



COMPLIANCE MANAGEMENT

Be Aware of Your Legal Responsibilities

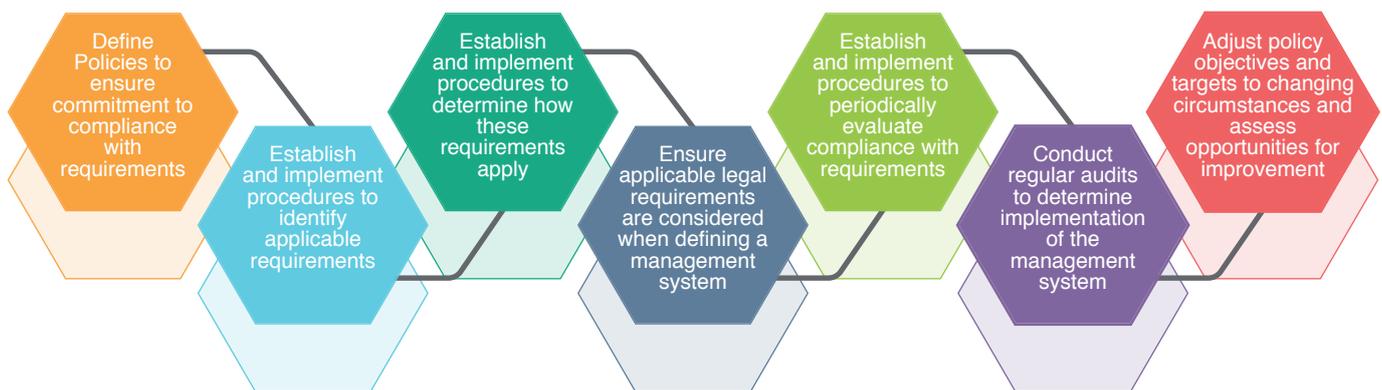
An important requirement for operating a sustainable and socially responsible organisation is compliance. Companies have a legal responsibility to identify and assess the health, safety and environmental topics over which they have control, and determine the relevant legislation and regulations. This process is multi-faceted and can often be complex.



Compliance with legislation and regulations is one of the basic requirements of the ISO standards.

Common Elements

of Compliance Management



Why Use DLEX?

Take Ownership!

DLEX is part of a continual improvement process as defined in the ISO standards for identifying and managing your organisation's legal obligations. It simplifies this process by allowing you to organise the applicable legal and other requirements to which the company subscribes in one knowledge base that can be monitored and assessed by various criteria that include, but are not limited to: evaluating compliance and determining significance.



A register is the statement of your company's commitment to compliance.

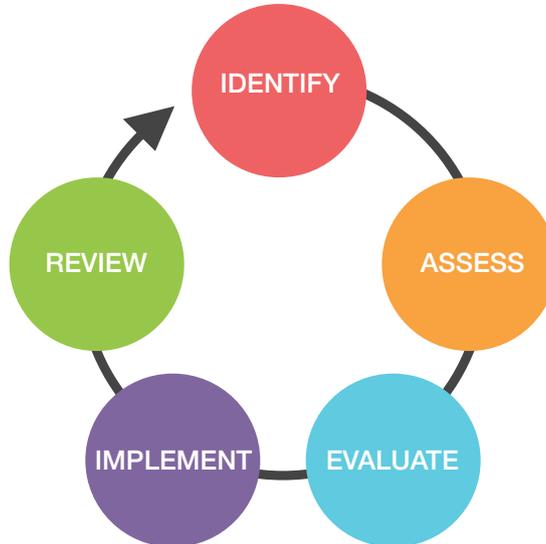
Organisations usually rely on generic solutions from third party providers that are not tailored to the company's specific requirements and don't adapt to the ever-changing legal landscape. DLEX puts you back in the driver's seat and gives you full control over your legal obligations, so you don't have to rely on these often expensive and inflexible services.



Where to Start?

Building a register for your company's occupational health and safety or environmental concerns can be quite daunting. DLEX simplifies this process by breaking it into 5 stages:

Five Stages of the DLEX Process



1 Identify

Identify Obligations - Determine legal and other requirements that are relevant to the company's operations.

2 Assess

Determine Significance - Translate identified obligations into their impacts on the organisation.

3 Evaluate

Evaluate Compliance - Determine the organisation's compliance with applicable legal and other requirements.

4 Implement

Implement Control Measures - Create procedures and objectives ensuring compliance.

5 Review

Review & Monitor - Periodically analyse the company's alignment with developing requirements and the validity of control measures.

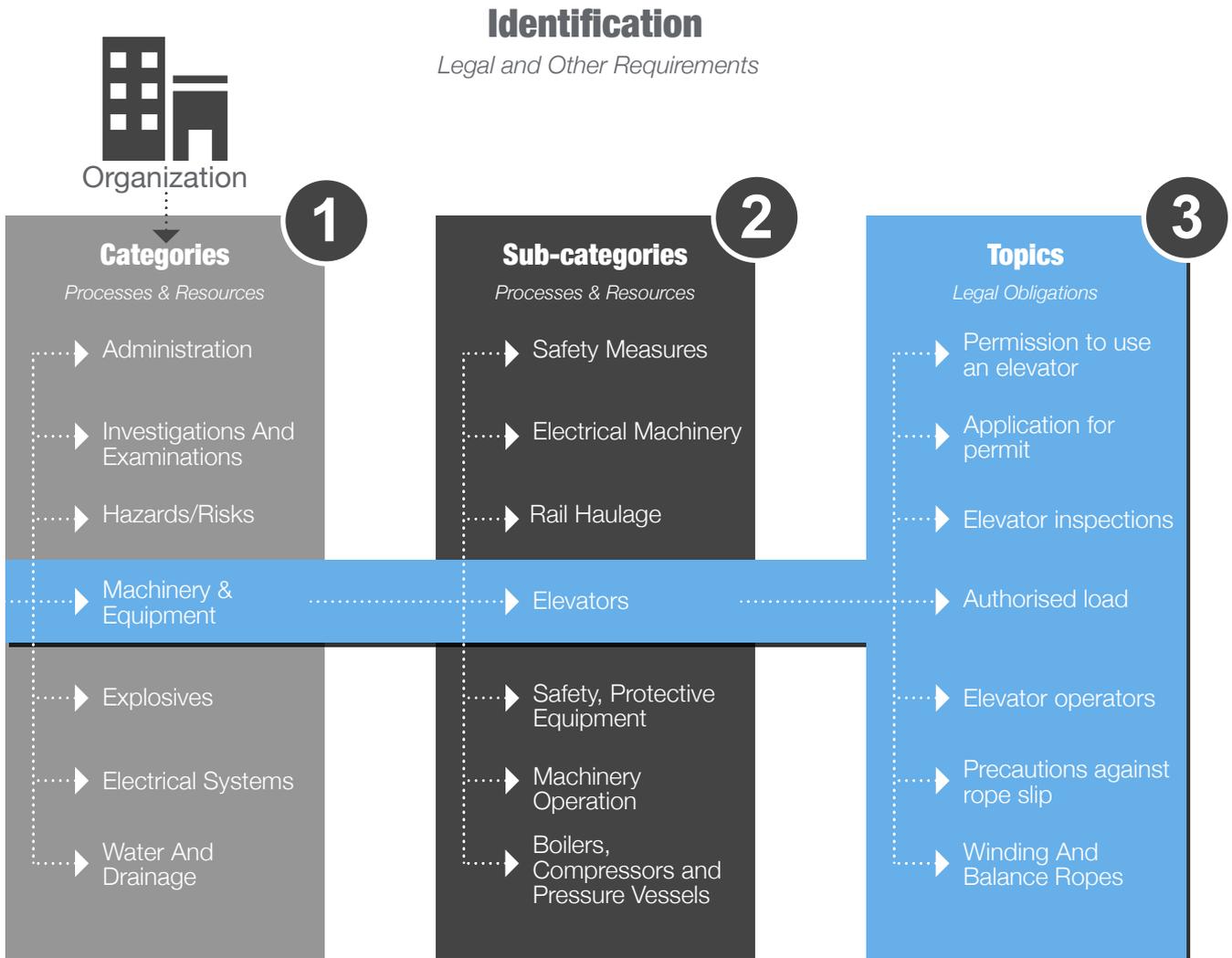


Identify Obligations

It is vital for an organisation to ensure it is aware of and complies with legislation and regulations that govern its operations.

A company can identify their legal obligations by analysing the processes and resources that define their operations or relate to the organisation's environmental and OHS aspects.

For Example: Perform a formal assessment of the organisation's overall operations in order to determine the applicable legislation.



DLEX Approach

With your fully customisable DLEX register, you can link relevant legislation and regulations directly from the law library using legal extracts and citations. Along with all legal obligations, any other requirements such as insurance conditions and policy documents can be associated with a relevant topic using the DLEX Attachments Manager.



Refer to the DLEX Help resource on 'How to create a register'



Determine Significance

Once the topics that can be controlled and influenced are identified, their impact on the organisation needs to be determined.

A topic's significance can be assessed by criteria ranging from the legal consequence of noncompliance, to the severity of the potential health and safety or environmental risk it poses to the organisation.

For example: Identified hazards must be assessed to determine their potential risk to the organisation and thereby prioritise their importance. Below is a rating matrix that may be used for evaluating significance:

Risk Matrix

Potential Risk = Consequence + Likelihood

Likelihood	Consequences				
	Catastrophic (5)	Major (4)	Moderate (3)	Minor (2)	Insignificant (1)
Almost Certain (5)	10	9	8	7	6
Likely (4)	9	8	7	6	5
Possible (3)	8	7	6	5	4
Unlikely (2)	7	6	5	4	3
Rare (1)	6	5	4	3	2

DLEX Approach

The DLEX Assessment Builder provides you with the facility to visually identify the significant topics within your register utilising custom criteria and formulae.

The following diagram shows an example of a DLEX Assessment Builder template used to determine which environmental aspects present a significant risk:

Significance Assessment

Of Environmental Aspects

Environmental Theme	Environmental Aspect	Legal Obligations (Yes/No)	Likelihood	Consequences	Significance
Waste	Concrete mortar spillage	No	★★★★★	★★★★★	Low (4)
Air	Emissions from transport vehicles	Yes	★★★★★	★★★★★	Medium (5)
Soil	Leakage from Storage of materials	Yes	★★★★★	★★★★★	Extreme (10)
Water	Contaminate rainwater from site	Yes	★★★★★	★★★★★	High (8)



Refer to the DLEX Help resource on 'How to perform a risk assessment'



Evaluate Compliance

The organisation must periodically evaluate compliance with legal and other requirements associated with its operations and **keep records** of these results.

Frequent self-assessments are vital for establishing, implementing and maintaining measures to ensure the company's continued alignment with its obligations.

DLEX Approach

An evaluation of an organisation's legal compliance status can easily be performed using the DLEX Assessment Builder's flexible design.

Consistent with the requirements stipulated in popular standards, all results of these assessments are **recorded** for future evaluation and review purposes.

In addition, DLEX provides a **scheduling and reminder service** to ensure the organisation's commitment to compliance.

Compliance Assessment

Occupational Hazards

Category	Topic	Legal Requirements	Notes/Comments	Compliance Status
Hazards/Explosives	Blasting, Vibration and Shock Management Control	Mineral and Petroleum Resources Development Regulations - Reg. 67	An assessment of the related impacts is performed annually	<input checked="" type="radio"/> Yes <input type="radio"/> Partial <input type="radio"/> No <input type="radio"/> N/A
Hazards/Flooding, Mudslides and Rock Falls	Open face working	Minerals Regulations - Reg. 7.9.1	All excavation require formal assessment. Sidewalks inadequately supported.	<input type="radio"/> Yes <input checked="" type="radio"/> Partial <input type="radio"/> No <input type="radio"/> N/A
Hazards/Fires and Explosions	Reporting of Accidents and Dangerous Occurrences	Mine Health and Safety Regulations - Reg. 23	Inadequate reporting procedure in place.	<input type="radio"/> Yes <input type="radio"/> Partial <input checked="" type="radio"/> No <input type="radio"/> N/A



Refer to the DLEX Help resource on 'How to perform a compliance assessment'

Implement Control Measures

Once the organisation has identified its requirements and how each will impact operations, the necessary measures can be defined and translated into actions and responsibilities to ensure compliance.

DLEX Approach

All policies, procedures and other formulated measures, can be easily be inserted or linked directly to the associated topics using the DLEX Attachments Manager.



Refer to the DLEX Help resource on 'How to insert documents or link resources'



Monitor and Review

The previous stages of the process are not one-time actions. The organisation must continuously monitor the company's alignment with developing legal and other requirements in its operational sphere, and analyse the effectiveness and validity of implemented control measures, so as to determine whether corrective or preventive action is required.

Continuous Review Process

of Operational Requirements



DLEX Approach

Legal references are continuously monitored for amendments, and DLEX posts notifications of any updates that may affect compliance status.

Furthermore, all alterations within the register are logged for review purposes to determine the potential impact on the organization.



Refer to the DLEX Help resource on 'How to Monitor and review register changes'

DLEX is a comprehensive system for managing your organisation's legal obligations by providing the necessary tools to create a statement of compliance and ensure continued commitment. Please do not hesitate to contact us should you have any questions or would like to schedule a demo.



This handbook provided an introduction to DLEX and an overview of how it facilitates the common stages necessary for commitment to compliance. For a showcase of the functionality available in DLEX please schedule a demo with Data Dynamics.

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