

Division of Roles and Responsibilities between the Board and the Registrar

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Approved by: NSRDDA Board	Approval Date: February 8, 2026

1. Purpose

The purpose of this policy is to articulate the respective roles, responsibilities, and accountabilities of the Board and the Registrar in accordance with the key stewardship responsibilities set out in the Board Charter. By providing a clear delineation of duties and decision-making authority, this policy aims to support effective oversight, enhance operational clarity, and ensure alignment with the NSRDDA's statutory mandate and strategic objectives. This structured division of responsibilities promotes transparency, minimizes role ambiguity, and strengthens the collaborative relationship between governance and administration.

2. Scope

This policy applies to Board members and the Registrar and those with responsibilities that intersect with the Board or the Registrar.

3. Policy Statement

The Board has the overall responsibility/authority for the control and management of the organization. In practical terms, it delegates the day-to-day management of the organization to competent professionals. The key areas of the Board's stewardship responsibilities are found in the Board's Charter. This document builds upon the Board Charter by clarifying the respective roles that the governing Board and the Registrar have in relation to the key responsibilities of the Board.

Responsibility: Mandate and Vision

- To ensure the organization fulfils its legislated mandate
- To establish a clear long-term vision for the future regulation of the professions and the organization

Roles of the Board	Roles of the Registrar
Polymaking: Articulate the vision for the future regulation of the professions and the organization, with input/assistance from the Registrar	Polymaking: Assist the Board in formulating the vision
Decision-Making: Ensure that Board decisions are consistent with the organization's mandate and vision	Decision-Making: Ensure decisions by staff and volunteer Committees are consistent with the organization's mandate and vision
Monitoring: - Quarterly reports from the Registrar summarizing anonymized activity, trends, and outcomes regarding complaints, discipline, continuing education compliance and practice review findings - Reports at each Board meeting from Registrar re initiatives undertaken by Department of Health and Wellness and other health regulatory bodies - Annual critical evaluation by Registrar of progress against strategic plan - Annual report from Registrar re statistics compiled under <i>Fair Registration Act</i>	Monitoring: - Annual review of continuing education compliance - Ongoing review of complaints and discipline matters - Quarterly review of Fair Registration statistics - Quarterly check-in with progress against strategic plan - Ongoing awareness of initiatives undertaken by other regulated health professions and general trends relating to them - Providing quarterly reports to the Board summarizing anonymized activity, trends, and outcomes regarding complaints, discipline, continuing education compliance and practice review findings - Reporting at each Board meeting re initiatives undertaken by DHW and other health regulatory bodies

Responsibility: Ethics and Values

- To define the ethics and values that will guide conduct and decision-making within the organization, e.g. conflict of interest policy, code of conduct, etc.

Roles of the Board	Roles of the Registrar
Policy-Making: • Develop and approve the organization's ethics policies and statement of values, in consultation with the Registrar and other key system partners as required	Policy-Making: • Assist the board in developing the ethics policies and statement of values
Decision-Making: • Ensure Board's decisions are consistent with the organization's ethics policies and values • Compliance with Code of Ethics and Conflict of Interest policies	Decision-Making: • Ensure decisions are consistent with the organization's ethics policies and values • Live the values • Incorporate values into the organization's performance management system
Roles of the Board	Roles of the Registrar
Monitoring: • Annual reports by Registrar on concerns/compliments received regarding the organization • Ongoing and informal sharing of stakeholder feedback with the Board/Registrar • Annual summary of declarations by Board members under Code of Ethics/Conflict of Interest policies • Monitoring complaints under the Disclosure of Wrongdoing policy	Monitoring: • Staff/committee surveys • Concerns/compliments received • Ongoing stakeholder feedback • Ensure a confidential process for responding to complaints under the Disclosure of Wrongdoing Policy and ensure that no one faces potential retaliation or ostracization for filing such a complaint

Responsibility: Organizational Strategy, Plans and Performance

- To ensure that the NSRDDA has a current and relevant strategic plan in place at all times, that includes an EDIRA-related component
- To approve an annual business plan and budget, ensuring alignment with the strategic plan
- To approve key performance indicators (KPIs) for the NSRDDA and to monitor the NSRDDA's performance against its strategic plan, annual business plan and legislated mandate

Roles of the Board	Roles of the Registrar
Policymaking: • Approve a process for developing a strategic and annual business plan (including the role of the Board in those processes)	Policymaking: • Develop the process for strategic and annual business planning, for Board approval • Leadership role in development of strategic and annual business plan
Decision-Making: • Approve the strategic plan and changes thereto • Approve the annual business plan (including budget) and changes thereto • Approve KPIs for monitoring NSRDDA performance	Decision-Making: • Implement the approved plans, in accordance with Delegation of Authority • Recommend changes to approved plans, where circumstances change

Roles of the Board	Roles of the Registrar
Monitoring: • Annual critical evaluation of progress against strategic plan by the Registrar • KPI reports and progress updates by the Registrar at each regular Board meeting vis-à-vis progress against annual business plan • Regular progress reporting through Registrar reports at Board meetings • Ongoing updates by Registrar of global and regulatory trends	Monitoring: • Quarterly evaluation of progress against both strategic and annual plan • Review of bank and investment statements monthly • Monthly financial review (operating and capital) – variance analysis and forecasts • Regular progress reporting at Board meetings • Ongoing review of KPIs • Ongoing updates to Board of global and regulatory trends

Responsibility: Management of Registrar

- To define the role of, appoint, evaluate, compensate or terminate the Registrar
- To approve the succession plan for the Registrar

Roles of the Board	Roles of the Registrar
Policy-Making: • Develop and approve a position description for the Registrar • Develop and approve policies for the appointment, evaluation and compensation of the Registrar • Develop and approve a succession planning process for the Registrar	Policy-Making: • Provide input into the Board's policy-making
Decision-Making: • Hire, evaluate, compensate and terminate, if necessary, the Registrar • Approve the succession plan for the Registrar's position	Decision-Making: • Provide input into Board decision-making, as appropriate
Monitoring: • Regular monitoring of KPIs and organizational progress towards strategic and annual business plans • Annual performance evaluation of the Registrar with mid-year check-ins • Ongoing informal monitoring of Registrar performance	Monitoring: • Ongoing monitoring of KPIs and organizational progress against strategic and annual plans • Annual self-evaluation of performance as an input into the Board's performance evaluation process for the Registrar

Responsibility: Fiscal Oversight

- To ensure the ongoing financial health and sustainability of the NSRDDA by ensuring that key financial policies are in place, clear spending authorities are defined, and financial reporting systems are in place to enable the Board to monitor financial performance

Roles of the Board	Roles of the Registrar
Policy-Making: • Approve budgeting policy • Approve investment policy • Approval of budget line approval limits in relation to materiality (i.e. variance limits per budget line, while respecting global budget) • Approve Delegation of Authority policy and matrix • Approve financial and accounting policies	Policy-Making: • Develop draft budgeting and investment policies (or revisions thereto) • Recommendations re budget approval limits for proposed line variances • Recommend signing officers to the Board (subject to by-laws) • Develop and recommend all policies (see left column) to be approved by the Board
Decision-Making: • Approval of annual budget • Approval of fees • Approval of transactions in accordance with the Delegation of Authority policy/matrix and other policies • Approval/review of signing officers • Review and approve audited financial statements • Approve any borrowings • Approve grant requests • Appoint the auditors and set/review their compensation/performance	Decision-Making: • Develop annual business plan and budget for board approval • Recommend borrowing limits for operating line of credit, if any • Manage the approved budgets in accordance with Delegation of Authority policy/matrix
Monitoring: • Monitor statutorily required compliance reports (e.g. CRA remittances)	Monitoring: • Ongoing monitoring of organization's finances • Ensure all government remittances are made • Facilitate external audit process

• Review financial reports at every meeting (financial statements with variance analysis, accompanied with forecasts bi-annually) • Annual audited financial statements • Through FAR Committee, review all correspondence from external auditors • Monitor compliance with Board-approved policies through periodic audits/reviews	• Ensure preparation of financial statements and other reports for FAR Committee and Board
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Responsibility: Risk and Compliance Oversight

- To understand the principal risks facing the NSRDDA and to monitor that appropriate systems are in place to minimize and manage the risks
- To monitor the appropriateness of the NSRDDA's internal controls, processes and management information systems
- Oversee the NSRDDA's compliance with all statutory, regulatory and legal requirements, including but not limited to privacy laws and the handling of personal information

Roles of the Board	Roles of the Registrar
Policy-Making: • Approve a risk management policy • Be aware of the organization's risk management process • Approve safety and security policies (e.g., destruction of records, data sharing and privacy policies) • Approve a business continuity and crisis management policy	Policy-Making: • Propose a risk management policy to the Board for approval • Develop an ongoing risk management system that identifies, assesses and puts in place appropriate mitigation controls to minimize risks • Ensure that the Board is aware of the NSRDDA's risk management processes • Develop safety and security policies • Develop a business continuity and crisis management policy and plan
Decision-Making: • Determine the overall risk tolerance of the organization and approve strategic and annual business plans accordingly	Decision-Making: • All decisions relating to implementation of risk management processes/systems (except D&O liability insurance coverage which will be considered and approved by the Board)

• Understand the potential risks associated with approved organizational plans • Approve Directors and Officers (D&O) liability insurance coverage	• Implementation of appropriate internal controls and management information systems
Monitoring: • Once a year, Registrar identifies principal risks under the main categories and explains the systems that are in place to minimize those risks; Board probes any areas of concern • Quarterly risk reports (highlighting any new risks or changes to the current risk profile of the NSRDDA) • Legal update on outstanding claims and issues at all regular board meetings • Management representations at each board meeting on areas of potential statutory liability for directors and regulatory compliance • Timely reports from the Registrar re potential risks • Ensure, through the Registrar, that an appropriate internal control environment and management information systems are in place • Annual review of the NSRDDA's insurance program • Be aware of the NSRDDA's crisis management plan and the Board's role in that plan	Monitoring: • Ongoing monitoring of safety and risks • Quarterly risk reviews • Reports to the Board as required • Management representations at each board meeting on areas of potential statutory liability for directors and regulatory compliance • Monitoring of adherence to internal controls • Make the Board aware of the NSRDDA's crisis management plan and the Board's role in that plan • Monitor Director and Officer Errors and Omissions insurance coverage (for both annual premium and level of coverage)

Responsibility: Quality Oversight

- In keeping with the requirements of the *Act*,
 - To set and monitor standards and guidelines of the professions to protect the public interest (e.g. licensing, continuing education and practice review)
 - Appoint the members and chairs of all Statutory Committees
 - To monitor the NSRDDA's compliance with the quality assurance program for regulatory performance established by the Minister, and the organization's ongoing quality improvement efforts
- Ensure professional conduct mechanisms are designed to protect the public and minimize risks of repeat misconduct

Roles of the Board	Roles of the Registrar
Policy-Making: • To set standards and guidelines of the professions to protect the public interest • To approve policies required by the Minister's quality assurance program for regulatory performance	Policy-Making: • Develop and recommend to the Board professional standards and guidelines • Develop and recommend to the Board policies required by the Minister's quality assurance program for regulatory performance
Decision-Making: • Approve/review membership of all Statutory Committees	Decision-Making: • Implementation of operational programs to meet quality standards • Support the recruitment process for Statutory Committee members and ensure that the process is in keeping with Board policies, including its commitment to EDIRA principles
Monitoring: • Report from Registrar at every Board meeting re summary of matters referred to Statutory Committees and decisions/resolutions of those matters • Report from Registrar at every Board meeting confirming the NSRDDA's ongoing compliance with the Minister's quality assurance program for regulatory performance • Updates from Registrar re national trends in guideline development among dentistry and dental assisting regulators	Monitoring: • Ongoing monitoring of performance against quality standards • Ongoing monitoring of national trends and need for guideline development • Reporting at every Board meeting re summary of matters referred to the Statutory Committees and decisions/resolutions of those matters

Responsibility: Human Resources Oversight

- To monitor that the NSRDDA has sufficient human resources to carry out its work and that appropriate, equitable and inclusive human resources systems are in place to attract and retain qualified and motivated employees (e.g. compensation and benefits philosophy, performance evaluation, clear HR policies, succession planning process, etc.)
- To oversee the NSRDDA's progress towards EDIRA-related outcomes

Roles of the Board	Roles of the Registrar
Policy-Making: • Approve key long-term HR policies, including pay scale and benefits • Approve any changes to HR policies with financial implications for the NSRDDA	Policy-Making: • Develop key long-term HR policies for Board approval
Decision-Making: • Review the organizational structure recommended by the Registrar. For clarity, the Registrar determines <u>who</u> is hired. • Approve the annual HR budget as part of the Board's approval of the annual business plan and budget for the NSRDDA • Approve the succession plan for the Registrar's position and other key positions • Annually evaluate the Registrar's performance and approve annual performance goals for the upcoming year	Decision-Making: • Significant role in defining Registrar's annual performance objectives, based upon annual corporate objectives • Propose any changes to the organizational structure • Develop the succession plan for key positions • All HR-related decisions for staff reporting to the Registrar, e.g., hiring, evaluation, compensation, discipline, etc.
Monitoring: • Ongoing informal monitoring through Registrar interactions/reports • Oversee the Registrar's succession plans for key staff positions • Annual HR plan progress update from Registrar on employee attraction/retention, staff or Committee survey results where applicable, proposed changes to HR systems or policies	Monitoring: • Ongoing interactions with staff and Committee members to gauge level of engagement, sense of belonging and satisfaction • Prepare annual HR update, including succession plan for key staff positions and other HR-related matters

Responsibility: Communications and Stakeholder Relations

- To establish, through a communications policy, minimum standards for effective communication with its system partners that include ensuring that all messaging and channels are clear, plain language, reflective of the organization's values and ethics, and in a manner commensurate with the Regulator's resources
- To monitor the Board's relationships with its system partners
- To ensure the NSRDDA's compliance with requirements in the *Act, Regulations*, or other applicable legislation (e.g., *Fair Registration Practices Act*) regarding the publication of information on the organization's website or other forms of communication

Roles of the Board	Roles of the Registrar
Policy-Making: • Approve a communications policy	Policy-Making: • Develop a communications policy, for board approval
Decision-Making: • Board Chair, with input from Registrar, decides when and how to enlist board members in stakeholder relations	Decision-Making: • Approve annual communications plan (external and internal) • Identify appropriate messages and target audiences and ensure that all messaging and channels are clear, plain language, reflective of the organization's values and ethics, and in a manner commensurate with the Regulator's resources • Maintain effective stakeholder relations on behalf of the NSRDDA
Monitoring: • Reports from the Registrar on stakeholder relations • Ongoing informal feedback from system partners	Monitoring: • Ongoing monitoring of stakeholder relations • Oversight of the communications plan

Responsibility: Accountability

- To provide the Minister with an annual report in the form set out in the *Regulated Health Professions General Regulations*
- To ensure that the NSRDDA is accountable to the public and its other stakeholders

Roles of the Board	Roles of the Registrar
Policy-Making: • Ensure that the NSRDDA communications policy describes how the organization will be accountable to the public and its other stakeholders	Policy-Making: • Develop a communications policy, for Board approval
Decision-Making: • Approve annual report to the Minister	Decision-Making: • Prepare draft annual report to the Minister, for Board approval • Implementation of all protocols for maintaining NSRDDA accountability to the public and its other system partners
Monitoring: • Reports from the Registrar on stakeholder relations • Ongoing informal feedback from stakeholders	Monitoring: • Ongoing monitoring of stakeholder relations, including inquiries from the public • Oversight of the communications plan

Responsibility: Governance Effectiveness and Efficiency

- To ensure the NSRDDA uses a competency-based approach to the appointment of Board members and Committee members, while also bearing in mind its commitment to EDIRA principles
- To ensure there is clarity of role and responsibilities between the various NSRDDA decision-makers (e.g. between the Board, the Registrar and the Statutory Committees)
- To ensure the ongoing effectiveness and efficiency of the NSRDDA's governance through regular evaluation and ongoing continuous improvement

Roles of the Board	Roles of the Registrar
Policy-Making: • Approve annual goal-setting and evaluation process for the Board • Approve governance policies • Approve terms of reference for all Statutory Committees • Establish Board committees and approve terms of reference • Approve ideal board composition profile • Input into board nominations process, through the Chair • Approve board leadership succession guidelines • Review and revise policies on a regular schedule	Policy-Making: • Assist the Board in its policy development efforts • Facilitate access to professional development opportunities • Distribute information on governance trends and best practices
Decision-Making: • Set annual Board improvement goals • Recommend optimal skills for board composition as part of nominations process, and in keeping with the organization's commitment to EDIRA principles • Annually approve/review Board compensation • Approve Board Committee composition • Approve Statutory Committee membership and leadership	Decision-Making: • Make recommendations to the Board regarding the membership and leadership of Statutory Committees
Monitoring: • Annual Board evaluation • Regular <i>in camera</i> meetings of the Board • Ongoing monitoring of the relationship between the Board and the organization by the Board Chair • Regular monitoring through the Chair of the FAR Committee of Board and Registrar expenses • Regular summary reports from the Registrar on the activities and outcomes of the Statutory Committees	Monitoring: • Engage in regular dialogue with Board Chair re relationship between the Board and the organization • Input into annual Board evaluation process • Regular summary reports to the Board on the activities and outcomes of the Statutory Committees

4. Monitoring and Policy Review

The Chair of the Governance and Human Resources Committee will ensure that this policy is reviewed in accordance with the Board's policy review cycle or as required by significant operational or environmental changes.

5. Accountability

The Board Chair and Registrar are accountable for ensuring compliance with this policy.