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EQMS PROCEDURE 04

# Legal & Compliance Requirements

How we identify, access, register, apply, and periodically evaluate the environmental compliance obligations that apply to us.

| | |
|---|---|
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| Document owner | **EQMS Manager** |

<Insert your organization name or logo>

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| # | Action | Owner | Output/record |
|---|---|---|---|
| 4 | Identify permits, licenses and consents needed, and their conditions. | Environmental Coordinator | Permit entries on Form 07 |
| 5 | Capture requirements from interested parties, including those adopted voluntarily and those relating to environmental conditions, from Form 01 Context & Interested Parties. | EQMS Manager | Other requirement entries on Form 07 |
| 6 | Decide whether each item is relevant to us, with a short reason where it is not. | EQMS Manager | Applicability decision on Form 07 |

**Subject areas to check**

| Area | Typical requirements | Examples for a UK-based organization |
|---|---|---|
| Hazardous substances | Storage and containment of chemicals and fuels, fluorinated gases, and ozone-depleting substances. | Fluorinated Greenhouse Gases Regulations 2015; Ozone-Depleting Substances Regulations 2015 |
| Emissions, discharges and waste | Permits, air quality, water discharges, oil storage, waste duty of care, contaminated land. | Environmental Protection Act 1990; Environmental Permitting Regulations 2016; Clean Air Act 1993; oil storage regulations |
| Energy, climate and products | Energy reporting, climate-related levies, producer responsibility for packaging and products. | Applicable energy efficiency, climate levy and producer responsibility schemes |

> ADOPTING THIS TEMPLATE
>
> The examples column shows UK legislation for illustration only. Replace it with the laws, regulations and permits of every jurisdiction in which we operate, and confirm current titles and amendments with an official legislation source before the register is issued.

## 7.2 Determine how requirements apply

For each relevant requirement, the responsible coordinator records on Form 07 Legal and Compliance Register exactly what it requires of us and how we meet it. Requirements are broken down into procedural, operational and monitoring requirements so that each can be assigned and checked.

**Register content**

| Field | What we record |
|---|---|
| Requirement | Title, issuing body, date or version, and a plain description. |
| Link | The aspects, processes, sites, or products it relates to (from Form 06). |
| Application | How it applies to us, including any permit, license, approval, or notification needed. |
| Controls | The procedures, operating criteria, monitoring, and training through which we meet it. |
| Evidence | The records and documents that demonstrate compliance. |
| Verification | How and how often compliance is evaluated, and by whom. |
| Owner and status | The responsible manager, the current compliance status, and the date of the last evaluation. |

**Compliance status**

| Status | Meaning | Action |
|---|---|---|
| Compliant | Evidence shows the requirement is fully met. | Maintain controls; evaluate at the next scheduled interval. |
| Partially compliant | The requirement is mostly met, but there is a gap in evidence, procedure, or practice. | Raise a corrective action and close the gap within an agreed date. |
| Non-compliant | The requirement is not met. | Contain immediately, inform Top Management, raise a corrective action, and notify the authority where the law requires it. Investigate any incident behind the breach under Procedure 24 Incident Investigation; a notifiable breach is investigated at Level 3, a non-notifiable one at Level 2. |

| # | Action | Owner | Output/record |
|---|---|---|---|
| 1 | Record the evaluation result, evidence reviewed, and status against each requirement. | Environmental Coordinator | Status on Form 07 |
| 2 | Raise non-compliances and partial compliances for action under Procedure 23 Non-conformity & Corrective Action. | EQMS Manager | Form 45 Corrective Action Report |
| 3 | Refer any newly identified obligations found during evaluation to Top Management for decision. | EQMS Manager | Management decision |
| 4 | Take legal advice, where appropriate, before submitting incident reports to authorities or releasing them to third parties. | EQMS Manager | Advice record |

EVALUATION OF COMPLIANCE

ISO 14001 requires us to set the frequency of compliance evaluation, act where needed, keep knowledge of our compliance status, and have documented evidence of the results available. Internal audits under Procedure 21 Internal Audits also test awareness and application of these requirements.

## 7.5 Review and report

| # | Action | Owner | Output/record |
|---|---|---|---|
| 1 | Summarize compliance status, evaluations completed, open non-compliances, enforcement contacts, and significant legal changes. | EQMS Manager | Compliance report |
| 2 | Review the report and decide on resources, objectives, and changes needed; aspects, impacts, and risks with the highest scores are considered for objectives. | Top Management | Form 44 Management Review Agenda & Minutes |
| 3 | Provide training on legal requirements for those whose work affects compliance, with ad hoc briefings when the law changes. | EQMS Manager | Form 12 Training Attendance |
| 4 | Confirm awareness and compliance through audits, record reviews, inspections, staff appraisals and meetings. | Internal Auditors | Form 41 Internal Audit Report |

# 8 Records

| Record | Form/location | Owner | Retention |
|---|---|---|---|
| Legal and Compliance Register, including update log and evaluation results | Form 07 | EQMS Manager | Current + 6 years |
| Permits, licenses and consents with associated returns | No form | Environmental Coordinator | Life of permit + 6 years |
| Statutory inspection and examination reports | No form | Department Managers | As required by law; minimum 2 years |
| Corrective Action Report | Form 45 | EQMS Manager | 6 years |
| Training Attendance | Form 12 | Human Resources Manager | Employment + 3 years |
| Management review minutes | Form 44 | EQMS Manager | 6 years |

# 9 Performance Indicators

| Indicator | Target | Reviewed |
|---|---|---|
| Compliance evaluations completed by due date | 100% | Quarterly |
| Requirements with status Compliant | 98% or more | Quarterly |
| Legal updates screened and actioned within one month | 100% | Quarterly |
| Enforcement notices, fines or prosecutions | Zero | Annually |

# 10 Related Documents

| Reference | Title |
|---|---|
| **Procedure 01** | Organizational Context |
| **Procedure 02** | Risks & Opportunities |
| **Procedure 03** | Aspect Identification & Assessment |
| **Procedure 09** | Communication |
| **Procedure 11** | Operational Control |
| **Procedure 21** | Internal Audits |
| **Procedure 23** | Non-conformity & Corrective Action |
| **Form 07** | Legal and Compliance Register |
| **Form 06** | Aspect Identification Register |
| **Form 05** | Risk & Opportunity Register |
| **Form 45** | Corrective Action Report |