



## 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>	January 12, 2026
<b>Administrative Responsibility:</b>	University Secretary	<b>Review Scheduled:</b>	January 2031
<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 annual Legislative Compliance assessment period runs from January 1 – December 31.
2. An Inventory of applicable legislation is maintained by the Compliance Coordinator.
3. Results of the annual legislative compliance assessment will be reported to the President and CEO and the Board of Governors' Finance and Audit Committee following the assessment period.
4. Compliance Officers are responsible for maintaining appropriate controls within their operational areas to achieve legislative compliance. Compliance Leads, where applicable, support Compliance Officers in monitoring compliance activities.
5. Compliance Officers and, where applicable, Compliance Leads will receive updates regarding changes to legislation throughout the year from the Compliance Coordinator and are responsible for remaining apprised of revisions to legislation within their assigned category.
6. Each year, Compliance Officers will review compliance with assigned legislation and complete:
  - a) An attestation form
  - b) Any applicable risk assessment forms. Based on risk assessment results, legislation requiring continued monitoring will be identified. Compliance Officers may delegate this to Compliance Leads.
7. In the event there is a legislative compliance breach, the Compliance Officer should immediately be informed and notify the Compliance Coordinator. The notice should

- include a description of the non-compliance and the controls in place to mitigate going forward.
8. Where non-compliance 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. Mitigation efforts will be documented in the annual report.
  9. The Compliance Coordinator will compile results into a final report for submission to the President's Cabinet and Finance and Audit Committee.

#### **D. AUARTS LEGISLATION COMPLIANCE CATEGORIES**

<b>#</b>	<b>Category</b>
1	Finance and Operations
2	Research, Ethics and Academic Affairs
3	Human Rights and Employment
4	Property Rights and Protection
5	Student Support and Accommodation
6	Governance
7	Fund Development

#### **E. DEFINITIONS**

<b>AUArts:</b>	Alberta University of the Arts
<b>Approval Authority:</b>	The individual or entity with the authority to approve a Policy, Procedure or Guideline, as described in this Policy.
<b>Management Policy:</b>	A Policy that deals with Management responsibilities to AUArts as set out in the Delegation of Authority.
<b>Policy Sponsor:</b>	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.
<b>Procedure:</b>	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.
<b>Standard Operating Procedures:</b>	Documents setting out departmental practices created autonomously within individual departments or schools.

<b>Legislative Compliance Officer:</b>	Senior Management personnel responsible for monitoring and reporting of AUArts adherence with all pieces of legislation assigned to their category.
<b>Legislative Compliance Lead:</b>	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.
<b>Compliance Coordinator:</b>	Responsible for the facilitation and coordination of all reporting requirements and documentation.
<b>Legislation:</b>	Any Federal or Provincial Act, Regulation deemed applicable to AUArts operations.
<b>Inventory:</b>	A current list of categorized legislation applicable to AUArts operations. Maintained by the Compliance Coordinator.
<b>Mitigation effort:</b>	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**

<b>Date (mm/dd/yyyy)</b>	<b>Description of Change</b>	<b>Sections</b>	<b>Person who Entered Revision (Position Title)</b>	<b>Person who Authorized Revision (Position Title)</b>
08/08/2022	Updated template	All	University Secretary	President and CEO
01/12/2026	Review and Revisions	All	University Secretary	President and CEO