

## LEGISLATIVE COMPLIANCE REPORTING PROCEDURE

This procedure is governed by its parent – Code of Conduct Policy. Questions regarding this procedure are to be directed to the identified Procedure Administrator.

<b>Functional Category:</b>	Operations
<b>Parent Policy:</b>	Code of Conduct Policy
<b>Approval Date:</b>	April 5, 2017
<b>Effective Date:</b>	April 5, 2017
<b>Procedure Owner:</b>	Vice President, People
<b>Procedure Administrator:</b>	Manager, Compliance

### Overview:

Compliance with legislation is a requirement of all individuals and organizations. The purpose of this procedure is to establish an agreed approach for monitoring and reporting on compliance with key legislation. It defines the roles and responsibilities of Legislation Owners, Compliance Consultants, and NorQuest employees for the effective management of compliance obligations.

NorQuest College (college) is committed to ensuring that it fulfills its legal obligations.

Authority to establish this procedure is derived from the [NorQuest College Board of Governor's Policy No. 5](#), which delegates authority to the President and CEO to establish policies and procedures for the college's management and operation.

### Procedures:

#### Legislation Owners

Senior management personnel that have been identified as being accountable for ensuring that requirements under legislation are met, are Legislation Owners. Legislation Owners are required to:

- monitor legislative development activities,
- report on legislative compliance for legislation that would affect their area of responsibility,
- implement processes that enable regular monitoring of compliance to occur.

Where changes to existing legislation are proposed or when there is new legislation being developed, Legislation Owners are to:

- advise their Vice-President, Chief, or President and CEO if applicable, of the details and high level implications to the college,
- if the proposed legislation is expected to be proclaimed, develop and implement plans along with appropriate communications for NorQuest employees to ensure ongoing legislative compliance.

In the event that there is a legislative compliance breach, Legislation Owners are to immediately report the details of the breach to their Vice President, Chief, or President and CEO, if applicable, and to the Compliance Office and provide a recommendation for mitigating the breach.

Legislation Owners are to maintain appropriate control measures within their areas' operational processes to achieve legislative compliance. Control measures may include:

- policies and procedures that assist staff with legislative compliance,
- processes to assist with the handling of compliance breaches,

- internal audits and inspections that verify compliance,
- forms that collect and transmit information,
- training opportunities for employees,
- job descriptions that entail the compliance activities,
- signage and communications with affected students and staff
- professional membership with relevant organizations to receive timely updates,
- consultation with experts such as legal professionals, and
- completion of the Legislative Compliance Certificate and legislative compliance risk register to assess and mitigate risk to the college.

Legislative Owners are to annually respond to a Legislative Compliance Certificate that will collect information on:

- material changes regarding new or revised legislation relevant to their area of responsibility,
- proposed legislation that would affect their area of responsibility,
- overall compliance with legislation, and
- controls used to ensure legislative compliance.

A summary of the annual Legislative Compliance Certificate results will be provided to the Executive Committee.

#### **Compliance Consultant**

The Compliance Consultant will be responsible for:

- developing a Legislative Compliance Program that will set out a range of actions required to achieve compliance with legislation,
- identifying legislation and assigning it to the appropriate Legislative Owners in the Legislative Compliance Responsibility Listing,
- compiling the results from the Legislative Compliance Certificate and creating a legislative compliance risk register to identify and mitigate areas of risk,
- reporting to the Executive Committee on the results,
- performing internal audits to monitor, mitigate, and improve areas of non-compliance, and
- reviewing the Legislative Compliance Program documentation regularly to ensure it is continually improved.

Definitions:

**Compliance:** state of conformity of regulated parties with legislative requirements

**Breach:** refers to non-compliance with the legislative requirements

Related NorQuest College Information:

- [Annual Legislative Compliance Sign-Off](#)
- [Code of Conduct Policy](#)
- [Legislative Compliance Annual Certificate](#)
- [Legislative Compliance Responsibility Listing](#)

Related External Information:

N/A

Next Review Date:

April 2021

Revision History:

April 2013: new  
 August 2013: update for document links and branding  
 June 2014: update for document links, owner and administrator



August 2015: update for document links

August 2019: Compliance Office template & reorganization update

March 2017: update for roles, responsibilities, and definitions

August 2019: Compliance Office template & reorganization update