

# **SCHEDULE “G” – CORPORATE PLANNING AND REPORTING**

## Technical Standards and Safety Authority

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The corporate planning and reporting documents of the Technical Standards and Safety Authority (the Corporation) are essential communications vehicles for demonstrating responsible stewardship of regulatory authority in the achievement of public safety. As such, the Corporation will strive to continuously improve and strengthen linkages between strategic planning, business planning, and reporting.

Recognizing that these documents have a broad audience that includes government, sector stakeholders and the public, the Corporation will use plain language so that the objectives and performance of the Corporation are clear and easy for the average reader to understand.

The Corporation’s corporate planning and reporting documents will support the accountability framework as laid out in the memorandum of understanding (MOU) between the Minister and the Corporation.

In addition to any requirements specified directly in the MOU, the Corporation’s corporate planning and reporting documents shall include, at a minimum, the following information:

### **1. STRATEGIC PLAN REQUIREMENTS**

The Corporation drafts a strategic plan based on a minimum 3-year cycle that identifies its key objectives, which are linked to its statutory mandate, vision and mission, and the performance outcomes associated with those objectives as demonstrated in the Corporation’s Balanced Scorecard to guide its resources and efforts.

#### **Corporate Profile**

A general overview of the Corporation, including its statutory obligations and mandate, its mission, vision and values. It will also describe the nature and scope of the relationship between the Corporation and the Government of Ontario and Ministry of Government and Consumer Services.

#### **Strategic Planning Overview**

An explanation of the connection/linkages between the strategic plan, business plan and annual report.

#### **Strategic Planning Context**

Highlight key economic, industry, and operational factors that present the Corporation with challenges and/or opportunities in its strategic planning.

## **Objectives**

The Corporation will make clear its objectives, for the planning period, and will list the following as it pertains to the target performance outcome:

- Objectives / Priorities (a key goal or outcome the Corporation proposes to achieve); and;
- Strategies (that will be employed to achieve the objective).

In addition, quantifiable / measurable targets will be set for each year of the planning period. The plan will detail how these targets will be measured.

Measures should demonstrate the Corporation's effectiveness (in terms of both safety outcomes and organizational effectiveness), efficiency and level of customer value/satisfaction. These measures will be based on a stable set of performance metrics that will reflect all regulated sectors and enable a year-to-year comparison. Where a year-to-year comparison is not possible because of a change in performance metrics, the Corporation shall provide sufficient information to enable a comparison. The Corporation shall also include a reference that information on performance reporting, including compliance and safety outcomes, is provided on the Corporation's website.

## **Statement of Operations**

The Statement of Operations will contain information on the company's financial state, including statements on revenue and expenses, etc. The purpose of including a Statement of Operations in the Strategic Plan is to establish a picture of the Corporation's current financial health and enable a comparison between the current state of the Corporation's finances and the planned revenue and expenses projections.

## **2. BUSINESS PLAN**

The Corporation will draft a business plan annually that identifies a coordinated set of activities for carrying out the objectives delineated in the strategic plan. The business plan will state the specific activities that will be undertaken in the fiscal year, as well as identify resources to achieve the Corporation's strategic objectives and successful delivery of its services. The business plan shall include, at a minimum the following:

### **Corporate Overview**

A general overview of the Corporation, including its mandate, mission, vision and values. It will also describe the Corporation's structure, services, regulated sectors and include a description of the nature of the relationships between the Corporation and the government and the Minister.

### **Business Planning Overview**

An explanation of the connections between strategic planning, the business plan, and the annual report.

## Objectives, Activities, and Performance Measures

Details on the performance measures that link the Corporation's objectives to the statistical outcomes that will be reported in the annual report, including, at a minimum, the following:

- (a) **Strategic Objectives** (priority outcomes that the Corporation proposes to achieve to successfully administer the Act, including those aimed at enhancing protections for consumers and the professionalism of authorization holders):
  - **Core strategic objectives** relate to the Corporation's Statutory Mandate, focus on public safety objectives, and address high priority risks;
  - **Supporting strategic objectives** relate to other aspects of operations such as governance, financial objectives, communication, risk management or stakeholder relations;
  - Should the Corporation's objectives change at any point during a given year, the Corporation will notify the Minister prior to the start of the next fiscal year.
- (b) **Strategies** (the initiatives and approaches that will be employed to undertake activities in order to achieve objectives);
- (c) **Outcome measures** (details about how outcomes for the planning period will be measured or assessed);
- (d) **Outcome targets** (annual targets for the outcome measures):
  - Outcome measures and targets should enable year-to-year comparisons demonstrating the Corporation's:
    - Effectiveness (primarily related to core strategic objectives),
    - Efficiency (could be related to supporting strategic objectives, including things such as overhead costs, administration to program delivery ratios), and
    - Performance based on customer and stakeholder satisfaction.
  - Where a year-to-year comparison is not possible because of a change in performance measures, the Corporation shall provide a rationale regarding the change, and sufficient information to enable a comparison.
- (e) **Activities** (planned annual actions that will support the execution of the strategies to achieve the objectives):
  - The activities in the business plan usually reflect core strategic objectives;
  - The business plan may also include activities that reflect supporting strategic objectives;
  - The business plan must include descriptions of the Corporation's means to:
    - manage and resolve complaints;
    - provide French language services to the public; and
    - undertake activities to ensure that the goods, services and facilities are accessible in accordance with the *Accessibility for Ontarians with Disabilities Act, 2005* and any other relevant accessibility activities.
- (f) **Activity measures** (details about how activities will be measured or assessed to

evaluate performance):

- Measures can be quantitative or qualitative.

(g) **Activity targets** (measurable activity targets set for the fiscal year).

- The Corporation shall also note that the following are available on the Corporation's website:
  - information on the Corporation's industry and consumer advisory councils; and
  - information on performance reporting, including compliance and safety outcomes.

### **Resources Needed to Meet Objectives**

- Assess the adequacy of financial, human, and other resources required by the Corporation to meet its objectives over the planning horizon.
- Forecast anticipated revenues (derived from regulatory and non-regulatory business, if applicable) and planned expenditures for the fiscal year.

## **3. ANNUAL REPORT**

The Corporation's annual report is the primary mechanism for reporting results for the previous year. The annual report shall include, at a minimum, the following:

### **Organization Overview**

- Introduction
- Mandate, mission, vision, values
- Overview of the organization
- Message from the Chair
- Message from the President and CEO

### **Report on Performance**

The Corporation shall report results for each performance measure as set out in the business plan. If the target has not been met, the Corporation shall explain why achievement was not possible in that fiscal year.

### **Performance Statistics:**

When possible, statistical reports should be in chart form to facilitate comparisons over time. The Corporation may include any statistics it considers relevant to its administration of the Act in this section. Performance statistics reported should, at a minimum, include:

- The activities completed over the prior year which reflect the activity measures in the business plan;
- The outcome results achieved in the previous year, which reflect performance against outcome measures and targets established in the business plan, in these areas:
  - Compliance and enforcement, such as authorizations, complaint resolution,

- inspections, investigations, prosecutions;
- Efficiency, such as turn-around times for authorizations, complaints, inspections, discipline; and
- Education and awareness initiatives, and handling of complaints;

#### Review of Legislation, Bylaw and Policy Changes:

Outline any changes made to the Act and regulations, the Corporation bylaws or policies during the fiscal year.

#### French Language Services:

Report on the provision of French language services pursuant to section 3.19.1 of the Act, including how those services were provided, the total number of inquiries that were received in French during the reporting period, and any other statistics that the Corporation considers relevant.

#### Complaint Handling Process and Outcomes:

Review of the complaint handling and dispute resolution processes provided by the Corporation including outcomes, appeal procedures and information to the public on how to register complaints against authorization holders and against the Corporation.

#### Accessible Goods, Services, or Facilities:

Report on the provision of accessible goods, services or facilities pursuant to the Accessibility for Ontarians with Disabilities Act, 2005, including how those goods, services or facilities were provided, the total number of inquiries that were received for accessible goods, services or facilities during the reporting period, and any other statistics that the Corporation considers relevant.

### **Corporate Governance**

This section shall provide a summary on how the Corporation is governed by providing, at a minimum the following information, which may alternatively be posted on its website.

- Role of The Board
- Election/appointment process of the Board
- Basic qualifications of the Board
- Committees of the Board
- Code of Conduct for Directors
- Board of Directors (including biographies)
- Directors' terms of election/appointing, including Directors retiring within the next five years
- Officers (including biographies)
- Organization chart
- Corporation contact information and address

## **Financial Statements and Notes**

The annual report shall include the audited financial statements, including any notes.

## **Management's Discussion and Analysis**

This section shall provide a discussion and analysis intended to assist with an understanding of the material financial changes in the Corporation's operations over the past fiscal year, to be read along with the financial statements and accompanying notes. This discussion shall include a breakdown of regulatory and non-regulatory business, if applicable.

## **4. ENTERPRISE RISK MANAGEMENT FRAMEWORK**

The Corporation shall have an enterprise risk management framework and program to identify, assess and mitigate risks that may impact achievement of the Corporation's strategic and operational objectives, including

- (a) A documented ERM framework
- (b) Identification and assessment of risks to the achievement of strategic objectives
- (c) Appropriate risk mitigation strategies to manage risks within acceptable limits;
- (d) Monitoring and reporting on risks.

The Corporation shall provide updates to the Ministry on significant risks identified through its ERM framework annually or upon request. This update shall include a summary of the Corporation's actions to ensure continuous delivery of critical business services in the event of an emergency.

## **5. ANNUAL BURDEN REDUCTION PLAN**

Upon request from the Minister (or Ministry), the Corporation must provide a burden reduction plan that identifies opportunities that the Corporation could implement to respond to the government's commitment to cut red tape and reduce regulatory burden in Ontario. These opportunities could include legislative and regulatory proposals but should also consider how the Corporation can operate more effectively and efficiently and provide improved or increased digital services to their regulated sectors and consumers.

**Technical Standards and Safety  
Authority**

**As originally signed by RJ Falconi**

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Chair of the Board

Date: April 25, 2022

**Her Majesty the Queen in right of  
Ontario**

**As originally signed by The Honourable  
Minister Ross Romano**

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Minister of Government and  
Consumer Services

Date: April 28, 2022