ISO 50001; 2018
SURVEILLANCE REPORT

Lucideon report number: TW 20220314
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: 14th March 2022
Visit duration: 3 Day(s)

AUDIT TEAM – Lead Auditor

Tim Watts CMIOSH
AUDIT SCOPE & OBJECTIVES

Objectives

To evaluate the ongoing effective compliance of the Energy Management System against the requirements of ISO 50001:2018, the scope of certification and your own Energy Management System (EnMS).

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

Scope

“The University of the Arts London’s EnMS including all operations, plant and equipment managed directly by the University Estates and Facilities at all College locations”.

This scope was reviewed during this audit and was considered appropriate, there are no foreseen changes at this time.

Standard – Audit Criteria

ISO 50001; 2018

Site location

<table>
<thead>
<tr>
<th>Kings Cross</th>
<th>Elephant &amp; Castle,</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Granary Square</td>
<td>Southwark</td>
</tr>
<tr>
<td>Kings Cross</td>
<td>London</td>
</tr>
<tr>
<td>London</td>
<td>SE1 6SB</td>
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<tr>
<td>N1C 4AA</td>
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</tr>
<tr>
<td>UAL Core Activity.</td>
<td>Campus Site</td>
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<table>
<thead>
<tr>
<th>Lime Grove</th>
<th>Wimbledon</th>
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<tr>
<td>34-36 Lime Grove</td>
<td>Merton Hall Road</td>
</tr>
<tr>
<td>Hammersmith</td>
<td>Merton</td>
</tr>
<tr>
<td>London</td>
<td>London</td>
</tr>
<tr>
<td>W12 8EA</td>
<td>SW19 3QA</td>
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<tr>
<td>Campus Site</td>
<td>Campus Site</td>
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</table>
Site Review

The audit was completed on site. A tour of 3 locations was included in this surveillance audit – these locations were a representative sample of the UAL’s activities. These sites were all academic locations.

The site tours included interviews with the facilities managers and Facility Assistants, a review of site energy monitoring and a tour of the buildings including Boiler rooms and academics areas as relevant.

All of the locations visited were seen to be managed in line with the energy management system with onsite teams demonstrating a good understanding of the significant energy uses and the variables that effect energy efficiency.

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.

ISO 50001: During this audit it has been demonstrated and confirmed that there has been continual energy performance improvement made across the business. Examples of which are detailed in this report.

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.

There is no need to submit this plan to us as the actions detailed will be verified by the auditor during the next visit.

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)

There were no corrective actions required to be taken in response to the last audit.

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

From the sample selected for audit at this surveillance audit the University of Arts London (UAL) management & employees have demonstrated that they are maintaining their Energy Management System (EnMS) in line with Energy management processes and the policy objectives. As can be seen form the findings of this report there is evidence of compliance with both ISO 50001:2018 and the UAL EnMS, Policy and Objectives. The EnMS was seen to have the capability to meet applicable requirements and expected outcomes.

EnPl's are identified and energy objectives have been set as part of the energy review process. From the representative sample taken as part of the audit the EnMS was seen to be capable of achieving UAL’s Energy policy commitments, objectives and operational control needs. The EnMS was assessed and found to be managing internal monitoring processes & internal audits.

The assessment demonstrated a high level of implementation of the processes and monitoring and measurement activities, ensuring that the planned arrangements are achieved. Management review and internal audits continue to be carried out to a high standard, are effective and conform to the requirements of the standard

Monthly monitoring of energy is reviewed and the results are investigated as appropriate. There is an opportunity to improve the investigation reporting (OFI/02) Energy performance is known and performance is evaluated against the objectives and predicted energy use.

There have been significant improvement made to the detail and effectiveness of the individual site audits. The duration and detail of the audit has been increased, and there is a positive effect can be seen in the energy performance. The audits now include interrogating the BMS and other control systems on site, improving control of energy use and better reflecting the sites occupancy.
The scope of the UAL EnMS has been updated to include carbon emissions from scope 3 sources. This has been done in anticipation of changes to the legal compliance scheme ‘Energy Saving and Opportunities Scheme (ESOS)’. This may include net zero in future. This has been seen as an opportunity to remain compliant with ESOS via the ISO 50001:2018 Certification. The details are to be fully established following the issue of government guidance on the changes to the ESOS scheme.

There are potential complications with the relationship between Carbon reduction and energy efficiency. This will be monitored at future audits and will become clearer how this will fit in to the ISO 50001 EnMS, once the UK Government has published the new ESOS guidance / Scheme documents.

Continual Improvement of energy performance and the EnMS was demonstrated during this audit and the 3 year cycle. There are processes in place to identify and manage continual improvement. There has been significant improvement in energy performance set against the baseline. UAL continues to make cycle significant investment in new buildings to replace the older stock. There is an established commitment to continual improvement with stretching future objectives in place.

All of the employees and management interviewed during this assessment were positive and demonstrated an awareness of the EnMS. There was an open dialogue established which greatly assisted the auditor – Thank You.

OPPORTUNITIES FOR IMPROVEMENT

OFI/01 – LEADERSHIP:
Top Management - UAL’s Energy Policy and Carbon Management Plan were drafted by the Associate Director (Sustainable Operations) and approved by the Director of Estates.

The Carbon & Environment Action Group (C&EAG), is no longer responsible for this. The leadership section of the Compliance manual, needs to be reviewed to reflect this recent change in authorities.

OFI/02 – INVESTIGATION OF SIGNIFICANT DEVIATIONS:
Significant deviations are identified as part of the monthly energy monitoring process, with sites identified as having significant deviations required to investigate and respond the energy team.

A number of the responses are limited in detail and slow. Significant deviation needs to be investigated and responded to, to ensure energy performance is maintained. There is an opportunity to improve the response detail and time.
ISO 50001:2018 9.1.1

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 Energy 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 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.

Certification to ISO 50001 by an accredited certification body like Lucideon CICS is seen as a root to compliance for the ESOS scheme. The scope of your certified EnMS will have to cover 100% or your energy use. It remains your responsibility to ensure that you meet any other requirements of the ESOS Scheme.
Next visit plan – 2 day EnMS Surveillance Audit.

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<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Auditor</th>
<th>Area / Department / Process / Function</th>
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<tbody>
<tr>
<td>February 2023</td>
<td>8.45</td>
<td>Tim W</td>
<td>Arrive On Site - On site meeting and greeting</td>
</tr>
<tr>
<td>09.00</td>
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<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>Internal Audits Including corrective action management. Evaluation of Legal compliance</td>
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<td>Management Review</td>
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<td>Energy Planning, Baseline &amp; Performance</td>
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<td></td>
<td>Lunch</td>
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<tr>
<td>12.45</td>
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<td>Operational Control - Site Tour Including site tours – Energy use, monitoring, communication, maintenance energy projects.</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>16.30</td>
<td>Tim W</td>
<td></td>
<td>End of day review</td>
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Day 2

| February 2023 | 8.45  | Tim W   | Arrive on site |
| 09.00 | | | Monitoring & Measurement Including significant deviations. |
| | | | Operational Control – Site Tour Including site tours – Energy use, monitoring, communication, maintenance energy projects. |
| | | | Lunch |
| | | | Competence, Training & Awareness Identification of personnel who can have a significant effect on energy use. Evidence of training and awareness on site. |
| | | | Use of the UKAS logo |
| 16.00 | | | Auditor / Report Preparation Time - The close out & follow up on any outstanding details picked up during the audit |

Closing Meeting

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