

Compliance Obligations

ISO 14001:2015

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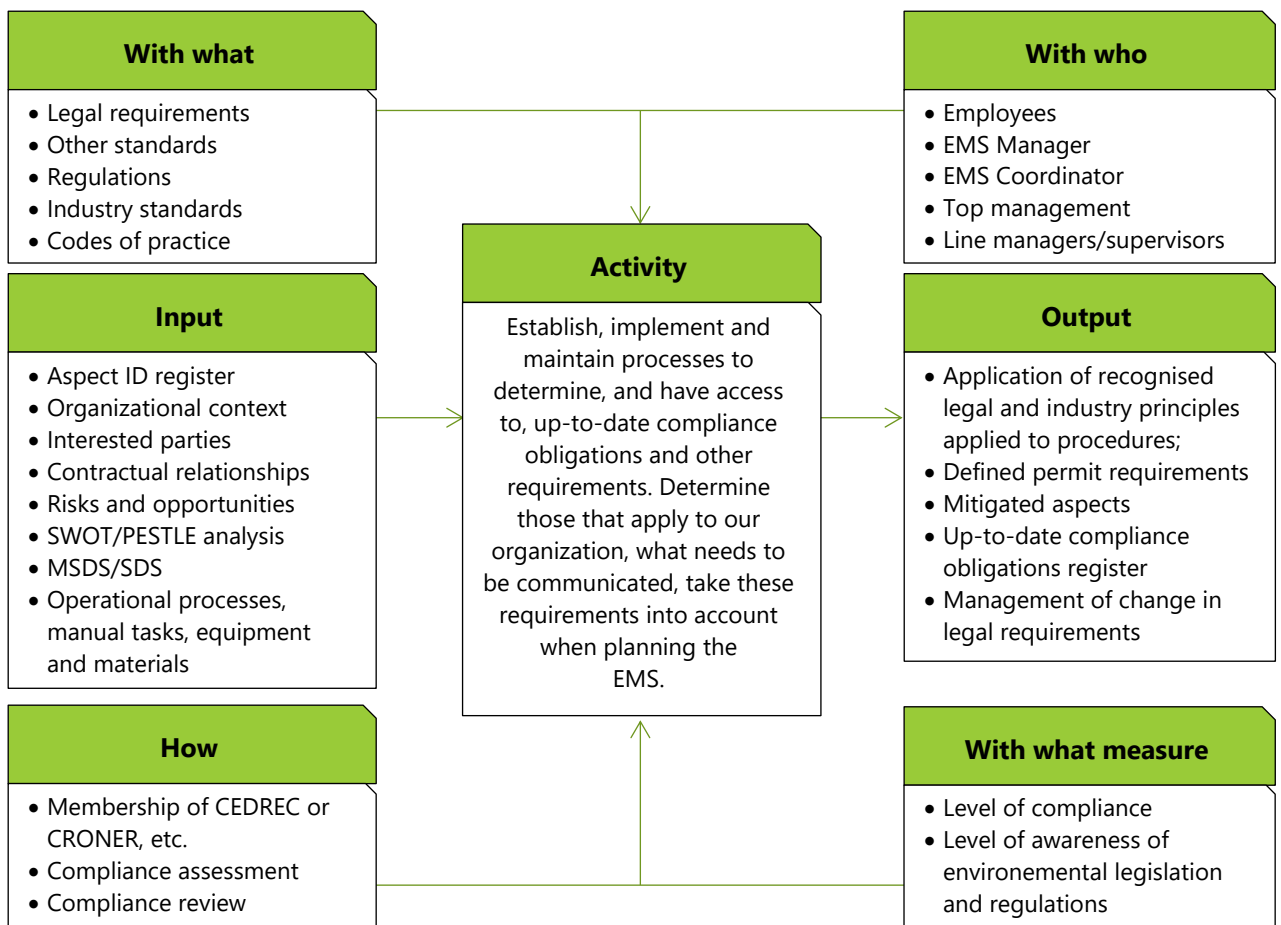
1 Procedure

1.1 Introduction & Purpose

The purpose of this procedure is to outline **your organization's** methodology for identifying, complying with, and monitoring environmental compliance obligations. The compliance obligations and other requirements relate our environmental aspects that are identified when analyzing the context of our operations and product life cycle(s).

1.1.1 Process Overview

The process overview (turtle diagram) provides internal and external auditors, process owners, and participants an overview of the elements that are required by the compliance obligations process:



1.1.2 References

Standard	Title	Description
BS EN ISO 14001:2015	Environmental management systems	Requirements
BS EN ISO 14004:2016	Environmental management systems	Guidelines for implementation
BS EN ISO 19011:2018	Auditing management systems	Guidelines for auditing

1.1.3 Terms & Definitions

Term	Definition
Documented Information	Information (3.8.2) required to be controlled and maintained
Compliance Obligations	Legal and other requirements our organization has committed to comply with
Requirement	A need or expectation that is stated

1.2 Application & Scope

Your organization strives to meet all of our defined mandatory and voluntary commitments made in our EMS policy, such as commitments to community involvement, pollution prevention, and continuous improvement.

This procedure describes how we identify and monitor applicable compliance obligations and other commitments which may introduce new risks or opportunities.

1.3 Roles, Responsibilities & Authorities

Regardless of the scope, roles, and responsibilities are agreed by Top management and incorporated into existing job descriptions and included in yearly objectives. All roles and designated person(s), team(s), or group(s) are clearly communicated across your organization in order to encourage or improve collaboration and cooperation for cross-functional process activities.

1.3.1 Roles & Responsibilities

The roles and responsibilities associated with the compliance obligations process are defined in the context of the management function and are not intended to correspond with organizational job titles. A role refers to a set of connected behaviors or actions that are performed by a person, team, or group in a specific context.

1.3.1.1 Top Management

Top management is responsible for:

1. Approving the compliance obligations register;
2. Ensuring that applicable compliance obligations and other requirements are considered when establishing, implementing, and maintaining the environmental management system;
3. Ensuring organizational compliance with obligations.

1.3.1.2 EMS Manager

The EMS Manager is responsible for:

1. Determining whether legislation, amended, current or new legislation is 'relevant' or 'irrelevant';
2. Determining whether our organization is compliant with the legislation;
3. Describing how the requirements apply and what controls are in place or absent;
4. Determining other relevant compliance obligations and those that we should adopt;
5. Updating and communicating the compliance obligation register to relevant staff;
6. Maintaining records or periodic compliance reviews;
7. Scheduling legal compliance audits at least once a year;
8. Ensuring that the most up-to-date copies of the requirements are available to the relevant employees;
9. Controlling hard copies of documents (e.g., code of practices, technical memoranda, etc.).

1.3.1.3 EMS Coordinator

The EMS Coordinator is responsible for:

1. Reporting on changes in compliance obligation and other requirements related to your organization's environmental aspects in management reviews;
2. Determining whether legislation, amended, current or new legislation is 'relevant' or 'irrelevant';
3. Determining whether our organization is compliant with the legislation;
4. Describing how the requirements apply and what controls are in place or absent;
5. Determining other relevant compliance obligation and those that we should adopt;

6. Updating and communicating the compliance obligation register to relevant staff;
7. Maintaining records or periodic compliance reviews;
8. Maintaining the compliance obligation register;
9. Undertaking compliance audits at least once a year;
10. Controlling hard copies of documents (e.g., code of practices, technical memoranda, etc.).

1.3.1.4 Line Managers & Supervisors

Line Managers and Supervisors are responsible for:

1. Establishing and reviewing the compliance obligation register;
2. Communicating the compliance obligation register to relevant staff;
3. Undertaking compliance audits at least once a year;
4. Maintaining records or periodic compliance reviews;
5. Ensuring that the most up-to-date copies of the requirements are available to the relevant employees.

1.4 Determining Compliance Obligations

1.4.1 General

Your organization strives to meet our entire defined mandatory and voluntary commitments made in our environmental policy. This procedure describes how we identify and monitor applicable environmental compliance obligations and other requirements which have the potential to introduce new risks or opportunities, or which relate to our significant environmental aspects.

1.4.2 Identifying

The EMS Manager forms a review team comprising relevant Department Managers to actively identify any relevant mandatory and compliance obligations and other requirements and to determine how impacts associated with noncompliance should be mitigated. The EMS Manager employs several techniques to track, identify, and evaluate applicable related compliance obligations and other requirements including;

1. Listing out all the hazardous chemicals with their maximum quantities that are stored and used at any given time.
2. Listing out the properties of all the hazardous chemicals from their respective MSDS/SDS and COSHH assessments;
3. Listing out the characteristics of all the activities, operations, and process inputs based on the available and measured data, or by the information provided by suppliers;
4. Conducting detailed risk assessments and determine their risk level. All risk-control methods must take the relevant compliance obligations into account;
5. Taking into account arrangements for the preventive maintenance of plant and equipment, which may also be covered by compliance obligations;
6. Determining whether a piece of legislation is 'relevant' or 'irrelevant'.
7. Identifying and maintaining compliance obligations related to environmental concerns from interested parties;
8. Identifying statutory inspections in order to fulfil the compliance obligations, e.g. LOLER/PUWER.
9. Determining whether your organization is compliant with the legislation:
 - a. Describe how the compliance obligations apply;
 - b. Describe what controls are in place to manage the requirement;
 - c. Describe what controls are in place to mitigate the related significant aspect.