

SCHEDULE “E” – CORPORATE PLANNING AND REPORTING

RETIREMENT HOMES REGULATORY AUTHORITY

The corporate planning and reporting documents of the Retirement Homes Regulatory Authority (RHRA) are essential communications vehicles for demonstrating responsible stewardship of regulatory authority in the achievement of resident protection. The RHRA will strive to continuously improve and strengthen linkages between strategic planning, business planning and reporting.

Recognizing that corporate planning and reporting documents have a broad audience, the RHRA will use plain language so that the objectives and performance are clear and easy for the average reader to understand. The corporate planning and reporting documents should easily allow for comparisons between them.

The RHRA’s corporate planning and reporting documents will support the accountability framework as laid out in the MOU and the Act.

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

1. STRATEGIC PLAN REQUIREMENTS

The RHRA’s strategic plan is 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 to guide its resources and efforts.

1.1. Corporate Profile

A general overview of the RHRA, including its statutory obligations and mandate, its mission, vision and values. It will also describe the nature and scope of the relationship between the RHRA and the Government of Ontario and the Ministry for Seniors and Accessibility.

1.2. Strategic Planning Overview

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

1.3. Strategic Planning Context

Highlight key economic, industry, and operational factors that present the RHRA with

challenges and/or opportunities in its strategic planning.

1.4. Objectives

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

- Objectives / Priorities (key goals or outcomes proposed); 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 RHRA's effectiveness (in terms of both resident protection outcomes and organizational effectiveness), efficiency and level of resident, licensee and stakeholder satisfaction/value. These measures will be based on a stable set of performance metrics that reflect the regulated sector and enable a year-to-year comparison. Where a year-to-year comparison is not possible, the RHRA shall provide sufficient information to enable a comparison. The RHRA shall also include a reference that information on performance reporting, including compliance and resident protection outcomes, is provided on the RHRA's website.

1.5. Statement of Operations

The Statement of Operations will contain information on the RHRA's financial state, including statements on revenue and expenses. The Statement of Operations establishes a picture of the RHRA's current financial health and enables a comparison between the current state of the RHRA's finances and planned revenue and expenses projections.

The RHRA will enable the Minister to review and comment on the strategic plan prior to publication for approximately thirty (30) days from the receipt of the document under normal circumstances.

2. BUSINESS PLAN

The RHRA will draft a business plan annually that identifies a coordinated set of activities to achieve the RHRA's strategic 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 necessary to achieve the RHRA's strategic objectives and successfully deliver its services. The business plan shall include, at a minimum, the following:

2.1 Corporate Overview

- A general overview of the RHRA, including its mandate, mission, vision and

values; and

- A description of the RHRA's structure, services, regulated sector and the nature of the relationships between the RHRA and the government and the Minister.

2.2 Business Planning Overview

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

2.3 Objectives, Activities and Performance Measures

- Details on the performance measures that link the RHRA's strategic objectives to the outcomes reported in the annual report, including, at a minimum, the following:
 - (a) **Strategic Objectives** (priority outcomes that the RHRA proposes to achieve to successfully administer the Act, consistent with its statutory objects, including those aimed at enhancing protections for retirement home residents):
 - **Core strategic objectives:** relate to the RHRA's Statutory Mandate, focus on resident protection objectives and address high priority risks.
 - **Supporting strategic objectives:** relate to other aspects of operations such as governance, financial objectives, communication, risk management and/or stakeholder relations.

Should the RHRA's objectives change at any point during a given year, the RHRA 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) and **targets** (annual targets for the outcome measures):
 - Outcome measures and targets should enable year-to-year comparisons demonstrating the RHRA's effectiveness (primarily related to core strategic objectives), efficiency (could be related to supporting strategic objectives, including things like overhead costs, administration to program delivery ratios), and performance based on resident, licensee and stakeholder
- A general overview of the RHRA, including its mandate, mission, vision and values; and

- A description of the RHRA's structure, services, regulated sector and the nature of the relationships between the RHRA and the government and the Minister.

2.4 Business Planning Overview

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

2.5 Objectives, Activities and Performance Measures

- Details on the performance measures that link the RHRA's strategic objectives to the outcomes reported in the annual report, including, at a minimum, the following:
 - (a) **Strategic Objectives** (priority outcomes that the RHRA proposes to achieve to successfully administer the Act, consistent with its statutory objects, including those aimed at enhancing protections for retirement home residents):
 - **Core strategic objectives:** relate to the RHRA's Statutory Mandate, focus on resident protection objectives and address high priority risks.
 - **Supporting strategic objectives:** relate to other aspects of operations such as governance, financial objectives, communication, risk management and/or stakeholder relations.

Should the RHRA's objectives change at any point during a given year, the RHRA 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) and **targets** (annual targets for the outcome measures):
 - Outcome measures and targets should enable year-to-year comparisons demonstrating the RHRA's effectiveness (primarily related to core strategic objectives), efficiency (could be related to supporting strategic objectives, including things like overhead costs, administration to program delivery ratios), and performance based on resident, licensee and stakeholder satisfaction/value.

- Where a year-to-year comparison is not possible, the RHRA shall

provide a rationale and sufficient information to enable a comparison.

(d) **Activities:** (planned annual actions to support the achievement of strategic 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 the RHRA's means to:
 - manage and resolve complaints related to the RHRA's administration of the Act;
 - provide French language services to the public, in accordance with section 110 of the Act; 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 activities to ensure the accessibility of goods, services and facilities.

(e) **Activity measures:** (details about how activities will be measured or assessed to evaluate performance):

- Measures can be quantitative or qualitative.

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

2.6 Resources Needed to Meet Objectives

- Assess the adequacy of financial, human and other resources of the RHRA and any additional resources that may be required 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 next three-year period.

3. ANNUAL REPORT

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

3.1 Organizational Overview

This section of the annual report shall set out:

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

3.2 Report on Performance

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

Performance Statistics:

When possible, statistical reports should facilitate comparisons over time. Performance statistics reported should, at a minimum, include:

- The activities completed over the prior year reflecting the activity measures in the business plan;
- The outcome results achieved in the previous year, reflecting performance against outcome measures and targets established in the business plan, in these areas:
 - Compliance and enforcement, such as licensing, complaint resolution, inspections, investigations, prosecutions; and regarding complaints about RHRA
 - Efficiency, such as turn-around times for licensing, complaints, inspections; and
 - Education and awareness initiatives, and handling of complaints.

Review of Legislation, By-Law and Policy Changes:

Outline any changes made to the Act and regulations, the RHRA by-laws or policies during the fiscal year.

French Language Services:

Report on the provision of French language services pursuant to section 110 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 RHRA considers relevant.

Complaint Handling Process and Outcomes:

Summary of the complaint handling processes provided by the RHRA including outcomes, the Complaints Review Officer and information to the public on how to register complaints against licensees and against the RHRA.

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 they 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 RHRA considers relevant.

3.3 Corporate Governance

This section shall provide a summary of how the RHRA is governed by providing, at a minimum, the following information, which may alternatively be posted on its web site:

- Role of the Board
- Election/appointment process of the Board
- Basic qualifications of the Board
- Committees of the Board
- Code of Ethics
- Board of Directors (including biographies)
- Directors' terms of election/appointment
- Officers (including biographies)
- Organization chart
- RHRA contact information

3.4 Audited Financial Statements and Notes

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

3.5 Management Discussion and Analysis

This section shall provide a discussion and analysis intended to assist with an

understanding of the material financial changes in the RHRA'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. RISK MANAGEMENT FRAMEWORK AND RISK MANAGEMENT PLAN

Utilizing a risk-based approach to mandate fulfillment and service delivery, the RHRA will conduct a risk assessment to identify, assess and mitigate risks and develop a risk management plan that will include:

- (a) The RHRA's objectives;
- (b) Risks to the achievement of those objectives;
- (c) Risk mitigation strategies;
- (d) Maintenance of a system of internal controls to minimize risk; and
- (e) Documentation of policies and procedures to manage risk.

In order to facilitate informed and coordinated responses to any issues that emerge, the RHRA will provide the Minister with reports on high and medium risks with corresponding mitigation strategies.

A summary of the risk management plan, including key information that conveys how the RHRA will ensure continuous delivery of critical business services in the event of an emergency, shall be provided to the Minister annually for review at the same time as, or as a component of, the RHRA's annual business plan. The occurrence of any risk(s) that required the use of any mitigations can be reported through the Annual Report.

5. BURDEN REDUCTION PLAN

Upon request from the Minister (or Ministry), the RHRA must provide an annual burden reduction plan that identifies opportunities 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 RHRA can operate more effectively and efficiently and provide improved or increased digital services to their regulated sectors and consumers.

**Retirement Homes Regulatory
Authority**



Chair of the Board

Date: May 4, 2023

**His Majesty the King in right of
Ontario**



Minister for Seniors and Accessibility

Date: May 5, 2023