Canada Secretariat and the offices of the information and privacy commissioners of Canada about complaints, audits, and policy and legislative requirements
- fulfills corporate planning and reporting obligations such as the CRA's annual reports to Parliament on the administration of the Access to Information Act and the Privacy Act

The Director has the full delegated authority of the Minister of National Revenue under the Access to Information Act and the Privacy Act. The Director also manages and coordinates the Access to Information and Privacy Program, leads strategic planning and development initiatives, and supports the Assistant Commissioner, Public Affairs Branch, and Chief Privacy Officer.

The Directorate is made up of two main divisions: processing; and program support and training (within the Directorate and CRA-wide). In addition to its headquarters office in Ottawa, there is an office in Vancouver and an office in Montréal. In 2015-2016, 110 full-time employees administered the Access to Information Act and the Privacy Act.





The Access to Information and Privacy Oversight Review Committee

The Access to Information and Privacy Oversight Review Committee is an Assistant Commissioner level committee, chaired by the Chief Privacy Officer. The Committee was established to ensure horizontal consultation, collaboration, and decision-making on emerging access to information and privacy issues at the CRA. Among other responsibilities, the Committee reviews high-risk privacy impact assessments; identifies measures to support more effective administration of access to information and privacy matters; and champions related activities.

Delegation of responsibilities under the Access to Information Act

As head of the CRA, the Minister of National Revenue is responsible for how the CRA administers the Access to Information Act and complies with the Access to Information Regulations and Treasury Board of Canada Secretariat policy instruments. Section 73 of the Access to Information Act gives the Minister the authority to designate one or more officers or employees of the CRA to exercise or perform all, or part, of the Minister's powers, duties, and functions under the Act.

The CRA's current delegation order for the Access to Information Act was signed by the Minister of National Revenue on January 14, 2016. It identifies specific provisions of the Access to Information Act and its regulations that the Minister has delegated to various positions within the CRA.

The Access to Information and Privacy Director and Assistant Directors, as well as the managers of the processing units, approve responses to requests under the Access to Information Act. Delegations are also extended to the Commissioner, the Deputy Commissioner, the Assistant Commissioner, Public Affairs Branch, and Chief Privacy Officer.



Minister
of National Revenue



Ministre
du Revenu national

Ottawa, Canada K1A 0A6

Access to Information Act
Delegation Order

Arrêté sur la délégation en vertu de la
Loi sur l'accès à l'information

I, Diane Lebouthillier, Minister of National Revenue, do hereby designate, pursuant to section 73 of the *Access to Information Act*, the officers or employees of the Canada Revenue Agency who hold the positions set out in the attached Schedule to exercise or perform the powers, duties, or functions that have been given to me as head of a government institution under the provisions of the *Access to Information Act* as set out in the Schedule.

This designation replaces all previous delegation orders.

Je, Diane Lebouthillier, ministre du Revenu national, délègue par les présentes, en vertu de l'article 73 de la *Loi sur l'accès à l'information*, aux cadres ou employés de l'Agence du revenu du Canada détenteurs des postes mentionnés dans l'annexe ci-jointe les attributions dont je suis, en qualité de responsable d'une institution fédérale, investie par les dispositions de la *Loi sur l'accès à l'information* qui sont mentionnées dans l'annexe.

Le présent document remplace et annule tout arrêté antérieur.

La ministre du Revenu national,

Diane Lebouthillier
Minister of National Revenue

Signed in Ottawa, Ontario, Canada this 14th day of January, 2016
Signé à Ottawa, Ontario, Canada le 14^e jour de janvier 2016

Canada



Schedule – Access to Information Act

The CRA positions that are authorized to perform the powers, duties, and functions given to the Minister of National Revenue as head of a government institution under the provisions of the Access to Information Act and its regulations are the following:

Commissioner

- Full authority

Deputy Commissioner

- Full authority

Assistant Commissioner, Public Affairs Branch and Chief Privacy Officer

- Full authority

Director, Access to Information and Privacy Directorate, Public Affairs Branch

- Full authority

Assistant Directors, Access to Information and Privacy Directorate, Public Affairs Branch

- Full authority

Managers, ATIP Directorate, PAB

- Subsection 4(2.1); paragraphs 7(a) and (b); subsection 8(1); section 9; subsections 11(2) to (6); paragraphs 12(2)(b) and 12(3)(b); sections 13 to 16; sections 17 and 18.1; sections 19 and 20; section 21 to 26; subsections 27(1) and (4); paragraph 28(1)(b); subsections 28(2) and (4); subsection 29(1); section 33; paragraph 35(2)(b); subsections 37(4), 43(1), 44(2) and 71(1) of the Access to Information Act; subsections 6(1), 7(2) and 7(3); and sections 8 and 8.1 of the Access to Information Regulations.



Interpretation and explanation of Appendix A – Statistical report

Appendix A provides a statistical report on the CRA's activities under the Access to Information Act for the 2015-2016 reporting period. The following explains and interprets the statistical information.

Requests under the Access to Information Act

During this reporting period (April 1, 2015, to March 31, 2016), the CRA received 3,139 new requests under the Access to Information Act. This is an increase of 133 requests (4%) over last year's total of 3,006 requests. With the 926 requests carried forward from 2014-2015, there were 4,065 active requests. The following table shows the number of access to information requests the CRA received and completed in the past five fiscal years.

| Fiscal year | Requests received | Requests completed | Pages processed |
|-------------|-------------------|--------------------|-----------------|
| 2011-2012 | 2,237 | 2,683 | 998,802 |
| 2012-2013 | 3,137 | 3,083 | 1,203,253 |
| 2013-2014 | 2,751 | 2,795 | 1,636,782 |
| 2014-2015 | 3,006 | 2,668 | 1,306,661 |
| 2015-2016 | 3,139 | 2,572 | 1,233,194 |

The following table shows the breakdown of the source of the 3,139 requests received during the 2015-2016 reporting period.

| Source | Number of requests | Percentage |
|---------------------------|--------------------|------------|
| Media | 202 | 6.5% |
| Academia | 24 | 0.8% |
| Business (private sector) | 907 | 28.9% |
| Organization | 40 | 1.3% |
| Public | 1,789 | 56.9% |
| Decline to identify | 177 | 5.6% |



Other Requests

In 2015-2016, the Access to Information and Privacy Directorate closed 128 consultation requests from other government institutions and organizations. A total of 6,326 pages were reviewed to respond to these requests. Additionally, 13 consultation requests were carried forward to the 2016-2017 reporting period. For more details on the consultations received from other government institutions and organizations, including disposition and completion times, see Appendix A.

During the same reporting period, the CRA received 595 requests for previously released information, an increase of 266 (81%) over the previous year. These requests are considered informal disclosures and do not fall under the Access to Information Act.

In addition, the Directorate's Program Support and Training Division responded to 4,710 emails and 733 telephone enquiries received through the general enquiries mailbox and 1-800 line. The enquiries related mainly to how to submit an access to information or privacy request, the status of the request, and enquiries that were redirected because the information requested is not retained by the ATIP Directorate, such as requests for forms and tax information.

Disposition of completed requests

During the reporting period, the Access to Information and Privacy Directorate completed 2,572 requests related to the Access to Information Act.

- 542 were fully disclosed (21.07%)
- 1,250 were disclosed in part (48.60%)
- 16 were exempted in their entirety (0.62%)
- 1 was excluded in its entirety (0.04%)
- 179 resulted in no existing records (6.96%)
- 10 were transferred to another institution (0.39%)
- 573 were abandoned by requesters (22.28%)
- 1 was neither confirmed nor denied (0.04%)

For more details, see table 2.1 of Appendix A.

Exemptions

The Access to Information Act allows an institution to refuse access to specific information. For example, information about individuals other than the requester cannot be disclosed if the individual has not given his or her consent. Exemptions are applied by analysts to support non-disclosure in these cases. Exemptions must be limited and specific.

In 2015-2016, the CRA applied the following exemptions under the Act to exempt information in full or in part for 1,267 (49%) of the 2,572 requests closed during the reporting period.

- Section 13 – Information obtained in confidence (76 requests)
- Section 14 – Federal-provincial affairs (10 requests)

- Section 15 – International affairs and defence (43 requests)
- Section 16 – Law enforcement and investigation, and security (857 requests)
- Section 17 – Safety of individuals (3 requests)
- Section 18 – Economic interests of Canada (23 requests)
- Section 19 – Personal information (804 requests)
- Section 20 – Third-party information (47 requests)
- Section 21 – Operations of government (451 requests)
- Section 22 – Testing procedures, tests, and audits (20 requests)
- Section 23 – Solicitor-client privilege (196 requests)
- Section 24 – Statutory prohibitions (1,000 requests)
- Section 26 – Information to be published (3 requests)

Exclusions

The Access to Information Act does not apply to information that is already publicly available, such as government publications and material in libraries and museums. It also excludes material such as Cabinet confidences.

In 2015-2016, the CRA applied exclusions 89 times: 24 times for information that was publicly available and 65 times for Cabinet confidences.

Format of information released

Requesters can choose to receive their response package in paper, CD, or DVD format. Providing documents electronically significantly reduces manual processes and paper consumption. In 2015-2016, of the 1,792 requests for which information was disclosed in full or in part, 1,569 requests (88%) were released in electronic format. This is a 3% increase over the previous reporting period.

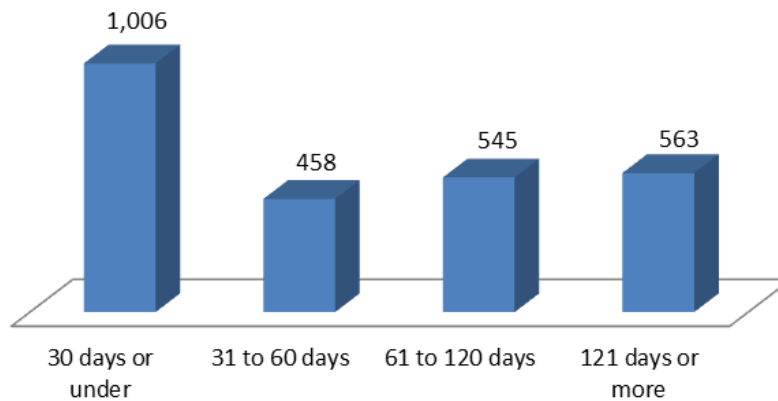
Completion time and extensions

The Access to Information Act sets the timelines for responding to access to information requests and allows time extensions when there is a large volume of records to be processed or a need to complete consultations (for example, if there is a need to consult another taxpayer or another government institution). Of the 2,572 requests closed in 2015-2016, the CRA took extensions for 1,290 (50%) of them. Extensions were taken 93% of the time because of workload and meeting the original 30 day time limit would have resulted in unreasonable interference with CRA operations. The remaining 7% of extensions were taken to consult with third parties or other government institutions.



The following chart shows the completion times for the 2,572 requests closed in 2015-2016.

Completion time



The Access to Information and Privacy Directorate completed 1,901 (74%) requests within the timelines required by law. This means that responses were provided within 30 calendar days, or when an extension was taken, within the extended deadline.

Deemed refusals and complexities

A deemed refusal is a request that was closed after the deadline of 30 calendar days or, if a time extension was taken, after the extended deadline.

Of the 2,572 requests closed during the reporting period, 671 were closed after the deadline, resulting in a deemed refusal rate of 26%.

Although the CRA continues to work toward a deemed refusal rate of zero, as recommended by the Office of the Information Commissioner, high volumes, broad scope of many requests, and operational pressures make achieving this goal a continuing challenge.

The Treasury Board of Canada Secretariat defines complexity using two criteria: the number of pages to process; and the nature and sensitivity of the subject matter. Based on these criteria, the CRA handles a large number of complex requests.

For requests closed in 2015-2016, the CRA reviewed 1,233,194 pages. Of these requests, 227 required the processing of more than 1,000 pages. Thirty of these required the processing of more than 5,000 pages. For more details, see Table 2.5.2 of Appendix A.

In addition to large volumes, the CRA processes many complex requests, for example, requests that involve tax litigation or require consultation with third parties, such as provincial, federal, and international bodies.



Completion time of consultations on Cabinet confidences

Although Cabinet confidences are excluded from the application of the Access to Information Act (section 69), the policies of the Treasury Board of Canada Secretariat require agencies and departments to consult their legal services to determine if the information should be excluded. If there is any doubt, or in cases when the records contain discussion papers, legal counsel must consult the Office of the Counsel to the Clerk of the Privy Council Office.

In 2015-2016, the CRA applied 14 Cabinet confidence exclusions. These exclusions were applied after the Access to Information and Privacy Directorate consulted the Legal Services Branch and received confirmation that the information qualified as a Cabinet confidence.

Requests for translation

In 2015-2016, the CRA translated records in response to two access to information requests.

Records are normally released in the language in which they exist. However, records may be translated in a particular official language when requested, and the institution considers it in the public interest to do so.

Fees

Fees collected during the reporting period amounted to \$11,496. For more details, see Part 4 of Appendix A.

Costs

In 2015-2016, the Access to Information and Privacy Directorate's direct cost to administer the Access to Information Act was \$4,738,983. This excludes significant support and resources from the branches and regions. For more details, see Table 9.1 of Appendix A.



Operational environment

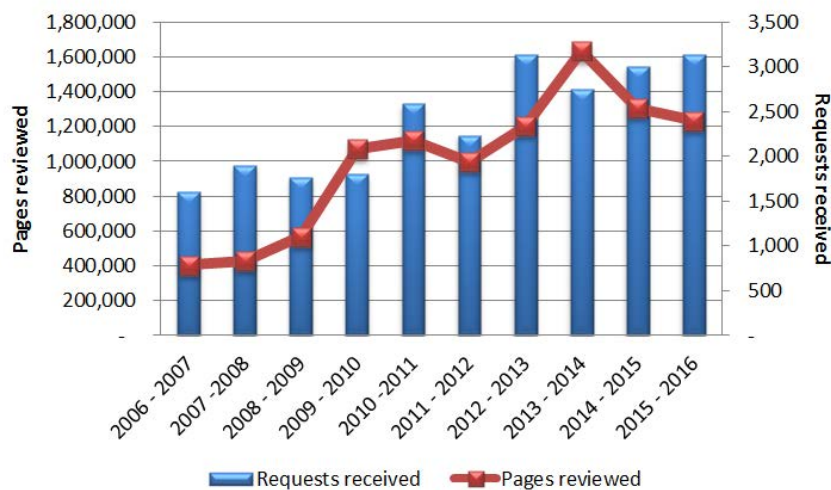
Request volume

The CRA's Access to Information and Privacy Directorate processes a large volume of access to information requests, among the largest of all federal organizations. The CRA is historically among the top five federal organizations for requests received and pages processed. In 2014-2015, the CRA processed the second largest volume of pages (1.3 million).

- Volumes have grown from 1,604 requests received and just over 400,000 pages processed in 2006-2007, to 3,139 requests received and over 1.2 million pages processed in 2015-2016
- Since 926 requests were carried over from the previous reporting period, the Access to Information and Privacy Directorate's total inventory in 2015-2016 was 4,065 requests
- With the 2,572 requests closed in 2015-2016, the CRA began 2016-2017 with 1,493 requests in its inventory
- The number of informal requests has also significantly increased: 595 informal requests were received during the fiscal year, an 81% increase from the previous reporting period (these are requests that do not fall under the Access to Information Act)

As the following table demonstrates, the Directorate's workload has increased steadily over the past 10 years.

Workload Trends



Complex requests

In addition to large volumes, the CRA processes many complex requests, for example, requests that involve tax litigation or require consultation with third parties, such as provincial, federal, or international bodies.

In 2015-2016 there was a 20% increase in the number of complex files compared to the previous reporting period.



Staffing

During the fiscal year, the Access to Information and Privacy Directorate faced staffing challenges due to attrition. Action was taken to address these challenges including hiring several analysts and clerks.

Raising awareness

To enhance employees' awareness of the significant part they play in the public's right of access to information, for the fifth consecutive year, the CRA participated in Right to Know Week. The purpose of Right to Know is to raise awareness of an individual's right to access government information, while promoting freedom of information as essential to both democracy and good governance.

During the week, the CRA highlighted that as the Government of Canada moves towards providing more information informally and increased proactive disclosures through open government, the CRA continues to be committed to providing quality service to Canadians by making information available to them in the most efficient and proactive way possible.

Through a monthly newsletter and a quarterly teleconference call, the Directorate communicates regularly with access to information and privacy (ATIP) contacts in branches and regions to raise awareness about access to information and privacy and the role they play in supporting sound privacy management at the CRA.

New tools were also developed to support the ATIP contacts in the execution of their roles and responsibilities. For instance, a recommendations memorandum was developed to help the CRA employees who provide recommendations to access to information and privacy analysts to support the severing of information.

To further support ATIP contacts, during the fiscal year, the Directorate launched a new tool, DropZone, so that responsive records could be transmitted electronically to the Directorate. This new method saves the CRA time, resources, and promotes sustainable development.

The Directorate is also leading a project to increase employee awareness and understanding of roles and responsibilities associated with how to respond to access to information and privacy requests through the development of KnowHow products. KnowHow provides user-friendly instructions to CRA employees and managers.

Training

The Access to Information and Privacy Directorate provides training to CRA employees about the requirements of, and their responsibilities under, the Access to Information Act and the Privacy Act. This training is tailored to the needs of specific audiences. For instance, employees who have little or no knowledge of the subject take the ATIP 101 course or the Canada School of Public Service "ATIP Fundamentals" online course. Subject matter experts take more specific training, such as on how to respond to requests for records. In total, this fiscal year:

- 1,211 employees participated in 40 sessions across Canada
- 97 employees attended the Canada School of Public Service "ATIP Fundamentals" online course

- 135 managers received online training under the CRA's management learning program
- 6 presentations were given to CRA senior management committees, in addition to those presentations given at the quarterly Access to Information and Privacy Oversight Review Committee meetings

The CRA's Legal Services Branch provided specialized training on the Access to Information Act. In total, the Branch provided 14 training sessions to 131 employees. These sessions focused on advising CRA staff on how to prepare documents for release in CRA reading rooms and on legal interpretation of the Access to Information Act for specialized CRA staff.

Beyond classroom training, the Directorate also initiated a strategy to expand awareness training through other mediums, such as webinars. Moving to e-training will enable the Directorate to reach a wider audience and to develop more targeted training to specific audiences in a more effective and efficient way. In March 2016, the first webinar was delivered to ATIP contacts through the National Technical Capacity Forum. Consultations were also held with the Human Resources Branch to develop job aids for CRA staff on access to information and privacy. In 2016-2017, these job aids will be posted on KnowHow.

In addition to training for employees across the CRA, the Directorate developed and delivered training for 15 new employees who joined the Directorate as analysts in March 2016. Work was also initiated to create e-modules for access to information and privacy staff, the first of which will be rolled out in 2016-2017.

CRA website

During the fiscal year, the ATIP Directorate worked with internal stakeholders across the CRA to draft revised access to information and privacy webpages to better inform taxpayers that there are many ways to request information from the CRA, apart from making an access to information or privacy request. The revised pages will be posted in 2016-2017.

Open government

The CRA fully supports open government by:

- continually expanding and enhancing its services and web presence to ensure Canadians have easy access to the information they need
- proactively disclosing information to the public about CRA corporate plans and procedures, acts, regulations, completed access-to-information requests, the virtual reading room, and more
- making anonymized datasets available on the Government of Canada's Open Government portal
- trying new ideas, adapting to new technology, and seeking continuous improvements that are fundamental to achieving the goal of maximizing the effectiveness of CRA service options for Canadians



Open Government Implementation Plan

During the fiscal year, the Access to Information and Privacy Directorate worked closely with the Strategy and Integration Branch to identify activities related to open information for inclusion in the CRA's Open Government Implementation Plan. These activities included those linked to the Government of Canada's plans to modernize the Access to Information Act and to develop a virtual reading room on the CRA website. The plan is updated on an annual basis.

Virtual reading room

In March 2016, the CRA launched its virtual reading room on the CRA website. This reading room expands the way the CRA discloses information to the public by providing them with immediate access to the CRA's most frequently requested manuals. This initiative also supports the CRA's informal disclosure objectives and responds to recommendations from both the Office of the Information Commissioner and the Office of the Taxpayers' Ombudsman to expand the informal release of information.

Policies, guidelines, and procedures

The CRA continues to promote and support compliance with the Treasury Board of Canada Secretariat policies, guidelines, and procedures through its communications and training.

During the fiscal year, guidance documents were drafted to expand awareness on informal disclosure across the CRA.

Monitoring request inventories

The CRA's Access to Information and Privacy Directorate produces a monthly report that captures key statistical information about the CRA's inventory of access to information and privacy requests. This report shows the average time a request remains at each phase of the request process (for example, intake, search and locate records, and analysis). The report also provides statistical information about the number of extensions taken, completion times, pages processed, complaints, and complaint disposition.

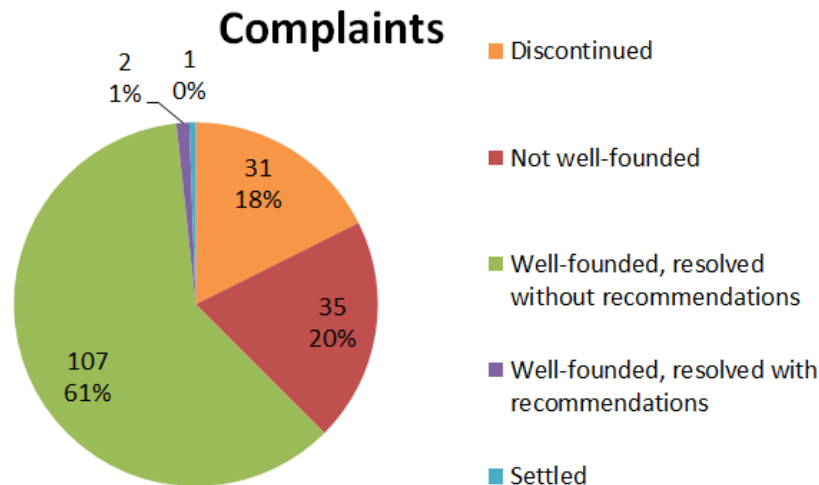
These reports are used by management to monitor trends, measure the Directorate's performance, and determine any process changes required to improve performance.

Complaints and investigations, and Federal Court cases

During 2015-2016, the CRA received 271 access to information complaints, which is an increase of 22 complaints (8%) from the 249 complaints received in the previous reporting period.



In 2015-2016, the CRA closed 176 complaints. The following chart shows the disposition of the complaints closed during the fiscal year. For definitions of the disposition categories, go to http://www.oic-ci.gc.ca/eng/inv-inv_disposition-categories-des-plaintes.aspx.



12 complaints were pursued to the Federal Court in 2015-2016. Of these, 11 related to the same requester.

Office of the Information Commissioner certification letters

In 2014-2015, the Office of the Information Commissioner asked the CRA to complete certification for their investigations on 25 missing records complaints. The purpose of certification is to make sure that all reasonable measures were taken to properly identify responsive records, ensure they are provided, and prevent any lack of due diligence in the search for records. The CRA initiated the certification process at the end of March 2015. In 2015-2016, the Information Commissioner requested certification on 21 further missing records complaints.

In total, certification for 46 files was sent to the relevant program areas, 27 were completed and returned to the Information Commissioner, with additional documents provided in some cases. The remaining certification letters will be signed in 2016-2017.



Collaboration with oversight bodies and other organizations

The CRA continues to work closely with the Office of the Information Commissioner, the Treasury Board of Canada Secretariat, and other organizations to strengthen access to information at the CRA.

Office of the Information Commissioner

The CRA worked closely with the Office of the Information Commissioner in 2015-2016, primarily with respect to managing complaints of requesters and coordinating the certification letter process.

Treasury Board Secretariat

The CRA strengthened its relationship with the Treasury Board of Canada Secretariat throughout the fiscal year by:

- consulting with the Treasury Board of Canada Secretariat Information and Privacy Policy Division on numerous occasions
- participating in access to information and privacy community meetings
- participating in the director-general-level Access to Information and Privacy Training Working Group
- participating in discussions with federal organizations about the costs associated with the Access to Information and Privacy Program and how to strengthen decision making on access to information and privacy issues

Conclusion

The CRA is committed to providing all Canadians with access to information in keeping with the requirements of the Access to Information Act. In 2015-2016, the CRA made significant progress in addressing challenges and responding to the recommendations made by oversight bodies to further strengthen its access to information processes.

In 2016-2017, the CRA will continue these efforts by:

- promoting the use of informal disclosure
- expanding the CRA virtual reading room
- implementing enhanced quality assurance practices in the Access to Information and Privacy Directorate
- enhancing awareness about access and privacy related issues through new platforms such as webinars, job aids, and KnowHow
- responding to all recommendations made in reviews and audits of the access to information and privacy functions

Appendix A – Statistical report

Statistical Report on the Access to Information Act

Name of institution: Canada Revenue Agency

Reporting period: April 1, 2015 to March 31, 2016

PART 1 – Requests under the Access to Information Act

1.1 Number of requests

| | Number of requests |
|--|--------------------|
| Received during reporting period | 3,139 |
| Outstanding from previous reporting period | 926 |
| Total | 4,065 |
| Closed during reporting period | 2,572 |
| Carried over to next reporting period | 1,493 |

1.2 Sources of requests

| Source | Number of requests |
|---------------------------|--------------------|
| Media | 202 |
| Academia | 24 |
| Business (Private sector) | 907 |
| Organization | 40 |
| Public | 1,789 |
| Decline to identify | 177 |
| Total | 3,139 |

1.3 Informal requests

| Completion time | | | | | | | Total |
|-----------------|---------------|---------------|----------------|-----------------|-----------------|--------------------|-------|
| 1 to 15 days | 16 to 30 days | 31 to 60 days | 61 to 120 days | 121 to 180 days | 181 to 365 days | More than 365 days | |
| 526 | 21 | 42 | 2 | 4 | 0 | 0 | 595 |



PART 2 – Requests closed during the reporting period

2.1 Disposition and completion time

| Disposition of requests | Completion time | | | | | | | Total |
|------------------------------|-----------------|---------------|---------------|----------------|-----------------|-----------------|--------------------|-------|
| | 1 to 15 days | 16 to 30 days | 31 to 60 days | 61 to 120 days | 121 to 180 days | 181 to 365 days | More than 365 days | |
| All disclosed | 19 | 217 | 146 | 104 | 27 | 23 | 6 | 542 |
| Disclosed in part | 9 | 140 | 245 | 389 | 194 | 180 | 93 | 1,250 |
| All exempted | 0 | 2 | 5 | 2 | 4 | 2 | 1 | 16 |
| All excluded | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 1 |
| No records exist | 8 | 74 | 47 | 30 | 8 | 8 | 4 | 179 |
| Request transferred | 9 | 1 | 0 | 0 | 0 | 0 | 0 | 10 |
| Request abandoned | 493 | 33 | 14 | 20 | 2 | 6 | 5 | 573 |
| Neither confirmed nor denied | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 1 |
| Total | 539 | 467 | 458 | 545 | 235 | 219 | 109 | 2,572 |



2.2 Exemptions

| Section | Number of requests | Section | Number of requests | Section | Number of requests | Section | Number of requests |
|-------------------------------|--------------------|------------|--------------------|------------|--------------------|----------|--------------------|
| 13(1)(a) | 35 | 16(1)(b) | 201 | 16.4(1)(b) | 0 | 20(1)(c) | 21 |
| 13(1)(b) | 2 | 16(1)(c) | 562 | 16.5 | 0 | 20(1)(d) | 1 |
| 13(1)(c) | 37 | 16(1)(d) | 0 | 17 | 3 | 20.1 | 0 |
| 13(1)(d) | 2 | 16(2) | 5 | 18(a) | 0 | 20.2 | 0 |
| 13(1)(e) | 0 | 16(2)(a) | 1 | 18(b) | 2 | 20.4 | 0 |
| 14 | 0 | 16(2)(b) | 0 | 18(c) | 0 | 21(1)(a) | 130 |
| 14(a) | 9 | 16(2)(c) | 69 | 18(d) | 20 | 21(1)(b) | 289 |
| 14(b) | 1 | 16(3) | 0 | 18.1(1)(a) | 0 | 21(1)(c) | 17 |
| 15(1) | 4 | 16.1(1)(a) | 0 | 18.1(1)(b) | 0 | 21(1)(d) | 15 |
| 15(1) - International Affairs | 25 | 16.1(1)(b) | 0 | 18.1(1)(c) | 0 | 22 | 19 |
| 15(1) - Defence of Canada | 14 | 16.1(1)(c) | 0 | 18.1(1)(d) | 1 | 22.1(1) | 1 |
| 15(1) - Subversive Activities | 0 | 16.1(1)(d) | 0 | 19(1) | 804 | 23 | 196 |
| 16(1)(a)(i) | 9 | 16.2(1) | 0 | 20(1)(a) | 0 | 24(1) | 1,000 |
| 16(1)(a)(ii) | 9 | 16.3 | 0 | 20(1)(b) | 25 | 26 | 3 |
| 16(1)(a)(iii) | 1 | 16.4(1)(a) | 0 | 20(1)(b.1) | 0 | | |

2.3 Exclusions

| Section | Number of requests | Section | Number of requests | Section | Number of requests |
|---------|--------------------|-----------------|--------------------|-----------------|--------------------|
| 68(a) | 24 | 69(1)(a) | 3 | 69(1)(g) re (b) | 0 |
| 68(b) | 0 | 69(1)(b) | 0 | 69(1)(g) re (c) | 9 |
| 68(c) | 0 | 69(1)(c) | 0 | 69(1)(g) re (d) | 9 |
| 68.1 | 0 | 69(1)(d) | 0 | 69(1)(g) re (e) | 8 |
| 68.2(a) | 0 | 69(1)(e) | 1 | 69(1)(g) re (f) | 1 |
| 68.2(b) | 0 | 69(1)(f) | 1 | 69.1(1) | 0 |
| 69(1) | 0 | 69(1)(g) re (a) | 25 | | |



2.4 Format of information released

| Disposition | Paper | Electronic | Other formats |
|-------------------|------------|--------------|---------------|
| All disclosed | 121 | 421 | 0 |
| Disclosed in part | 102 | 1,148 | 0 |
| Total | 223 | 1,569 | 0 |

2.5 Complexity

2.5.1 Relevant pages processed and disclosed

| Disposition of requests | Number of pages processed | Number of pages disclosed | Number of requests |
|------------------------------|---------------------------|---------------------------|--------------------|
| All disclosed | 29,435 | 29,435 | 542 |
| Disclosed in part | 1,187,100 | 1,095,991 | 1,250 |
| All exempted | 382 | 0 | 16 |
| All excluded | 0 | 0 | 1 |
| Request abandoned | 16,277 | 0 | 573 |
| Neither confirmed nor denied | 0 | 0 | 1 |
| Total | 1,233,194 | 1,125,426 | 2,383 |

2.5.2 Relevant pages processed and disclosed by size of requests

| Disposition of requests | 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 | 487 | 11,313 | 48 | 8,916 | 3 | 2,084 | 4 | 7,122 | 0 | 0 |
| Disclosed in part | 459 | 16,364 | 400 | 100,209 | 174 | 122,952 | 188 | 378,940 | 29 | 477,526 |
| All exempted | 16 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| All excluded | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Request abandoned | 560 | 0 | 5 | 0 | 2 | 0 | 5 | 0 | 1 | 0 |
| Neither confirmed nor denied | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | 1,523 | 27,677 | 453 | 109,125 | 179 | 125,036 | 197 | 386,062 | 30 | 477,526 |

2.5.3 Other complexities

| Disposition | Consultation required | Assessment of fees | Legal advice sought | Other | Total |
|------------------------------|-----------------------|--------------------|---------------------|-------|-------|
| All disclosed | 0 | 0 | 0 | 11 | 11 |
| Disclosed in part | 0 | 2 | 2 | 39 | 43 |
| All exempted | 0 | 0 | 0 | 0 | 0 |
| All excluded | 0 | 0 | 0 | 0 | 0 |
| Request abandoned | 0 | 0 | 0 | 4 | 4 |
| Neither confirmed nor denied | 0 | 0 | 0 | 0 | 0 |
| Total | 0 | 2 | 2 | 54 | 58 |

2.6 Deemed refusals

2.6.1 Reasons for not meeting statutory deadline

| Number of requests closed past the statutory deadline | Principal reason | | | |
|---|------------------|-----------------------|-----------------------|-------|
| | Workload | External consultation | Internal consultation | Other |
| 671 | 508 | 19 | 15 | 129 |

2.6.2 Number of days past deadline

| Number of days past deadline | Number of requests past deadline where no extension was taken | Number of requests past deadline where an extension was taken | Total |
|------------------------------|---|---|-------|
| 1 to 15 days | 33 | 68 | 101 |
| 16 to 30 days | 30 | 39 | 69 |
| 31 to 60 days | 30 | 61 | 91 |
| 61 to 120 days | 65 | 93 | 158 |
| 121 to 180 days | 36 | 61 | 97 |
| 181 to 365 days | 34 | 48 | 82 |
| More than 365 days | 20 | 53 | 73 |
| Total | 248 | 423 | 671 |



2.7 Requests for translation

| Translation Requests | Accepted | Refused | Total |
|----------------------|----------|---------|-------|
| English to French | 2 | 0 | 2 |
| French to English | 0 | 0 | 0 |
| Total | 2 | 0 | 2 |

Part 3 – Extensions

3.1 Reasons for extensions and disposition of requests

| Disposition of requests where an extension was taken | 9(1)(a) Interference with operations | 9(1)(b) Consultation | | 9(1)(c) Third-party notice |
|--|--------------------------------------|----------------------|-------|----------------------------|
| | | Section 69 | Other | |
| All disclosed | 219 | 0 | 21 | 0 |
| Disclosed in part | 874 | 0 | 58 | 5 |
| All exempted | 5 | 0 | 5 | 0 |
| All excluded | 1 | 0 | 0 | 0 |
| No records exist | 62 | 0 | 3 | 0 |
| Request abandoned | 37 | 0 | 0 | 0 |
| Total | 1,198 | 0 | 87 | 5 |

3.2 Length of extensions

| Length of extensions | 9(1)(a) Interference with operations | 9(1)(b) Consultation | | 9(1)(c) Third- party notice |
|----------------------|--|----------------------|-------|--------------------------------|
| | | Section 69 | Other | |
| 30 days or less | 461 | 0 | 15 | 0 |
| 31 to 60 days | 335 | 0 | 36 | 5 |
| 61 to 120 days | 307 | 0 | 28 | 0 |
| 121 to 180 days | 45 | 0 | 8 | 0 |
| 181 to 365 days | 26 | 0 | 0 | 0 |
| 365 days or more | 24 | 0 | 0 | 0 |
| Total | 1,198 | 0 | 87 | 5 |

Part 4 – Fees

| Fee Type | Fees Collected | | Fees Waived or Refunded | |
|--------------------|-----------------------|-----------|-------------------------|-----------|
| | Number of requests | Amount \$ | Number of requests | Amount \$ |
| Application | 2,258 | \$11,290 | 64 | \$320 |
| Search | 1 | \$165 | 0 | \$0 |
| Production | 0 | \$0 | 0 | \$0 |
| Programming | 0 | \$0 | 0 | \$0 |
| Preparation | 0 | \$0 | 0 | \$0 |
| Alternative format | 0 | \$0 | 0 | \$0 |
| Reproduction | 1 | \$41 | 0 | \$0 |
| Total | 2,260 | \$11,496 | 64 | \$320 |



Part 5 – Consultations received from other institutions and organizations

5.1 Consultations received from other government institutions and organizations

| Consultations | Other government of Canada institutions | Number of pages to review | Other organizations | Number of pages to review |
|--|---|---------------------------|---------------------|---------------------------|
| Received during reporting period | 116 | 4,784 | 10 | 311 |
| Outstanding from the previous reporting period | 15 | 2,371 | 0 | 0 |
| Total | 131 | 7,155 | 10 | 311 |
| Closed during the reporting period | 119 | 6,089 | 9 | 237 |
| Pending at the end of the reporting period | 12 | 1,066 | 1 | 74 |

5.2 Recommendations and completion time for consultations received from other Government institutions

| Recommendation | Number of days required to complete consultation requests | | | | | | | Total |
|---------------------------|---|---------------|---------------|----------------|-----------------|-----------------|--------------------|-------|
| | 1 to 15 days | 16 to 30 days | 31 to 60 days | 61 to 120 days | 121 to 180 days | 181 to 365 days | More than 365 days | |
| Disclose entirely | 12 | 27 | 9 | 1 | 1 | 0 | 0 | 50 |
| Disclose in part | 3 | 11 | 23 | 8 | 2 | 1 | 0 | 48 |
| Exempt entirely | 1 | 3 | 2 | 0 | 0 | 0 | 0 | 6 |
| Exclude entirely | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Consult other institution | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 2 |
| Other | 7 | 3 | 1 | 1 | 1 | 0 | 0 | 13 |
| Total | 23 | 46 | 35 | 10 | 4 | 1 | 0 | 119 |



5.3 Recommendations and completion time for consultations received from other organizations

| Recommendation | Number of days required to complete consultation requests | | | | | | | Total |
|---------------------------|---|---------------|---------------|----------------|-----------------|-----------------|--------------------|----------|
| | 1 to 15 days | 16 to 30 days | 31 to 60 days | 61 to 120 days | 121 to 180 days | 181 to 365 days | More than 365 days | |
| Disclose entirely | 1 | 4 | 0 | 0 | 0 | 0 | 0 | 5 |
| Disclose in part | 0 | 0 | 1 | 1 | 0 | 0 | 0 | 2 |
| 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 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 2 |
| Total | 2 | 5 | 1 | 1 | 0 | 0 | 0 | 9 |

Part 6 – Completion time of consultations on Cabinet confidences

6.1 Requests with Legal Services

| Number of Days | Fewer Than 100 Pages Processed | | 101-500 Pages Processed | | 501-1000 Pages Processed | | 1001-5000 Pages Processed | | More than 5000 pages Processed | |
|----------------|--------------------------------|-----------------|-------------------------|-----------------|--------------------------|-----------------|---------------------------|-----------------|--------------------------------|-----------------|
| | Number of requests | Pages disclosed | Number of requests | Pages disclosed | Number of requests | Pages disclosed | Number of requests | Pages disclosed | Number of requests | Pages disclosed |
| 1 to 15 | 5 | 240 | 2 | 232 | 0 | 0 | 0 | 0 | 0 | 0 |
| 16 to 30 | 2 | 20 | 1 | 169 | 0 | 0 | 0 | 0 | 0 | 0 |
| 31 to 60 | 1 | 34 | 1 | 124 | 0 | 0 | 0 | 0 | 0 | 0 |
| 61 to 120 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 121 to 180 | 1 | 28 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 181 to 365 | 1 | 100 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| More than 365 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | 10 | 422 | 4 | 525 | 0 | 0 | 0 | 0 | 0 | 0 |



6.2 Requests with Privy Council Office

| Number of Days | Fewer Than 100 Pages Processed | | 101-500 Pages Processed | | 501-1000 Pages Processed | | 1001-5000 Pages Processed | | More than 5000 pages Processed | |
|----------------|--------------------------------|-----------------|-------------------------|-----------------|--------------------------|-----------------|---------------------------|-----------------|--------------------------------|-----------------|
| | Number of requests | Pages disclosed | Number of requests | Pages disclosed | Number of requests | Pages disclosed | Number of requests | Pages disclosed | Number of requests | Pages disclosed |
| 1 to 15 | 5 | 240 | 2 | 232 | 0 | 0 | 0 | 0 | 0 | 0 |
| 16 to 30 | 2 | 20 | 1 | 169 | 0 | 0 | 0 | 0 | 0 | 0 |
| 31 to 60 | 1 | 34 | 1 | 124 | 0 | 0 | 0 | 0 | 0 | 0 |
| 61 to 120 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 121 to 180 | 1 | 28 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 181 to 365 | 1 | 100 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| More than 365 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | 10 | 422 | 4 | 525 | 0 | 0 | 0 | 0 | 0 | 0 |

Part 7 – Complaints and investigations

| Section 32 | Section 35 | Section 37 | Total |
|------------|------------|------------|-------|
| 271 | 0 | 176 | 447 |

Part 8 – Court action

| Section 41 | Section 42 | Section 44 | Total |
|------------|------------|------------|-------|
| 12 | 0 | 0 | 12 |

Part 9 – Resources related to the Access to Information Act

9.1 Costs

| Expenditures | | Amount \$ |
|-----------------------------------|-----------|--------------------|
| Salaries | | \$3,633,077 |
| Overtime | | \$59,665 |
| Goods and Services | | \$1,046,241 |
| – Professional services contracts | \$863,680 | |
| – Other | \$182,561 | |
| Total | | \$4,738,983 |



9.2 Human Resources

| Resources | Person years dedicated to access to information activities |
|----------------------------------|---|
| Full-time employees | 54.00 |
| Part-time and casual employees | 0.00 |
| Regional staff | 0.00 |
| Consultants and agency personnel | 9.50 |
| Students | 0.00 |
| Total | 63.50 |