F0613-01

Compliance Obligations Register

User Guide | ISO 14001:2026 Clause 6.1.3

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Standard	ISO 14001:2026 — Clause 6.1.3 Compliance Obligations
File format	Microsoft Excel (.xlsx)
Sheet count	5 — Guidance, Compliance Obligations Register, Legislation Schedule, Legislation Updates, Compliance Summary
Data rows	100 pre-populated rows (rows 4–103, CO1–CO100)

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1. Purpose and Scope

The Compliance Obligations Register (F0613-01) is the primary record for identifying, assessing, and managing the legal requirements and voluntary commitments that arise from the organisation's environmental aspects, activities, products, and services. It operates in accordance with ISO 14001:2026 Clause 6.1.3, which requires the organisation to determine and have access to the compliance obligations applicable to its environmental aspects.

The register provides a structured, traceable link between legal obligations and the environmental aspects they govern, between the actions required to achieve compliance and the evidence that demonstrates it has been achieved, and between individual obligations and the responsible owner accountable for managing them.

It is designed for use by the EMS Manager, or whoever maintains the register, and by all process owners responsible for demonstrating compliance within their area. It is a key input to the ISO 14001:2026 Clause 9.3 management review and is reviewed at every internal and external audit.

ISO 14001:2026 Clause 6.1.3 requires the organisation to:	• Determine the compliance obligations related to its environmental aspects • Determine how these obligations apply to the organisation • Take these obligations into account when establishing, implementing, maintaining, and continually improving its EMS *Maintain documented information of your compliance obligations.*

2. Workbook Structure

The workbook contains five sheets:

Sheet	Purpose
Compliance Obligations Register	The main register. Contains all compliance obligation entries across 26 columns (A–Z). All data entry, except formula-driven columns (H, J, Q, Z), takes place on this sheet.
Legislation Schedule	An indexed list of all applicable legislation titles and their links to legislation.gov.uk. Column H on the register sheet is auto-populated by lookup against this list. Update this sheet when new legislation applies or existing instruments are amended.
Legislation Updates	A structured log of legislative changes received, the compliance obligation references affected, actions taken, and completion status. Maintained monthly by the EMS Manager.
Compliance Summary Charts	Auto-updating KPI dashboard and charts driven by COUNTIF formulas. Provides the compliance status breakdown, risk indicator distribution, and owner workload summary for management review.
Guidance	Background guidance on completing the register, compliance rating definitions, and monitoring sources.

3. Column Reference and Input Guidance

Each column header cell in row 3 of the register carries an input message tooltip that appears in Excel when the cell is selected. The tables below reproduce the full guidance and input message for all 26 columns, split into logical groups.

The Guidance column provides richer context for the user guide reader — why the field exists, how it links to ISO 14001:2026, and what auditors look for. The Input Message column shows the exact tooltip text displayed in Excel when a header cell or data cell is selected.

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Columns H, J, Q, and Z are formula-driven and must not be overwritten. All other columns accept direct input, subject to the dropdown validations described in Section 4.

3.1 Identification (Columns A–G)

Col	Field Name	Guidance	Input Message (Excel tooltip)
A	**Ref**	The Ref column is pre-populated with sequential reference numbers (CO1, CO2…). It is the primary key for this register and should never be edited. It is used to cross-reference obligations in the Legislation Updates log, the EA Ref linkage to F0612-01, and any audit finding or corrective action records.	Auto-populated reference number (CO1, CO2…). Do not edit. Used as the primary identifier for cross-referencing with the Aspect Register (F0612-01) and audit findings.
B	**Interested Party**	The interested party is the external or internal stakeholder whose expectation or legal requirement gives rise to this obligation. Identifying the party correctly ensures obligations are traced back to a source and that the relevant communication requirements under ISO 14001:2026 Clause 7.4 are met. Select from the validated dropdown to ensure consistent labelling across all entries.	Select the interested party whose expectation or requirement drives this compliance obligation — for example Workers, Regulators, Community, Investors, or Customers. Select from the dropdown list. To add a new party, edit the list in B106:B112.
C	**Process/Activity**	Linking each obligation to the process or activity area in which it arises enables the register to be filtered by operational owner and supports the demonstration of aspect-based compliance coverage required by Clause 6.1.3. Select from the validated dropdown. The 18 process names correspond to the areas covered by the 27 populated obligations.	Select the process or activity area this obligation applies to — for example Waste Management, Energy Management, or Fire Safety. Select from the dropdown list. To add a new process, edit the list in C106:C123.
D	**Expectation**	This column records what the interested party specifically expects or requires of the organisation in relation to this obligation. It provides the contextual rationale for why the obligation exists and supports the Clause 6.1.3 requirement to determine how obligations apply to the organisation. Keep descriptions concise and factual. They should be sufficiently specific for an auditor unfamiliar with the organisation to understand the obligation without additional explanation.	Describe the specific expectation, need, or requirement that the interested party holds in relation to this obligation — for example "Waste storage must be safe, secure, and present no risk to people or the environment." Be concise and factual.
E	**Environmental Aspect**	Column E records which of the organisation's environmental aspects gives rise to, or is governed by, this compliance obligation. This is the primary linkage between the Compliance Obligations Register (Clause 6.1.3) and the Aspect Identification Register F0612-01 (Clause 6.1.2). For precise traceability, also enter the aspect reference number in column P (EA Ref).	Identify the environmental aspect of the organisation's activities, products, or services that this obligation relates to — for example "Use of chemicals in manufacturing processes" or "Generation of hazardous waste." Cross-reference with the EA Ref column (col P) where an aspect exists in F0612-01.

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Col	Field Name	Guidance	Input Message (Excel tooltip)
F	**Type of Commitment**	Distinguishing between Regulatory and Voluntary obligations is important because they carry different compliance consequences. Regulatory obligations are mandatory legal requirements; breach may result in prosecution, fines, or permit revocation. Voluntary obligations are commitments the organisation has chosen to adopt and which now form part of its EMS scope. Voluntary commitments that have been formally adopted carry the same internal compliance obligations as regulatory ones.	Select the nature of this compliance obligation: Regulatory — a mandatory legal or permit requirement. Voluntary — a non-mandatory commitment the organisation has chosen to adopt (e.g. industry scheme, ISO standard, stakeholder commitment). Select from the dropdown list.
G	**Compliance or Legal Requirement**	Column G uses a data validation dropdown linked directly to column A of the Legislation Schedule (cells A4:A62). Selecting from the dropdown guarantees that the title entered exactly matches the schedule, which is the lookup key for the IFERROR/INDEX/MATCH formula in column H. Because the dropdown enforces an exact match, column H will always auto-populate correctly when a title is chosen from the list. If the legislation you need is not in the dropdown, add it to the Legislation Schedule (column A, rows 4–62) before returning to the register. The dropdown will update immediately once the schedule entry is saved.	Select the legislation title from the dropdown list — the list is linked to the Legislation Schedule (col A, rows 4–62). Selecting from the list ensures the Link to Guidance (col H) auto-populates correctly via lookup. If the legislation is not in the list, add it to the Legislation Schedule first, then return here to select it.

3.2 Guidance and Assessment (Columns H–L)

Col	Field Name	Guidance	Input Message (Excel tooltip)
H	**Link to Guidance**	Column H is entirely formula-driven. The formula =IFERROR(INDEX(Legislation Schedule!B:B, MATCH(G{row}, Legislation Schedule!A:A, 0)), "") performs an exact-match lookup of the column G title against the Legislation Schedule and returns the corresponding URL. Because column G is now a validated dropdown linked to the Legislation Schedule, the title will always match and column H will always auto-populate. The only circumstance where H may remain blank is if a cell in column G was populated with free text before the dropdown was introduced, or if the cell was cleared and left empty.	Populated automatically via IFERROR/INDEX/MATCH formula when a legislation title is selected from the column G dropdown. Do not overwrite this formula cell. If the link is blank, check that a title has been selected in column G (not left empty or containing legacy free text).
I	**Compliance Status**	The compliance status is the central assessment in this register. It drives the Risk Indicator (col J), the Compliance Score (col Q), and the conditional formatting colours throughout the register. Statuses should be updated at each periodic review and whenever a significant change in compliance position occurs. The five statuses form a hierarchy from full	Select the current compliance status for this obligation: • Compliant without the need for further action • Compliant but requires on-going management • Noncompliant and requires corrective action

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