Clauses 5.1.1 and 6.3 - Legal and Other Requirements

**Purpose and Scope**

To describe how the company ensures that it has identified, complies with and verifies compliance with all of the relevant legislative, regulatory and other requirements that apply to the activities conducted by the company employees and contractors within its operations.

**Associated Documents**

Compliance Module

**Procedure**

1. The company is to ensure that all relevant legislative and other requirements are identified.
2. Legislative and other requirements may include, but are not limited to:
   1. Acts and Regulations.
   2. Codes of Practice.
   3. Guidelines.
   4. Standards.
   5. Agreements with clients, communities or public authorities.
   6. Corporate requirements.
   7. Industry standards or codes.
   8. Voluntary commitments.
3. Details of all relevant legislative and other requirements are to be contained within the Compliance Module. These will include mitigations and control methods. The verification of compliance will be reviewed by the Board.
4. The Management Team are to ensure that where possible, they are notified of changes and/or additions to legal and other requirements as those changes occur.
5. The means of ensuring notification of changes and/or additions may include:
   1. Agreements with external legal or consulting organisations to monitor and advise of any changes.
   2. Registering with Standards New Zealand.
   3. Advice from employer or industry associations.
6. When changes and/or additions occur they are to be included in the Compliance module and the means of verifying compliance is to be defined as previously described.
7. A review of the Compliance module will be conducted as per the annual work plan in the Board meeting. These will include:
   1. Confirm that all updates to applicable legal and other requirements have been captured and included.
   2. Confirm that the means of ensuring and verifying compliance are appropriate.
8. The company is to ensure that all changes, additions and updates to the Compliance module are communicated to relevant employees, contractors and other stakeholders.

Means of Ensuring Compliance

1. Once the application of a particular requirement has been defined, the means of how compliance to the requirement is going to be ensured is to be established by the company, in consultation with appropriate personnel.
2. Various means of ensuring compliance are available and include, but are not limited to the following:
   1. Policies and/or procedures being established documented and implemented.
   2. Training being provided.
   3. Engineered solutions being implemented.
   4. Instructional signs being displayed.
3. Details of the means of ensuring compliance are to be entered into the Legal and Other Requirements Register in the “Means of Ensuring Compliance” column alongside the corresponding requirement in the Compliance Module.

Means of Verifying Compliance

1. Once the means of ensuring compliance has been determined, the means of how compliance to each requirement is to be verified on a continuous basis is to be established by the company, in consultation with appropriate personnel.
2. Various means of verifying compliance are available and include, but are not limited to the following:
   1. Internal auditing. (To verify compliance to the corresponding policies and/or procedures).
   2. Periodic workplace inspections.
   3. Periodic review of records.
3. Details of the means of ensuring compliance are to be entered into the Legal and Other Requirements Register in the “Means of Ensuring Compliance” column alongside the corresponding requirement in the Compliance module.

Monitoring Changes

1. The Management Team are to ensure that where possible, they are notified of changes and/or additions to legal and other requirements as those changes occur.
2. The means of ensuring notification of changes and/or additions may include:
   1. Agreements with external legal or consulting organisations to monitor any advice of changes.
   2. Registering with Standards or Government organisations.
   3. Advice from employer or industry associations.
3. When changes and/or additions occur they are to be included in the Legal and Other Requirements Register and the means of ensuring and verifying compliance is to be defined as previously described.
4. On an annual basis, usually in Q4 each year, the Management Team, in consultation with appropriate personnel, is to coordinate a full review and update of the Legal and Other Requirements Register in order to:
   1. Confirm that all updates to applicable legal and other requirements have been captured and included.
   2. Confirm that the means of ensuring and verifying compliance are appropriate.
5. The Management Team is to ensure that all changes, additions and updates to the Legal and Other Requirements Register are:
   1. Tabled at management review and other relevant meetings.
   2. Communicated to relevant employees, contractors and other stakeholders.

*References:*

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| **ISO 9001** | **ISO 14001** | **ISO 45001** |
| 5.1.1, 6.3 | 6.1.3, 9.1.2 | 6.1, 9.1 |