Compliance Obligations Guidance

ISO 14001:2015

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1.3 How to Identify Compliance Obligations

1.3.1 Regulatory Obligations

The process of identifying and determining regulatory compliance obligations and commitments may be informal, for example the organization's representatives coming to a consensus on which needs and expectations become compliance obligations, or more formal using qualitative and quantitative processes such as evaluating and prioritizing interested parties and their needs and expectations based on the level of influence the interested party has over your organization.

Regulatory compliance obligations include legal requirements, for example to obtain permits. Where regulations, permits and consents contain specific compliance requirements, these should be incorporated into your compliance obligation register. The sources for the identification of regulatory compliance obligations will include:

1. Laws and regulations;
2. Permits, licences or other forms of authorisation;
3. Orders, rules or guidance issues by regulatory agencies;
4. Judgements of courts or administrative tribunals;
5. Treaties, conventions and protocols;
6. Internal policies and procedures.

Your organization should coordinate the process of mapping regulatory requirements and guidance against business activities environmental aspects to determine relevance and understand the associated compliance requirements.

Identify significant environmental aspects that are governed by legislative, regulatory or interested parties' requirements. This can be achieved by examining existing environmental practices and procedures and documentary evidence, identifying the level of compliance with each legal, regulatory or interested parties' requirement.

1.3.2 Voluntary Obligations

Voluntary compliance obligations and commitments include those your organization has voluntarily adopted and may include expectations which have been established without being formalized. For example, regular meetings or correspondence with neighbours or a community group.

Your organization can choose to adopt further needs and expectations as and when they are identified. This decision should be based on risks and opportunities. For example, your organization is free not to adopt a community environmental project as a voluntary compliance obligation if it considers the cost and/or time (risks) involved outweigh any opportunities such as an improved relationship with the community.

Voluntary commitments include a range of obligations that are not legally required, but which your company has chosen to adopt and publicly commit to. These may include, for example:

- Industry guidance and codes of practice that set out agreed ways of working;
- Sector specific commitments;
- Obligations that have been imposed on, or agreed by, a company in relation to, for example, planning conditions associated with a new development;
- Individual commitments that your company has signed up to with a local community;

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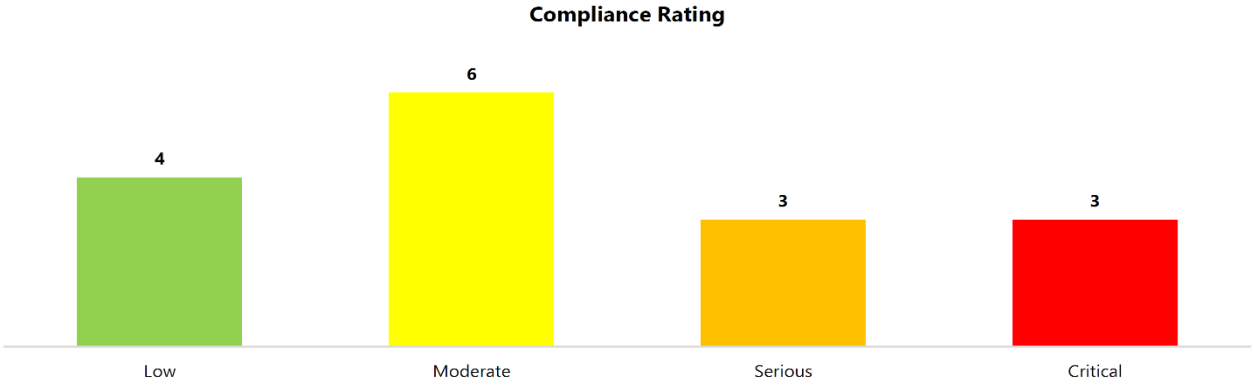
Indicator	Description
Moderate	Compliant but requires on-going management
Serious	Noncompliant and requires corrective action
Critical	Breach or impending breach envisaged
N/A	Not applicable to the organization

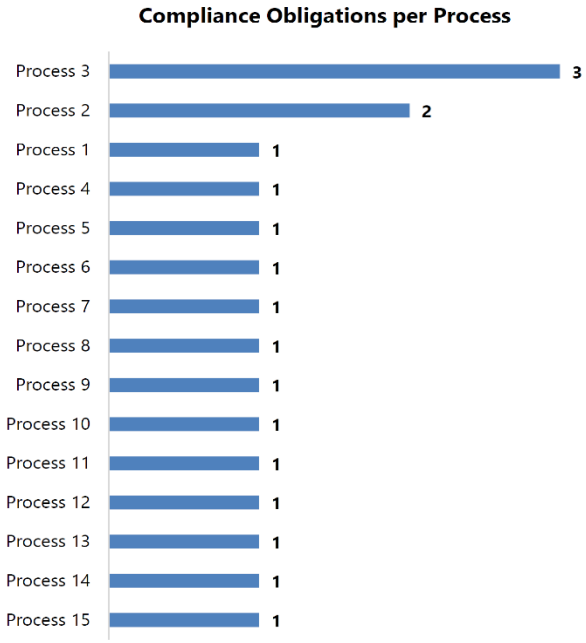
The compliance obligation register is normally maintained by the Environmental Coordinator. The coordinator should be responsible for reporting on changes in legal and other requirements related to your organization's environmental aspects in management reviews.

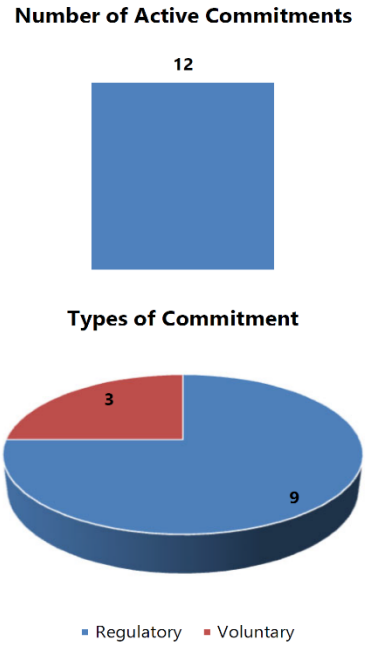
1.4.2 Updating the Compliance Charts

The charts in the 'Compliance Summary Charts' tab will automatically update based on the data that is collected by Rows 105 to 121 in the compliance obligation register. To locate the data for each chart, right-click the chart and click **'Select Data**' from the menu.

This will open the compliance obligation register worksheet and highlight the source data, and allow you manually adjust the data range that each chart displays.







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1.4.3 Viewing or Amending Input Messages

Amend or delete the input message, highlight the relevant cells, select the '**Data**' tab, select and click on **'Data Validation**' from the drop-down menu, then select the '**Input Message**' tab. Amend the 'Input Message' in the dialogue box, or select 'Clear All' to remove the input message.

1.4.4 Updating the Compliance Obligation Register

The compliance obligation register must be maintained on an ongoing basis and updated to reflect new obligations as and when they emerge.

Regularly review and update the register to reflect new and amended requirements. Formally review the register within management review meetings and document the results of the review within the minutes of the meetings.

1.4.5 Updating the Legislation Schedule

The compliance obligation register contains a worksheet with a schedule of environmental legislation that is linked to the compliance obligation register worksheet in Column G. Use the drop-down menus in Column G to find and select the applicable environmental legislation.

Legislation Title	Link to Legislation Text
Anti-Pollution Works Regulations 1999	https://www.legislation.gov.uk/uksi/1999/1006/contents/made
Building Regulations 2000	https://www.legislation.gov.uk/uksi/2000/2531/contents/made
Clean Air Act 1993	https://www.legislation.gov.uk/ukpga/1993/11/contents
Climate Change Levy Regulations 2021	https://www.legislation.gov.uk/uksi/2021/675/contents/made
Contaminated Land (England) Regulations 2006	https://www.legislation.gov.uk/uksi/2006/1380/contents
Contaminated Land (England)(Amendment) Regulations 2012	https://www.legislation.gov.uk/uksi/2012/263/contents
Control of Asbestos in the Air Regulations 1990	https://www.legislation.gov.uk/uksi/1990/556/contents/made
Control of Asbestos Regulations 2012	https://www.legislation.gov.uk/uksi/2012/632/contents
Control of Noise at Work Regulations 2005	https://www.legislation.gov.uk/uksi/2005/1643/contents
Control of Pesticides Regulations 1986	https://www.legislation.gov.uk/uksi/1986/1510/contents/made
Control of Pollution (Oil Storage) Regulations 2001	https://www.legislation.gov.uk/uksi/2001/2954/contents
Control of Pollution Act (COPA) 1974	https://www.legislation.gov.uk/ukpga/1974/40/contents
Control of Substances Hazardous to Health (COSHH) Regulations 2004	https://www.legislation.gov.uk/uksi/2004/3386/contents
Deposit and Return Scheme for Scotland Amendment Regulations 2023	https://www.legislation.gov.uk/ssi/2023/334/contents/made
Electricity and Gas (Energy Company Obligation) Order 2023	https://www.legislation.gov.uk/uksi/2023/873/contents/made
Electricity at Work Regulations 1989 Wiring Regulations (BS7671) 17th Edition	https://www.legislation.gov.uk/uksi/1989/635/contents
Environmental Damage (Prevention and Remediation) Regulations 2009	https://www.legislation.gov.uk/wsi/2009/995/contents
Environmental Noise (England) Regulations 2006	https://www.legislation.gov.uk/uksi/2006/2238/contents
Environmental Permitting (England & Wales) (Amendment) (No. 2) Regulations 2010	https://www.legislation.gov.uk/uksi/2010/2172/contents/made
Environmental Permitting (England and Wales) (Amendment) (England) Regulations 2023	https://www.legislation.gov.uk/uksi/2023/1156/contents/made
Environmental Protection (Controls on Ozone-Depleting Substances) Regulations 2011	https://www.legislation.gov.uk/uksi/2011/1543/contents
Environmental Protection (Single-use Plastic Products) (Wales) Act 2023	https://www.legislation.gov.uk/asc/2023/2/contents
Environmental Protection Act 1990	https://www.legislation.gov.uk/ukpga/1990/43/contents
Finance (No. 2) Act 2023, Schedule 19 (Trade Remedies) (Appointed Day and Savings) Regulations 2023	https://www.legislation.gov.uk/uksi/2023/918/contents/made

The drop-down menus in Column G of the compliance obligation register worksheet use the formula '**='Legislation Schedule'!$A$3:$A$58**' to look-up the legislation schedule on the next worksheet.

You can access this function by selecting a cell from Column G, then select the '**Data**' tab, then choose '**Data Validation**'. The data validation range is **G4** to **G103**, ensure any new rows are inserted within this range.

If the environmental legislation needs to be updated with new or amended regulations, you will need to update the legislation schedule worksheet. To add new legislation titles, insert a new row after **A3** and before **A58**, then enter the details.

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