# EQMS Procedure

**Control of Compliance Obligations**

# Table of Contents

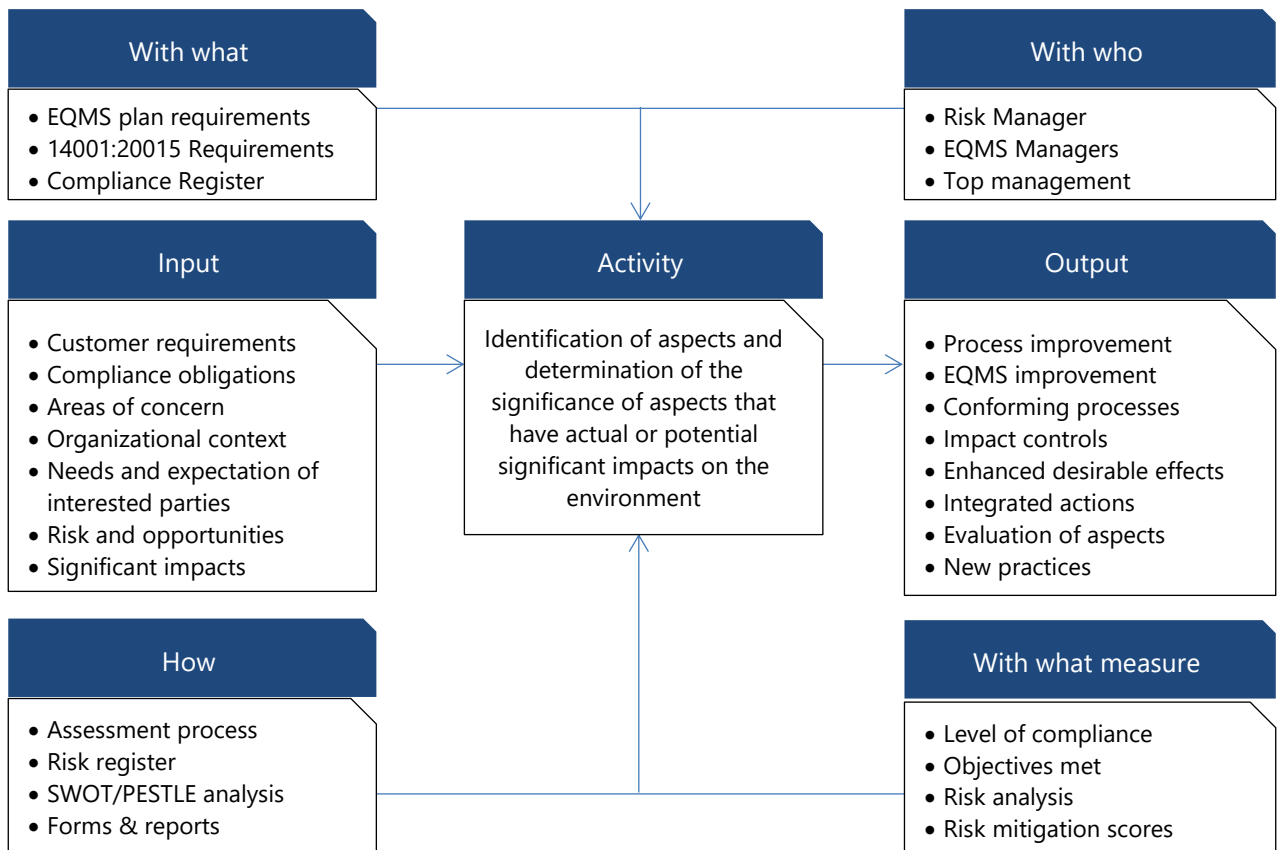# 1   Control of Compliance Obligations

## 1.1   Introduction & Purpose

The purpose of this procedure is to outline your organization's methodology for identifying, complying and monitoring environmental obligations which relate to our identified aspects in the context of our operations and product life cycle.

### 1.1.1   Process Activity Map

**With what**
- EQMS plan requirements
- 14001:20015 Requirements
- Compliance Register

**With who**
- Risk Manager
- EQMS Managers
- Top management

**Input**
- Customer requirements
- Compliance obligations
- Areas of concern
- Organizational context
- Needs and expectation of interested parties
- Risk and opportunities
- Significant impacts

**Activity**

Identification of aspects and determination of the significance of aspects that have actual or potential significant impacts on the environment

**Output**
- Process improvement
- EQMS improvement
- Conforming processes
- Impact controls
- Enhanced desirable effects
- Integrated actions
- Evaluation of aspects
- New practices

**How**
- Assessment process
- Risk register
- SWOT/PESTLE analysis
- Forms & reports

**With what measure**
- Level of compliance
- Objectives met
- Risk analysis
- Risk mitigation scores

### 1.1.2   References

| Standard | Title | Description |
|---|---|---|
| BS EN ISO 9000:2015 | Quality management systems | Fundamentals and vocabulary |
| BS EN ISO 9001:2015 | Quality management systems | Requirements |
| BS EN ISO 14001:2015 | Environmental management systems | Requirements |
| BS EN ISO 9004:2000 | Quality management systems | Guidelines for performance improvements |
| BS EN ISO 19011:2011 | 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 environmental policy, such as commitments to community involvement, pollution prevention, and continuous improvement. This procedure describes how we identify and monitor applicable legal requirements and other commitments which may introduce new risks or opportunities.

## 1.3   Compliance Obligation Management Process

### 1.3.1   General

The Environment & Sustainability Manager and Process Owners actively identify mandatory and voluntary compliance obligations and mitigate impacts associated with non-compliance. The Environment & Sustainability Manager reviews all relevant environmental legislation directly related to our identified environmental aspects and impacts using the NETRegs service www.netregs.gov.uk which is provided by the UK Environment Agency. Legal and compliance obligations are reviewed for applicability on a regular basis with assistance from the automatic emails received from NETRegs whenever legislation is updated or is newly published.

The Environment & Sustainability Manager is responsible for ensuring this information is kept up-to-date and communicating relevant information on compliance, legal and other requirements with in our organization and to other relevant stakeholders or interested parties. Details are recorded in the _Compliance Obligations Register_ for management review.

All relevant legislation and other compliance requirements applicable to your organization's environmental aspects are compiled into a _Register of Compliance Obligations_. The introduction of new legislation and changes to current legislation is principally monitored through following sources of information:

1. NETRegs service www.netregs.gov.uk
2. Recycling envirowise.wrap.org.uk
3. Environment www.environment-agency.gov.uk
4. Environment and Health & Safety www.cedrec.com/home/index.htm
5. Legislation updates: www.legislationupdateservice.co.uk

The Environment Agency provides useful guidance that breaks down the requirements of common legislation: https://www.gov.uk/government/organisations/environment-agency/services-information

### 1.3.2   Review

The management review meeting attendees ensure that applicable environmental aspects are identified and are understood in terms of customer requirements and current legislation. It is the responsibility of the Environment & Sustainability Manager to maintain and review the _Register of Compliance Obligations_, specifically to determine:

- Whether a piece of legislation, amendment to current legislation or new legislation is 'relevant' or 'irrelevant';
- Whether the our organization is compliant with the legislation whilst describing how the requirements apply and what controls are in place to manage and mitigate the requirement and related environmental aspects;

## 1.8   Compliance Obligations Process Map

**Identification of Environmental Compliance Obligations**

Identify environmental aspects using the register

Criteria for significance:
1. Impact on the environment
2. Probability of occurrence
3. Legal/regulatory requirements

Identify compliance obligations

Determine significance of impacts

Significant

Not Significant

Determine consequences of these requirements on our environmental aspects and impacts

Update the environmental aspects and impacts register

Undertake standard operational control. Update register of aspects and impacts

Formulate objectives and targets

No

Compliant with obligations?

Yes

Determine new objectives and targets. Develop operational control requirements

Implement and monitor impact mitigation. Report and review

Record within the Compliance & Obligations Register