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ISO 14001:2026

Compliance Obligations Register — Training

F0613-01_Compliance_Obligations_Register.xlsx · G0613-01_Compliance_Obligations_Register_User_Guide.docx

How to identify, track, and evidence legal and voluntary compliance obligations — Clause 6.1.3 from identification to verified evidence

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Overview

Why compliance obligations matter — what the register produces and how it evidences legal and voluntary compliance

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What the Compliance Register Delivers

The register produces three interconnected outputs — a complete obligation inventory, a compliance status with risk indicator, and an active review countdown that keeps the register alive between quarterly reviews.

Deliverable 1 — Indexed list of regulatory AND voluntary obligations

Each obligation captured with title, legal/standard reference, URL, type of commitment, applicable process, and linked environmental aspect. Covers mandatory law AND voluntary commitments (industry standards, contractual, ethical) — both are required by Clause 6.1.3.

Deliverable 2 — Compliance status + risk indicator + evidence of compliance

Five-band status scale drives risk indicator automatically: Low, Moderate, Serious, Critical, N/A. Each row captures the verification method (how you check) and evidence of compliance (what you retain). This is how the register proves compliance, not just claims it.

Deliverable 3 — Active countdown + quarterly review discipline

Column Y (Days to Review) shows positive days-until-review or negative days-overdue for every obligation. Quarterly full review of the register catches new and amended legislation; on-change triggers capture updates from automated legislation-update emails as they arrive.

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Three Types of Entry — What Belongs in the Register

Clause 6.1.3 requires both mandatory law AND voluntary commitments. Every entry also links back to an environmental aspect — proving the aspect is "controlled or influenced" by an obligation.

REGULATORY

Mandatory — applicable laws and regulations

- UK Acts, Regulations, Orders applicable to the site
- Environmental Permitting, COSHH, RIDDOR, Hazardous Waste
- Captured with title, URL, applicable activity, aspect
- Non-compliance risk: fines, enforcement, prosecution
- Majority of register entries — Column F type

VOLUNTARY

Self-imposed — standards, contracts, principles

- Industry standards: ISO 14001, ISO 50001, sector codes
- Contractual: customer clauses, supplier codes of conduct
- Governance: ethical standards, community commitments
- Equally binding once adopted — Clause 6.1.3 scope
- Missing these is a common audit finding

LINKED TO ASPECTS

Every obligation ties to an aspect — Column O

- EA Ref (Col O) links each obligation to F0612-01
- Proves aspects are "controlled or influenced"
- CO1 COSHH → EA3 chemical use; CO10 Permit → EA18
- Obligations without EA Ref are orphan entries
- Not every obligation maps 1:1 — blank is allowed

Column B (Interested Party) identifies who the obligation serves — Workers, Regulators, Community, Investors, Customers, Public. Obligations arising from Workers are often health & safety law; from Regulators, environmental permits; from Investors, reporting requirements like SECR.

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How to Identify Obligations — Three Core Steps

Each obligation moves from source identification through application scoping to evidence definition. The three-step discipline is what prevents “we have a compliance register but can’t find the evidence” at audit.

1. Source — Identify applicable laws and voluntary commitments

Start with the Legislation Schedule sheet. Subscribe to automated legislation update emails. Walk through each interested party’s expectations and identify those that rise to the level of obligation. Add industry standards, contractual clauses, and voluntary commitments you’ve adopted.

2. Apply — Link each obligation to activity and aspect

Column C — Process/Activity affected. Column D — Expectation in plain language. Column E — Environmental aspect the obligation addresses. Column O — EA Ref linking back to F0612-01. No link means the aspect register is incomplete, not that the obligation is orphan.

3. Evidence — Define verification method and evidence kept

Column T — Verification Method: how you check you’re compliant (audits, inspections, monitoring). Column U — Evidence of Compliance: what you RETAIN to prove it (certificates, records, test results). This is the auditor’s anchor: if you can’t show evidence, you can’t claim compliance.