

Getting value from Compliance Obligations

An introduction to 'Compliance Obligations' and the
benefits for organisations

Dr. Adam Faiers. Director

Alister Constantine, CMIOSH. Director





100%

Organisations with ISO Management Systems are **committed to comply with Compliance Obligations**

All ISO Management Standards require a Policy commitment to comply to:

- *Applicable Statutory and regulatory requirements*
- *Compliance Obligations*
- *Legal and Other requirements*



Introduction to Compliance Obligations

What are Compliance Obligations

*“**legal** requirements and **other** requirements that an organization **has to** comply with, and **other** requirements that an organization **has to or chooses** to comply with”*

(ISO 14001:2015)

References in ISO

Clause 4 – Context and Interested Parties

Clause 5 – Leadership and Policy

Clause 6 – Identification, Risk, Objectives

Clause 7 – All sub-clauses

Clause 8 – Operational Process, Procurement, Change management,

Clause 9 – Evaluation of Compliance, All Cl. 9 requirements



Benefits of knowing Compliance Obligations



Avoid litigation and prosecution



Satisfy Customer requirements



Compliance Obligations usually have tasks associated that will apply to your business



Understanding New legislation will give you time to Act, and know how it will develop in time



Supports decision making and priority setting



A good Register provides a source of information that can be shared across the business



What's new in 2024?

New

140+

Amended

180+

**EU, UK and ROI applicable to main ISO Standards*



Types of Compliance Obligations

| Types of Compliance Obligations | What is it? | Example |
|---------------------------------|---|---|
| Primary Legislation | An Act of Parliament | <ul style="list-style-type: none">• Environment Act 1995• Environment Act 2021 |
| Secondary Legislation | Regulations and Orders | <ul style="list-style-type: none">• Producer Responsibility Obligations (Packaging Waste) Regulations 2007• Producer Responsibility Obligations (Packaging Waste) (Amendment) Regulations 2023 |
| Compacts and Treaties | Collective agreements between National States | <ul style="list-style-type: none">• Basel – Transboundary Waste• Stockholm Convention – Persistent Organic Pollutants |
| Regulatory Obligations | Obligations arising from a Regulator | Guidance for Pollution Prevention – GPP Approved Code of Practice – L8 Legionella |



Types of Compliance Obligations

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|------------------------------------|---------------------------------|--|
| Contractual / Customer Obligations | Obligations from a Customer | Conditions for Supply (e.g. reporting requirements, performance of products) |
| Supply Chain Requirements | Sector based requirements | Safety Systems in Procurement – SSIP Achilles Joint Supply Chain Accreditation Register (JOSCAR) |
| Standards | Requirements for doing business | ISO Standards IEC Standards Product Standards PAS Standards |



Processes for managing Compliance Registers



Information within a Compliance Register

Scope and Purpose

This Register covers the Environmental Legislation that affects the operations at Head Office

| Compliance Obligation | Responsibility | Applicability | Description of Applicability | Controls |
|-----------------------------------|----------------------------|---|---|--|
| <i>List of Obligations</i> | <i>Who is responsible?</i> | <ul style="list-style-type: none"> • <i>Direct</i> • <i>Indirect</i> • <i>Information Only</i> | <i>Why is this applicable to your business</i> | <i>What controls do you have in place?</i> |
| The Clean Air Act 1990 | Fleet Manager | Direct | We operate a fleet of vehicles that work in Central London so need to manage emissions | Fleet Management Process Vehicle Servicing |
| CDM Regulations 2015 | Facilities Manager | Indirect | Potential requirement if we go ahead with an extension to our Building | Supplier Management and Selection Risk Assessment Procedure |
| PPN 06/21 Carbon Reporting | Compliance Manager | Information Only | This is information as it is a potential item we could use to report our carbon emissions for tenders | Carbon reporting |



What do Auditors want to see?



Want top marks? Ensure you have the following:

- An Up-to-Date Register
- A process for identifying and assessing Compliance Obligations
- An audit plan that covers Compliance Obligations (by competent Auditors)
- Evidence that updates come from a reliable source
- Evidence that the Compliance Obligations have been reviewed
- Evidence that you are adding new / amended Compliance Obligations to your system and processes
- Auditors will take assurance if a wide range of people can explain legal requirements (e.g. Waste, that the Compliance Manager **and also** the person overseeing waste collections can talk about WTN).



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