

Fisheries and
Oceans
Canada

2014-15

Annual Report on the
Access to Information Act

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Introduction

Purpose of the *Access to Information Act*

The *Access to Information Act* came into effect on July 1, 1983, giving the public a right of access to information contained in government records, subject to certain specific and limited exceptions.

Section 72 of the *Access to Information Act* requires that the head of every government institution prepare and submit an annual report to Parliament, detailing the administration of the Act within the institution for each fiscal year.

This annual report describes how Fisheries and Oceans Canada (DFO) administered the *Access to Information Act* from April 1, 2014, to March 31, 2015.

For further information or to make a request under this Act, please direct all inquiries to:

Director, Access to Information and Privacy Secretariat
Fisheries and Oceans Canada
Mail Station 4N193
Centennial Towers
200 Kent Street
Ottawa, Ontario K1A 0E6

Tel: 613-993-3115

Fax: 613-998-1173

E-mail: ATIP-LAIPRP@dfo-mpo.gc.ca

Overview of Fisheries and Oceans Canada

Mandate

Fisheries and Oceans Canada supports strong and sustainable economic growth in our marine and fisheries sectors and contributes to a prosperous economy through global commerce by supporting exports and advancing safe maritime trade. The Department supports the innovation needed for a knowledge-based economy through research in expanding sectors such as aquaculture and biotechnology. The Department contributes to a clean and healthy environment and sustainable aquatic ecosystems for Canadians through habitat protection, oceans management, and ecosystems research. A safe and secure Canada relies on the maritime security, safe navigation, a presence in our waters, and the effective search and rescue services that the Canadian Coast Guard provides.

The Department's core work is guided by five key pieces of legislation:

- The *Fisheries Act* provides, among other things, broad powers to the Minister for the sound management and control of commercial, Aboriginal, and recreational fisheries, and aquaculture operations. Further to various long-standing arrangements, the provinces have assumed administrative responsibility for the management of most inland fisheries.
- The *Oceans Act*, among other things, provides authority to the Minister to lead the development and implementation of plans for the integrated management of activities affecting estuaries, coastal and marine waters, and the coordination of oceans issues. The Act also establishes the Minister's responsibility for Coast Guard services, as well as responsibility for marine science services such as the Canadian Hydrographic Services' nautical charts and publications.
- While the Minister of the Environment has primary responsibility for the administration of the *Species at Risk Act*, the Minister of Fisheries and Oceans is the competent minister for aquatic species.
- The *Coastal Fisheries Protection Act* regulates access by foreign fishing vessels to Canadian ports and Canadian fisheries waters. Among other things, the Act gives the Minister the power to issue licences authorizing foreign fishing vessels to enter Canadian fisheries waters to engage in specified fisheries-related activities.
- The *Canada Shipping Act, 2001* (Transport Canada-led) sets out, among other things, as a part of the Minister's mandate for the Coast Guard, the responsibility for search and rescue and lighthouses (including lights, signal buoys, and beacons).

Mission

Through sound science, forward-looking policy, and operational and service excellence, DFO employees work collaboratively toward the following three strategic outcomes: Economically Prosperous Maritime Sectors and Fisheries; Sustainable Aquatic Ecosystems; and Safe and Secure Waters.

Departmental Organization

DFO has a presence across Canada with the majority of employees working outside national headquarters in one of the Department's six regions. National objectives, policies, procedures, and standards for the Department and the Canadian Coast Guard are established at national headquarters, in Ottawa. Regions are responsible for delivering programs and activities in accordance with national and regional priorities and within national performance parameters.

Information about Fisheries and Oceans Canada's regions and the Canadian Coast Guard is available at <http://dfo-mpo.gc.ca/rpp/2014-15/rpp-eng.html>. A diagram of the Department's organizational structure is available at <http://www.dfo-mpo.gc.ca/us-nous/organisation-eng.htm>.

Overview of the ATIP Secretariat

Delegation of Authority

Responsibility for the administration of the *Access to Information Act* in DFO is delegated from the Minister to the Director of the Access to Information and Privacy (ATIP) Secretariat. In addition to the ATIP Director, the Deputy Director of ATIP Operations has full delegated authority under both the *Access to Information Act* and the *Privacy Act*. [A copy of the Delegation Order is found at Appendix B.]

ATIP Secretariat Organization

The ATIP Director reports to the Director General, Executive Secretariat, who in turn reports to the Senior Assistant Deputy Minister of Strategic Policy. The ATIP Director is accountable for the development, coordination and implementation of effective ATIP-related policies, guidelines, systems and procedures. This accountability ensures that the Department's responsibilities under the *Access to Information Act* and the *Privacy Act* are met, and enables appropriate processing and proper disclosure of information.

In 2014-15, the ATIP Secretariat's organizational structure changed to facilitate internal communications, create efficiencies and reflect a new model of organization widely endorsed by the federal ATIP community. First, two divisions were merged. The Privacy Division joined the Policy and Governance Division in 2014 to become the Policy and Privacy Division. This division oversees ATIP policy development, reporting, training, issues management and information management systems. It also provides advice and guidance on privacy-related issues such as Privacy Impact Assessments, Personal Information Banks, privacy notices and privacy breaches.

Second, the Secretariat created an Intake Unit within the Operations Division to manage incoming requests through to the completion of records retrieval.

The Policy and Privacy Division and the ATIP Operations Division are supported by a third unit which provides support services to the entire Secretariat, including office administration, mail services, scanning and indexing of records and quality control.

The main activities of the ATIP Secretariat include:

- Processing requests under the *Access to Information Act* and the *Privacy Act*;
- Responding to requests for access and privacy advice from departmental officials;
- Developing policies, procedures and guidelines in support of access and privacy legislation;
- Promoting awareness of both Acts within the Department to ensure that employees understand their roles and responsibilities;
- Monitoring departmental compliance with both Acts and regulations; and

- Preparing annual reports to Parliament and other statutory reports, as well as other material that may be required by central agencies.

The ATIP Secretariat relies upon ATIP Contacts located in each region and sector to act as liaisons for their respective parts of the Department. These Contacts do not report to the ATIP Secretariat, however, and have other responsibilities in addition to ATIP. It is worth noting that an increase in the ATIP Secretariat's workload means an increase in the workload of ATIP Contacts and other program officials.

ATIP Secretariat Workload

Demand for the services of the ATIP Secretariat has increased in recent years. While the ratio of formal to informal requests changes, the overall trend shows a significant increase in workload since 2011. The most striking increase can be seen in the total number of pages processed per year, which has grown from 129,211 pages in 2011-12 to 341,316 in 2014-15. The table below further illustrates the overall growth in workload. The table also shows the ATIP Secretariat's improved efficiency and performance over time. Note that its focus is on requests *completed* as opposed to *received*.

Workload	2011-12	2012-13	2013-14	2014-15
Formal access requests completed	353	453	397	503
Informal access requests completed	118	162	359	188
Access consultations completed	209	286	204	230
Pages processed - access	125,942	133,902	183,315	307,313
Formal privacy requests completed	26	27	70	68
Informal privacy requests completed	50	108	85	152
Pages processed - privacy	3,269	13,918	18,455	34,003
Pages processed – ACCESS & PRIVACY TOTAL	129,211	147,810	201,770	341,316

ATIP Secretariat Human and Financial Resources

In 2014, the ATIP Secretariat conducted three staffing processes for junior to senior ATIP analysts with the goal of increasing stability in the ATIP Secretariat and growing in-house expertise. The following table shows the changes in human resources in the ATIP Secretariat since 2011:

Human Resources*	2011-12	2012-13	2013-14	2014-15
Full time employees (FTEs)	25	22.5	21.87	22.59
Part-time and casual employees	2	3	1.03	0.34
Consultants	3	5	2.68	4.98
Total	30	30.5	25.58	27.91

The following table reflects ATIP Secretariat spending exclusively. It does not include costs incurred by the Department attributed to responding to access to information and/or privacy requests.

Expenditures*	2011-12	2012-13	2013-14	2014-15
	\$	\$	\$	\$
FTE Salaries	1,654,699	1,535,137	1,511,203	1,599,300
FTE Overtime	1,918	1,706	180	0
Goods and Services – Professional Services	276,379	671,239	659,356	938,081
Goods and Services – Other	166,856	214,461	101,199	165,622
Total Expenditures	2,099,822	2,422,543	2,271,938	2,703,003

*The ATIP Secretariat is not organized in a manner that allows for a separate determination of human or financial resources for the administration of the *Privacy Act* versus the *Access to Information Act*.

Interpretation of the *Access to Information Act* Statistical Report

The Statistical Report on the *Access to Information Act* is prepared by government institutions to enable the Treasury Board of Canada Secretariat (TBS) to analyze trends and exercise oversight. The analysis in this section compares data found in DFO's 2014-15 Statistical Report on the *Access to Information Act* with data from 2011-12, to allow for a four-year trend analysis.

DFO's 2014-15 Statistical Report on the *Access to Information Act* is found in Appendix A. Previous years' statistical reports can be obtained from the ATIP Secretariat upon request.

Requests under the *Access to Information Act*

In 2014-15, DFO received 512 requests under the *Access to Information Act* and had 186 requests outstanding from the previous reporting period. Of these 698 requests, DFO completed 503 and carried forward 195 into the next reporting period. The following table illustrates fluctuations in workload and performance over the past four years.

Formal Requests	2011-12	2012-13	2013-14	2014-15
Received during reporting period	366	547	417	512
Outstanding from previous reporting period	66	72	166	186
Total requests to process during reporting period	432	619	583	698
Completed during reporting period	353	453	397	503
Carried over to next reporting period	79	166	186	195

Sources of Formal Requests

Of the 512 formal requests received during the reporting period, most requests came from the private sector (172 requests), followed by 164 requests from the public and 111 requests from the media. The remaining requests originated from organizations (49 requests) and academia (16 requests).

Informal Requests

Informal access requests are defined as requests for information made to the ATIP Secretariat, but not processed under the Act. For the purpose of the Statistical Report on the *Access to Information Act*, this definition excludes the following: requests by DFO employees acting in their official capacity, such as internal service requests to review reports on security incidents, harassment complaints, evaluations or internal audits; requests for strategic advice; responses to Parliamentary Questions and media enquiries; and review of documents that will be posted online. With these caveats, DFO processed 118 informal access requests in 2014-15.

However, a significant portion of the workload of the ATIP Secretariat is to address the types of informal access requests specifically excluded in the definition above. When these informal requests are

included, the total number of informal access requests completed in 2014-15 was 188. The majority of these requests (74%) were processed in under 30 days.

Requests Closed During the Reporting Period

Disposition and Completion Time

Section 7 of the Act requires institutions to provide a response to the applicant within 30 days of receipt of the request, or to notify the applicant that an extension is required. Of the 503 requests completed during the reporting period, 224 requests (45%) were completed in 30 days or less. Sixty-six requests (13%) were completed in 31 to 60 days, 92 requests (18%) were completed in 61 to 120 days, 31 requests (6%) were completed in 121 to 180 days, and 41 requests (8%) were completed in 181-365 days. Forty-nine requests (10%) required more than 365 days to process.

The requests completed by the Department in 2014-15 were finalized in the following manner:

- All disclosed – In 65 cases, all relevant information was released in full to the applicant.
- Disclosed in part – In 279 instances, applicants were granted partial access to information.
- All exempted – In response to seven requests, all information was withheld from disclosure.
- All excluded – In two requests, all information was withheld from disclosure because it was excluded under the Act.
- No records exist – In 99 cases, no relevant records existed under the control of the Department.
- Request transferred – In five instances, requests were transferred to another government institution that had a greater interest in the subject of the request.
- Request abandoned – Applicants abandoned 46 requests by formally withdrawing the request or by not responding to correspondence from the ATIP Secretariat, for instance, requests for clarification or fee statements.

Exemptions and Exclusions

The *Access to Information Act* gives the public a right of access to information contained in federal government records, subject to limited and specific exceptions. These exceptions are called exemptions and exclusions. For more information regarding exemptions and exclusions, please consult the [Access to Information Act](#).

Exemptions are provisions of the Act that allow or require the heads of federal government institutions to withhold information requested under the legislation. The following table shows the most commonly invoked exemptions by DFO in 2014-15.

Section	Description	Applied to
19(1)	Protects personal information	241 requests
21(1)(b)	Protects government deliberations of a sensitive nature	147 requests
21(1)(a)	Protects government advice or recommendations of a sensitive nature	114 requests
20(1)(c)	Protects prejudicial third party information	92 requests
23	Protects solicitor-client privilege	70 requests

Exclusions are provisions of the Act that remove certain records from the application of the legislation. Records excluded from the requirements of the *Access to Information Act* include published material and confidences of the Queen’s Privy Council (Cabinet Confidences) pursuant to sections 68 and 69, respectively, both of which were invoked by the Department during the reporting period. Published material was excluded in 29 requests. Sixty-three exclusions for Cabinet Confidences were applied.

See Appendix A for further information on the exemptions and exclusions invoked by DFO in 2014-15, broken down by section, subsection and paragraph. For the purposes of this report, if an exemption or exclusion was claimed several times within the same request, it is reported only once in Appendix A.

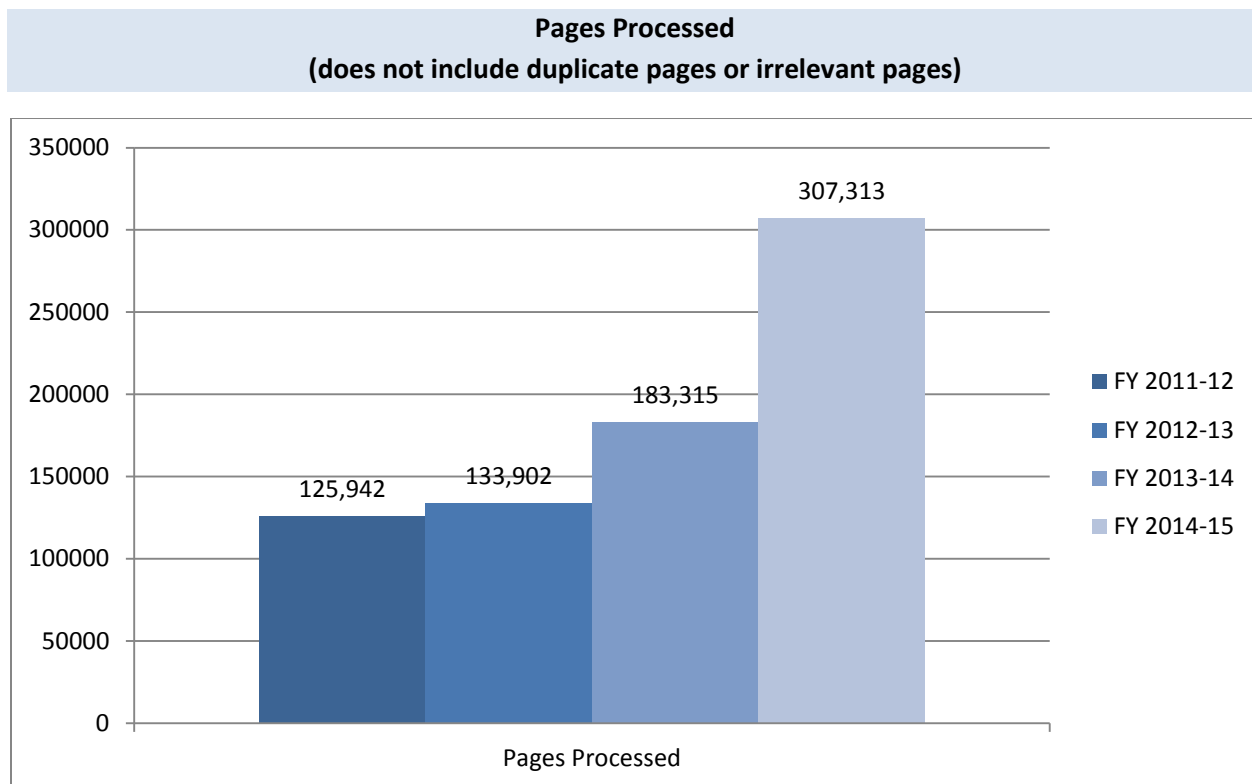
Format of Information Released

When requests are complete, applicants may receive the information in paper or electronic formats, or they may view the records at any DFO office. Reproduction fees may apply if a requester chooses to receive a paper copy of the information. Access to relevant documents was given, in whole or in part, for 344 requests. The information was released in paper copy in 224 of these requests and electronically in 120 requests.

Over the past four years, applicants have increasingly chosen to receive information electronically. Percentages of electronic releases have risen from 23% in 2011-12, 25% in 2012-13, 30% in 2013-14 to 35% in 2014-15.

Complexity

The complexity of a request corresponds to the number of pages to be processed for that request. The number of pages processed means the number of pages that were analyzed to determine whether the information could be disclosed, exempted or excluded. It does not reflect the number of pages that were examined to determine relevancy or duplicates. Pages processed per access request at DFO have increased dramatically over the past four years. In 2014-15, the ATIP Secretariat received a total of 307,313 relevant pages to process, compared to 125,942 pages to process in 2011-12. This trend is illustrated in the following table:



Of the 307,313 relevant pages processed, 265,193 pages (86%) were disclosed in whole or in part. For the remainder, 8,262 pages were all exempted, 178 pages were all excluded and 33,680 pages were abandoned by the requester.

Of the 503 requests completed during the reporting period, 64% (321 requests) required the processing of less than 100 relevant pages. (This includes files where no pages were processed because no records existed or the requests were transferred.) Twenty percent (102 requests) had 101-500 pages, 4% (20 requests) had 501-1000 pages and 9% (47 requests) had 1001-5000 pages. Thirteen requests (3%) involved the processing of more than 5000 pages. The following table shows the steady increase in the number of requests completed each year that had large and very large numbers of pages to process. While this trend is due, in part, to the unique nature of the requests made, it is also representative of the Department’s record holdings and management practices.

File Size	# Requests 2011-12	# Requests 2012-13	# Requests 2013-14	# Requests 2014-15
Large (1,000-5,000 pages)	33	25	41	47
Very large (More than 5,000 pages)	3	4	5	13

The Department completed a number of requests involving factors that increased their complexity, including:

- The requirement to consult with other institutions, organizations or third parties (191 requests);

- The assessment of fees (89 requests); and
- Other factors, such as cases (227 requests) involving
 - information extracted from a database;
 - the processing of audio and video recordings;
 - records located in a region outside of national headquarters; or
 - high-profile subject matter.

Deemed Refusals

During the reporting period, the ATIP Secretariat closed 91 requests past the statutory deadline, equal to 18% of the total requests closed. The principal reasons for the delays include:

- Workload – In 72 cases, requests were completed after the statutory deadline because of the large volume of responsive records to be processed. In addition to the unusually high volume of pages to process, other realities took away from processing time, such as responding to complaint and providing training sessions to departmental employees.
- External consultation – Nineteen requests were delayed due to consultations with individuals or entities external to DFO, including third parties and other government institutions.

In the majority of late requests (92%), DFO had identified that it was necessary to extend the time limits pursuant to section 9 of the Act. However, the extensions taken were insufficient, placing the requests in a deemed refusal situation.

Requests for Translation

The Department did not receive any requests from applicants to have the information responsive to their request translated into the other official language.

Extensions

Section 9 of the Act provides for the extension of statutory time limits if consultations are necessary, or if the request is for a large volume of records and processing the request within the original time limit would unreasonably interfere with the operations of the Department.

Reasons for Extensions and Disposition of Requests

During the reporting period, time limits to process requests were taken for the following reasons:

- Paragraph 9(1)(a) – Extensions were taken 119 times because the request was for a large volume of records and processing the request within the original time limit would have unreasonably interfered with departmental operations;
- Paragraph 9(1)(b) – Extensions were taken 161 times to consult with other institutions or organizations. Twenty-two of these were to consult with the Legal Services Unit/Privy Council Office (PCO) on the application of section 69 for Cabinet Confidences; and
- Paragraph 9(1)(c) – Time limits were extended 85 times to consult with third parties.

This last number, when compared to previous years, reveals a significant increase in third party information relevant to requests. This upward trend is drawn from the following numbers of requests requiring third party notifications: 31 requests in 2011-12, 39 requests in 2012-13, 49 requests in 2013-14 and 85 requests in 2014-15.

Records were disclosed in part in the majority of cases when time limits were extended.

Length of Extensions

The length of an extension correlates to the type of extension taken. For example, consultations on Cabinet Confidences often take 180 days, whereas third party notification processes usually take 60 days.

Of the 365 requests where extensions were taken in 2014-15:

- 106 requests were extended for 30 days or less;
- 122 requests were extended for 31-60 days;
- 62 requests were extended for 61-120 days;
- 51 requests were extended for 121-180 days;
- 23 requests were extended for 181-365 days; and
- One request was extended for over 365 days.

Fees

Section 11 of the *Access to Information Act* and Section 7 of the related Regulations provide that an applicant may be required to pay a fee for:

- Making a request under the Act;
- The cost of reproducing a record;
- The medium used for an alternative format;
- The time taken to search for or prepare non-computerized records; and
- The cost of programming for the production of machine-readable records.

A total of \$10,208 in application, search and reproduction fees was collected during the reporting period. In accordance with government policy, it is the Department's practice to waive the fees for reproduction of records in cases where the response package consists of 125 pages or less or the response is provided by email or on CD. In addition, fees may be waived at the discretion of the ATIP Director if, for example, there is a clear public interest in the requested information. In 2014-15, the Department waived or refunded fees in 158 instances for a total amount of \$8,136.

The fees collected in the name of the Receiver General of Canada (\$10,208) represent 0.4% of the \$2.7 million spent by the ATIP Secretariat to administer the Acts in 2014-15.

Consultations

Consultations Received From Other Government Institutions and Organizations

When other institutions and organizations retrieve DFO information in response to *Access to Information Act* requests, they may consult the DFO ATIP Secretariat for recommendations on release. Other organizations include the governments of the provinces, territories and municipalities, and of other countries. Other institutions are defined as federal institutions subject to the *Access to Information Act*.

In 2014-15, DFO received a total of 226 consultation requests from other government institutions and other organizations. Thirteen requests were outstanding from the previous reporting period. Of these 239 consultations, DFO completed 230 requests and carried forward nine requests into the next reporting period.

Recommendations and Completion Time

All of the 230 consultation requests completed by DFO in 2014-15 were for other federal institutions. Of these requests, 175 (76%) were completed within 30 days, 48 (21%) were completed within 31-60 days and 6 (3%) were completed within 61-120 days. One consultation request took more than 365 days to complete. In 190 instances (83%), DFO recommended the consulting institution disclose the information entirely.

DFO received no consultation requests from other organizations in 2014-15.

Completion Time of Consultations on Cabinet Confidences

The ATIP Secretariat consults with the DFO Legal Services Unit regarding the application of all section 69 (Cabinet Confidence) exclusions. On occasion, Legal Services will forward the consultation to the Privy Council Office (PCO) for additional advice. For the purposes of the Statistical Report, when a

consultation is forwarded in this manner, it is recorded as a PCO consultation instead of a Legal Services consultation.

The ATIP Secretariat received responses directly from Legal Services on 21 consultations in 2014-15. Response times for these consultations varied from 1-15 days (four requests) to 181-365 days (three requests). The one consultation that was forwarded to PCO took 227 days to complete.

Complaints and Investigations

The Office of the Information Commissioner of Canada (OIC) investigates complaints about federal institutions' handling of access requests. The Information Commissioner has broad investigative powers to assist in mediating between dissatisfied information applicants and government institutions. The Commissioner may not order a complaint to be resolved in a particular way, but may, with the applicant's consent, apply to the Federal Court for a judicial review of the matter. Further information on the responsibilities and activities of the OIC can be found on its website.

Responses to Complaints

In 2014-15, DFO received 18 complaints and carried over 19 complaints from the previous fiscal year. The Department worked with the OIC to finalize 11 complaints during the reporting period. Only complaints on delays and extensions were deemed well founded by the OIC, as shown in the following table:

Reason for Complaint	Well Founded - Resolved	Discontinued	Not Substantiated	TOTAL
Delay	6	1	0	7
Extension	3	0	0	3
Refusal – Exemption	0	1	0	1
Total	9	2	0	11

Systemic Investigation

On March 27, 2013, DFO was informed of a complaint made under the Act for the Office of the Information Commissioner (OIC) to investigate an allegation of "systemic efforts by the Government of Canada to obstruct the timely access of Canadians to government scientists." DFO is one of the seven institutions included in this on-going investigation. DFO has comprehensively responded to all requests for information by the OIC to assist in their investigation.

Court Action

Judicial Review

In July 2013, DFO received notification of a complaint regarding the exemptions applied in response to two requests submitted under the Act. Both requests related to Vessel Monitoring System (VMS) data for all vessels within a specific area. In January 2014, the Office of the Information Commissioner (OIC) determined that the applicant's complaints were unfounded. The OIC agreed with DFO's application of the exemptions and DFO's view that the information consists of longitudinal and latitudinal coordinates for commercial vessel activity and disclosure of the information could reasonably be expected to prejudice the competitive position of the vessels. On March 12, 2014, the matter was filed with the Federal Court for a judicial review of the exemptions applied.

Resources Related to the *Access to Information Act*

Costs and Human Resources

The ATIP Secretariat is not organized in a manner that allows for a separate determination of costs and human resources for the *Access to Information Act*; therefore, all resources related to the administration of both the *Privacy Act* and the *Access to Information Act* are included in the statistical report on the administration of the *Access to Information Act*.

Refer to the ATIP Secretariat Human and Financial Resources section of this report (starting on page 5) for an explanation of those statistics.

Activities and Accomplishments

Policies, Directives and Procedures

While no access-related policy or directives were issued by the Department in 2014-15, the ATIP Secretariat finalized draft *Guidelines for the Informal Release of Information*. These Guidelines aim to assist DFO employees in determining when it is appropriate to release information proactively and/or directly to the public. In recognition of the Government of Canada's commitment to Open Government, the Guidelines intend to promote transparency while ensuring that limited and specific information is protected as required by law.

New retrieval processes and tools introduced in 2013-14 were monitored and analyzed throughout 2014-15, resulting in proposed changes that are being evaluated for implementation. Processes and tools for new ATIP analysts were also assessed during the fiscal year and resulted in a revised approach to training new analysts on the administrative and technical requirements of their positions.

The creation of an Intake Unit resulted in significant procedural changes within the ATIP Secretariat. Immediate improvements were seen by analysts, managers and clients. Analysts in the Operations Division noted that they were better able to focus on analytical tasks once the Intake Unit assumed responsibility for the initial communications between the Secretariat, regional and sector contacts and requesters. Assigning the management of preliminary communications to one unit has benefited the Department by ensuring all files have strong foundations, including consistent decisions taken on tasking and retrievals. Clients have benefited from the consistent approach to scoping requests, particularly those that ask for "all records" on topics. The Intake Unit works closely with requesters to identify the specific information they are seeking, which saves the Department time and effort, resulting in faster service.

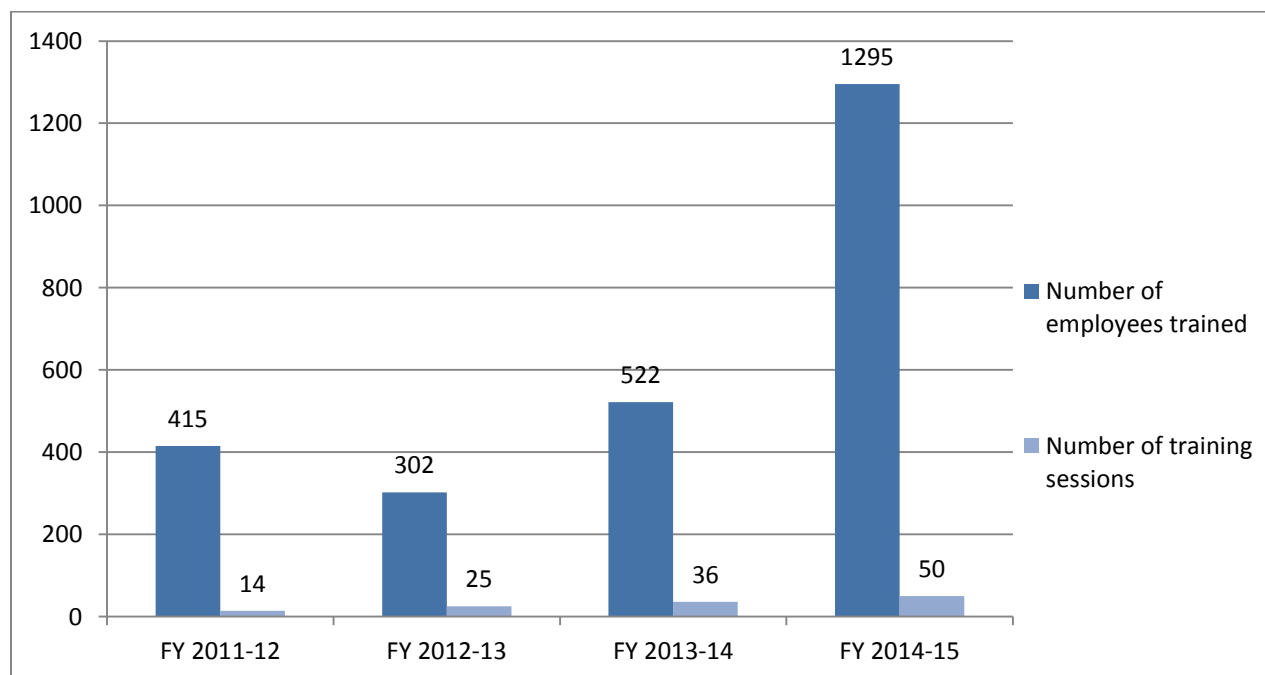
Training DFO Employees

DFO has always made significant efforts to promote awareness of federal access legislation and the corresponding responsibilities of DFO employees, focusing on individual and group training sessions. While regions, sectors and divisions are encouraged to request training as the need arises, the ATIP Secretariat also offers semi-annual awareness sessions to all employees of the Department. These semi-annual sessions are delivered jointly with the Information Management Branch, to stress the connection between access to information and good records management.

As of April 2014, access and privacy training became mandatory for all DFO executives and individuals acting in an executive position for more than four months. To accommodate the schedules of executives, the ATIP Secretariat held 25 sessions and trained 174 executives and acting-executives.

DFO's executive training program was made available to the ATIP Community through the ATIP Director General Committee and has been adopted as a community standard.

Due largely to the mandatory ATIP training of DFO executives, the ATIP Secretariat experienced a surge of demand for training from the rest of the Department. Throughout the Department in 2014-15, 1295 employees received formal access training in 50 sessions. This is triple the amount of access training provided in 2011-12, when 415 employees were trained in 14 sessions. The increase in access to information training over the past four years is shown in the following chart:



The ATIP Secretariat continued to refine its training and communications framework and to improve and expand its suite of training products and delivery platforms in 2014-15. Of special note are:

- The delivery of a mandatory ATIP training program for all DFO executives;
- The increased use of webinar technology to deliver training;
- The update of the ATIP intranet site with additional policy, training and communications materials; and
- The continued publishing of articles on ATIP issues in DFO's national employee newsletter.

The ATIP Secretariat continues to share its training and communications material with other federal government institutions to foster collaboration and promote community development.

Integrating Information Management and ATIP Strategies

DFO's overall ATIP compliance relies heavily upon the Department's records management practices. In 2014-15, DFO's Information Management (IM) Branch moved forward on several IM Strategy Action Plan initiatives:

- Under the *Directive on Recordkeeping*, retention specifications and lists of information resources of business value (IRBVs) were developed for DFO's programs, an inventory of structured data sets was completed and a function-based classification structure was developed. The majority of DFO's paper legacy was processed and information of enduring value is being transferred to Library and Archives Canada.
- Under the *Directive on Open Government*, year-one requirements such as procedures for posting datasets, DFO's Open Government Implementation Plan and an inventory of datasets were all drafted.
- In preparation for the Email Transformation Initiative, email management training was offered to all DFO employees and email management guidance was communicated to all staff.
- In preparation for the migration to GCDocs, DFO is in the planning stage of this project and plans to implement GCDocs starting in the summer of 2016/17.

As mentioned under *Training DFO Employees*, joint ATIP/IM training sessions were conducted over the course of the year to raise the level of understanding around sound IM management as well as ATIP requirements, and to reiterate the specific roles and responsibilities of all employees.

Monitoring Performance

DFO makes every effort to meet statutory deadlines and actively monitors the time taken to process ATIP requests. Monitoring begins as soon as a request is received by the ATIP Secretariat, entered into the case management system and assigned to an analyst. All requests, including formal requests, requests for consultations and requests for informal advice or review of records, are entered into the case management system for tracking. This electronic tracking of deadlines is essential, as analysts work on numerous requests, each with multiple actions coming due, at any given time. Analysts meet with their team leaders on a weekly basis to identify issues with requests that might result in delays. Issues are raised with the ATIP management team, if necessary, and the Director of the ATIP Secretariat gets involved in files where she can use her authority as the Minister's delegate under the *Access to Information Act* to promote compliance with deadlines and deliverables.

The ATIP Secretariat also reports on a quarterly basis to the Deputy's Management Committee on ATIP workload and performance. Details are broken down by sector and region. These quarterly reports ensure that employees throughout the Department who have responsibilities related to access to information remain accountable and compliant with the spirit of the Act.

APPENDIX A: 2014-15 Statistical Report on the *Access to Information Act*



Government of Canada
Gouvernement du Canada

Statistical Report on the *Access to Information Act*

Name of institution: Fisheries and Oceans

Reporting period: 2014-04-01 to 2015-03-31

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

1.1 Number of requests

	Number of Requests
Received during reporting period	512
Outstanding from previous reporting period	186
Total	698
Closed during reporting period	503
Carried over to next reporting period	195

1.2 Sources of requests

Source	Number of Requests
Media	111
Academia	16
Business (private sector)	172
Organization	49
Public	164
Decline to Identify	0
Total	512

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	
51	29	14	24	0	0	0	118

Note: All requests previously recorded as “treated informally” will now be accounted for in this section only.

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	4	39	8	13	0	1	0	65
Disclosed in part	4	51	44	73	28	35	44	279
All exempted	1	2	2	1	0	1	0	7
All excluded	0	0	1	0	0	1	0	2
No records exist	20	71	5	3	0	0	0	99
Request transferred	5	0	0	0	0	0	0	5
Request abandoned	20	7	6	2	3	3	5	46
Neither confirmed nor denied	0	0	0	0	0	0	0	0
Total	54	170	66	92	31	41	49	503

2.2 Exemptions

Section	Number of Requests	Section	Number of Requests	Section	Number of Requests	Section	Number of Requests
13(1)(a)	4	16(2)	17	18(a)	3	20.1	0
13(1)(b)	2	16(2)(a)	6	18(b)	1	20.2	0
13(1)(c)	10	16(2)(b)	0	18(c)	4	20.4	0
13(1)(d)	0	16(2)(c)	41	18(d)	0	21(1)(a)	114
13(1)(e)	0	16(3)	0	18.1(1)(a)	0	21(1)(b)	147
14	12	16.1(1)(a)	0	18.1(1)(b)	0	21(1)(c)	37
14(a)	22	16.1(1)(b)	1	18.1(1)(c)	0	21(1)(d)	19
14(b)	3	16.1(1)(c)	1	18.1(1)(d)	0	22	2
15(1)	0	16.1(1)(d)	0	19(1)	241	22.1(1)	2
15(1) - I.A.*	8	16.2(1)	1	20(1)(a)	4	23	70
15(1) - Def.*	0	16.3	0	20(1)(b)	42	24(1)	11
15(1) - S.A.*	3	16.4(1)(a)	0	20(1)(b.1)	0	26	1
16(1)(a)(i)	1	16.4(1)(b)	0	20(1)(c)	92		
16(1)(a)(ii)	1	16.5	0	20(1)(d)	22		
16(1)(a)(iii)	0	17	0				
16(1)(b)	3						
16(1)(c)	19						
16(1)(d)	0						

* I.A.: International Affairs Def.: Defence of Canada S.A.: Subversive Activities

2.3 Exclusions

Section	Number of Requests	Section	Number of Requests	Section	Number of Requests
68(a)	29	69(1)	0	69(1)(g) re (a)	22
68(b)	0	69(1)(a)	12	69(1)(g) re (b)	0
68(c)	0	69(1)(b)	0	69(1)(g) re (c)	7
68.1	0	69(1)(c)	1	69(1)(g) re (d)	1
68.2(a)	0	69(1)(d)	1	69(1)(g) re (e)	7
68.2(b)	0	69(1)(e)	5	69(1)(g) re (f)	6
		69(1)(f)	1	69.1(1)	0

2.4 Format of information released

Disposition	Paper	Electronic	Other Formats
All disclosed	45	20	0
Disclosed in part	179	100	0
Total	224	120	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	3234	2981	65
Disclosed in part	261959	78042	279
All exempted	8262	0	7
All excluded	178	0	2
Request abandoned	33680	0	46
Neither confirmed nor denied	0	0	0

2.5.2 Relevant pages processed and disclosed by size of requests

Disposition	Less Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More Than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
All disclosed	56	960	8	1498	1	523	0	0	0	0
Disclosed in part	119	2714	87	12949	19	7317	44	44852	10	10210

All exempted	5	0	1	0	0	0	0	0	1	0
All excluded	1	0	1	0	0	0	0	0	0	0
Request abandoned	36	0	5	0	0	0	3	0	2	0
Neither confirmed nor denied	0	0	0	0	0	0	0	0	0	0
Total	217	3674	102	14447	20	7840	47	4485 2	13	10210

2.5.3 Other complexities

Disposition	Consultation Required	Assessment of Fees	Legal Advice Sought	Other	Total
All disclosed	14	4	0	32	50
Disclosed in part	163	70	0	167	400
All exempted	3	0	0	3	6
All excluded	2	0	0	0	2
Request abandoned	9	15	0	25	49
Neither confirmed nor denied	0	0	0	0	0
Total	191	89	0	227	507

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
91	72	19	0	0

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	5	6	11
16 to 30 days	1	0	1
31 to 60 days	1	5	6
61 to 120 days	0	10	10

121 to 180 days	0	13	13
181 to 365 days	0	15	15
More than 365 days	0	35	35
Total	7	84	91

2.7 Requests for translation

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

Part 3: Extensions

3.1 Reasons for extensions and disposition of requests

Disposition of Requests Where an Extension Was Taken	9(1)(a) Interference With Operations	9(1)(b) Consultation		9(1)(c) Third-Party Notice
		Section 69	Other	
All disclosed	4	0	7	10
Disclosed in part	103	19	119	66
All exempted	2	0	3	1
All excluded	0	2	2	0
No records exist	0	0	2	0
Request abandoned	10	1	6	8
Total	119	22	139	85

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	60	0	46	0
31 to 60 days	25	0	39	58
61 to 120 days	18	0	23	21
121 to 180 days	6	21	20	4
181 to 365 days	9	1	11	2
365 days or more	1	0	0	0
Total	119	22	139	85

Part 4: Fees

Fee Type	Fee Collected		Fee Waived or Refunded	
	Number of Requests	Amount	Number of Requests	Amount
Application	482	\$2,410	30	\$150
Search	30	\$7,421	7	\$2,589
Production	0	\$0	0	\$0
Programming	0	\$0	0	\$0
Preparation	0	\$0	0	\$0
Alternative format	0	\$0	0	\$0
Reproduction	6	\$377	121	\$5,397
Total	518	\$10,208	158	\$8,136

Part 5: Consultations Received From Other Institutions and Organizations

5.1 Consultations received from other Government of Canada institutions and organizations

Consultations	Other Government of Canada Institutions	Number of Pages to Review	Other Organizations	Number of Pages to Review
Received during reporting period	226	8824	0	0
Outstanding from the previous reporting period	13	1813	0	0
Total	239	10637	0	0
Closed during the reporting period	230	9805	0	0
Pending at the end of the reporting period	9	832	0	0

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

Recommendation	Number of Days Required to Complete Consultation Requests							Total
	1 to 15 Days	16 to 30 Days	31 to 60 Days	61 to 120 Days	121 to 180 Days	181 to 365 Days	More Than 365 Days	
Disclose entirely	71	83	33	3	0	0	0	190
Disclose in part	6	14	15	3	0	0	1	39
Exempt entirely	0	1	0	0	0	0	0	1
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	77	98	48	6	0	0	1	230

5.3 Recommendations and completion time for consultations received from other organizations

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 entirely	0	0	0	0	0	0	0	0
Disclose in part	0	0	0	0	0	0	0	0
Exempt entirely	0	0	0	0	0	0	0	0
Exclude entirely	0	0	0	0	0	0	0	0
Consult other institution	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

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	4	94	0	0	0	0	0	0	0	0
16 to 30	1	53	0	0	0	0	0	0	0	0
31 to 60	5	60	3	490	0	0	0	0	0	0
61 to 120	2	18	2	390	0	0	0	0	0	0
121 to 180	1	16	0	0	0	0	0	0	0	0
181 to 365	3	169	0	0	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
Total	16	410	5	880	0	0	0	0	0	0

6.2 Requests with Privy Council Office

Number of Days	Fewer Than 100 Pages Processed		101-500 Pages Processed		501-1000 Pages Processed		1001-5000 Pages Processed		More Than 5000 Pages Processed	
	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed	Number of Requests	Pages Disclosed
1 to 15	0	0	0	0	0	0	0	0	0	0
16 to 30	0	0	0	0	0	0	0	0	0	0
31 to 60	0	0	0	0	0	0	0	0	0	0
61 to 120	0	0	0	0	0	0	0	0	0	0
121 to 180	0	0	0	0	0	0	0	0	0	0
181 to 365	0	0	1	163	0	0	0	0	0	0
More than 365	0	0	0	0	0	0	0	0	0	0
Total	0	0	1	163	0	0	0	0	0	0

Part 7: Complaints and Investigations

Section 32	Section 35	Section 37	Total
18	0	9	27

Part 8: Court Action

Section 41	Section 42	Section 44	Total
0	0	0	0

Part 9: Resources Related to the *Access to Information Act*

9.1 Costs

Expenditures	Amount
Salaries	\$1,599,300
Overtime	\$0
Goods and Services	\$1,103,703
• Professional services contracts	\$938,081
• Other	\$165,622
Total	\$2,703,003

9.2 Human Resources

Resources	Person Years Dedicated to Access to Information Activities
Full-time employees	22.59
Part-time and casual employees	0.34
Regional staff	0.00
Consultants and agency personnel	4.98
Students	0.00
Total	27.91

APPENDIX B: Delegation Order

Access to Information Act

DEPARTMENT OF FISHERIES AND OCEANS

MINISTÈRE DES PÊCHES ET DES OCÉANS

Access to Information Delegation Order

Décret de délégation en vertu de l'accès à l'information

I, the Minister of Fisheries and Oceans, pursuant to Section 73 of the *Access to Information Act*, do hereby designate the persons holding the positions set out in the attached schedule, or persons occupying on an acting basis those positions, to exercise and perform, on my behalf, the duties and functions of the head of a government institution, pursuant to the provisions set out in the schedule. This Delegation Order supersedes all previous Delegation Orders.

Je, le ministre des Pêches et des Océans, conformément à l'article 73 de la *Loi sur l'accès à l'information*, par la présente désigne aux titulaires des postes mentionnés à l'annexe ci-jointe, ainsi qu'aux personnes occupant à titre intérimaire lesdits postes, à exercer et exécuter en mon nom, comme responsable d'une institution fédérale, les tâches et attributions investies par les articles des lois mentionnées dans l'annexe. Le présent décret de délégation remplace et annule tout décret antérieur.



Minister of Fisheries and Oceans
Ministre des Pêches et des Océans

SEP 24 2013

Date

Schedule / Annexe

Position / Poste	Access to Information Act and Regulations / Loi sur l'accès à l'information et règlements
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Director,
Access to Information and Privacy /
Directeur (trice),
Accès à l'information et protection
des renseignements personnels

Full authority /
Autorité absolue

Deputy Director, ATIP Operations
Access to Information and Privacy /
Directeur (trice) adjoint(e) des opérations
Accès à l'information et protection
des renseignements personnels

Full authority /
Autorité absolue

Provisions Access to Information Act /

Dispositions Loi sur l'accès à l'information :

4(2.1), 7(a), 7(b), 8(1), 9, 10(1), 10(2), 11(2), 11(3), 11(4), 11(5), 11(6), 12(2)(b),
12(3)(b), 13, 14, 15, 16, 16.5, 17, 18, 18.1, 19, 20, 21, 22, 22.1, 23, 24, 25, 26, 27(1),
27(4), 28(1)(b), 28(2), 28(4), 29(1), 33, 35(2)(b), 37(4), 43(1), 44(2), 52(2)(b), 52(3),
71(1), 72

Provisions Access to Information Regulations /

Dispositions règlements sur l'accès à l'information :

5, 6(1), 7(2), 7(3), 8, 8.1