



**The Year-End Statistical Report  
for the  
Information and Privacy Commissioner of Ontario, Canada**

**WORKBOOK AND COMPLETION GUIDE**

# General Information

This workbook and guide is designed to provide step-by-step instructions for the completion of the Information and Privacy Commissioner's (IPC) Year-End Statistical Report as required by the *Freedom of Information and Protection of Privacy Act (FIPPA or, the Act)*. We encourage you to use it to help you complete and submit your questionnaire online, especially if you are unfamiliar with it.

For your convenience:

- This workbook and guide is organized into sections corresponding to those in the online questionnaire. For help with a certain section in the questionnaire, turn to the same section in this workbook.
- Certain sections which appear in *italicized text* have been expanded to contain background information that may be helpful to you.
- All terms which appear in **bold** are defined in the **Glossary** at the back of this guide.
- The Reconciliation Chart is designed to help verify the figures in the questionnaire.

If you have specific questions that are not answered by this workbook and guide, please email [statistics.ipc@ipc.on.ca](mailto:statistics.ipc@ipc.on.ca) or call the Information and Privacy Commissioner of Ontario's main switchboard 416-326-3333. If you are calling long distance, use our toll free line: 1-800-387-0073.

**Please note incomplete questionnaires** may result in your institution's submission being **partly or entirely excluded** from the statistics generated for the IPC's annual report.

All institutions must complete a questionnaire and submit it online to the Information and Privacy Commission. If no requests for access to information or requests for correction of personal information were received, your institution must still complete and submit Sections 1 and 2.

This workbook and guide is for your use in completing your questionnaire and should not be faxed or mailed to the Information and Privacy Commission in lieu of online submission. **Faxed or mailed copies of this workbook and guide will NOT be accepted.** Please submit your questionnaire online to the IPC's Online Statistics Submission Website at: <https://statistics.ipc.on.ca/>.

Institutions that do not submit a questionnaire before the deadline will be listed as such in the Information and Privacy Commissioner's Annual Report.

***Thank you for your co-operation!***

## Section 1: Identification

- 1.1 Please clearly indicate the name of the institution, name of the ministry (if applicable), the name and e-mail address of the head of the institution, the name and e-mail address of the person responsible for the content of the report (the management contact), and the name, e-mail address, telephone and fax numbers and the mailing address of the person responsible for completing the report (the primary contact) should any questions arise regarding the content of the report.
- 1.2 Please indicate whether your institution is a ministry, agency, hospital, college or university by checking one of the boxes provided.

## Section 2: Inconsistent Use of Personal Information

### What is an Inconsistent Use?

*An **inconsistent use** occurs when **personal information** from a **personal information bank** is used or disclosed differently from the way it is used on a regular basis (see s.46 of the Act). The Act requires the institution to attach a record or notice of the **inconsistent use** or disclosure to the **personal information** involved. This record then becomes part of the **personal information** it is attached to.*

- 2.1 Please enter the number of times your institution made inconsistent use of personal information contained in its personal information banks.

### What is Personal Information?

***Personal information** is recorded information about an identifiable individual including:*

- *the individual's address, telephone number, fingerprints or blood type,*
- *information about the individual's race, national or ethnic origin, colour, religion, age, sex, sexual orientation, marital or family status,*
- *information about the individual's educational, medical, psychological, criminal, or employment history or information concerning his or her financial transactions,*
- *any identifying number, symbol or other particular assigned to the individual,*
- *the individual's personal opinions or views except when they relate to someone else,*
- *private or confidential correspondence sent to an institution by the individual, and replies to that correspondence that would reveal the contents of the original correspondence,*
- *the views or opinions of someone else about the individual, and*
- *the individual's name when it appears with other **personal information** about that individual or when disclosure of the name would reveal other **personal information** about that individual.*

Check one:

<input type="checkbox"/>	<p>If your institution received <b>no requests for access to information or correction of personal information</b> <u>please stop here</u> and <u>click the SAVE AND CONTINUE button at the bottom of the page</u> to proceed to the REVIEW QUESTIONNAIRE page where you may review your questionnaire answers before you submit your report.</p> <p>You may make any necessary changes and/or corrections on this page then click the SAVE &amp; CONTINUE button to update your questionnaire and proceed to the confirmation and submission page.</p> <p>Changes and corrections may be made any time before or after submission up to the deadline date, but must be re-confirmed and re-submitted.</p>
<input checked="" type="checkbox"/>	<p>If your institution received (or carried forward from last year) <b>at least one request for access to information</b>, <u>please complete the rest of the report</u>. Click the SAVE AND CONTINUE button at the bottom of the page to proceed to the next section.</p>
<input type="checkbox"/>	<p>If your institution only received <b>at least one request for correction of personal information</b> without any requests for access to information, <u>please complete sections 1, 2, and 11</u>. Click the SAVE AND CONTINUE button at the bottom of the page to proceed to the Section 11.</p>

## Section 3: Number of Requests Completed

**Please Note:** *There are two types of information requests, and these need to be entered separately:*

- **personal information** requests, where the requester, or authorized representative, is asking for information about himself or herself.
- **general records** requests, where the requester is asking for general information or information that includes **personal information** about someone else.

### How Are Requests Counted?

The information in this section is important to help you decide how many requests for information your institution received, since the form or letter the requester sends may actually contain a number of separate requests.

- for **general records** requests, if the request deals entirely with one subject, it should be counted as one request. This is still the case even if the information is retrieved from different locations in your institution, or
- if a **general records** request deals with information about two (or more) subjects, the request should be divided into two (or more) requests, or
- any **personal information** request is counted as one request because it is about only one subject, the person asking for the information, or
- if you receive a request that must be returned to the sender for clarification, **DO NOT COUNT** this as a request received until the requester returns it to you with all the information you need to **complete** the request.

3.1 Enter the number of new **personal information** and **general records** requests received during the **reporting year** (January – December). This includes those requests that have been received directly by your institution and those that have been transferred in from other institutions to your institution to complete, regardless of whether or not one or more of those requests is later transferred out to another institution. On the next page is a template that you may want to use to determine the number of new requests.

New requests received directly from the requester during the reporting year.

Indicate the number of **personal information** and **general records** requests that were transferred to you from other institutions to be completed by your institution.

**TOTAL NEW REQUESTS** (Add the above two boxes)  
(Enter these totals in Box 3.1 of the online questionnaire)

Personal Information	General Records
	3
	3

3.2 Enter the total number of **personal information** and **general records** requests that have been completed between January to December 31 of the reporting year.

To determine the total number of requests completed:

Add the following number of requests for personal information and general records separately:

- new requests received during reporting year (see section 3.1 of the statistical report) and requests that were carried forward from the previous year to the current year to complete

Subtract the following **personal information** and **general records** requests from the above:

- requests transferred out to other institutions to complete; and
- requests carried over to the next year to complete.

The total sum of the above calculation will result in the total numbers of **personal information** and **general records** requests that were completed for the reporting year.

On the next page is a worksheet to be used as a tool to determine the total number of requests for the **reporting year**.

Total new requests (copy from box 3.1).

Personal Information	General Records
0	3
0	0
A 0	A 3

Requests carried forward from previous year. (Enter the number of **personal information** and **general records** requests that your institution could not complete in the previous reporting year, January-December, and carried forward to be completed in the current reporting year.)

**TOTAL** (add the above two boxes)

Requests transferred out to other institutions to complete. (Enter the number of **personal information** and **general records** requests that were **transferred** to another institution because that institution had control or custody of the information, or a greater interest in the information.)

0	0
0	0
B 0	B 0

Requests carried over to the next year to complete. (Enter the number of **personal information** and **general records** requests your institution received that were carried over to the next reporting year.)

**TOTAL** (add the above two boxes)

**TOTAL REQUESTS COMPLETED** (subtract B from A)  
(Enter these totals in Box 3.2 of the online questionnaire)

	3
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## Section 4: Source of Requests

4.1-4.8 Enter the number of **personal information** and **general records** requests you completed from the sources listed.

**PLEASE NOTE:**

Use the Individual/Public category to capture requests made by an individual themselves and use the Individual by Agent category to capture requests made on behalf of individuals by a third party, such as a substitute decision-maker, lawyer, insurance adjuster, etc. If the request comes from an employee of your institution, enter the request in the Individual/Public category if they are requesting the information themselves or the Individual by Agent category if the request is being made on their behalf by a third party, such as a substitute decision-maker, lawyer, insurance adjuster, etc.

		Personal Information	General Records
4.1	Individual/Public		1
4.2	Individual by Agent		1
4.3	Business		
4.4	Academic/Researcher		
4.5	Association/Group		1
4.6	Media		
4.7	Government (All Levels)		
4.8	Other		
4.9	Add all the requests you have entered for both <b>personal information</b> and <b>general records</b> and write the totals in Box 4.9. These totals should be the same as those in Box 3.2 ( <b>Total Requests Completed</b> ).		3

Enter the numbers in the table above into boxes 4.1 through 4.9 of the online questionnaire.

## Section 5: Time to Completion

**5.1-5.4** Enter the number of **completed personal information and general records** requests in the appropriate categories. If your institution received a **transferred** request from another institution, the time to **completion** starts when the first institution received the request.

**PLEASE NOTE:**

1. *When locating and reviewing records, an institution may extend the time to provide a response to the requester under s.27(1). Time extension notices issued under s.27(1) allow you more than the standard 30 days in which to complete a request. If the request is completed (i.e. the access decision is issued) before the time extension period expires, the request is still considered to be compliant even though it took more than 30 days to complete it. This is known as **extended compliance**. Please refer to the glossary and Section 6 for more information.*
2. *Section 5 deals with the absolute time to completion for requests, regardless of compliance. For example, if you issued a time extension request under s.27(1) for an additional 90 days (for a total of 120 days) and completed the request in 102 days, then you should count this request in the “91 days or longer” category. It should then be entered as compliant in part B or C in Section 6 below. Refer to Section 6 for more information.*
3. *The time from when a fee estimate/interim decision letter has been issued (s.57, O.Reg 460 s.6, s.6.1 and s.7) up to the time the deposit has been paid is not included when calculating the number of days to complete a request.*

How many requests were completed in:		Personal Information	General Records
5.1	30 days or less		2
5.2	31 – 60 days		
5.3	61 – 90 days		
5.4	91 days or longer		1
5.5	Enter the totals of the previous entries (5.1–5.4) into this box. These totals should be equal to the <b>Total Requests Completed</b> in Box 3.2.		3

Enter the numbers in the table above into boxes 5.1 through 5.5 of the online questionnaire.

## Section 6: Compliance with the Act

*The Act states that requests for access to information should be completed within 30 days. In cases where there is a need to search numerous records or to make consultations with a person outside the institution, the head of the institution can **extend** the 30-day time limit and still be in compliance with the Act. This can be achieved by issuing a Notice of Extension (s.27(1)) and/or Notice to Affected Person (s.28(1)).*

*This section has been broken down into four different situations that are mutually exclusive and will be used to determine the number of requests that are in compliance or not in compliance with the statutory time lines under the Act.*

- A. *No notices issued;*
- B. *BOTH a Notice of Extension (s.27(1)) and a Notice to Affected Person (s.28(1)) issued;*
- C. *ONLY a Notice of Extension (s.27(1)) issued; or*
- D. *ONLY a Notice to Affected Person (s.28(1)) issued.*

### **PLEASE NOTE:**

1. *The four different situations are mutually exclusive and the number of requests completed in each situation should add up to the total number of requests completed in Section 3.2. (Add boxes 6.3 + 6.6 + 6.9 + 6.12 = box 6.13) and (box 6.13 **must equal** box 3.2)*
2. *Requests that require more than the statutory 30 days to complete are considered compliant if you issue a Notice of Extension under s.27(1) and/or a Notice to Affected Person under s.28(1) **AND** you complete the requests within the time limit specified in the Notice(s). This is known as **extended compliance**.*
3. *Enter the number of requests in each category as follows:*
  - a. *Requests where you issued **NEITHER** a Notice of Extension under s.27(1) **NOR** a Notice to Affected Person under s.28(1) should be entered in Part A.*
  - b. *Requests where you issued **BOTH** notices should be entered in Part B (do NOT include the requests entered in Part C and Part D).*
  - c. *Requests where you issued a Notice of Extension under s.27(1) **ONLY** (i.e. not including those requests where a Notice to Affection Person under s.28(1) was also issued) should be entered in Part C.*
  - d. *Requests where you issued a Notice to Affected Person under s.28(1) **ONLY** (i.e. not including those requests where a Notice of Extension under s.27(1) was also issued) should be entered in Part D.*

*The sum of the requests entered in all four parts should equal Box 3.2*

4. *The time taken to complete each request with notice(s) issued under s.27(1) and/or s.28(1) should be entered in Section 5 in the appropriate category according to the actual time it took to complete the request, regardless of compliance. See the example for more information.*

**Example** (for simplicity, let's assume we have only general records requests):

*Your institution completed 9 requests for access to information in the current reporting year.*

*Three (3) of those requests (requests a, b, and c) had neither a Notice of Extension under s.27(1) nor a Notice to Affected Person under s.28(1) issued. Two (requests a and c) were completed within the statutory 30 days and one (request b) was completed in 42 days.*

*On two (2) requests (requests d and e), you issued both a Notice of Extension under s.27(1) and a Notice to Affected Person under s.28(1):*

- *On request d, the Notice of Extension specifies an additional 30 days to complete the request (for a total of 60 days from the date of receipt of the request). In addition, a Notice to Affected Person under s.28(1) was issued 34 days after the request was received (s.28(3)), specifying that the head will decide whether or not to disclose the record within 30 days of the Notice to Affected Person (s.28(4)(c)). The total time allowed for the completion of this request is 64 days. This request was completed in 66 days.*
- *On request e, the Notice of Extension specifies an additional 90 days to complete the request (for a total of 120 days from the date of receipt of the request). In addition, a Notice to Affected Person under s.28(1) was issued 42 days after the request was received (s.28(3)), specifying that the head will decide whether or not to disclose the record within 30 days of the Notice to Affected Person (s.28(4)(c)). The total time allowed for the completion of this request is 120 days. This request was completed in 112 days.*

*On two more (2) requests (requests f and g), you issued only a Notice of Extension under s.27(1). You did not issue a Notice to Affected Person under s.28(1):*

- *On request f, the Notice of Extension specifies an additional 45 days to complete the request (for a total of 75 days from the date of receipt of the request) and the request was completed in 42 days.*
- *On request g, the Notice of Extension specifies an additional 30 days to complete the request (for a total of 60 days from the date of receipt of the request) and the request was completed in 63 days.*

*On two more (2) requests (requests h and i), you issued only a Notice to Affected Person under s.28(1). You did not issue a Notice of Extension under s.27(1)*

- *On request h, the Notice to Affected Person was issued 12 days after the receipt of the request (for a total of 42 days from the date of receipt of the request) and the request was completed in 42 days.*

- On request i, the Notice to Affected Person was issued 8 days after the receipt of the request (for a total of 38 days from the date of receipt of the request) and the request was completed in 40 days.

**How to complete Section 6 for these requests:**

- Requests a, b and c had neither Notice Issued, so they are entered in Part A of Section 6.
  - Requests a and c were completed within the statutory 30 days, so they are entered in Box 6.1. They should also be included in the count of requests entered in Box 5.1 (30 days or less) in Section 5
  - Request b took 42 days, so it should be entered in Box 6.2. It should also be included in the count of requests entered in Box 5.2 (31 -60 days) in Section 5.
- Requests c and d had both Notices issued, so they are entered in Part B of Section 6.
  - Request d was allowed 64 days for completion, but took 66 days to complete, therefore it should be entered in Box 6.5. It should also be included in the count of requests entered in Box 5.3 (61-90 days) in Section 5.
  - Request e was allowed 120 days for completion, but took 112 days to complete, therefore it should be entered in Box 6.4. It should also be included in the count of requests entered in Box 5.4 (91 days or longer) in Section 5.
- Requests f and g had ONLY a Notice of Extension issued under s.27(1). The Notice to Affected Person under s.28(1) was NOT issued. Therefore, requests f and g are entered in Part C of Section 6.
  - Request f was allowed 75 days for completion, but took 42 days to complete, therefore it should be entered in Box 6.7. It should also be included in the count of requests entered in Box 5.2 (31-60 days) in Section 5.
  - Request g was allowed 60 days for completion, but took 63 days to complete, therefore it should be entered in Box 6.8. It should also be included in the count of requests entered in Box 5.3 (61-90 days) in Section 5.
- Requests h and i had ONLY a Notice to Affected Person issued under s.28(1). The Notice of Extension under s.27(1) was NOT issued. Therefore, requests h and i are entered in Part D of Section 6.
  - Request h was allowed 42 days for completion and took 42 days to complete, therefore it should be entered in Box 6.10. It should also be included in the count of requests entered in Box 5.2 (31-60 days) in Section 5.
  - Request i was allowed 38 days for completion, but took 40 days to complete,

therefore it should be entered in Box 6.11. It should also be included in the count of requests entered in Box 5.2 (31-60 days) in Section 5.

### **Calculating Basic and Extended Compliance**

Requests a, c, e, f and h are all considered compliant with the Act as each of them were completed within their specified time lines. Since requests a and c were completed within the statutory 30 day time limit, they have **basic compliance**. Requests e, f and h have time lines extended beyond the 30 day time limit through the issuance of the Notice of Extension under s.27(1) and/or the Notice to Affected Person under s.28(1). Since each of requests e, f and h were completed within their respective stated time limits, they have **extended compliance**.

The Basic Compliance rate as reported in the IPC's Annual Report is calculated for your institution by the following formula:

$$\frac{\text{Total Requests Completed in 30 Days or Less (Box 5.1)}}{\text{Total Requests Completed (Box 3.2)}} \times 100$$

The Extended Compliance rate as reported in the IPC's Annual Report is calculated for your institution by the following formula:

$$\frac{\text{Box 6.1} + \text{Box 6.4} + \text{Box 6.7} + \text{Box 6.10}}{\text{Total Requests Completed (Box 3.2)}} \times 100$$

Using the above example and these formulas, the basic compliance rate is calculated as:

$$\text{Box 5.1} / \text{Box 3.2} \times 100 = 2 / 9 \times 100 = 22.2\%$$

And the extended compliance rate is calculated as:

$$\text{Box 6.1} + \text{Box 6.4} + \text{Box 6.7} + \text{Box 6.10} / \text{Box 3.2} \times 100 = (2 + 1 + 1 + 1) / 9 \times 100 = 55.6\%$$

**A. No Notices Issued**

	Personal Information	General Records
6.1 Number of requests completed within the statutory time limit (30 days) where neither a Notice of Extension (s.27(1)) nor a Notice to Affected Person (s.28(1)) were issued.		2
6.2 Number of requests completed in excess of the statutory time limit (30 days) where neither a Notice of Extension (s.27(1)) nor a Notice to Affected Person (s.28(1)) were issued.		0
6.3 <b>Total</b> (Add boxes 6.1 + 6.2 = box 6.3)		2

  

Personal Information	General Records
	2

**B. Both a Notice of Extension (s.27(1)) and a Notice to Affected Person (s.28(1)) Issued**

	Personal Information	General Records
6.4 Number of requests completed within the time limits permitted under both the Notice of Extension (s.27(1)) and Notice to Affected Person (s.28(1)).		
6.5 Number of requests completed in excess of the time limit permitted by the Notice of Extension (s.27(1)) and the time limit permitted by the Notice to Affected Person (s.28(1)).		1
6.6 <b>Total</b> (Add boxes 6.4 + 6.5 = box 6.6)		1

  

Personal Information	General Records
	1

**C. Only a Notice of Extension (s.27(1)) Issued**

	Personal Information	General Records
6.7 Number of requests completed within the time limit permitted under the Notice of Extension (s.27(1)).		
6.8 Number of requests completed in excess of the time limit permitted under the Notice of Extension (s.27(1)).		
6.9 <b>Total</b> (Add boxes 6.7 + 6.8 = box 6.9)		

  

Personal Information	General Records

**D. Only a Notice to Affected Person (s.28(1)) Issued**

	Personal Information	General Records		Personal Information	General Records
6.10	Number of requests completed within the time limit permitted under the Notice to Affected Person (s.28(1)).				
6.11	Number of requests completed in excess of the time limit permitted under the Notice to Affected Person (s.28(1)).				
6.12	<b>Total</b> (Add boxes 6.10 + 6.11 = box 6.12)		▶		

**E. Total Completed Requests (sections A to D)**

	Personal Information	General Records		Personal Information	General Records
6.13	<b>Overall Total</b> (Add boxes (6.3 + 6.6 + 6.9 + 6.12 = box 6.13) and (box 6.13 must equal to box 3.2)		▶		3

Enter the numbers in the tables above into the corresponding boxes in Section 6 of the online questionnaire

**Calculate your own basic compliance and extended compliance rates:**

These calculations are for your own information only. They are not entered as part of the online questionnaire, but the total compliance rates will be calculated based on your submitted questionnaire and included in the IPC's Annual Report.

**Basic Compliance Rate:**

	Personal Information	General Records	Total
A: Total Requests Completed in 30 Days or Less (Box 5.1)			
B: Total Requests Completed (Box 3.2)			
DIVIDE: $A / B \times 100$ , round to one decimal place			

**Extended Compliance Rate:**

	Personal Information	General Records	Total
A: Box 6.1 + Box 6.4 + Box 6.7 + Box 6.10			
B: Total Requests Completed (Box 3.2)			
DIVIDE: $A / B \times 100$ , round to one decimal place			



## Section 6a: Contributing Factors

Write any reasons that made it difficult to meet the 30-day time limit. Also, include circumstances that will improve your ability to be in compliance with the Act.

- Required Clarification
- Voluminous Records
- Search Time
- Limited Resources

*Enter the reasons above into Section 6a of the online questionnaire*

## Section 7: Disposition of Requests

This section asks you to indicate how your institution dealt with each of the requests for access to information it received. The options are as follows:

- 7.1 **All Information Disclosed** - Enter the number of **personal information** and **general records** requests that resulted in full disclosure of all information requested.
- 7.2 **Disclosed in Part** - Enter the number of **personal information** and **general records** requests for which the **head** of your institution disclosed only part of the information requested. Include those requests where some of the information was exempted, excluded, did not exist, was outside of the Act, i.e. Y.O.A., or frivolous or vexatious.
- 7.3 **Nothing Disclosed** - Enter the number of **personal information** and **general records** requests for which the **head** of your institution disclosed no information. Include those requests where all of the information was **exempted**, was outside of the Act, or frivolous or vexatious.
- 7.4 **No Responsive Records Exist** - Enter the number of **personal information** and **general records** requests for which no responsive records exist.
- 7.5 **Request Withdrawn - or Abandoned** - In this category enter the number of requests that were **withdrawn** or **abandoned** by the requester.
- A **withdrawn** request is one in which the requester notifies your institution that he or she does not wish to proceed with the request.
  - A request is considered **abandoned** when the requester does not respond to your attempts to proceed with the request.
    - For **general records** the request can be considered **abandoned** if the requester does not respond to correspondence that is necessary to **complete** the request (for example, a notice of fee estimate), within 30 days of the date you sent the communication. The **head** of your institution may **extend** this time limit, and this practice is encouraged.
    - For **personal information** requests, the policy is to allow up to 365 days (one year) before considering the request **abandoned**.
    - If appropriate, consider including a "respond by" date in your correspondence when requesting a response from the requester indicating that you will consider the request abandoned if you do not hear from them on or before that date.
- 7.6 **Total Requests Processed**

The sum of all the entries in **personal information** and **general records** for all questions 7.1 to 7.5 should be equal to or greater than the amounts in 3.2 (**Total Requests**

**Completed).**

		<b>Personal Information</b>	<b>General Records</b>
7.1	All information disclosed		1
7.2	Information disclosed in part		1
7.3	No information disclosed		
7.4	No responsive records exist		
7.5	Request withdrawn, abandoned or non-jurisdictional		1
7.6	Total Requests Processed:  Add Boxes 7.1 to 7.5 = Box 7.6. Box 7.6 must be greater than or equal to Box 3.2		3

*Enter the numbers in the table above into boxes 7.1 through 7.6 of the online questionnaire.*

## Section 8: Exemptions and Exclusions Applied

To complete this section you will need to be familiar with the **exemptions** described in the Act. Please refer to the section on **exemptions** in:

- your copy of the Act, or
- the **Freedom of Information and Protection of Individual Privacy Manual** produced by the Ministry of Government Services:

<http://www.accessandprivacy.gov.on.ca/English/manual/index.html>.

8.1-8.22 In this section you are asked to indicate **which exemptions and exclusions** were applied to those requests where the **head** of your institution withheld some or all of the requested information. Every request that was exempted, (in part or in full) must have at least one **exemption** listed, but may have more than one. For example, two different **exemptions** may be used to account for why information was withheld.

8.23 If a request made under the Act also contains personal health information as defined in s.4 of the Personal Health Information Protection Act, 2004 (PHIPA), then s.8(1) of PHIPA may be applied to that personal health information as an **exclusion** unless PHIPA specifies otherwise.

8.24 Enter the sum of all the requests you entered in the **personal information and general records** columns.

### Please Note:

- **S.21 exemption, Personal Privacy (of third party)** applies only to **general records** requests.
- **S.49 exemption, Personal Information (of requester)** applies only to **personal information** requests.
- There is no correlation between the sum entered in Box 8.24 and the total number of requests completed as entered in Box 3.2. More than one **exemption** and/or **exclusion** may be applied to a given request and a given **exemption** and/or **exclusion** may be applied to more than one request.

For the Total Requests with Exemptions/Exclusions/Frivolous or Vexatious Requests, how many times did your institution apply each of the following? (More than one exemption may be applied to each request.)

		Personal Information	General Records
8.1	s.12 — Cabinet Records		
8.2	s.13 — Advice to Government		
8.3	s.14 — Law Enforcement <sup>1</sup>		
8.4	s.14(3) — Refusal to Confirm or Deny		
8.5	s.14.1 — <i>Civil Remedies Act, 2001</i>		
8.6	s.14.2 — <i>Prohibiting Profiting from Recounting Crimes Act, 2002</i>		
8.7	s.15 — Relations with Other Governments		
8.8	s.16 — Defence		
8.9	s.17 — Third Party Information		1
8.10	s.18 — Economic and Other Interests of Ontario		
8.11	s.18.1 — Information with Respect to Closed Meetings		
8.12	s.19 — Solicitor-Client Privilege		
8.13	s.20 — Danger to Safety or Health		
8.14	s.21 — Personal Privacy (Third Party) <sup>2</sup>	N/A	
8.15	s.21(5) — Refusal to Confirm or Deny		
8.16	s.21.1 — Species at risk		
8.17	s.22 — Information Soon to be Published		
8.18	s.27.1 — Frivolous or Vexatious		
8.19	s.49 — Personal Information (Requester)		N/A
8.20	s.65 — <i>Act Does Not Apply</i> <sup>3</sup>		
8.21	s.65(6) — Labour Relations & Employment Related Records and Appointment and Placement Related Records		
8.22	s.67 — Other Acts		
8.23	<i>PHIPA</i> s.8(1) applies		
8.24	Total Exemptions & Exclusions (Add Boxes 8.1 to 8.23 = Box 8.24)		1

Enter the numbers in the table above into boxes 8.1 through 8.24 of the online questionnaire.

<sup>1</sup> not including s.14(3)

<sup>2</sup> not including s.21(5)

<sup>3</sup> not including s.65(6)

## Section 9: Fees

This section concerns **additional fees and application fees**.

		Personal Information	General Records	TOTAL
9.1	Number of requests where fees other than application fees were collected		1	1
9.2.1	Application fees collected	\$	\$ 10. <sup>00</sup>	\$ 10. <sup>00</sup>
9.2.2	Additional fees collected	\$	\$ 510. <sup>00</sup>	\$ 510. <sup>00</sup>
9.2.3	Total Fees (Add boxes 9.2.1 + 9.2.2 = box 9.2.3)	\$	\$ 520. <sup>00</sup>	\$ 520. <sup>00</sup>
	<i>Under certain conditions, the head of your institution may waive all or part of the additional fees being charged. These conditions include: the requesters' ability to pay, whether release of the information will benefit public health or safety, how much difference there is between the fee being charged and the actual cost of processing the request, and whether the requester is ultimately given access to the information requested.</i>			
9.3	Total dollar amount of fees waived	\$	\$ 0. <sup>00</sup>	\$ 0. <sup>00</sup>

Enter the numbers in the table above into boxes 9.1 through 9.3 of the online questionnaire.

## Section 10: Reasons for Additional Fee Collection

*This section concerns the reasons and the number of requests involved for the additional fee collection.*

*If your institution collected **additional** fees for any requests, please enter the appropriate number of requests in the given categories to indicate why the fee was charged. A request can be entered into more than one category. For example, an institution may have charged \$10 to process a request, \$5 to reproduction costs and \$5 to shipping costs.*

**Please Note:**

- *additional fees for personal information requests can only be charged for reproduction and computer costs.*

		Personal Information	General Records	TOTAL
10.1	Search time	N/A	60 hrs	450.00
10.2	Reproduction			
10.3	Preparation	N/A		
10.4	Shipping	N/A		
10.5	Computer costs		300 pgs	60.00
10.6	Invoice costs (and others as permitted by regulation)	N/A		
10.7	Total (Add boxes 10.1 to 10.6 = box 10.7 and Box 10.7 greater than or equal to Box 9.1)			510.00

*Enter the numbers in the table above into boxes 10.1 through 10.7 of the online questionnaire.*

## Section 9: Fees

This section concerns **additional fees and application fees**.

		Personal Information	General Records	TOTAL
9.1	Number of requests where fees other than application fees were collected		1	1
9.2.1	Application fees collected	\$	\$ 10. <sup>00</sup>	\$ 10. <sup>00</sup>
9.2.2	Additional fees collected	\$	\$ 510. <sup>00</sup>	\$ 510. <sup>00</sup>
9.2.3	Total Fees (Add boxes 9.2.1 + 9.2.2 = box 9.2.3)	\$	\$ 520. <sup>00</sup>	\$ 520. <sup>00</sup>
	<i>Under certain conditions, the head of your institution may waive all or part of the additional fees being charged. These conditions include: the requesters' ability to pay, whether release of the information will benefit public health or safety, how much difference there is between the fee being charged and the actual cost of processing the request, and whether the requester is ultimately given access to the information requested.</i>			
9.3	Total dollar amount of fees waived	\$	\$ 0. <sup>00</sup>	\$ 0. <sup>00</sup>

Enter the numbers in the table above into boxes 9.1 through 9.3 of the online questionnaire.



In cases where correction requests were denied, in part or in full, were any statements of disagreement attached to the affected personal information?

**11.10** Number of statements of disagreement attached:

If your institution received any requests to correct personal information, the *Act* requires that you send any person(s) or body who had access to that information in the previous year notification of either the correction or the statement of disagreement. Enter the number of notifications sent, if applicable.

**11.11** Number of notifications sent:

*Enter the numbers in the tables above into boxes 11.1 through 11.11 of the online questionnaire.*

# Completing and Submitting Your Questionnaire

This workbook and guide is for your use in completing your report and should not be faxed or mailed to the Information and Privacy Commissioner in lieu of online submission. **Faxed or mailed copies of this workbook and guide will NOT be accepted.** Please submit your report online using the IPC's [Online Statistics Submission Website](#).

Your institution should have a login ID and password for the Online Statistics Submission Website. If you have lost or forgotten your ID or password, visit <https://statistics.ipc.on.ca/> and click on the "Forgot your password or login ID?" link.

## New Institutions

If your institution has recently come under the jurisdiction of the *Freedom of Information and Protection of Privacy Act*, you are required to submit a statistical report annually to the IPC using the Online Statistics Submission Website for which you will need a login ID and a password. If this is your first time submitting an annual report to the IPC, visit our [Registration for Statistical Reporting](#) page to set up an account and get a login ID and a password. You will need to include:

- the name of your organization
- the name and e-mail address of the head of the organization
- the name, mailing address, e-mail address, and telephone number of the person responsible for completing the report (the primary contact)
- your language preference (English or Français)
- Please indicate if your institution is also a Health Information Custodian (HIC) as defined in s.3 of the *Personal Health Information Protection Act (PHIPA)*. Institutions under *FIPPA* who are also HICs under *PHIPA* must submit one annual statistical report under *FIPPA* and another report under *PHIPA*. As such, you have the option of a single login id and password to submit both reports (which is convenient if the same person will be submitting both reports) or you may wish to have one login id and password for *FIPPA* and another for *PHIPA* (which makes it easier if two different people will submit the reports) - it all depends on your organizational structure.

Once you have your login ID and password and have completed this workbook, log on to the Online Statistics Submission Website at <https://statistics.ipc.on.ca/> and enter your questionnaire data section by section. You may log off the system at any time and it will remember where you left off when you log on the next time. This means you do not have to complete and submit your questionnaire all in one session as long as you do complete and submit it before the deadline date. **The Online Statistics Submission Website will not be available after the deadline date.**

When you have completed entering your questionnaire, the system allows you to review your answers and make any necessary corrections before confirming and submitting your questionnaire. Once you have confirmed and submitted your questionnaire you are done, but should you discover that a correction is necessary after you have confirmed and submitted your questionnaire, you may log on to the Online Statistics Submission Website at any time before the deadline date and make the correction as needed. You will need to re-confirm your questionnaire and submit it again in order for the correction to be applied.

Changes to the type of questionnaire submitted may be made in the same manner. If, for example, you originally submitted a questionnaire stating that you had received no requests for access or correction (a “zero report”), but then discovered that you indeed had received one or more such requests, you may log on to the Online Statistics Submission Website at any time before the deadline date and simply change the questionnaire type selection at the end of Section 2. The system will take care of the rest and will take you to the appropriate sections of the questionnaire so you may complete them. Again, you will need to re-confirm your completed questionnaire and submit it again in order for the correction to be applied.

If you have specific questions that are not answered by this workbook and guide, please email [statistics.ipc@ipc.on.ca](mailto:statistics.ipc@ipc.on.ca) or call the Information and Privacy Commissioner of Ontario’s main switchboard 416-326-3333. If you are calling long distance, use our toll free line: 1-800-387-0073.

## Glossary of Terms

**Compliance Rate, Basic** – This is the percentage of all requests completed within the reporting year that were completed within the statutory 30 day completion time limit

**Compliance Rate, Extended** – S.27(1) and s.28(1) of the *Freedom of Information and Protection of Privacy Act* (the *Act*) allow for the statutory 30 day completion time limit to be extended to accommodate large and/or complex requests and/or allow affected persons to provide representations regarding the disclosure of the requested information by the issuance of a Notice of Extension (s.27(1)) and/or a Notice to Affected Person (s.28(1)). The Extended Compliance Rate is the percentage of all requests completed within the reporting year that were completed either within the statutory 30 day completion time limit (where no notice(s) were issued) or within the time limit specified in the notice. See also Notice of Extension and Notice to Affected Person, below.

**Exclusion (Exclude, Excluded)** - Something is excluded from being regulated by the *Act* because it is being regulated elsewhere by a different law.

**Exemption (Exempt, Exempted)** - An exemption is a specific provision in the *Act* that may be invoked by a head as justification for denying access to information, in whole or in part. Certain requests for access may be denied due to specific provisions of other *Acts*, as listed in s.67(2) and in these special cases, for purposes of the year-end statistical report, s.67(2) (Other Acts) is the relevant exemption.

**Exemption, Frivolous or Vexatious** – An exemption is frivolous or vexatious when the head considers the request:

- as abusing the right of access or interfering with the operation of the institution; or
- to be made in bad faith or for ulterior motives.

**Fee, Additional** - See *Freedom of Information and Protection of Privacy Act*, s.57(1).

**Fee, Application** - See *Freedom of Information and Protection of Privacy Act*, s.24(1)(c).

**Fee, Waived** - A head may waive all or part of a fee that was estimated for releasing general records information, taking into account factors including: the requester's ability to pay; whether release of the information will benefit public health or safety; how much difference there is between the fee being charged and the actual cost of processing the request; and whether the requester is ultimately given access to the information requested.

**Head (of institution)** - For ministries, the minister of the crown who presides over the ministry is considered to be the head. In the case of any other institutions, the person designated as the head of the institution is considered to be the head for the purposes of the *Act*. If

no head has been designated, the minister responsible for the institution is considered to be the head.

The head is responsible for decisions made under the legislation on behalf of the institution and for overseeing the administration of the legislation within the institution. The head may delegate some or all of his or her powers and duties to an officer or officers of the institution, however the head is still accountable for all decisions made and actions taken under the *Act*.

**Inconsistent Use (of personal information)** - An inconsistent use occurs whenever an institution under the *Act* uses or discloses personal information from its personal information banks differently from the way this information is used or disclosed on a regular basis.

**Notice of Extension** - A notice sent to a requester by the head stating that a time extension is needed in order to complete the request. The notice must inform the requester of:

- the length of the extension;
- the reason for the extension; and
- the fact that the requester can ask the Information and Privacy Commissioner of Ontario, Canada, to review the decision to extend the time period.

The extension may be made only if numerous records must be searched or consultation with a person outside the institution is required.

**Notice to Affected Person** - A notice sent by the head to a third party to whom the information relates before releasing the information. The notice must inform the third party of:

- the head's intention to disclose information that has something to do with the third party;
- a description of what's in the record or the part of the record that relates to the third party; and
- the fact that the third party has 20 days after the notice is given to advise the head why part or the whole record should not be disclosed.

**Personal Information** - See Section 2.1 of this Workbook and Completion Guide.

**Personal Information Banks** - A personal information bank is any collection of personal information your institution retains that is:

- organized, and
- allows personal information about an identifiable individual to be retrieved by that individual's name or some other personal identifier.

Personal information banks can be:

- about members of the public or employees of the reporting institution,
- recorded on computer disks, paper, fiche or other media.

#### Examples of Personal Information Banks

Job Competitions; Travel Expense Accounts; Hospital Admissions and Discharge Files; NSF Cheques; Claims Files; Ontario Tax Grant Program Files;

**Reporting Year** - January to December.

**Request, Abandoned** - A request that an institution has been unable to proceed with because the requester has not responded to communications necessary to process the request (for example, a notice of fee estimate). This does not include requests returned to the requester due to insufficient detail.

**Request, Carried Forward From Previous Year** (requests for access to information and correction) - A request received in, or carried over from the previous reporting year that had to be carried forward to the current year for completion.

**Request, Carried Over to Next Year** (requests for access to information and correction) - A request received in the current reporting year that had to be carried forward to the next year for completion.

**Request, Completed** (requests for access to information and correction) (Complete) - A request for which the head's decision (to grant/deny access, or to make/refuse corrections) has been communicated to the requester, or a request that has been formally withdrawn or abandoned by the requester.

**Request, Correction** - A request to have one's own personal information corrected following access to the information.

**Request, Disposition of** - The outcome of a completed request: information disclosed/denied, request abandoned/withdrawn.

**Request, General Records** - A request for access to general records information or to another person's personal information (where permission has been given).

**Request, Personal Information** - A request for access to personal information, made by the person to whom the information relates or their authorized representative.

**Request, Transferred** - A request for access to general records or personal information that has been sent from one institution to another; the second institution having custody, control or a greater interest in the information. If Institution A receives a request that is transferred (in whole) to Institution B, Institution A would count this as a "Request Transferred Out to

Another Institution”, while Institution B would count it as a “Request Transferred In From Another Institution”.

**Request, Withdrawn** - A request for which the head has been informed by the requester that he/she no longer wishes to continue with the request (prior to its completion).

# Reconciliation Chart

The chart below should be used to help verify your figures in completing this workbook and entering your questionnaire on the Online Statistics Submission Website.

Box Number	Criteria *	Box Number(s)
4.9	=	4.1 to 4.8
4.9	=	3.2
5.5	=	5.1 to 5.4
5.5	=	3.2
6.3	=	6.1+6.2
6.6	=	6.4+6.5
6.9	=	6.7+6.8
6.12	=	6.10+6.11
6.13	=	6.3+6.6+6.9+6.12
6.13	=	3.2
7.6	=	7.1 to 7.5
7.6	=	3.2
8.24	=	8.1 to 8.23
9.1	= or <	10.7
9.2.3	=	9.2.1+9.2.2
10.7	=	10.1 to 10.6
10.7	= or >	9.1
11.4	=	(11.1+11.2)-11.3
11.4	=	11.9
11.9	=	11.5 to 11.8
11.9	=	11.4

\* = equal to  
> greater than  
< less than