

# 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	

### 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	
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### 7.3 Results Non-Audit Interventions

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

Prairies		Education letters	
Pacific		Compliance agreements	
Total		Annulments	
		Vol Revocations	
		ITR	
5.2 Post Payment CEWS Audits		Diclosure of non-compliance	
	2020-2021	Reminder Letter	
Technical Audit Section (Pilot)		Other outcome	
		Total	

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Dashboard Defintions

Reporting Schedule

Update	When
#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 athlectic associations
- Re-reg Re-registration
- Vol Voluntary

Percent Completed Range

Symbol	Actual
●	10% or less
▲	11% to 25%
◆	More than 26%

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### Program Management Level - indicators and measures

at March 31, 2021

Calculated by Compliance Division based on information from CTS

Conclusion by reason							
	Visit Completed			Visit not Completed			Total
	Summary of findings: signed	Summary of findings: not signed	Voluntary Revocation	No response	Refused	Voluntary Revocation	Other
CEP Totals							

## at March 31, 2021

Calculated by Compliance Division based on information from CTS

[illegible][illegible]

YEAR TO DATE - Completed Audits																	at March 31, 2021	
Calculated by Compliance Division based on information from AIMS & 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		
Field - DCPB Auditors (AU01/SP06 & AU02)																		
Halifax																		
Montreal																		
Kitchener																		
Edmonton																		
Victoria																		
DCPB Subtotal																		
Field - ATP Auditors (AU03)																		
Quebec (Brossard)																		
Prairies (Calgary)																		
Prairies (Edmonton)																		
Pacific																		
ATP Subtotal																		
Headquarters																		
HQ - AFSS & OPSS																		
HQ - RPI Pilot*																		
AC - Restricted																		
Total																		
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	Suspensions	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			
Field - DCPB Auditors (AU01/SP06 & AU02)																		
Halifax																		
Montreal																		
Kitchener																		
Edmonton																		
Victoria																		
Field Subtotal																		
Field - ATP Auditors (AU03)																		
Quebec (Brossard)																		
Prairies (Calgary)																		
Prairies (Edmonton)																		
Pacific																		
ATP Subtotal																		
Headquarters																		
HQ - AFSS & OPSS																		
HQ - RPI Pilot*																		
AC - Restricted Audits																		
Total																		
*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																		
Gifts to non qualified donees																		
Foundations - General																		

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## Compliance Division Dashboard

### Program Management Level - indicators and measures

## Charities Education Program (CEP)

at March 31, 2021

*Calculated by Compliance Division based on information from CTS*

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## HQ: Non-audit interventions and education

at March 31, 2021

*Calculated by Compliance Division based on information from CTS*

[illegible]

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

Audits in progress															at March 31, 2021																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																															
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Table 1: Audits in Progress by time intervals																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
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Prairies (Calgary)																	
Prairies (Edmonton)																	
Pacific																	
ATP Subtotal																	
Headquarters																	
HQ - AFSS & OPSS																	
HQ - RPI Pilot																	
AC - Restricted																	
Total																	
*Additional details found in tab "Projects - Compliance Division"																	

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# 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													
Conclusion by reason													
	Claim: Partially Claim: Approved    Approved    Claim: Denied												
CERS Totals													

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# Compliance Division Dashboard

Program Management Level - indicators and measures

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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	Year to date									
		Unassigned	0 - 120 days	121-240 days	241 - 360 days	361-720 days	720+ days	Total			
Halifax											
Montreal											
Kitchener											
Edmonton											
Victoria											
Technical Audit Section											
DCPB Subtotal											
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		# 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				Claim: Denied		
	Claim: Approved	Approved	Claim: Denied		Claim: Approved	Approved	Claim: Denied		Claim: Approved	Approved	Claim: Denied
CEWS Totals											