



## **ISO 14001:2015 Compliance Register Template**

### **Purpose:**

The Compliance Register is a tool to help ISO 14001:2015 Champions and EMS teams track environmental legal requirements and other compliance obligations (e.g., voluntary commitments) as required by Clause 6.1.3 of ISO 14001:2015. It supports monitoring changes in laws and regulations and ensures departmental compliance, particularly in manufacturing and oil and gas industries.

**Format:** Spreadsheet (Excel, Google Sheets, or similar)

**File Name:** ISO\_14001\_Compliance\_Register.xlsx

**Tab Name:** Compliance Register

### **Template Structure**

The Compliance Register is a table with the following columns, designed to be clear, comprehensive, and user-friendly. Each column captures critical information to support Champions in tracking compliance obligations.

Column	Description	Example Entry
<b>Obligation ID</b>	Unique identifier for each obligation (e.g., REG-001, VOL-001).	REG-001
<b>Type</b>	Legal (L) or Voluntary (V) obligation.	L
<b>Description</b>	Brief description of the obligation.	Limit VOC emissions from painting process to 50 mg/m <sup>3</sup> per state regulation.



<b>Regulatory/ Source Reference</b>	Source of the obligation (e.g., regulation code, permit number, corporate policy).	State Environmental Code, Chapter 123, Section 45.
<b>Applicable Department(s)</b>	Departments responsible for compliance (e.g., Production, Maintenance).	Production, Maintenance
<b>Compliance Requirement</b>	Specific actions needed to comply (e.g., monitoring, reporting, training).	Monthly VOC emission tests, annual permit renewal, operator training.
<b>Monitoring Frequency</b>	How often compliance is checked (e.g., daily, monthly, annually).	Monthly
<b>Responsible Person/Role</b>	Individual or role responsible for monitoring (e.g., Production Supervisor).	Production Supervisor
<b>Next Due Date</b>	Date of next compliance action (e.g., report submission, permit renewal).	2025-06-15
<b>Status</b>	Current compliance status (e.g., Compliant, Action Needed, Non-Compliant).	Compliant
<b>Comments/Notes</b>	Additional details (e.g., recent changes, issues, corrective actions).	New regulation effective 2025-07-01; need to source low-VOC paints.
<b>Last Updated</b>	Date of last register update.	2025-05-01

**Champion Role:**



- **Identify Obligations:** Collaborate with the EMS team to list department-specific obligations (e.g., waste disposal rules for manufacturing, spill prevention for oil and gas).
- **Monitor Changes:** Use regulatory updates (e.g., EPA newsletters, API bulletins) to add new or revised obligations.
- **Support Compliance:** Ensure your department completes required actions (e.g., data collection, training) and updates the register.
- **Review Regularly:** Participate in quarterly reviews to verify accuracy and

### Example Entries

Below are sample entries to illustrate how the Compliance Register might look for manufacturing and oil and gas contexts.

Obligation ID	Type	Description	Regulatory/Source Reference	Applicable Department(s)	Compliance Requirement	Monitoring Frequency	Responsible Person /Role	Next Due Date	Status	Comments/Notes	Last Updated
REG-001	L	Limit VOC emissions from painting to	State Env. Code, Ch. 123, Sec. 45	Production, Maintenance	Monthly VOC tests, annual permit renewal	Monthly	Production Supervisor	2025-06-15	Compliant	New limit of 45 mg/m <sup>3</sup> effective 2025-07-01	2025-05-01



		50 mg/m <sup>3</sup>									
<b>REG-002</b>	L	Monitor waste water oil content to 15 ppm	U.S. EPA Clean Water Act, Permit #XYZ123	Operations	Weekly sampling, quarterly reporting	Weekly	Environmental Coordinator	2025-05-10	Action Needed	Incomplete samples due to untrained staff	2025-05-01
<b>VOL-001</b>	V	Reduce energy use by 10% by 2026	Corporate Sustainability Policy	All Departments	Monthly energy audits, employee training	Monthly	EMS Team Lead	2025-06-01	Compliant	Energy audit scheduled for 2025-05-15	2025-05-01