

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.

Functional Category:	Operations
Parent Policy:	Code of Conduct Policy
Approval Date:	May 31, 2021
Effective Date:	May 31, 2021
Procedure Owner:	Vice President, People and Culture
Procedure Administrator:	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 legislation at the municipal, provincial, and federal levels. It defines the roles and responsibilities of Legislative 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:

Legislative Owners

Senior management personnel that have been identified as being accountable for ensuring that requirements under applicable legislation are met, are Legislative Owners. Legislative 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, Legislative 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, Legislative Owners are to immediately report the details of the breach to the Compliance Office, and to their Vice President or Chief, or, if applicable,

to the President and CEO. The briefing should include information on: the time and date of the incident, a description of the incident, the controls in place at the time of the incident, and a recommendation on how to mitigate future breaches.

Legislative 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 risk assessment to 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 legislative changes that would affect their area of responsibility,
- overall compliance with identified legislation, and
- controls used to ensure legislative compliance.

A summary of the annual Legislative Compliance Certificates submissions and Compliance recommendations are provided to the Executive Team in the form of an Annual Report. The Annual Report is then provided to the Board of Governors Governance Committee.

Compliance Consultant

The Compliance Consultant will be responsible for:

- managing the Legislative Compliance Program that sets out a range of actions required to achieve compliance with identified applicable 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 submissions and assigning risk for mitigation purposes,
- reporting to the Executive Team on the results,
- performing internal spot audits on a bi-annual basis to monitor, mitigate, and improve areas of non-compliance,

Definitions:
Related NorQuest College Information:
Related External Information:
Next Review Date:
Revision History:

- identifying penalties related to non-compliance and assigning risk (i.e. LC Workbook), and
- reviewing the Legislative Compliance Program documentation regularly to ensure it is continually improved.

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

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

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

- [CanLii: Canadian Legal Information Institute](#)
- [City of Edmonton Bylaws](#)

April 2025

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
 May 2021: amendments to tighten reporting process