ISO 14001:2015
SURVEILLANCE REPORT

Lucideon report number: TW 20230313

Company name: University of Arts London

Company address: 1 Granary Square
Kings Cross
London.

Company Representative: Rebeca Smart – Energy Projects Support Officer.

Start date of visit: 13th March 2023

Visit duration: 2 Day(s)

AUDIT TEAM – Lead Auditor

Tim Watts CMIOSH
AUDIT SCOPE & OBJECTIVES

Objectives

To evaluate the ongoing effective compliance of the Environmental Management System of the University College London, against the requirements of the ISO 14001:2015 standard and the scope of certification.

The audit will also identify any areas of potential improvement to your management system, as appropriate to the audit scope.

Scope

The Environmental Management System of the University of Arts London;
Administration services, Management of buildings and estates management activities

The scope excludes facilities not owned or controlled by the University of Arts London

This scope was reviewed during this audit and found to be appropriate and justifiable, there are no foreseen changes at this time.

Standard – Audit Criteria

ISO 14001:2015

Site location;

<table>
<thead>
<tr>
<th>Kings Cross</th>
<th>Archwood House</th>
<th>Portland House</th>
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</thead>
<tbody>
<tr>
<td>1 Granary Square, Kings Cross, London, N1C 4AA</td>
<td>90-96 Peckham Hill Street, London, SE15 5JT</td>
<td>30-35 Peckham Road, Southwark, London, SE5 8QA</td>
</tr>
</tbody>
</table>

UAL Estates Office & Academic Building.

Halls of Residence

Halls of Residence

John Prince Street

20 John Prince Street, Westminster, W1G 0BJ

High Holborn

272 High Holborn, Camden, WC1V 7EY

Academic Building - LCF

Academic Building – SEC/LCF
Sites Review

The audit was completed using the blended approach where 1 day was completed on-site and 1 day remotely using MS Teams. The ICT (MS Teams) was used for the remote part of the audit, was effective and contributed to the successful achievement of audit objectives.

A tour of 5 locations covering academic and residential buildings included visits to waste management and other storage areas. The locations were a considered to be a representative sample of the UAL’s current activities, including new and old buildings.

The site tours included interviews with the facilities managers, maintenance supervisors and facility assistants, a review of site environmental monitoring and a tour of the buildings.

All of the locations visited were seen to be managed in line with the environmental management system with onsite teams demonstrating a good understanding of the significant environmental issues that affect the site environment.

AUDIT CONCLUSION

Summary and certification status

During the assessment no nonconformities were raised.

Continued certification is recommended.

The audit plan & objectives have been achieved and the certificate scope remains appropriate.

Follow up action required

In response to any nonconformity raised you are required to prepare, document and implement a correction and corrective action plan. Each finding must be investigated to identify any root causes or underlying trends. Appropriate action must be taken to eliminate the cause of any nonconformity in order to prevent reoccurrence. The plan must define timely action, timescales and responsibilities.

This plan must be submitted to us within 10/28 days. It can be posted, faxed or emailed. Please use email where possible using client.response@lucideon.com (Please do not email directly to your auditor).

Failure to adequately implement the planned action may result in the raising of a major nonconformity putting your certification in jeopardy.

A response to any opportunity for improvement raised is optional.
AUDIT FINDINGS

Nonconformities identified during last visit – (TW 20220315)

The correction and corrective action, taken in response to the last visit, was reviewed and verified as effective. The nonconformity had been effectively investigated and the root cause was seen to have been identified and addressed.

There are no outstanding nonconformities from previous audits.

Nonconformities identified during this visit – None

The assessment was based on sampling and therefore nonconformities may exist which have not been identified.
ASSESSMENT COMMENTS & OPPORTUNITIES FOR IMPROVEMENT

ASSESSMENT COMMENTS

During this surveillance audit UAL, were able to demonstrated that they are maintaining the Environmental Management System (EMS) in line with ISO 14001 Central Services Guidance document, the policy objectives and expected outcomes. The Environmental Management System (EMS) was seen to be capable of achieving policy commitments, objectives and operational control needs, meeting the expectation of interested parties.

The scope of the environmental management system (EMS) is justifiable and appropriate for the activities covered by the certification.

UAL have a robust process for the identification of its environmental aspects and impacts, assessment of these was seen to effectively identify and document significance. The aspects and impacts are in line with the risks and opportunities. Procedures and processes have been implemented to manage and mitigate against any significant aspect. Life cycle perspective is included when considered the significance of environmental aspects and impacts.

An opportunity to improve the clarity of the aspects and impacts assessment was made to ensure that the documented methodology includes the consideration given to abnormal and emergency situations and how these would be addressed.

Individual site audits are implemented across all of the UAL sites and these were seen to be detailed. The site audits effectively monitor performance and compliance requirements in line with the defined audit scope. Action identified are now managed on the compliance desktop, this provides full traceability of the actions and responsibilities for close out. This was seen as an improvement to the EMS.

The management on the sites visited during this assessment demonstrated a good level of understanding and awareness of the environmental aspects of their particular sites/s. Significant environmental aspects and impacts were correctly identified and monitored. Waste was seen to be correctly segregated with documentation in place for collection and transfers.

The Internal audit and Management review processes were evaluated and found to be effectively implemented in line with the requirements of the standard. The processes were effective in identifying opportunities for further improvement. Theses opportunities are suitably assessed and well managed as appropriate, to make progress towards continual improvement in both environmental performance and the EMS.

A sound understanding of environmental management was demonstrated along with an open and enthusiastic approach by all involved. There was a good level on understanding demonstrated in the EMS, its implementation and maintenance.

An open dialog was established throughout the audit which assisted with the assessment process. Thank you to all involved.
OPPORTUNITIES FOR IMPROVEMENT

OFI 01 – Aspects & Impacts:

The “UAL Risks and Opportunities Register” identifies the operating condition of the Aspect under review. Although there are plans in place for emergency situations the “UAL Risks and Opportunities Register” does not show how potential abnormal and emergency conditions have been considered.

Additional documented information should be considered to ensure full compliance with the standard. Ensuring that all potential abnormal and emergency condition have been considered.


OFI 02 – Training:

The training matrix does not always identify when the training was carried out / attended. It is unclear how up to date the training is and if refresher / update training is required. There is an opportunity to improve the training matrix detail to ensure appropriate documented information is retained.

Opportunity for Improvement – ISO 14001:2015 Clause: 7.1

Thanks to the company and its people for their time and cooperation during the audit.
MISCELLANEOUS

Changes to your management system

You must not carry out significant changes to the Environmental Management System, without first confirming with your auditor that the proposed changes are acceptable.

Report distribution

The report will be distributed to the company representative, the Lead Auditor and the Business Support Team (for archiving), unless otherwise agreed.

Report confidentiality

This report will not be disclosed to any third party by us. You are free to circulate it as required, however, if this report is circulated to a third party the entire content (excluding audit trail) must be included.

NEXT VISIT

The current 3 year audit programme, audit frequency and duration, were considered during this visit against your current scope and manning levels. The audit program and auditor competences are confirmed as suitable and sufficient and remain unchanged.

The next visit will be due in February 2024 and this will be your 3 year recertification audit. The recertification audit will be of 2 days duration.

It is noted that your certificate will expire on 15th March 2024, your recertification audit must be 6 weeks prior to this date. The 12th February 2024 has been booked for this audit.

An Audit programme including an agreed outlined plan for your next assessment visit and a summary of previous assessments in the certification cycle is attached to/included in this report. Further details as appropriate will be confirmed prior to your next assessment visit.
Next visit plan – 2 day EMS Recertification Audit. 12th & 13th February 2024 Booked
Note: Certificate expires 15th March 2024

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<tr>
<th>Date</th>
<th>Time</th>
<th>Auditor</th>
<th>Area / Department / Process / Function</th>
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<tbody>
<tr>
<td>12th February</td>
<td>8.45</td>
<td>Tim W</td>
<td>Arrive On Site - On site meeting and greeting</td>
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<td>Date</td>
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<tr>
<td>12th February</td>
<td>09.00</td>
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<td>Opening Meeting &amp; Management System Administration</td>
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<td>Management System Manual / Context of the organisation / Policy</td>
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<td>Date</td>
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<td>Leadership – Leadership and Commitment – Top Manager interview. Organisational roles &amp; Responsibilities</td>
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<td>Planning – Actions to address risk &amp; opportunities – Environmental aspects / compliance obligations</td>
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<td>Objectives and action plans.</td>
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<td>13th February</td>
<td>16.30</td>
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<td>End of day review</td>
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<td>Day 2</td>
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<td>13th February</td>
<td>8.45</td>
<td>Tim W</td>
<td>Performance evaluation – General monitoring of performance, evaluation of compliance, Internal audit &amp;</td>
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<td>Date</td>
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<td>Management Review</td>
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<td>Improvement – Nonconformity &amp; Corrective action – Continual improvement.</td>
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<td>Operational Control - Site Tour</td>
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<td>Including site tours – Waste management, Environmental conditions, Monitoring &amp; Communication.</td>
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<td>Use of the UKAS logo</td>
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<td>Auditor / Report Preparation / Recertification - The close out &amp; follow up on any outstanding details</td>
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<td>picked up during the audit</td>
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<td>Closing Meeting</td>
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Notes to Client:
- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- Our auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation.
- Your contract with us is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

End of Report