



OBSI
OSBI

Progress toward our goals

Four strategic
directions for 2017



1 Deliver a high-value service and be the dispute resolution provider of choice

OUR GOALS ARE TO:

- Continue to deliver quality and accessible service to consumers and participating firms
- Leverage expertise and knowledge to increase insights to stakeholders
- Leverage existing capabilities to expand offering of services

Our strategic plan initiatives	Status	What we accomplished in 2017
Explore and evaluate alternatives to name and shame	Ongoing	<ul style="list-style-type: none"> • OBSI has engaged with the Canadian Securities Administrators (CSA) and other stakeholders in the process of exploring possible alternatives • A CSA working group has been struck and they have made a public commitment to finding a solution
Conduct survey of participating firms on an annual basis	Done	<ul style="list-style-type: none"> • New electronic firm surveys were completed in Q1 and reported in our Annual Report • We communicated our findings and management response to all stakeholders in Q3
Conduct survey of participating consumers	Done	<ul style="list-style-type: none"> • We sent out new electronic consumer surveys on a monthly schedule beginning in Q1 • We are analysing and publishing the full year results in 2018
Improve consumer demographic information collection and gathering	Done	<ul style="list-style-type: none"> • Demographic data collection was gathered for all cases and integrated in our electronic case-management system • Voluntary detailed demographic data was gathered for more than half of all cases
Review and update OBSI's Terms of Reference (TOR)	Ongoing	<ul style="list-style-type: none"> • We developed draft TOR and explanatory documents, with preliminary board approval in Q4 • We will undertake regulator consultation and public consultation in 2018
Improve data-gathering systems and communication to maximize value	Done	<ul style="list-style-type: none"> • We assessed necessary database-system updates as a part of an IT infrastructure review and a three-year work plan is in progress • Our database system has been expanded to capture demographics data and alternative case outcomes • We included trend reporting in all stakeholder communications throughout the year
Demonstrate value of OBSI services by sharing complaint and restitution expertise to consumers and participating firms	Done	<ul style="list-style-type: none"> • We launched a new stakeholder newsletter with clearly outlined trend data in Q4 and improved access to information through redevelopment of our website and an increased social-media presence • Our Ombudsman and staff participated regularly in industry, consumer and professional events



2 Build enduring relationships through stakeholder awareness of the value of the OBSI service

OUR GOALS ARE TO:

- Strengthen firm trust and awareness of OBSI value
- Increase consumer brand awareness
- Demonstrate value and service effectiveness to regulators

Our strategic plan initiatives	Status	What we accomplished in 2017
Implement industry relationship management and communications component of public affairs strategy	 Done	<ul style="list-style-type: none"> • We held regular meetings with industry associations and participating firms • We shared detailed results of the firm survey and OBSI's response • We launched the stakeholder newsletter to provide trend data and updates • We made presentations at industry events
Develop and pilot an early-advice program for participating firms	 Done	<ul style="list-style-type: none"> • We developed the project plan, which included outreach efforts to firms and regulators in advance, and launched the pilot Firm Information Service (FIS) project, which included outreach to firms
Explore participating firm interest in OBSI training sessions on dispute resolution and approaches to different case scenarios	 Ongoing	<ul style="list-style-type: none"> • We plan to use some of the feedback from the FIS pilot to determine overall interest in training sessions
Implement consumer-facing components of the public affairs strategy	 Done	<ul style="list-style-type: none"> • We introduced a new OBSI logo to illustrate the national nature of service and increase awareness • We launched a new, user-friendly website during 2017 along with an increased presence on social media • We introduced online and social media advertising to help increase awareness • We developed a new, simplified OBSI consumer brochure to align with the rebranding and new website launch
Implement government and regulator relations components of public affairs strategy	 Done	<ul style="list-style-type: none"> • Ongoing and regular outreach with regulators established
Build internal policy function within the stakeholder relations team to position OBSI to more effectively prepare formal submissions to government and regulators and to respond to requests for advice from regulators	 Ongoing	<ul style="list-style-type: none"> • We deferred the establishment of a policy function in lieu of other priorities • We made formal comments and submissions at both federal and provincial policy-related consumer protection and potential dispute resolution schemes in new or evolving sectors • We provided data and information to regulators on request



3 Drive continuous improvement and organizational resiliency

OUR GOALS ARE TO:

- Standardize and improve processes and timelines
- Enhance information technology (IT) efficiency
- Effectively manage enterprise risk and prepare for external shocks

Our strategic plan initiatives	Status	What we accomplished in 2017
Establish clear benchmarks/best practices/quality review for investigative processes	 Done	<ul style="list-style-type: none"> • We established a range of timeliness targets and established a process for ongoing measurement of quality of investigation
Develop and implement satisfaction and quality measurement regime to track firms' and consumers' views and impressions	 Done	<ul style="list-style-type: none"> • We developed and introduced new approaches to measure feedback
Review delay data and identify process improvements to reduce delays	 Done	<ul style="list-style-type: none"> • We introduced new processes to reduce consumer and firm delays • We reduced the average number of delay days per case by more than 50%
Develop policy for expedited resolutions and use learnings to guide full implementation	 Ongoing	<ul style="list-style-type: none"> • We launched a pilot project in 2017 to expedite the resolution process and analysed results in Q4
Conduct expert, independent IT infrastructure and security review	 Done	<ul style="list-style-type: none"> • We completed our IT security and efficiency review • In Q3, the Board of Directors approved the business plan response
Complete change management associated with recent IT transformations	 Done	<ul style="list-style-type: none"> • All OBSI staff were provided appropriate training and on a consistent basis to ensure a smooth transition
Develop enterprise risk management (ERM) policy framework and implement on a prioritized basis across the organization	 Done	<ul style="list-style-type: none"> • We developed and implemented the ERM framework • All of our priority mitigations were identified and implemented
Conduct staff training on ERM policy framework, risk register, and prioritized risk-management activities	 Done	<ul style="list-style-type: none"> • We developed and introduced to staff ERM training • We assigned to senior management primary accountability for all key risk mitigations



4 Invest in OBSI's people

OUR GOALS ARE TO:

- Focus on staff retention and professional development
- Continue to develop knowledge-management capabilities
- Strengthen employee engagement

Our strategic plan initiatives	Status	What we accomplished in 2017
Develop internal succession plan for key positions	 Done	<ul style="list-style-type: none">• We identified key positions and established succession plans for each
Develop a professional development framework that includes a skills matrix and needs analysis	 Done	<ul style="list-style-type: none">• We established a regular program for employee skills development
Acquire and assess compensation analysis	 Done	<ul style="list-style-type: none">• We engaged an independent consultant to analyse and report on market compensation, shared this with staff, and made adjustments where appropriate
Increase frequency of case debriefs at investigative meetings that enable all staff to share in the learnings from individual cases	 Done	<ul style="list-style-type: none">• We have case information discussions at team and management meetings
Develop a strategy to capture the knowledge of OBSI's people, including a communications framework to improve internal communications with staff	 Done	<ul style="list-style-type: none">• We established a monthly meeting with all staff to share information from teams across the organization and share important developments• All-staff meetings are held twice a year and are focused on staff development and business priorities
Establish employee engagement committee (EEC) to make recommendations to strengthen engagement and set a framework for appropriate consultation and discussion between management and staff	 Done	<ul style="list-style-type: none">• We established the EEC, which has identified and introduced initiatives for increased engagement
Invest in technical and soft-skills training for managers	 Done	<ul style="list-style-type: none">• We hold annual skills-assessment discussions, and training plans have been developed