

# Compliance Division Dashboard

Program Management - indicators and measures

Results updated quarterly	Last updated:	31-Mar-21
	Next update:	30-Jun-21

## 1. Charitable sector profile

### 1.1 Registered charities and qualified donees

As per CIPD registration volumetrics, April 1, 2020

2018-2019    2019-2020    2020-2021

# of registered charities

# of qualified donees

Total

## 2. Filing annual information returns

### 2.1 Number of returns processed

2018-2019    2019-2020    2020-21

Returns processed

## 3. Revocations

### 3.1 Revocations

2018-2019    2019-2020    2020-21

Voluntary

Delinquent

## 6. Audits

### 6.1 Completed audits 2020-2021

Field	Q1	Q2	Q3	Q4	Total
Atlantic					
Quebec					
Ontario					
Prairies					
Pacific					
Headquarters					
HQ - AFSS & OPSS					
ACS - Restricted					
Partnerships with ILBIB					
Related Party Int.					
Technical Audit					
Total	0	0	0	0	0

### 6.2 Audit results

2018-2019    2019-2020    2020-2021    Total

No change

Education letters

Cause	
Loss of corporate status	
Total	

### 3.2 Cause revocation, Four heads of charity

	2018-2019	2019-2020	2020-2021
Relief of poverty			
Advancement of education			
Advancement of religion			
4th Head			
Total			

## 4. Nudge Campaigns

### 4.1 Number of letters sent

	2018-2019	2019-2020	2020-21
T3010 Allocation Project			

## 5. Canadian Emergency Wage Subsidy (CEWS) and Canadian Emergency Rent Subsidy (CERS)

### 5.1 Pre-Payment Reviews 2020-2021

	CEWS	CERS
Technical Audit Section		
Atlantic		
Quebec		
Ontario		

Compliance agreements	
Penalties	
ITR	
Vol Revocations	
Annulments	
Suspension	
Re-reg/pre-reg review	
Other outcome	
Total	

## 7. CEP and Non-Audit Interventions

### 7.1 Completed CEP Contacts 2020-2021

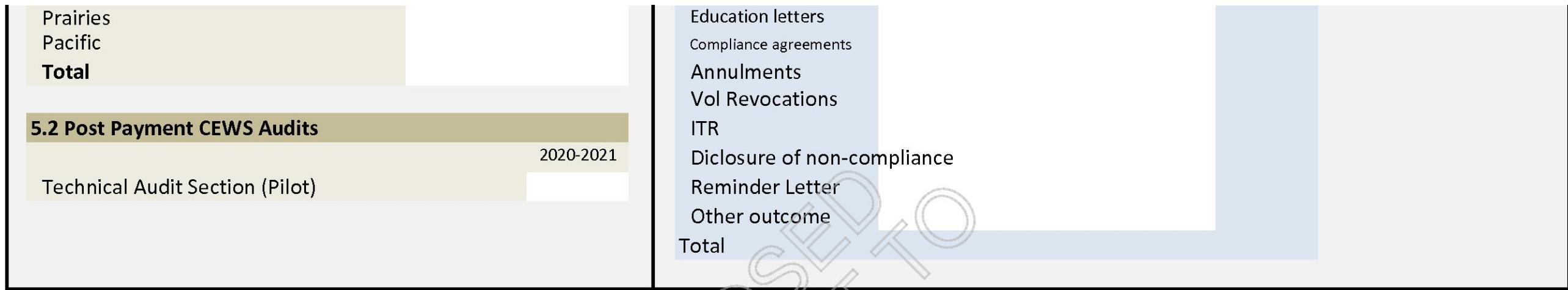
Field	Q1	Q2	Q3	Q4	Total
Atlantic					
Quebec					
Ontario					
Prairies					
Pacific					
Total CEP					

### 7.2 Completed Non-Audit Interventions 2020-2021

#### AC - Letters/Projects

### 7.3 Results Non-Audit Interventions

	2018-2019	2019-2020	2020-21	Total
No change				



DISCLOSED PURSUANT TO  
THE ATIA  
A-2021-128017

## Dashboard Definitions

### Reporting Schedule

<i>Update</i>	<i>When</i>
#1	30-June/First Quarter
#2	30-September/Second Quarter

### Acronyms and abbreviations

ARP	Annual Report to Parliament
\$B	Billions of dollars
\$M	Millions of dollars
CIPD	Corporate Information and Programs Division

- #3 31-December/Third Quarter
- #4 31-March/Year End

*Updates will be prepared 10-days after period end*

CRA	Canada Revenue Agency
FTE	Full-time employees
FYE	Fiscal year end
HQ	Headquarters
ITR	Intention to revoke
Q#	Quarter
RAD	Review and Analysis Division
RCAA	Registered Canadian amateur athletic associations
Re-reg	Re-registration
Vol	Voluntary

#### Percent Completed Range

<i>Symbol</i>	<i>Actual</i>
●	10% or less
▲	11% to 25%
◆	More than 26%

## Compliance Division Dashboard

## Program Management Level - indicators and measures

UNCLASSIFIED

Charities Education Program (CEP)

at March 31, 2021

Calculated by Compliance Division based on information from CTS

**Quarterly completed**

### Conclusion by reason

## HQ: Non-audit intervention

at March 31, 2021

Calculated by Compliance Division based on information from CTS

**Quarterly completed**

Page 10

Conclusion by reason	No Change/Clean	Education	Compliance Agreements	Annulment	Voluntary Revocation	Notices of Intention to Revoke	Disclosure of Non-compliance	Reminder Letter	Phone Calls	Failure to File	Request Completed	Total
<b>Headquarters Letters/Projects</b>												

Findings: Charities Education Program (CEP) and Non-audit intervention and education

YEAR TO DATE - Completed Audits													at March 31, 2021				
Calculated by Compliance Division based on information from AFMS & CTS																	
Quarterly completed audits																	
		2020-2021 Projection	Planned FTEs	Q1		Q2		Q3		Q4		Actual		Year to date			
				# audits	per FTE	# audits	per FTE	# audits	per FTE	# audits	per FTE	# audits	per FTE	Variance (Act-Bud)	%	Av hrs per case	Av # of days per days
<b>Field - DCPB Auditors (AU01/SP06 &amp; AU02)</b>																	
<i>Halifax</i>																	
<i>Montreal</i>																	
<i>Kitchener</i>																	
<i>Edmonton</i>																	
<i>Victoria</i>																	
<b>DCPB Subtotal</b>																	
<b>Field - ATP Auditors (AU03)</b>																	
<i>Quebec (Brossard)</i>																	
<i>Prairies (Calgary)</i>																	
<i>Prairies (Edmonton)</i>																	
<i>Pacific</i>																	
<b>ATP Subtotal</b>																	
<b>Headquarters</b>																	
HQ - AFSS & OPSS																	
HQ - RPI Pilot*																	
AC - Restricted																	
<b>Total</b>																	
Audit conclusion by reason																	
	No Change/ Clean	Education	Compliance Agreements	Annulment	Voluntary Revocation	Notices of Intention to Revoke	Pre or re reg	Part V Tax	RAD	Penalties	Susensions	Audit Cancelled	TSO Audit Required	Total	RPI Desk Review - No Audit Required*		
(Code)	B	C	D	F	G	H	J	K	L	M	N	O	P		R		
<b>Field - DCPB Auditors (AU01/SP06 &amp; AU02)</b>																	
<i>Halifax</i>																	
<i>Montreal</i>																	
<i>Kitchener</i>																	
<i>Edmonton</i>																	
<i>Victoria</i>																	
<b>Field Subtotal</b>																	
<b>Field - ATP Auditors (AU03)</b>																	
<i>Quebec (Brossard)</i>																	
<i>Prairies (Calgary)</i>																	
<i>Prairies (Edmonton)</i>																	
<i>Pacific</i>																	
<b>ATP Subtotal</b>																	
<b>Headquarters</b>																	
HQ - AFSS & OPSS																	
HQ - RPI Pilot*																	
AC - Restricted Audits																	
<b>Total</b>																	
*The "RPI Desk Review - No Audit Required" results are being tracked as part of the Pilot Project. However, these conclusions will not be included as part of the Audit conclusions for 2020-2021.																	
Audit Findings																	
FINDINGS	AC - Restricted Audit	Field Audit	ATP	HQ - AFSS & OPSS	HQ - RPI Pilot Project	Total	% COMPLETED FILES WITH THIS FINDING		FINDINGS	Restricted Audit	Field Audit	ATP	HQ - AFSS & OPSS	RPI Pilot Project	Total	% COMPLETED FILES WITH THIS FINDING	
Books and records									Private foundation-non qualified investments								
Business activities/non-related business activities									Loanbacks								
Control of a corporation									Non qualified securities								
Undue benefits									Non filing of T4/T4A slips								
Donation receipts									Foundation - excess holdings								
T3010 issues - filing late, etc									Salary and Benefits								
T3010 issues - incomplete/incorrect									Bank Accounts								
T3010 issues - DQ shortfall									Ineligible Individual								
Fundraising																	
Foreign activities																	
Political Activities																	
Non charitable objects/activities																	
Gifting to non qualified donees																	
Foundations - General																	

UNCLASSIFIED

000006

# Compliance Division Dashboard

Program Management Level - indicators and measures

## Charities Education Program (CEP)

Calculated by Compliance Division based on information from CTS

at March 31, 2021

	2020-2021 Planned Visits	Leads	Referrals	File Selection T3010 fields	Follow-up/ Compliance Agreement	Related File	Risk Management (Risk 375)	Projects*	Voluntary Disclosure										
									A	B	C	E/K	I	J	O	V			
<b>Field</b>																			
<i>Halifax</i>																			
<i>Montreal</i>																			
<i>Kitchener</i>																			
<i>Edmonton</i>																			
<i>Victoria</i>																			
<b>CEP Total</b>																			

## HQ: Non-audit interventions and education

Calculated by Compliance Division based on information from CTS

at March 31, 2021

(Code)	2020-2021 planned contacts	Leads	Referrals	Follow-up	Risk Management (Risk 375)	Compliance Agreement	Projects*	Annulment	Voluntary Disclosure	Client Service Reviews	Other				
<b>Assisted Compliance Letters/Projects</b>															

\*Additional details found in tab "Projects - Compliance Division"

Audits in progress at March 31, 2021													
Calculated by Compliance Division based on information from CTS & AIMS													
Table 1: Audits in Progress by time intervals													
	2020-2021 # Audits	Unassigned	0 - 120 days	121-240 days	241 - 360 days	361-720 days	720+ days	Year to date					
<b>Field - DCPB Auditors (AU01/SP06 &amp; AU02)</b>													
<i>Halifax</i>													
<i>Montreal</i>													
<i>Kitchener</i>													
<i>Edmonton</i>													
<i>Victoria</i>													
<i>Field @ HQ with Advisor</i>													
<b>DCPB Subtotal</b>													
<b>Field - ATP Auditors (AU03) - will begin reporting in CTS during Q2</b>													
<i>Unassigned @ HQ</i>													
<i>Quebec (Brossard)</i>													
<i>Prairies (Calgary)</i>													
<i>Prairies (Edmonton)</i>													
<i>Pacific</i>													
<b>ATP Subtotal</b>													
<b>Headquarters</b>													
<i>HQ - AFSS &amp; OPSS</i>													
<i>HQ - RPI Pilot</i>													
<i>AC - Restricted</i>													
<b>Total</b>													
<b>Table 2: Audits in Progress by selection reason</b>													
	Leads	Referrals	File Selection T3010 fields	Follow-up/ Compliance	Part V Tax Audit	Pre or Re-registration	Related File	Risk Management	Projects*	Disclosure of non	Qualified Donees	Excess Holdings	YTD
(Code)	A,R,S	B	C	E/K	F	G	I	J	O	V	Y	W	
<b>Field - DCPB Auditors (AU01/SP06 &amp; AU02)</b>													
<i>Halifax</i>													
<i>Montreal</i>													
<i>Kitchener</i>													
<i>Edmonton</i>													
<i>Victoria</i>													
<i>Field with Advisor</i>													
<b>DCPB Subtotal</b>													
<b>Field - ATP Auditors (AU03)</b>													
<i>Unassigned @ HQ</i>													
<i>Quebec (Brossard)</i>													

DISCLOSED  
PURSUANT TO  
THE ATA  
A-2021-128017

# Compliance Division Dashboard

Program Management Level - indicators and measures

## Canada Emergency Wage Subsidy (CEWS)

at March 31, 2021

Calculated by Compliance Division based on information from Integras

### Quarterly completed

	Q1		Q2		Q3		Q4		Actual		Claim Amounts	
	# of reviews		# of reviews		# of reviews		# of reviews		# of reviews		Allowed	Denied
Halifax												
Montreal												
Kitchener												
Edmonton												
Victoria												
Technical Audit Section												
CEWS Total												

### Conclusion by reason

	Claim: Partially		
	Claim: Approved	Approved	Claim: Denied
CEWS Totals			

## Canada Emergency Rent Subsidy (CERS)

at March 31, 2021

Calculated by Compliance Division based on information from Integras

### Quarterly completed

	Q1		Q2		Q3		Q4		Actual		Claim Amounts	
	# of reviews		# of reviews		# of reviews		# of reviews		# of reviews		Approved	Denied
Halifax												
Montreal												
Kitchener												
Edmonton												
Victoria												

Technical Audit Section													
CERS Total													
<b>Conclusion by reason</b>													
	<i>Claim: Partially</i> <i>Claim: Approved      Approved      Claim: Denied</i>												
CERS Totals													

DISCLOSED  
PURSUANT TO  
THE ATIA  
A-2021-128017

# Compliance Division Dashboard

Program Management Level - indicators and measures

UNCLASSIFIED

## CEWS & CERS Audits in progress

at March 31, 2021

Calculated by Compliance Division based on information from CTS & Integras

Table 1: Audits in Progress by time intervals

	2020-2021 # Audits	Unassigned	Year to date						Total
			0 - 120 days	121-240 days	241- 360 days	361-720 days	720+ days		
Halifax									
Montreal									
Kitchener									
Edmonton									
Victoria									
Technical Audit Section									
DCPB Subtotal									
CEWS & CERS Completed Audits									
Calculated by Compliance Division based on information from Integras									

## CEWS & CERS Completed Audits

at March 31, 2021

Calculated by Compliance Division based on information from Integras

Quarterly completed

	Q1		Q2		Q3		Q4		Actual	Claim Amounts	
	# of reviews		Allowed	Denied							
Halifax											
Montreal											
Kitchener											
Edmonton											
Victoria											
Technical Audit Section											
CEWS Total											

## Conclusion by reason

	Claim: Partially			Claim: Approved	Approved	Claim: Denied	Denied
	Claim: Approved	Approved	Claim: Denied				
CEWS Totals							