



## LEGISLATIVE COMPLIANCE PROCEDURE

<b>Procedure Type:</b>	Institutional	<b>Initially Approved:</b>	November 8, 2016
<b>Procedure Sponsor:</b>	President and CEO	<b>Last Revised:</b>	October 31, 2022
<b>Administrative Responsibility:</b>	University Secretary	<b>Review Scheduled:</b>	October 2027
<b>Approver:</b>	President and CEO		

### A. INTENT

The intent of this procedure is to address legislative compliance obligations in a practical manner for all aspects of AUArts operations.

### B. SCOPE

The procedure is applicable to all AUArts operations under the authority of the President and CEO. This procedure documents how institutional departments identify relevant acts and regulations, assess compliance, and mitigate risks associated with legislative noncompliance. This procedure excludes the compliance of nonoperational stakeholders, including the Board of Governors, AUArtsSA and AUAFA.

### C. PROCEDURES

1. The Legislative Compliance assessment period runs from January 1 – December 31 annually.
2. Results of the annual legislative compliance assessment will be reported to the President and CEO and the Board of Governors' Finance and Audit Committee typically in March following the assessment period.
3. Mitigation efforts for any areas of noncompliance will typically be updated as part of the March report.
4. Annually, compliance with each piece of assigned legislation will be reviewed by the Compliance Officers. This process can be delegated to Compliance Leads at the discretion of the Compliance Officer.
5. Compliance Officers and, where applicable, Compliance Leads will receive updated templates and forms from the Compliance Coordinator at the beginning of the academic semester.
6. It is the responsibility of the Compliance Officers/Leads to remain apprised of revisions to legislation within their category.

7. Compliance activities will be documented on forms provided by the Coordinator to the Officers.
8. Executed original forms are to be submitted to the Compliance Coordinator by the deadline stated at the beginning of the annual process.
9. Where noncompliance is reported, it is the responsibility of the Compliance Officer to establish a project team to work towards compliance and/or mitigation efforts. Project teams will meet with the Compliance Coordinator quarterly to ensure timely execution.
10. Annually, the Compliance Coordinator will compile results into a final report.

#### D. AUARTS LEGISLATION COMPLIANCE CATEGORIES

#	Category	Compliance Officer
1	Finance and Operations	Vice President, Finance and Operations
2	Research, Ethics and Academic Affairs	Dean, Academic Programs
3	Human Rights and Employment	Executive Director, People and Culture
4	Property Rights and Protection	Dean, Innovation, Learning and Development
5	Student Support and Accommodation	Dean of Students
6	Governance	President and CEO
7	Fund Development	Vice President Advancement

#### E. DEFINITIONS

AUArts	Alberta University of the Arts
Approval Authority	The individual or entity with the authority to approve a Policy, Procedure or Guideline, as described in this Policy.
Management Policy	A Policy that deals with Management responsibilities to AUArts as set out in the Delegation of Authority.
Policy Sponsor	The President or a member of the President's Cabinet who initially approves of a Policy idea to be drafted within their area of responsibility. The Sponsor may delegate the responsibility for drafting a Policy as well a communication and implementation plan.
Procedure	A Policy document that outlines a series of actions related to a Policy that specifies how a process will be completed and includes information on the who, what, when and where with respect to the implementation of the Policy.
Standard Operating Procedures	Documents setting out departmental practices created autonomously within individual departments or schools.
Legislative Compliance Officer	Responsible for monitoring and reporting of AUArts adherence with all pieces of legislation assigned to their category.
Legislative Compliance Lead	Assigned by Compliance Officers to specific pieces legislation within their category. Leads are assigned specific responsibilities by Officers in the fulfillment of their role within this procedure.
Compliance Coordinator	Responsible for the facilitation and coordination of all reporting requirements and documentation.

Legislation	Any Federal or Provincial Act, Regulation deemed applicable to AUArts operations.
Inventory	A current list of categorized legislation applicable to AUArts operations, available for review on Infolab.
Mitigation effort	A detailed and specific plan to address instances of reported noncompliance.

**F. RELATED POLICIES**

- Risk Management Policy

**G. RELATED LEGISLATION**

- Alberta Post-Secondary Learning Act

**H. RELATED DOCUMENTS**

- AUArts Board of Governors Bylaws
- Board of Governors: Code of Conduct Policy
- AUArts Finance and Audit Committee Terms of Reference

**I. REVISION HISTORY**

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorized Revision (Position Title)
08/08/2022	Updated template	All	University Secretary	University Secretary