ISO 14001:2015
SURVEILLANCE REPORT

Lucideon report number: TW 20220315

Company name: University of Arts London

Company address: 1 Granary Square
                 Kings Cross
                 London.

Company Representative: Ian Lane – Associate Director (Sustainable Operations)

Start date of visit: 15th March 2022

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>Peckham Road</th>
<th>Wilson Road</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Granary Square Kings Cross London N1C 4AA</td>
<td>45-65 Peckham Road Southwark London SE5 8UF</td>
<td>1-4 Wilson Road Southwark London SE5 8LU</td>
</tr>
</tbody>
</table>

UAL Core Activity. | Campus Site. | Campus Site. |

Site 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 2 locations was included in this surveillance audit – these locations were a representative sample of the UAL’s activities. These sites were both academic locations.

The site tours included interviews with the facilities managers 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 one nonconformity was 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 20210726)

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 – One

NC 01 – JU – Operational Planning and Control

It was noted during the site tour at “Wilson Road” that some Fluorescent tubes were stored underneath the stairs unprotected and not in the coffins provided or alternative storage preventing the tubes from falling over breaking.

Minor Nonconformity – ISO 14001:2015 Clause: 8.1

The assessment was based on sampling and therefore nonconformities may exist which have not been identified.

ASSESSMENT COMMENTS & OPPORTUNITIES FOR IMPROVEMENT

ASSESSMENT COMMENTS

From the sample selected for audit at this surveillance audit UAL have demonstrated that they are maintaining the Environmental Management System (EMS) in line with environmental management processes and the policy objectives. 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.

Evidence of compliance with both ISO 14001:2015 and the UAL EMS was made available and evaluated. This audit was carried out on site and included site visits as detailed later in this report. remotely and the evidence requested was issued in a timely manner. A number of interviews were satisfactory carried out using MS Teams.

The audit sample shows that the EMS is effectively implemented and has the capability to meet applicable requirements and expected outcomes.

The organisation correctly identified its significant environmental aspects and impacts, the associated risks and opportunities and defined objectives and targets to reduce its operational impacts upon the environment. Life cycle perspective was considered during the identification of significant environmental aspects and impacts. There are several actions in place to further enhance energy consumption, reduce water and waste generation.

The compliance obligations register was found easily accessible upon request, detailed presentation provided and all legislation applicable to the type and size of the organisation was correctly identified.
The sites visited during this assessment were very well managed. Significant environmental aspects and impacts were correctly identified and monitored, measured, analysed and evaluated on a regular basis. All information requested was provided to the auditor in a timely manner.

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 at the sites and in the Granary Square office. There was a good levels 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 – Operation – Waste Management:**

Some lighting units were stored with the fluorescent tubes inside, awaiting removal. There was no imminent issue as the fluorescent tubes were protected, however consideration should be taken to improve waste storage practices.

*Opportunity for Improvement – ISO 14001:2015*  
Clause: 8.1

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 March 2023 and will be of 2 days duration.

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 Surveillance Audit.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Auditor</th>
<th>Area / Department / Process / Function</th>
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</thead>
<tbody>
<tr>
<td>March 2023</td>
<td>8.45</td>
<td>Tim W</td>
<td>Arrive On Site - On site meeting and greeting</td>
</tr>
<tr>
<td></td>
<td>09.00</td>
<td></td>
<td>Opening Meeting &amp; Management System Administration Management System Manual / Policy / Risks and Opportunities / Management Review / Objectives &amp; Targets.</td>
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<td></td>
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<td>Internal Audits Including corrective action management. Evaluation of Legal compliance</td>
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<td>Management Review</td>
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<td>Assessment of Aspects &amp; Impacts</td>
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<td>12.45</td>
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<td>Lunch</td>
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<tr>
<td></td>
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<td></td>
<td>Operational Control - Site Tour Including site tours – Waste management, Environmental conditions, Monitoring &amp; Communication.</td>
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<td>Auditor / Report Preparation Time - The close out &amp; follow up on any outstanding details picked up during the audit</td>
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<tr>
<td></td>
<td>16.30</td>
<td>Tim W</td>
<td>End of day review</td>
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Day 2

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<tr>
<td>March 2023</td>
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<td>Arrive on site</td>
</tr>
<tr>
<td></td>
<td>09.00</td>
<td></td>
<td>Monitoring &amp; Measurement Including environmental incidents.</td>
</tr>
<tr>
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<td></td>
<td>Operational Control - Site Tour Including site tours – Waste management, Environmental conditions, Monitoring &amp; Communication.</td>
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<td>Lunch</td>
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<td></td>
<td>Competence, Training &amp; Awareness Identification of personnel who can have a significant effect environmental performance. Evidence of training and awareness.</td>
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<td>Use of the UKAS logo</td>
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<td>Auditor / Report Preparation Time - The close out &amp; follow up on any outstanding details picked up during the audit</td>
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<tr>
<td></td>
<td>16.00</td>
<td></td>
<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