

OpsPilot

Compliance Register — User Manual

The Structured Inventory of Obligations · ISO 37301 · AI Engineering Co-Pilot

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What this guide covers — what a compliance register is, how the OpsPilot module builds one, what to have ready, and the register you receive.

Professional accountability. The compliance officer / counsel bears professional accountability for the register's completeness and legal accuracy. OpsPilot structures it; it does not replace legal review.

1. What is a compliance register?



A compliance register is the structured inventory of every obligation an organisation must meet — and, just as importantly, who owns each one, what evidence proves it's being met, and what happens if it's breached. The failure it prevents is the silent one: an obligation nobody knew applied, or knew but nobody owned, surfacing as a breach, a fine or a licence condition violated. A register turns a vague sense of “we're probably compliant” into a list with owners and evidence.

OpsPilot builds it to *ISO 37301 (the current compliance-management standard)*, with *ISO 14001 and ISO 45001 compliance-obligation clauses, AS 8001 and AS ISO 37001*. ISO 37301 defines six obligation categories.

2. The six obligation categories

Category	Examples
Legislative	Acts and primary law that apply to the organisation.
Regulatory	Regulations, rules and regulator directives under those Acts.
Standards	Standards the organisation is bound to or has adopted.
Contractual	Obligations arising from contracts and agreements.
Corporate	Internal policies, codes and corporate commitments.
Licence	Conditions attached to licences, permits and approvals.

3. What the OpsPilot module does

Role	Responsibility
 AI Coach — Compliance Officer (OpsPilot)	Structures the register across all six obligation categories — each with its citation, jurisdiction, owner, evidence reference, status assessment, audit cycle and breach-response protocol.
 Compliance Officer / Counsel / HSE Manager (you)	Provide the entity scope, jurisdictions, business activities, current obligations and evidence locations — and you bear the professional accountability for the register's accuracy.

4. What you will be asked — have this ready

- The entity scope and the jurisdictions it operates in.
- The business activities (which determine what applies).
- The obligations you already know about, and where the evidence lives.
- Who should own each obligation.

5. What you receive — the output

A complete Compliance Register (Word): obligations across all six categories, each with citation, jurisdiction, owner accountability, evidence reference, status assessment, audit cycle and a breach-response protocol — defensible and review-ready.

6. Worked example (illustrative)

A manufacturing site builds its register. A Legislative obligation is the WHS Act; a Regulatory one is the specific plant regulations under it; a Licence obligation is the conditions on the site's environmental licence — including a discharge limit that, crucially, gets a named owner (the environmental coordinator) and an evidence reference (the monitoring records) rather than sitting as an unowned line. The status assessment flags one obligation as “evidence gap” — the organisation believes it complies but can't point to the proof — which is exactly the kind of quiet exposure the register exists to surface. The breach-response protocol says what happens if the discharge limit is exceeded, so the response is pre-planned, not improvised under pressure.

7. Getting the best result

- **Cover all six categories.** The obligation that bites is often the contractual or licence one nobody catalogued.
- **Give every obligation an owner.** An unowned obligation is one nobody is actually meeting.
- **Reference the evidence.** “We comply” with no evidence is the gap a regulator finds.
- **Pre-plan breach response.** Deciding what happens on a breach before it occurs beats improvising during one.

OpsPilot — AI Engineering Co-Pilot. Learn more at opsinnovatech.com