NQA MANAGEMENT SYSTEMS
SURVEILLANCE (REMOTE) PROCESS AUDIT REPORT

UNIVERSITY OF SOUTHAMPTON

VISIT NUMBER:
555529

DATE OF OPENING MEETING:
06/07/2021

THIS REPORT HAS BEEN PREPARED BY:

REGIONAL ASSESSOR:
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APPLICABLE STANDARD(S):

ISO 14001:2015
EcoCampus (Platinum)

Client Information

Primary Contact:	Sarah Woodward
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Billing Contact:	As above		
Billing Tel:	As above		
Billing Email:	As above		
Audit Conducted at:	Head Office (multi-site certification) ☒	Participating / Temporary Site (multi-site certification) ☐	Single Site Certification ☐
Audit Conducted as:	Fully On-Site ☐	Split On-Site / Remote ☐	Fully Remote ☒

System integration (integrated audits only):	N/A
Additional information on integration (if required):	N/A
Certificate expiry date(s):	7/08/2023
Required changes to EAC or NQA Codes applied:	No changes required

	At this location	Across all locations (Multisite)
Total employees	5500 aprox.	
Repetitive or parallel workers		
Energy engaged employees		
Energy consumption		
Energy uses		
Energy sources		

Energy data only applicable for ISO 50001 audits. Further guidance available in ASR 47:2.1

The date of the next audit is:	TBC

AUDIT REPORT PART A - EXECUTIVE SUMMARY

Audit Information

Audit duration (in days):	3 days
Scope of certification:	**Provision of Higher Education and related support services at the University of Southampton** Scope is appropriate.

Confirmation that audit objectives have been fulfilled: All objectives met.

If no, which objectives have not been met. Note that customers with installation/service activities within their scope must receive a minimum of one on-site visit once per cycle. Failure to achieve this may result in this activity being removed from the client's scope of certification.

NQA Audit Team		Client	Position	Attendance
Lead Assessor	Mario Terol	Sarah Woodward	Environment & Sustainability Manager	Opening and Closing
Member 1		A.Tewkesbury	Associate Director, Environment & Sustainability	Opening and Closing

** Mandatory attendance at OHSAS18001 / ISO45001 Audits. If these mandatory positions are not present at closing meeting, record and justify reasons in the Executive Summary.*

Details of Changes		
Type of action or change required	**Action Required**	**Notes**
Client Name Change:	☐	
Change of Address:	☐	
Scope Change:	☐	
Contact Change:	☐	
Number of Employees Change:	☐	
Major NCs Raised:	☐	
Special Visit Recommended:	☐	
Other:	☐	

Executive Summary

This audit was undertaken fully remotely. The ICT used in carrying out the Assessment was as follows:

- Microsoft Teams was used for video conferencing. Telephone and email systems were also used
- Assessment objectives were fully achieved via these means
- ICT systems used were fully effective in achieving the Assessment objectives

The system continues to provide the required level of control. The organisation's context is well defined, leadership has been effectively demonstrated and commitment levels are evident. This is reflected in the levels of compliance with requirements and operational control evident at the organisation which are appropriate to the risks and opportunities identified.

There is good availability of documented information to demonstrate that the system is well implemented and well understood throughout the organisation. This audit has involved a review of system administration activities, a review and sample of site activities at BCU Campus, as well as review operational controls records. Evidence was clearly available to demonstrate that the key policy commitments are being adhered to.

Operational activities were generally very well controlled and managed. Site tours, interviews and reviews of documented information demonstrated very good levels of operational implementation and emergency preparedness. UoS waste management processes were clearly demonstrated along with monitoring and improvement activities.

Management of support processes including maintenance of infrastructure with environmental impacts was suitably demonstrated, including supporting records. Strategies and documented information relating to sustainable transport & travel and sustainable procurement arrangements demonstrated effective implementation of the EMS processes in capital procurement and sub-contractor activities.

Positive comments:

- High level of commitment of everyone involved in audit,
- High level of knowledge about what Standards wants and how comply with the requirements.

Grateful thanks are passed to Sarah for her time, assistance and hospitality during this audit.

Major NCs		Minor NCs		OFIs		AoCs	

Is there any conflict of interest which exists between the Auditor(s) and the client, and are there any situations known to them that present themselves, or NQA, with a potential conflict of interest in respect to the audit undertaken.	No.

Audit Conclusion

- This visit was Satisfactory: Continuation or granting of certification is recommended
- No findings have been identified
- Any findings are as detailed on the following page(s).

Audit Follow-up Actions

The following post-audit action(s) shall be taken by the client: No action required.

Please note that certification will not be granted, reissued or revised until all outstanding Non-Conformance responses have been submitted, and in the case of Major Non-Conformances, the evidence of corrective action has been provided to, and accepted by, NQA.

For further information, useful guidance and further support for responding to audit findings, please visit https://www.nqa.com/en-gb/clients/non-conformities

Management system performance, such as trends in audit findings that require further investigation at the next recertification audit.

Mandatory completion at the Head Office Audit of Surveillance Year 2

Detail that the previous Recertification (or Stage 2), Surveillance 1 and Surveillance 2 results have been reviewed and whether there are any trends in non-conformities or other issues which require further investigation at the next Recertification audit.

Audit Findings

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
		No findings were raised	
		End of Findings	

Note: Responses to findings must be sent using the Corrective Action Plan form, as applicable, to caps@nqa.com within the timeframes stated on Page 5.

Closure of Findings from Previous Audit:
Report No. 546327, Dated 20/07/2020

Ref No.	Detail of finding and client action:	Outcome (Closed or Escalated)

	Clause	Summarise Action(s) Taken to Prevent Recurrence	Category	
01	9.2	The audit plan is currently being updated to reflect the actual date of the most recent internal audit carried out **Checked Internal audit schedule UOSEMSR007 (v33, 14/10/20)**	OFI	Closed
02	7.2	There is currently a review being carried out into the capture and retention of the training delivered on environmental awareness to existing and new staff **OFI hasn't been considered**	OFI	Closed

Opening and Closing Meetings

Opening and closing meetings were performed in accordance with Form 335. The objective of the audit was to confirm that the management system had been established and implemented in accordance with the requirements of the audit standards.

Confirmed no changes to system scope.

No significant environmental incidents, enforcements or prosecutions have occurred since the previous audit. No External visits

No unusual operations scheduled during this audit.

No changes to company operations since previous audit.

No major environmental issues with delivering contractual requirements have occurred since previous audit.

Discussed site visit requirements, required a minimum of once per audit cycle, to address any remote activities within scope.

Discussed approach to audit and availability of personnel. Confirmed system scope, discussed and clarified business operations occurring on and off site and within the system scope.

Discussed and justified any inapplicable clauses.

Reviewed certificates.

No significant changes related with management structure since previous audit.

Reviewed previous report. No unusual activities scheduled. No issues arising with adhering to Audit Plan as prepared.

Findings closed out as per previous page(s).

Process/audit area:	Organisational Context (External / Internal issues /interested parties / boundaries and scope / process identification)
Auditees:	SW
Auditor (if applicable):	

Evidence to support audit conclusion:

Discussed and reviewed Organisational Context with SW. External and internal issues identification have been achieved via: UOSEMR13 Organisational Context Register (Version3, 2/07/21), they review this record regularly. They have identified 26 factors, all of them include Potential effects on the Organization, Potential effects on the EMS and Control Measures (if applicable). The issues identified are considered to be relevant to the organisation's purpose and strategic direction. Sampled as follows:

Context Factor	Context Factor	Potential effect on the organisation (risks/opportunities)	Potential effect on the EMS (risks/opportunities)	Control Measure(s)
Political (External)	Brexit	Changes in compliance obligations.	Environmental legislation changes.	Keep informed through environmental forum. LUS service provided upddates to changes in legislation.
	Visas	Ability to recruit international students.	None expected.	N/A
	Planning Regulations	Greenbelt developed. Local population and distribution of staff affects commuting distances.	Commuting distances and mode may change. Opportunity to expand bus provision.	Keep informed on local development plans.
	Political uncertainty overseas	Staff travel restricted by political situations overseas.	Reduction in air travel.	N/A out of scope of EMS. Managed through H&S systems/processes.
Economic (External)	Oil/Energy prices	Increase cost to the University.	Opportunity for the EMS to deliver cost savings.	Changing behaviour (use less) and reporting usage and opportunities for further savings. CMP.
Social (External)	Aging population & baby booms	Variation in student numbers makes planning difficult.	If student numbers increase there would be an increase in absolute carbon emissions (energy demands, waste & recycling and space).	University Horizon Scanning (Strategy, Planning and Analytics).
	Immigration	Potential to effect student numbers.	None expected.	N/A
	Health & wellbeing	As more importance is placed on health & wellbeing of staff and students, green space is valued more, as is building occupant comfort and catering choices.	Green space management opportunities for biodiversity. Environmental features of buildings support occupant comfort e.g. natural light (reduces carbon emissions from lighting). Opportunity to promote sustainable food choices.	Biodiversity plan; sustainable buildings policy; sustainable catering policy.
	Health & Wellbeing - COVID-19 pandemic	Risk to staff and student health and wellbeing and energy consumption. Pandemic brought the closing of campus for several months, where all staff and students were sent home. Campus reopened for essential staff and student who were not able to work from home. Opportunity to change University culture and encourage home working to reduce the need to travel to campus, reducing scope 3 emissions.	Risk - Building space management, need for more internal area to ensure social distancing. Use of temporary buildings to create more space. Increased ventilation necessary to reduce the virus spread, resulting in heating loss in buildings and increasing energy consumption. Opportunity - to reduce the overall size of the campus with staff and students working from home and reducing the need for 100% capacity on campus. This would reduce energy and water consumption and scope 3 emissions in travel emissions.	Initial encouragement of non-necessary staff and students to remain at home, reducing the need for further space required on campus whilst the pandemic is active.
Technological (External)	e.g. solar panels/ electric vehicles/battery storage/comms. There will be changes that if economically feasible the University will adopt to reduce our impacts.	The University carries out research to advance technology – good reputational opportunity. If economically feasible the University will adopt new technology.	Increase or decrease in energy use – depends on use of research equipment and savings the technology may offer.	N/A
Legal (External)	EU referendum	See political context section.		
	Air Quality – bus service	Southampton City Council are planning to place restrictions on emissions from vehicles from 2019.	Travel plan may need to be revised.	Bus operation contract includes requirements for efficient low emission vehicles. From August 2018 all Unilink buses will be fitted with Euro 6 diesel engines.
	Air Quality - deliveries	Local authority places restrictions on emissions which impacts the number of deliveries that can be made to University sites.	The impact this has on staff and students is considered to be beyond the scope of the EMS.	N/A
	Legislation/compliance obligations	In the event that the University is operating illegally or outside of regulatory requirements this may lead to financial penalties and reputational risk. Failure to identify legislation or compliance obligations or changes to legislation or compliance obligations – mitigated by reviewing legal update information (e.g. Cedrec, EAUC updates) and EMS with regular	Major failing of the EMS leading to financial penalties.	Risk mitigated by reviewing legislation update information provided by Cedrec, IEMA for example, by having a clear scope for the EMS and auditing on a regular basis.
Environment (External)	Water and Utilities	Increase cost to the University.	Opportunity for the EMS to deliver cost savings.	Changing behaviour (use less) and reporting usage and opportunities for further savings.
Climate Change (Environment)	Rainfall patterns, average temperatures, flood risk	The effect of a changing climate will have environmental impacts on the University.	Operational procedures include adaptation to climate change.	Emissions to water operational procedure; knowledge of drainage systems; sustainable buildings policy; flood management plans.
	CO_2 emissions	In carrying out its business, the University has an impact on the environment – generation of carbon emissions.	Opportunity to mitigate/reduce carbon emissions through an effective EMS.	Carbon Management Plan
Profitability (Financial)	Investments	University investments maybe stranded if CO_2 emissions caps are enforced.	None expected.	Divest to ethical funds. As of May 2016 the University's endowment investments are managed by Kames Captial with funds being invested in the Kames Ethical Cautious Managed Fund.

Interested parties and their requirements identification has been achieved via: UOSEMSR014 Register of Interested Parties (Version 7, 29/10/18). This spreadsheet includes the following information: Interested party, Needs & Expectations, Compliance Obligations & Control Measures. The Interested parties and their requirements identified are considered to be relevant and comprehensive. For example:

Interested party/Stakeholder	Needs/expectations/requirements	Compliance obligations	Control Measures (actions to manage risks & opportunities)
AUDE (Association of University Directors of Estates)	Participation in Green Scorecard	Not considered to be a compliance obligation.	
Chamber of Commerce	Planning consultee on transport development. Meeting attendance.	None	
Contractors	Clear communication about the University's environmental requirements	None	Managed as per Control of Contractors as per UOSEMSOP009
EAUC (Environmental Association of University and Colleges)	None identified	None	
Environment Agency	Compliance with applicable legislative requirements. Reporting of significant environmental incidents.	Legal Compliance - refer to compliance obligations register	
Funding Bodies (e.g. research councils)	Expectations around facilities such as space, equipment etc.	None	
Health & Safety Office	Collaboration on overlapping topics such as training, hazardous waste.	None	
HEFCE (Higher Education Funding Council England)	Sector carbon reduction target	Yes - obligation to manage carbon emissions	Managed as per the Carbon Management Plan Refer to compliance obligations register
HESA (Higher education statistics agency)	Provision of environmental data as part of annual Estate Management Record (EMR)	Yes - Collect data as required by the return annually in January	Refer to compliance obligations register
League Table Bodies	Access to information – HESA reports & UoS website.	None	
Local Authorities	Travel Plan	Yes - Annual Travel Plan update approved by Southampton City Council	Refer to compliance obligations register
Local Enterprise Partnerships	Solent LEP – infrastructure and transport elements. Funding available for strategic projects.	None	
Local Residence Associations	Statutory consultees on planning.	None	
Natural England	Permission/license for protected species - *ad hoc*.	Legal Compliance - refer to compliance obligations register	
Environmental NGOs (e.g. Wildlife Trusts, Sustrans)	Compliance with applicable legislative requirements.	None	
Public Transport Providers	Engagement with transport providers such as South West Trains.	Travel Plan objectives	
Southampton Energy Partnership	The energy partnership brings together organisations and businesses in the city with high energy usage. Meeting attendance.	None	
South Coast Affinity Group	Proactive membership of group.	None	
Staff	High standard of environmental performance.	None	See roles and responsibilities as defined in EMS Manual.
Students	High standard of environmental performance. Sustainable development part of the curriculum.	None	See roles and responsibilities as defined in EMS Manual.
Prospective students	High standard of environmental performance. Sustainable development part of the curriculum.	None	
SUSU	High standard of environmental performance. Engagement to support student experience.	None	
Suppliers	Compliance with applicable legislative requirements.	None	
Tenants	Variable between tenants and services provided by the University. Properties that provide a high standard of environmental performance.	Energy Performance of Buildings Regulations - refer to Register of compliance obligations	Refer to compliance obligations register
Utility Providers	Using resources responsibly	None	
Southampton Common Forum	To support the biodiversity aims along the boundary between Highfield Campus & the Common	None	N Turvey & A Tewkesbury joined monthly Common Forum working groups, looking at improving the toilet facilities and café, and the transport network through the Common

The system boundaries and applicability have been accurately determined and correctly used to determine the system scope. The EMS includes all clauses of the Standard and the statement is as follows: **Provision of Higher Education and related support services at the University of Southampton**. Organization also has produced UOSEMR015 Boundaries applicability of EMS spreadsheet (V3, 30/06/21) which includes all Halls of Residence, Campuses, Sport centre and other locations under their scope.

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Leadership (Process based approach, risk-based thinking, policy, identification of roles and responsibilities)
Auditees:	RM, SW
Auditor (if applicable):	
Evidence to support audit conclusion:	

Undertook Leadership interview with RM as Executive Sustainable Champion, who comprehensively explained an overview of the organization and current situation (incl. during/after lockdowns). Also, she explained the business strategy to be followed. Discussion included but not limited to:

- New Chancellor (joined in October 2019)
- Developing new sustainable strategy during pandemic (released in October 2020)
- New 6 Goals established as follows:
  1. Achieve net zero emissions for Scope 1 & 2 by 2030
  2. Measure our total emissions footprint and set targets for Scope 3 emissions reductions
  3. Adopt a value-based approach to reduce emissions from business travel
  4. Ensure that sustainability is part of every University education programme by 2025
  5. Make sustainability a cornerstone of UoS' research and societal impact
  6. Implement a sustainable and ethical investment policy
- *Our vision is that by 2030, sustainability will be a part of everything the University of Southampton does: our individual behaviours, how we work together, and how we make decisions for the future.*
- Roadmap to net-zero: Estates Strategy (2020-2030)
  1. Installing onsite renewable energy where appropriate (2020-25)
  2. Conducting energy retrofitting of buildings to make them more efficient and allow them to be powered by green energy inc. replacement of our gas CHP system (2020-30)
  3. Implementing highly efficient standards for the University's buildings and modifying our Estates Strategy in line with these standards (2020-25)
  4. Replacing all end-of-life University vehicles with electric vehicles and making associated investment in charging infrastructure (2020-25)
  5. Setting ambitious targets to reduce Scope 3 emissions and incorporate these into the net zero roadmap (by 2022)
  6. Developing a University-run offsetting scheme (to be used only as a last resort for difficult to control emissions) that focuses on enhancing the biodiversity of our estate and region (2025-30)
- Some new roles related with environmental responsibilities:
  New Sustainability Communication Coordinator & Environmental & Sustainability Program Administrator
- The government announced lockdown in March 2020 and this had a dramatic impact on the University campus, with the majority of buildings needing to close. This change in building use led to reduction in energy and water consumption and reduction in building baseloads
- Waste and recycling have also been disrupted by Covid-19, with periods of the year where recycling was not possible, and all waste was sent for incineration and energy-recovery.

The Environmental Policy statement (reviewed by MS as President & Vice Chancellor on January 2021, draft version), was found relevant to the organization and met all the requirement: commitment to comply with the Standard, Provides a framework for objectives, Commitment to continual improvement, Commitment to the protection of the environment and prevention of pollution, Commitment to comply with compliance obligations, etc.). The Policy is available on SharePoint for internal personnel and Website (Sustainability section) for everybody inc. external interested parties.

Roles & Responsibilities are managed via Register of Roles, Responsibilities & Training Needs, UOSEMSR009 (Version 9, 23/03/2021) where the following information has been included: Role; Key EMS Responsibilities/Activates; Education, training or experience required to meet EMS responsibilities; Competence Achieved (education, training, experience); Evidence (e.g. qualifications; induction; tool box talk; specified job requirement assessed at interview") & Training Required? Sampled the following roles:

- Sustainability Champion
- Environmental & Sustainability Manager
- Energy Manager
- Communications Consultant & Officers
- Campus Services Manager
- Waste & Recycling Manager
- Waste & Recycling operatives

Role	Key EMS Responsibilities/Activates	Education, training or experience required to meet EMS responsibilities *Knowledge- facts, information, and skills acquired through experience or education*	Competence Achieved (education, training, experience)	Evidence e.g qualifications; induction; tool box talk; specified job requirement assessed at interview	Training Required?
University Sustainability Champion (currently held by Dean of the Faculty of Engineering and the Environment)	Chair of the Environment & Sustainability Leadership Group; reports progress of environmental performance and the Environmental Management System to the University Executive.	Understanding of EMS, key performance indicators and progress against objectives and targets.	Understanding of environment & sustainability issues	Reference to Sustainability & Environment in the University's strategic plans	No
Environment & Sustainability Manager	Responsible and authority to establish, document, implement, maintain and continually improve the EMS. Defines and documents the scope of the EMS, in consultation with senior management. Reports to the E&F Board and Environment & Sustainability Leadership Group on the functioning of the EMS. Reports to E&F Deputy Director on progress in implementing the EMS. Represents the environmental programme at meetings. Coordinates and documents environmental reporting. Identifies and prioritises environmental aspects and impacts. Coordinates the setting of objectives and targets. Organises the environmental management plan. Assigns roles, responsibility and authority and informs individuals about their obligations including suppliers and contractors. Works with others to review and enhance working practices to deliver services that protect and improve the environment. Manages the environmental training programme. Elected point of contact for all internal and external environmental communications/issues. Manages all internal and external environmental enquiries, including those submitted using the sustainability email address (sustainability@soton.ac.uk). Compiles, updates, approves, controls, stores and distributes documents such as procedures to those involved including suppliers and contractors. Ensures all relevant compliance obligations are identified, listed and updated. Checks that the institution complies with compliance obligations Organises the programme of internal audits and management reviews. Ensures internal EMS auditors are appropriately trained. Tracks implementation of the recommendations/corrective actions from audits and E&F Board and Environment & Sustainability Leadership Group meetings. Investigates non-conformities and where necessary identifies corrective and preventative actions to protect the environment. Revises procedures, instructions and other EMS documentation. Coordinates external audits as required.	Training and engagement techniques, in depth EMS Knowledge. Legal knowledge.	3 years experience in environmental management; Training for IEMA internal auditing; Energy Management in Building Services training	Job description; IEMA Operational Management certificate	Regular legal updates (LUS web portal EAUC; Environmentalist magazine) Internal Auditor ISO 14001:2015
Energy Manager	Manage systems to control, monitor and report energy and water use Implement projects to reduce energy and water consumption and carbon emissions Responsible for collating CRC evidence/reports and DEC Certificates.	DEC related legislation and CRC requirements. Knowledge of on-going performance against carbon targets. Knowledge of building services and meters; analytical skills	10 years experience of energy management; BSc in Marine Geography; CIBSE training; demonstrated knowledge of energy legislation	Energy Efficiency Buildings Regulations Part L (June 2015) CIBSE Energy monitoring & targeting (April 2017)	General personal development and keeping up to date with buildings services technologies and legislation (EAUC).
Communications Consultant & Officers	Responsible for coordinating awareness raising activities, communicating performance against objectives and targets to staff and students. Advises on keeping sustainability pages of the website up to date and ensuring the latest policy and other strategy documents are communicated on the web pages. Responsible for keeping communications details up to date for internal and external contacts.	Experience of using different communications channels; experience of writing for a variety of audiences; ems awareness training	Demonstrated experience of writing for different medias on environment/sustainability topics e.g. SUSSED posts, Twitter posts.	Role outputs demonstrate competence	EMS awareness - ISO 14001:2015
Campus Services Manager	Setting up and managing waste & recycling contracts; developing & reporting waste & recycling objectives & targets; EMS Waste Management Operational Procedure; Maintaining records to demonstrate duty of care; Manages Waste & Recycling Manager and Landscape Services Manager	Experience of managing contracts; Knowledge of on-going performance against waste targets; Knowledge of waste operational control procedures and emergency response; legislation	10 years experience of waste management; spill response training	EMS Awareness Certificate (2006); internal audit reports; Spill Response E&F Training Records database	Keeping up to date with waste & recycling regulations and requirements via EAUC, CIWM weekly bulletins
Waste & Recycling Manager	Responsible for team of waste & recycling operatives. Coordinating waste transactions, disposal and collection of waste from across the University. Stores Waste Transfer and Consignment Notes.	Knowledge of waste regulations/duty of care, knowledge of on-going performance against waste targets. Knowledge of waste operational control procedures and emergency response.	CIWEM Chartered Membership; spill response training	Full Member CIWM May 2016 (1006271); Spill Response E&F Training Records database	Keeping up to date with waste & recycling regulations and requirements via EAUC, CIWM weekly bulletins
Waste & recycling operatives/porters/domestic services/catering staff/iSolutions	Responsible for the collection, transport and disposal of all waste streams including hazardous wastes.	Knowledge of waste operational control procedures and emergency response	Waste segregation training provided as part of induction to role; Toolbox talk - SUEZ	Induction records; Spill Response E&F Training Records database	
Landscape Services Manager	Manages Landscape Services Team, implements Biodiversity Plan, ensures compliance with biodiversity legislation & regulations. COSHH.	Experience of land management. Knowledge of biodiversity legislation; herbicide & pesticide regulations; managing chemicals (COSHH). Knowledge of native and invasive plant species; knowledge of EAUC principles of habitat management. Spill response training.	Variety of land management experience (including safe use of chemicals). Spill response training.	Job description & role appointment. Demonstrated knowledge of biodiversity & pesticide legislation; annual review and report on Biodiversity Plan; application of better management approaches for biodiversity (e.g. reduce frequency of grass cutting). E&F training records.	Keeping up to date with regulations (EAUC).

This spreadsheet also includes another tag Group Roles & Responsibilities which includes the following: University Council, University Executive, Environment & Sustainability Strategy Committee, Estates & Facilities Board & Carbon Management Steering Group.

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Performance Evaluation and Improvement Processes
Auditees:	SW
Auditor (if applicable):	
Evidence to support audit conclusion:	

Management Review

Verified the latest Management review reports held on June 2020 & June 2021. The last one reviewed the performance against targets from October 2019 to September 2020 and reference was made to the EMS until May 2021. All the inputs and outputs are met. Eg:

- Audit results and findings.
- EMS Changes
- Risk & Opportunities
- Objectives & Monitoring
- Performance against targets
- Communications
- Continual improvement
- Etc.

Internal Audits

This process is defined within UOSEMSP010 Internal audit (version 7, 17/06/2020).
Verified Audit Programme 2020-2021 (from September 2020 to July 2021), due to Covid-19, there are some audits that have been delayed until August or September when they start going on site. Apart from that, they also have Environmental audits conducted by LOREUS as follows:
The audit covered the following areas/clauses:

- Progress towards the goals of the Sustainability Strategy
- Communication
- Operational planning and control
- F-gas compliance
- Boiler servicing
- Emissions to water
- Energy monitoring
- Procurement
- Environmental incidents and non-conformities.

The audit was conducted remotely on 27-28th April by AH. Two OFIs were raised:
OFI 1. The new sustainability e-learning module would benefit from referring to the university's Environment & Sustainability Policy.
OFI 2. The drainage plans that form part of the 'grab pack' for Highfield Campus should be updated and re-issued.
Previous LOREUS audit was conducted on 26/11/20. 8 OFIs & 21 Minor NCs were raised. All of them now closed.
All the findings are registered in the UOSEMSR012 Register of NC (there's a tag for OFIs, see below NC section)

Non-Conformity and Corrective Action

Regarding Non-conformances, organization manages their findings (raised during Loreus or Internal Audits audits) via UOSEMSR012 Register of NCs. Checked the Open NCs as follows:

Date raised	Ref	Action by	Type	Non-conformity related ISO14001 clause	Description	Status	Action taken	Target completion date
14.11.2019	EA-Nov-2019	N.Turvey	Minor NCR	7.3 Awareness	The company is not fully compliant with the clause detailed, in that: There's no evidence that organization had provided Training related Emergency preparedness and response. Induction training in order to ensure all persons doing work under organization's control are aware about EMS requirements	OPEN	EMS and spill response training delivered to staff on 22.01.2020 as documented in UOSEMSR008. Attended by Building Managers. No training delivered since due to COVID-19 and campus shut down. This will resume once back onsite. Focus is to include EMS as part of induction training. This will be closed when this has been built into the delivery programme. Spill test carried out at B.53 on 07.07.20 with success. Plan to create online training programme to be rolled out with induction. Sustainability training almost complete. Awaiting approval and sign-off. Sustainability training due for release on 10th May. 16/06/2021 - E-learning postponed until August 2021	15.08.2021
18.05.2020	Loreus Ltd - Alex Hobbins - Internal Audit	S Woodward	Minor NCR	6.2 Environmental Objectives	The 'Sustainable Buildings Policy' was last updated in 2013 therefore its commitments are likely to be out of date.	OPEN	Since April 2019, there have been monthly meeting to discuss the Sustainable Buildings Policy and how it should be taken forward. Discussions have included adopting a Passivhaus approach to new buildings in order for them to be more energy efficient. The new policy is in the initial drafting stage and will need to be checked by John Duff and Karen Baroni prior to completion. The NCF will be closed when the policy has been finalised and updated. 01/06/2021 - Email to Karen Baroni to discuss updating the Sustainable Buildings Policy 02/06/2021 - Discussion between SW and KB	15.07.2021
22.01.2021	West Stream pollution	S. Woodward	Minor NCR	4.4.6 Operational Control	Pollution found in West Highfield Camus stream, causing coloured water and bad smellls. Following water sampling, water is contaminated with foul sewage, but is not the sole cause. Water sampling reported that the stream is contaminated upstream of the University and is likely to be the primary source of the issue.	OPEN	Need to further investigate the condition of the foul drain and large grease trap between B18 and B42 as contamination from these sources could be transferring to the surface water drain that runs through the area. SW emailed Dan Hopggod for an update 16/04/2021. Update on 20/04/2021 from DH - Order placed for emptying and inspecting the grease trap tank at B.42. These are investigative works, looking for a source of contamination from the large foul water tank in the service road at building 42. If a problem is found, then a follow on set of works would be done to reduce the ground contamination – which would in turn hopefully reduce the problem in the stream. 28/04/2021 - Confirmation from MetroRod that they will be attending site on 6th May to carry out works 06/05/2021 - Metrorod attended site for tank inspection. Update from DH 07.05.2021 'The main tank has a small defect, but his is not considered sufficient to cause a structural or leakage problem. There are however defects in the associated pipework that are putting foul water in the ground and causing contamination – which could be extending to the surface water pipework to the stream. Metrorod are going to write up their findings, but from seeing the issues myself yesterday, I think the cost of the defect correction works are about £5k.' Works have now been planned to correct defects and are due for	31.07.2021
01.07.2021	B.53 tour	S. Woodward	Minor NCR	8.1 Operational Planning and Control	During tour of Building 53, it was shown that there were no data sheets availale for the chemical store. This is against the Hazardous Material and Oil Storage Procedure UOSEMSOP008.		01.07.2021 - Data sheets not available during tour. Facilities Manager was notified during the tour and would rectify. 05.07.2021 - Email sent to Facilities Manager requesting issue be rectified and photographic evidence to be sent once completed. Will be checked in future audits also.	30.07.2021

Also, verified the Open OFIS as follows:

Date raised	Raised by whom? Where? When?	Responsibility	Recommendation Type & Description	Progress	Action taken	Target completion date	Date complete
26.11.2020	Loreus Ltd - Alex Hobbins - Internal Audit	S Woodward	It was noted that most of the commitments listed within the Environment & Sustainability Policy, July 2019 are reflected by the 6 goals within the Sustainability Strategy 2020-2025, therefore it would be prudent for the policy to be updated to reflect these. In addition, it is recommended that the term 'continuous improvement' is amended to 'continual improvement'.		12/01/2021 - Draft Environment & Sustainability Policy for 2021, reflecting Sustainability Strategy Goals. Awaiting draft policy sign-off 24.06.2021 - Chased AT regarding status of policy sign-off.	15.07.2021	
27.04.2021	Loreus Ltd - Alex Hobbins - Internal Audit	S Woodward	The new sustainability e-learning module would benefit from referring to the university's Environment & Sustainability Policy.		27.04.2021 - Email from SW to Tamsyn Smith regarding e-learning, requesting for the policy to be added to the e-learning. 24.06.2021 - Policy has been added to the training. Training to be launched August 2021.	31.08.2021	
27.04.2021	Loreus Ltd - Alex Hobbins - Internal Audit	S Woodward	The drainage plans that form part of the 'grab pack' for Highfield Campus should be updated and re-issued.		29.04.2021 - Update from DH to SW - 'The location of the services as revised on the as built drawings needs to be transferred to the master drawings I was showing at the audit yesterday. Rob Jobber has agreed to do the work – but it hasn't been done yet and will take a few weeks to complete because of Rob's other workload.' 05.07.2021 - Chased Dan Hopgood.	15.07.2021	
01.07.2021	B.53 tour	S. Woodward	The external chemical store for chemicals awaiting collection were stored on a bund, but a few bottles were double stacked. Suggested purchasing additonal buding for when quantities of chemicals awaiting collection are high.		05.07.2021 - Email sent to Building's Facilities Manager, requesting additional bunding.	31.08.2021	

If an Environmental Incident occurs this should be treated via UOSEMSR004 Register of Environmental incidents (Version 62, 14/05/20). 2 environmental incidents have been recorded in 2021. Sampled as follows:

Date of incident	Status	Type of incident	Location	Category	Reported by	Description	Containment Action	Root Cause Analysis	Long term corrective action	Has this incident been raised as a NCF? Ref?
10/03/2021 - reported 20/03/2021	Closed	Biodiversity - Hedgehog	Boldrewood Pond	3	Anna Cooper, student and member of the hedgehog-friendly working group	Two hedgehogs have died in the Boldrewood empty reflection pond. Robert Tromans, plant engineer who found the hedgehogs, has tried installing a temporary ramp, but this keeps failing.	22/03/2021- SW forwarded query to Jason Wyatt, asking that duck ramps be put in all ponds, allowing hedehogs to escape if they fall in.	No duck ramp in the pond that the hedgehogs fell into	Duck ramps should be installed into all ponds 24/03/2021 - Reply from Jason Wyatt - Planon request that ramps be put in all ponds, including Boldrewood 26/03/2021 -Duck ramps have been installed - with photographic evidence.	No
21/04/2021	Closed	Biodiversity - Bee swarm	Avenue Campus Covid Testing Centre	3	Dan Hopgood, Infrastructure Manager	Email from DH- 'I've had a call from Rebecca Norton of Southampton City Council Emergency planning team, who has informed me there is a swarm of bees at the Covid testing centre at the university Avenue Campus. As of now, the swarm is causing a problem for test operations there. The hope is the bees will move on overnight, but Rebecca is trying to cover all the bases in terms of next steps if they don't. The pest control team say the swarm is of honey bees and it really needs a bee keeper to intervene. I'm therefore putting out a plea for help regards who could deal with these bees if required tomorrow.'	22/04/2021 - Email from SW to DH requesting update. 22/04/2021 - Reply from DH - 'Bees were still there at 11am today. Southampton City Council managed to get a beekeeper to site this morning, but there was an issue of getting the bee box to height. The fire brigade were called by Mitie and attended and were hoping to get progress this afternoon.' 22/04/2021- 15:52 - Email from DH to SW - 'The bee keeper was able to get access with assistance from the fire service – who according to SCC have been "incredibly helpful". The number of bees still on site has considerably reduced - apparently the queen has gone, although there are still lots of bees around. Apparently the scent of the queen lingers and that means bees hang around – although the fire service have hosed surfaces down.'	Chosen resting site of bee swarm	Freak of nature, no corrective action required	No

Evaluation of Compliance

Evaluation of Compliance is made through a number of ways:

- Internal Audit process (In addition of EMS, they check legal compliance (if applicable, such as FGAS, Boilers, TM44, Discharge consent, etc.)
- LOREUS audits. These audits are focused in EMS but incl. Compliance elements too.
- Legislation Update Service (LUS portal) from where they manage both Aspects and Legal Compliance

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Planning
Auditees:	SW
Auditor (if applicable):	
Evidence to support audit conclusion:	

Risks and Opportunities

Organization has identified its Risks & Opportunities via different records: Organizational context, needs and expectations of interested parties, etc (see above Organisational Context section for further details). In addition, the following Risks/Opportunities have been collected within the MR report:

Risks:

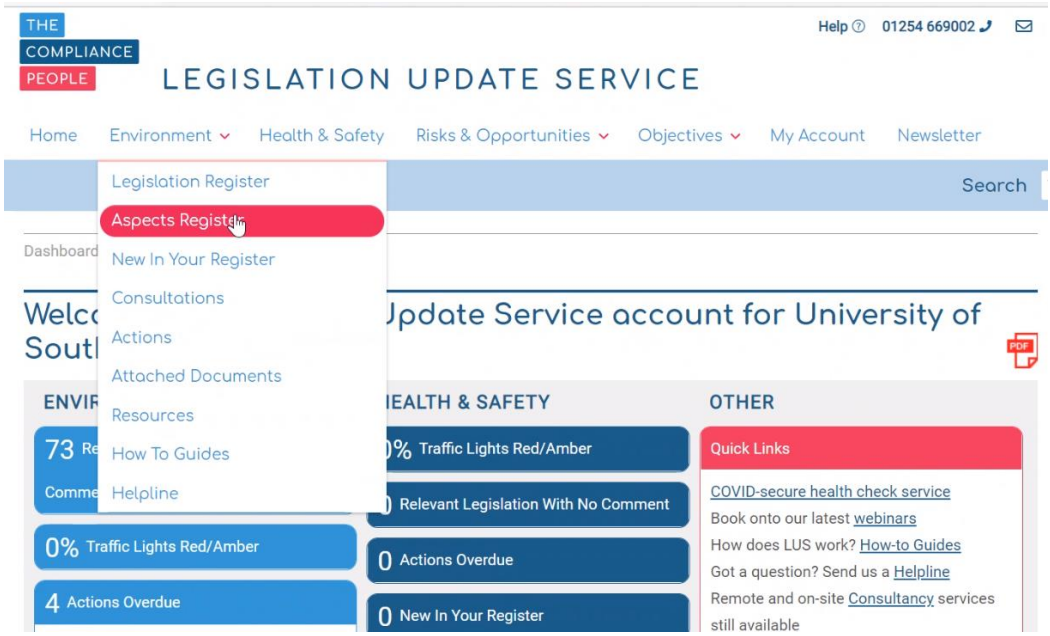
- Competition for funding to make energy / building improvements.
- Significant budget impact from the COVID-19 pandemic.
- Require increased and improved project coordination to ensure progress towards electricity, gas and water reduction targets.

Opportunities:

- Increased cross departmental working, between Mechanical Engineers, Planners, Building Managers, Academic Faculties, Energy, PMU & Sustainability Manager
- Faculties to set up sustainability working groups
- Increased awareness campaigns through monthly reports to site managers on electricity usage & waste & recycling breakdowns
- Opportunities to build upon behaviour change actioned in response to COVID-19 pandemic

Environmental Aspects and Impacts

University manages this process via Legislation Update Service, LUS portal. Legal compliance is also controlled through this portal.



The Aspects Register considers normal, abnormal & emergency conditions. Aspects and Impacts are identified along with their action plans and relevant legislation. Both addressed at central levels. Most of them are related with Objectives and Targets set. They have identified 59 aspects from the following areas:
Air Emissions (11), Community Issues (3), Energy (5), Land Contamination (7), Release to water (6), Waste (9), Abnormal & Emergency (6), etc. Checked one of the highest rated (identified as significant) as follows:
TRAVEL COMMUTING MILEAGE (324)

- Operating Condition: Normal
- Aspect description: Commuter miles run the 100K annually at UoS
- Associated Env Aspects: Use of non-renewable resource, Degradation of land, Global warming, Climate change, Ozone depletion, Traffic congestion, Air pollution, etc.
- Aspect Category; Air Emissions
- Life Cycle stage: Transport/delivery
- Relevant Legislation: The Clean Air Act 1993, The Air Quality Standards Regs 2010 & The Cleaner Road Transport Vehicles Regs 2011
- Significant evaluation inc. Quantity + Env Impact + Compliance Obligation + Interested party + Current Control Measures + Improvement potential = 324, Significant

The Life-cycle approach is considered during the assessment of aspects. Also, they have included Covid-19 as Temporary aspect as follows:

Temporary 4

Significant	Aspect Title	Lifecycle Stage	Operating Condition	Relevant Legislation	Actions Complete	Actions Pending	Actions Overdue	Last Modified	Attachments	Score
	COVID-19 - Increase in single-use plastics	Use of product/service	Abnormal	WAS1, 1990 c.43	0	0	0	11/06/20	0	48
	COVID-19 - Increase in clinical waste	Final disposal	Abnormal	WAS1, SI 2011/988	0	0	0	11/06/20	0	12
	Temporary buildings on campus	Use of product/service	Abnormal	CCA 2008 - ATM47, EA 2008 - ATM48	0	0	0	04/11/20	0	6
	COVID-19 - Use of portaloos onsite	Use of product/service	Abnormal	LAN1, IPC1.2.1, 1990 c.43	0	0	0	11/06/20	0	2

ADD ASPECT

Compliance Obligations

As regards Legal compliance, again, it's managed via LUS portal. The following relevant environment legislation has been considered: Pollution, Air, Water, Waste, Energy & Climate Change, Hazards, Planning, Wildlife, Land, Nuisance, etc. With the subscription, they receive monthly emails with all legal updates in order to keep this register updated. Checked the applicable regulations for Water and Land contamination as follows:

▼ Releases to Water

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Significant	Aspect Title	Lifecycle Stage	Operating Condition	Relevant Legislation	Actions Complete	Actions Pending	Actions Overdue	Last Modified	Attachments	Score
	Water - mains water usage	Use of product/service	Normal	WAT41, WAT45	0	0	0	30/10/19	0	72
	Waste Management - disposal of liquid RAS to sewer	End of life treatment	Normal	E- SI 1989/1156	0	0	0	01/11/19	0	36
	Water - natural flood	Use of product/service	Abnormal	SI 2018/1074 (W.224)	0	0	0	01/11/19	0	24
	Water - discharge of surface water	Use of product/service	Normal	WAT28, LDA1991, WAT41	0	0	0	01/11/19	0	24
	Water - disposal of sewerage	End of life treatment	Normal	E- SI 1989/1156	0	0	0	01/11/19	0	24
	Catering - the storage & disposal of waste cooking oil	End of life treatment	Normal	CPA 1989	0	0	0	01/11/19	0	12

ADD ASPECT

▼ Land Contamination

SARAH WOODWARD
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Significant	Aspect Title	Lifecycle Stage	Operating Condition	Relevant Legislation	Actions Complete	Actions Pending	Actions Overdue	Last Modified	Attachments	Score
	Waste Management - recycling waste	End of life treatment	Normal	SI 2011/988	0	0	0	01/11/19	0	162
	Catering - Food & drink purchasing	Use of product/service	Normal		0	0	0	30/10/19	0	108
	Biodiversity - land mangement of sports grounds and green areas	Use of product/service	Normal	WIL1, WA 1959	0	0	0	05/05/20	0	72
	Chemicals - pesticide use	Use of product/service	Normal	HAZ2, SI 1986/1510	0	0	0	05/05/20	0	72
	Oil - Management of oil spill	Use of product/service	Emergency	WAT13	0	0	0	01/11/19	0	36
	Waste Management - clinical/ biological spillage	Use of product/service	Emergency	WAT1, 1991 c.56, E- SI 1989/1156, WAT13	0	0	0	30/10/19	0	24
	Waste Management - waste oil spill	Use of product/service	Emergency	CPA 1989	0	0	0	30/10/19	0	18

ADD ASPECT

Objectives

The Environmental Objectives are aligned with their Environmental Policy which includes the following Sustainability areas: Biodiversity, Carbon, Climate change, Education for sustainable development, Engagement, Environmental Management System, Pollution prevention and legal compliance, Procurement, Sustainable Buildings, Travel, Waste and Water. This spreadsheet includes the following information: KPIs, targets, Progress/results/evaluation/comments, Actions & Responsibility.
Sampled and checked the following areas (last update v35, 25/11/20):

#	**Sustainability area** *objectives are grouped into different themes in line with environmental aspects and compliance obligations*	**KPI** *an indicator that provides information about the performance of the organisation*	**Target** *detailed quantifiable performance target to be met in order to (help) achieve objective*	**Progress/results evaluation comments**	**Actions** *Activity required to meet target & resources required*	**Responsibility**
Goal 1	**Sustainability Strategy 2020-2025**	Tonnes Scope 1&2 carbon	Achieve net zero emissions for Scope 1 & 2 by 2030	Implementation workshops set up with staff - to start in 2021 April 2021 - Draft 'Road to net zero' report under review - A workshop of attendees took place on 19th March and addressed; the future of our estates, the future of the CHP, building modelling and fugitive emissions of our activity. Ideas from the workshop fed into actions which are progressing. Carbon reduction report has been signed out by Implementation Group and will be taken to Strategy Group. June 2021 - Confirmed switch to renewable electricity tariff, starting 1st June		SIG
Goal 2		Tool of measurement and targets sets	Measure our total emissions footprint and set targets for Scope 3 emissions reductions	Implementation workshops set up with staff - to start in 2021 April 2021 - Deadline for developing is the end of August and additional support is required. June 2021 - Trends report to be published each year. Meetings to discuss GHG protocols with relevant staff have been scheduled. New Head of Sustainability to be funded through SUSU.		SIG
Goal 3		Tonnes CO_2 from business travel	Adopt a value-based approach to reduce emissions from business travel	Implementation workshops set up with staff - to start in 2021 April 2021 - Communications strategy needed at high level for business travel and a targeted comms strategy for most frequent travellers. A comms piece is being developed to incentivise people to take ownership of their international travel. June 2021 - Paper to be written in preparation for restarting international travel. Preparations underway for comms strategy with business travel.		SIG
Goal 4		Embedded in education programme	Ensure that sustainability is part of every University education programme by 2025	Implementation workshops set up with staff - to start in 2021 April 2021 - Four student interns are conducting an audit of the curriculum against the SDGs, which will enable a refresh of milestones and deadlines with Goal 4. Production of the e-learning mmodule is progressing, to be available for staff and students. June 2021 - Core targets remain on track but a refreshis needed. Integration of sustainability into UG programmes is happening, but is not being captured.		SIG
Goal 5		Research in sustainability	Make sustainability a cornerstone of UoS' research and societal impact	Implementation workshops set up with staff - to start in 2021 April 2021 - Baseline data has been collected from RIS and the Library colleagues. June 2021 - Mark Spearing has received a draft proposal for the Sustainability and		SIG
Goal 6		Reporting on investment decisions	Implement a sustainable and ethical investment policy	Implementation workshops set up with staff - to start in 2021 April 2021 - The Fossil Fuel Audit Report has been completed. The Investment Committee has completed the Aims, Beliefs and Constraints questionnaire which is due for discussion on 30th April. June 2021 - Plans continue to rewrite the investment policy and begin to move funds into investments which align to sustainability goals. Approval in September 2021.		SIG
1	**Biodiversity**	Biodiversity Action Plan	Implement measures in the Biodiversity Action Plan	Monitored through the Biodiversity Committee, with reported progress to date on objectives as set out by the Biodiversity Plan **2019/20**: BioBlitz celebrated online due to COVID-19 in collaboration with the Science and Engineering Festival Work in collaboration with a student-led hedgehog group to improve hedgehog awareness on campus 2020/21: Biodiversity plans for landscaping redevelopment at Monte A+B. Wildflowers to be planted, along with hedgehog corridors, bird boxes, insect habitats and insect-friendly plants. BioBlitz event in June in collaboration with SUSU summer festival. Species montiroing with Jake Snaddon, promotion of the iNaturalist app, beach clean equipment and Hedgehog-friendly campus team.	Implement Biodiversity Action Plan actions	The Biodiversity Committee
3	**Climate change**	Reduce the flood risk across our Estate	Reduced number of flood incidents across our Estate	**2015/16**: 88m3 tank under engineering square; Chamberlain halls attenuation tank **2016/17**: **2017/18**: Centenary Building - attentiuation tank installed **2018/19**: Autumn 2019 - Highfield Campus segregates surface & foul sewerage flows **2019/20**: Works at Valley Gardens to improve the embankment. Debris grates cleared regularly by team to improve river flow. 2020/21: Heavy rainfall in October 2020 led to flooding incidences across Highfield campus	~Drainage Ops Team upload 'drainage intervention works logs' with any remedial works onto Planon. ~Infrastructure Mgr will review planon logs to carry out corrective actions ~Reviewed approx. every 6 months ~PMU install SUDs with all new build developments ~Valley Gardens embankment stabilisation	Infrastructure Manager
		WSA Flood Management Plan	Maintain the Winchester School of Art Flood Management Plan	2019/20: Updated Flood Management Plan for WSA drafted June 2020 - awaiting approval April 2021 - WSA Flood Management Plan has been signed off by MW and sent to WSA.	Carry out a test of the planned emergency response.	WSA Mgmt Plan is part of Facultys wider Contingency Plan
		Climate Adaptation is referenced within Business Continuity Planning	UoS **Corporate Business Continuity Plan** references severe weather risks & climate change adaptation measures	**2017/18**: Established Business Continuity Committee **2018/19**: **2019/20:** Business Continuity Committee is chaired by Ian Dunn, meeting 2 x yr strategically, and 4 x yr operationally. There are a series of plans: - Business Continuity Strategic Plan - due for renewal on Jan 2020 - Pandemic Plan - Crisis Mgmt Plan - Adverse weather Policy - managed by H & S covering flood, snow, heat - Contingencey Plans - developed by each Faculty & Directorate, based on 0- - - Corporate Plan - Business impact Assessments (B.I.A) - cover a wide range of impacts & recovery rates (Directorate Dean ensures accuracy) 2020/21: WSA flood management plan updated April 2021	Health & Safety Director chairs bi-monthly Business Continuity Meeting Minutes are storedon Business Continuity sharepoint site	Director of Health & Safety

Also, the performance against targets October 2019 – September 2020 were checked as follows:

Objective	Monitoring
Biodiversity: Maintain & where possible enhance habitats for the benefit of people & wildlife	Biodiversity Action Plan in use by Biodiversity Group, monitoring progress and promoting continual improvement. In collaboration with the organisation 'British Hedgehogs Preservation Society' a team of enthusiastic staff and students worked from May 2020 onwards to achieve bronze certification for a Hedgehog-Friendly Campus. This was awarded due to online engagement activities, collaboration with the Landscaping Team and organised litter picks to help hedgehogs thrive in the local environment. Due to covid-19, the 2020 Bioblitz was online and in collaboration with the Science & Engineering Event SOTSEF. The event gave weekly actions and tips for improving biodiversity at home.
Education for Sustainable Development: Sustainability course content; using the campus as a resource for learning	Intern placement within the Environment and Sustainability Team from September 2020, focussing on communicating sustainability activities with students Academic and student representation on operational working groups, including: Biodiversity Working Group, SUSU Sustainability working group, Hedgehog-Friendly Campus group.
Engagement: Engage students & staff and the community on the principals of sustainability	Use of communications portals such as Sussed and Staff Matters to promote sustainability stories to staff. With staff working at home in the latter part of this reporting year, articles included, sustainability and campus in lockdown, information on ISO14001 audit, positive changes from lockdown and articles promoting sustainable travel. Since the COVID-19 outbreak, newsletters have been circulated within the Estates and Facilities team, sharing stories and communications Social media has been used to promote national events, such as World Environment Day, to share photos of the campus in lockdown, images of thriving biodiversity, as well as engagement with the BioBlitz online event.
Environment Management System: Continual Improvement and Enhanced performance	In July 2020, the EMS External Recertification Audit was successful, receiving only two Opportunities for Improvement and zero Non-Conformities. This was conducted remotely during to covid-19. Between 6th-8th July 2021, is the next external audit, which will also be conducted remotely. Across 2020, internal audits were conducted in January, May and November.
Procurement: Manage our supply chain by considering the economic, ethical & environmental impacts & whole-life costs of purchasing decisions	The Procurement Sustainability Working Group met regularly until January 2020, but this group was paused at the start of the covid-19 pandemic. The group was reinstated in March 2021, making progress through the development of a Flexible Framework Sustainable Procurement Tracker. This enables to team to demonstrate how they are adhering to each stage of the Flexible Framework to push continual improvement. The grading levels are from 1-5, with current working practices shown to be at Level 3, which is recommended for ISO14001 standard. The team are now working towards levels 4 and 5.

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Support Processes
Auditees:	SW
Auditor (if applicable):	
Evidence to support audit conclusion:	

Communications

Organization still using the USEMSP004 Communication procedure (without any significant change), where the University has defined different kind of communications between staff, students and rest of their interested parties. Checked the following records where they gather all their comms:

- USOSEMSR005 Register of External Communications (Version 15, 4/11/19)
  - 27/06/21 (Incoming). Local resident has comments regarding the university campus.
  - 29/06/21 (Outgoing). Email from SW to SM at Southampton City Council about promoting hedgehog care outside of the Campus
  - 21/05/21. (Incoming) Interest from PhD student at Lancaster University in collaborating on reviewing energy data at the University.

- USOSEMSR006 Register of Internal Communications (Version 38, 12/05/20).
  - 15/06/21. (Outgoing). Social Media. Picture of Valley Gardens in the sunshine
  - 8/06/21. (Outgoing). Social Media. Celebration of World Oceans Day and promotion of SUSU Sustainability Day in Bar Three in SUSU
  - 26/02/21. (Outgoing). E&F Newsletter. Article to all Estates and Facilities staff celebrating being awarded Hedgehog Friendly Campus status in E&F newsletter

The following meetings and workshop groups (and minutes) have been checked:

- SIG (Sustainability Implementation Group Meeting). Monthly meetings (7/06/21)
- Sustainability Chemistry Group (twice per month). They discuss how to make Chemistry more sustainable
- The future of CHP (monthly first one held on 9/06/21. There is a need to align all academic work and identify if/where external support is required0.
- Halls, Environment & Transport meeting Points (Quarterly, 15/05/21)

Also, the following means of communications are used:

- Notice boards across the Campus
- Website & Intranet
- Social Media
- Monthly electronic Magazines (with Env/Sustainability section, articles about Halls sustainability fortnight; Hedgehog friendly Campus; Food into energy, etc.)
- Sustainability Calendar where they set the different campaigns inc. key message, media, frequency, owner, etc.

Training & Awareness

According SW explanations, University still maintains same documented information as previous years, For instance, USEMSP003 Competence and awareness procedure (Version 11, 17/06/20). Due to Covid-19, USOSEMSR008 Register of environmental training records has not been able to be kept up to date as usual and 1 NC was raised as a result of that.

As regards induction for new starters, they have created a new online course (Southampton Sustainability Solutions, 3 hours) which will be launched in August 2021 and will replace the previous Induction Plan.

The following records / certificates were reviewed:

- Environmental awareness & spill response training attended by – DM, DK, CT, RS, LL & SB
- EMS Awareness training to senior team 22/01/20 – reviewed power point presentation
- Environmental awareness & hazardous material spill response training 30/01/2018 to building / site teams – reviewed power point presentation
- Introduction to Sustainable Procurement 8/07/20 – attended by CC
- Introduction to Sustainable Procurement 22/07/20 – attended by VJ
- Introduction to Sustainable Procurement 8/06/20 – attended by MG
- Fire warden training – AA (22/01/20); CO (22/01/20); SH (12/02/20); PS (29/01/20); JF (29/01/20); EC (26/02/20); GH (22/01/20); JB (2/01/20); etc.

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Sustainable Transport & Travel Plan
Auditees:	AT
Auditor (if applicable):	

Evidence to support audit conclusion:

Discussion about the area and activities involved in it with AT was held. They are still focused on providing the best and most efficient access to the University, both for students and employees, favouring and promoting the use of public transport, shared vehicle, access by bike or on foot to reduce the impact of CO2 emissions. Because of the pandemic, monitoring data during these months hasn't been easy (no travels or drastic reduction, no access to University due to restrictions, etc.). In addition, they have noticed a big change in the behaviour of the users so, for the moment, they are in a period of change until the beginning of the next course (September 21).

The long-term Travel Plan (Version 7, March 2019) still in place, where they set the objectives, actions, targets, principles, approach and benefits. This plan is usually reviewed every 6 -12 months, again, because of the pandemic is still WIP, last update Feb 2019). All the documents involved in this plan are available on the website, section Transport:

- Full University of Southampton Travel plan
- Action plan summary progress
- Action plan completed objectives
- Action plan Active objectives

New initiatives they are working or need to work on it:

- Moving their fleet to Electric Vehicles
- Consider keep flexible working from home (key element in the new Strtegy0
- Staff & Students Travel Surveys (they'll start to use them from September 21)

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Servicing records & Leak testing
Auditees:	GJ
Auditor (if applicable):	

Evidence to support audit conclusion:

Interview with GJ as Electrical Operations Manager was held, who explained a brief summary about their daily work and the way to manage the paperwork via PLANON system. All inhouse/external works records are kept and located on this platform; any incident is also kept there. The following maintenance/service records were checked:

- Building 53
  Boiler: S/N 5776968; Engineer report No. 82273537 provided by Weishaupt on 10/05/21
  Chillers leaking test provided by COOLTHERM every 3 months.
  No.1: S/N CTC17006/1 - R134A – 1/04/21
  No.2: S/N CTC17006/2 - R134A – 1/04/21
  Asset No. 15513 (Generator, S/N 00316221) Service Sheet provided by VERTIV on 30/04/21

- Building 85 (Life Sciences)
  Chillers leaking test provided by COOLTHERM every 3 months.
  No.1: S/N 12W910482 - R134A – 24/03/21
  No.2: S/N 12W910481 - R134A – 24/03/21
  No. 3: S/N OV11-01217/10/1 – R140A – 24/03/21
  Asset No. 28794 (Generator, S/N 00316221) Inhouse service Sheet in June 21 by DJM

- Building 100
  Boilers: S/N 1830000269; Annual service provided by ANCHOR on 8/01/21
  S/N 1830000265; Annual service provided by ANCHOR on 8/01/21

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Waste & Recycling
Auditees:	MT
Auditor (if applicable):	

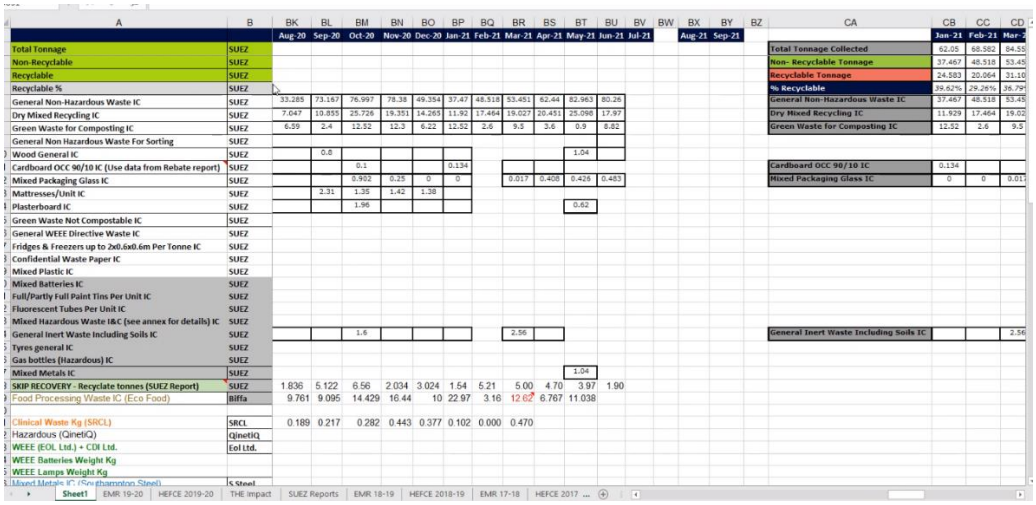
Evidence to support audit conclusion:

MT as Campus Services Manager comprehensibly provided an overall idea about the way to manage the waste & recycling streams including Halls of Residents. Contractors manage their own waste. They collect the waste from bins and transfer to the containers located in specific areas. For instance: Food waste (daily) and General waste (at least, once per week). All areas across the facilities and venues reviewed have been found with a high level of clean and tidy and good housekeeping was observed throughout.

Checked the following transfer notes:

- BIFFA (Food waste). Annual transfer note from 1/09/20 to 31/08/21
  The documents included all the information:
  (SIC code 85.42/1, EWC code 20.01.08, Carrier, Quantity, dates, etc.)
- CDL (WEEE waste). Consignment Note UNIVER/0BZEWM (Job No. J052881)
  EWC Code 200123 (500 Kgs), collected on 15/01/21
- QINETIQ (Hazardous waste, chemicals)
  Transfer Note UNIVER/BW098 collected on 22/03/21:
  (EWC 07.01.03, 1300 Kg + EWC 07.01.04, 1600 Kg + EWC 160508, 200Kgs)
- SUEZ (General & Recycling waste)
  Annual transfer note from 21/12/20 to 20/12/21
  EWC code 15.01.06 (DMR) & EWC code 20.03.01 (GTW)
- SRCL (Chemical waste)
  Consignment Note UNIVER/5561SM, Doc Ref. MDBE008CCU
  EWC 18.01.03 (165 Kg) & EWC 18.02.02 (95 Kg)

This Department controls the waste consumption and produce annual report based on monthly checks. See below image for further details. They also produce reports to HEFCE.



A	B	BK	BL	BM	BN	BO	BP	BQ	BR	BS	BT	BU	BV	BW	BX	BY	BZ
		Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21		Aug-21	Sep-21	
Total Tonnage	SUEZ																
Non-Recyclable	SUEZ																
Recyclable	SUEZ																
Recyclable %	SUEZ																
General Non-Hazardous Waste IC	SUEZ	33.285	73.167	76.997	78.38	49.354	37.47	48.518	53.451	62.44	82.963	80.26					
Dry Mixed Recycling IC	SUEZ	7.647	10.855	25.726	19.351	14.265	11.92	17.464	19.027	20.451	25.098	17.97					
Green Waste for Composting IC	SUEZ	6.59	2.4	12.52	12.3	6.22	12.52	2.6	9.5	3.6	0.9	6.82					
General Non Hazardous Waste For Sorting	SUEZ																
Wood General IC	SUEZ		0.6								1.04						
Cardboard OCC 90/10 IC (Use data from Rebate report)	SUEZ			0.1			0.134										
Mixed Packaging Glass IC	SUEZ			0.902	0.25	0	0		0.017	0.408	0.426	0.483					
Mattresses/Unit IC	SUEZ		2.31	1.35	1.42	1.38											
Plasterboard IC	SUEZ			1.96							0.62						
Green Waste Not Compostable IC	SUEZ																
General WEEE Directive Waste IC	SUEZ																
Fridges & Freezers up to 2x0.6x0.6m Per Tonne IC	SUEZ																
Confidential Waste Paper IC	SUEZ																
Mixed Plastic IC	SUEZ																
Mixed Batteries IC	SUEZ																
Full/Partly Full Paint Tins Per Unit IC	SUEZ																
Fluorescent Tubes Per Unit IC	SUEZ																
Mixed Hazardous Waste I&C (see annex for details) IC	SUEZ																
General Inert Waste Including Soils IC	SUEZ			1.6					2.56								
Tyres general IC	SUEZ																
Gas bottles (Hazardous) IC	SUEZ																
Mixed Metals IC	SUEZ										1.04						
SKIP RECOVERY - Recyclate tonnes (SUEZ Report)	SUEZ	1.836	5.122	6.56	2.034	3.024	1.54	5.21	5.00	4.70	3.97	1.90					
Food Processing Waste IC (Eco Food)	Biffa	9.761	9.095	14.429	16.44	10	22.97	3.16	12.62	6.767	11.038						
Clinical Waste Kg (SRCL)	SRCL	0.189	0.217	0.282	0.443	0.377	0.102	0.000	0.470								
Hazardous (QinetiQ)	QinetiQ																
WEEE (EOL Ltd.) + CDI Ltd.	Eol Ltd.																
WEEE Batteries Weight Kg																	
WEEE Lamps Weight Kg																	
Mixed Metals IC (Southampton Steel)	S Steel																

CA	CB	CC	CD
	Jan-21	Feb-21	Mar-2
Total Tonnage Collected	62.05	68.582	84.55
Non- Recyclable Tonnage	37.467	48.518	53.45
Recyclable Tonnage	24.583	20.064	31.10
% Recyclable	39.62%	29.26%	36.79
General Non-Hazardous Waste IC	37.467	48.518	53.45
Dry Mixed Recycling IC	11.929	17.464	19.02
Green Waste for Composting IC	12.52	2.6	9.5
Cardboard OCC 90/10 IC	0.134		
Mixed Packaging Glass IC	0	0	0.011
General Inert Waste Including Soils IC			2.56

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

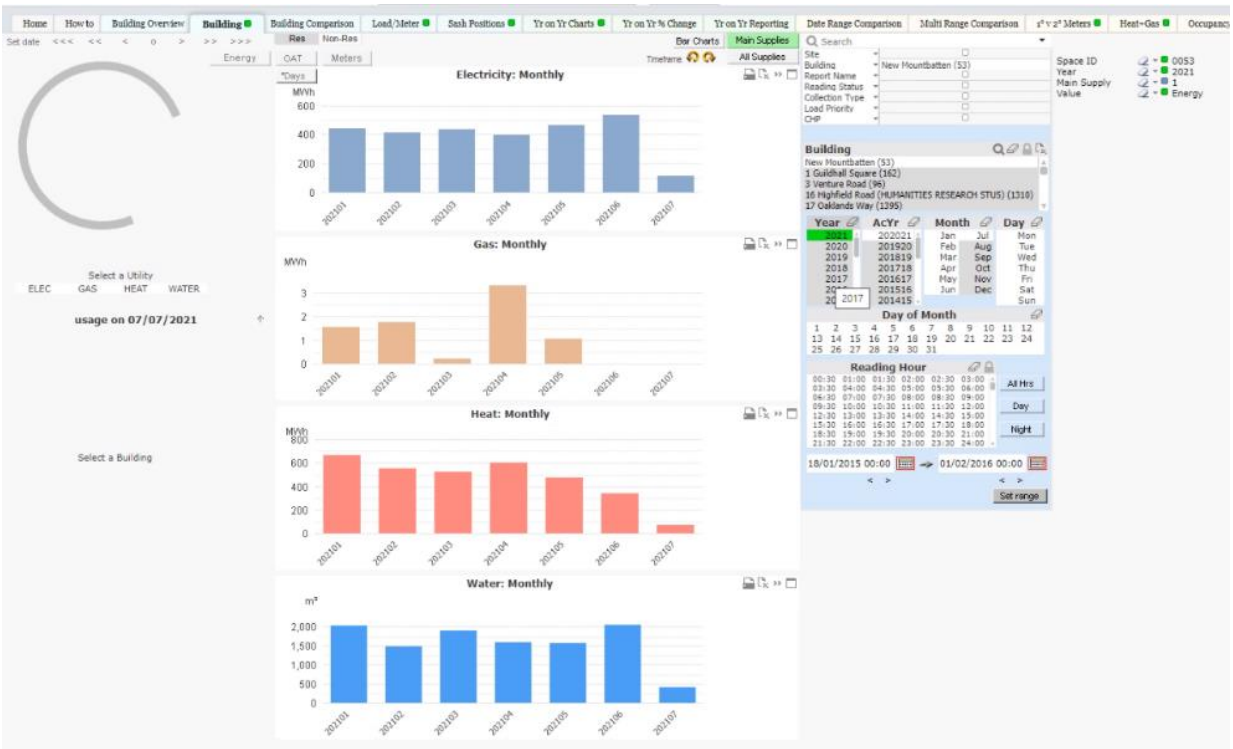
Process/audit area:	Energy Team
Auditees:	JB (Energy Manager)
Auditor (if applicable):	
Evidence to support audit conclusion:	

According JB, the department is responsible for controlling energy consumption (electricity, gas and water mainly) and developing new initiatives to reduce consumption & improve efficiency. The discussion included but were not limited to:

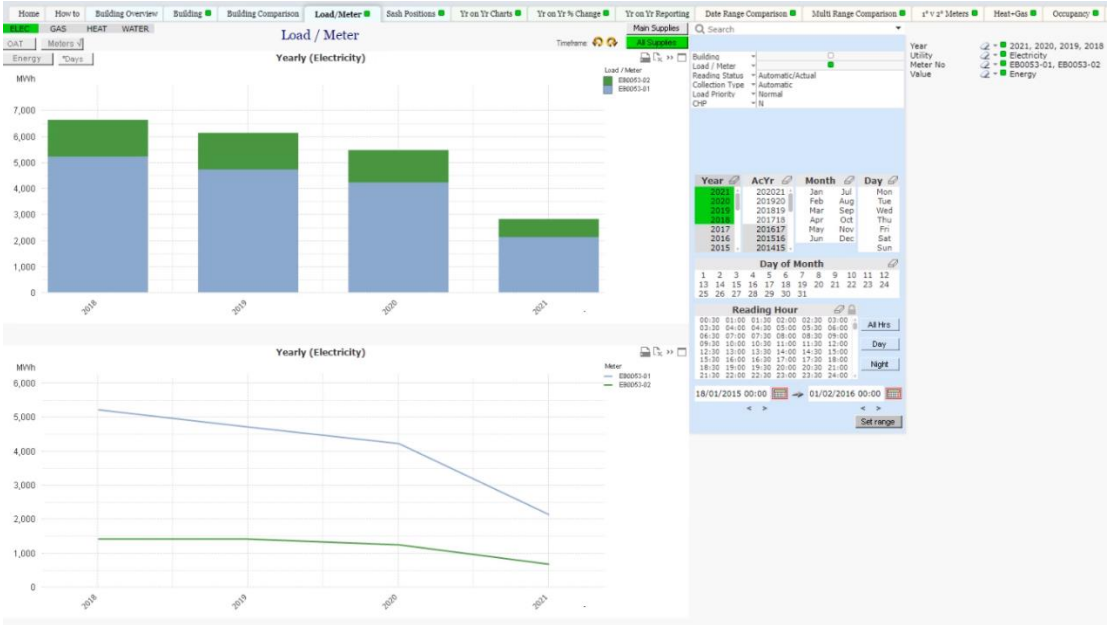
- Metering system for data monitoring / collection via relatively new system QLIK.
- Monitoring data, comparison between buildings, analysis of this data
- Regular checks to verify everything is working correctly.
- Alert system to detect failures
- Carbon management plan
- Monthly Energy Management Reports
- Improvement initiatives, low cost improvement initiatives,

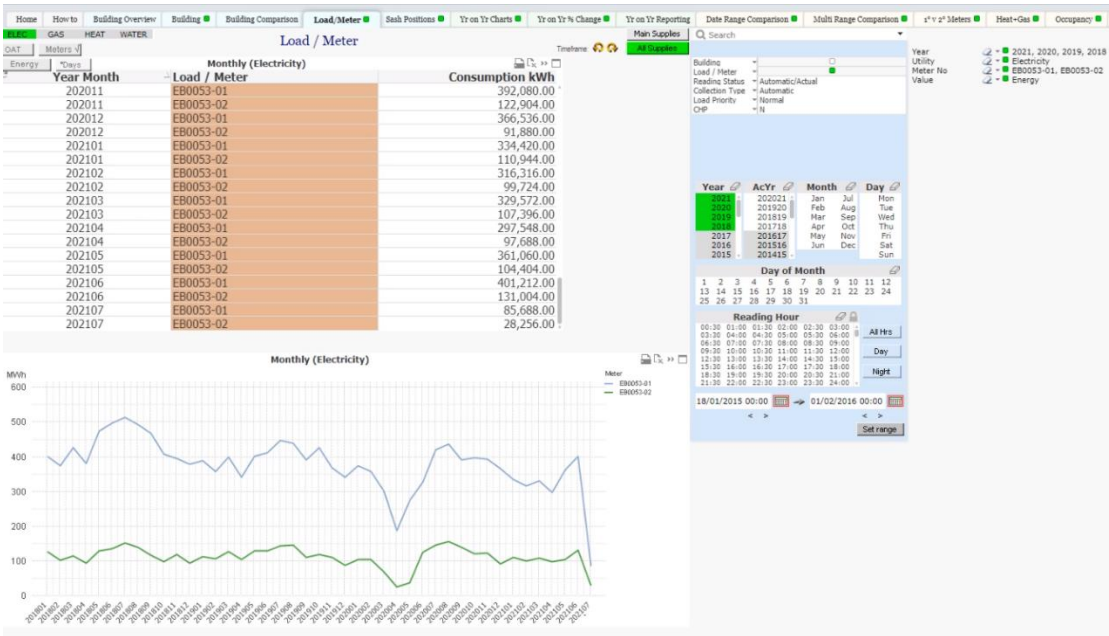
Below are samples of data and graphs as extracted from B53 reports reviewed:

- Electricity, Gas, Heat & Water monthly Consumption



Energy consumption report comparison years 2018 - 2021





Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Sustainable Procurement
Auditees:	CG
Auditor (if applicable):	

Evidence to support audit conclusion:

Discussions and presentations were held with CG as Senior Category Manager who provided an overview idea about the Procurement activities, responsibilities and Strategy to follow. The discussion included but not limited to:

- Brief introduction (Different procurement areas such as transport, Estates & Facilities, IT and telecoms, etc.)
- Category Plan (Laboratory Equipment & Supplies inc. Research Funded & Specialist Projects)

Findings

- Combined category spend for FY19/20 is £28m
- Number of suppliers engaged in category supply chain is 1,660
- High level of new supplier set-up's – **103 FY20/21 to-date**. Combined with **1,307 suppliers with <£10k** spend indicates a long tail end
- FEPs is by far the largest spending Faculty at 57%. The remaining Faculties are small in comparison
- Number and expenditure of non-competitive procurement (FRW's) – **c.£4.88m (60) FY 20/21 to-date, most <£180k**

Lab Equipment & Supplies

- Highly de-centralised procurement activity and authority makes oversight and any internal alignment complicated and difficult
- Commercial view of procurement expenditure is presented from accounts, it doesn't provide market facing categorisation tool

Research Funded & Major & Specialist Projects

- Difficulties in identifying workload
- Organisation barriers persist to achieving a managed procurement programme
- Workload often exceeds available resource, particularly in 6 month period between September to March
- Unique apparatus and instruments can lead to a limited amount of bidding suppliers
- Process around Enterprise grants, supplier set-ups, H&S & DPIA assessment is challenging

2019/20 Achievements

- AMR core equipment grants requirements delivered
- Wind Tunnel Project
- Funeral Care for Anatomy Labs
- Winch Enclosures
- Pevensey Projects
- Various High Value Lab Instrument tenders

2020/2021 Opportunities

- Increase competitive tender threshold for research equipment; **and/or**
- Simplify/speed up our sub-threshold tendering processes
- Improve supplier set-up process
- Bring more expenditure back in scope for competitive tendering
- More volume lines to e-marketplace
- P2P improvement to mitigate the double handling of PO's eg NHS Supply Chain procurements
- Consider developing some of our own Frameworks Agreements /DPS
- Procurement as a contributor on the replacement research and costing proposal IT system
- Use contract management levers for service improvements and savings
- Improve our planning/contact with Deans/HOFFS/Head of Research Funding/RIS
- Review operational processes where we have an interdependency eg H&S; DPIA,RIS

2020/21 Successes

- On plan for the delivery of key priorities identified in the category ops plan:
  - i. Procurement pipeline for major and specialist projects
  - ii. Key contracted laboratory suppliers being developed – quarterly reviews, MI data, KPI's etc.
  - iii. Broadening supply solutions - NHS SBS, NHS Supply Chain, RCUK etc. Pre-Approved Frameworks
  - iv. Procurement community identified within key Faculties/improved communications with key stakeholders in progress
- Critical completion research grant projects managed compliantly and within required timeframes

Next 6 months

- Develop category and sub-category plans
- Q3 planning round for next FY with Deans & HOFFs
- Reinstate research procurement pipeline report
- Support projects emanating from £6.9m University investment bids eg FEPS £1.5m bid for improvement projects
- Support the equipment of the new Research Building at the Science Park
- Continue to buy equipment that support high quality research outputs e.g. E-Beams, Tilting Flume
- Assess Framework/DPS Opportunity eg Engineering Equipment related to T&L, Research and Experiments. To include Fluid Mechanics, Process Engineering and Energy & Environment Lots
- Develop our sustainability support offering to end users

Page 2

- Sustainable Strategy (draft version) The aim of this strategy is: Restate University 2020 vision; provide effective support to stakeholder actions towards the University 2030 organisational goals; Actions would include support to Scope 1 to 3; Focus on impact, risk, mitigation, goals ITT, etc. Using flexible Framework tool to help focus on how to practically embed sustainability within procurement processes.
- Procurement targets and actions reported monthly via UOS Flexible Framework Sustainable Procurement Tracker (draft version). Inc. the following areas: People, Policy, Strategy & Communications, Procurement process, Engaging Suppliers, Measurement and results
- Sustainability Procurement Procedure and Policy (WIP, they need to align these docs with new strategy)
- Sustainability monthly meetings (23/04/21)
- Evaluation of Suppliers template (used in tenders)

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Process/audit area:	Site Visits, Operational Controls and Emergency Preparedness
Auditees:	SW
Auditor (if applicable):	

Evidence to support audit conclusion:

Site Tours were conducted using pre-recorded videos at Building 53, Building 85, Mayflower & Chamberlain Houses of Residents & some external-common areas in Highfield Campus.

Building 53 (Faculty of Engineering & Physical Sciences)
DEC Reference Number 9745-1066-0915-0300-3501, issued June 2019
The site tour and observations included, but were not limited to -

- Chemical and flammables are stored in locked rooms and cages (gradually being replaced by plastic cabinets) with limited & secure access and properly identified.
  Also, warning signs & posters, bunded pallets and shelves, drainage system, Chemical emergency Spill kits, COSHH data sheet in folders at hand and burns kit were checked. EG: Sulfuric Acid (reviewed on 13/12/20)
- Compress air systems area (currently in the process to be replaced. Sustainability procurement considered)
- Service yard drains and explanation in the event of leaks.
- Consent to discharge of trade effluent (22/04/2009)
- General Waste, Cardboard, Cans, Plastic Bottles
- Recycling Point, General Waste, Plastic and Cans, Paper Waste
- Fire Extinguishers last inspection on 1/06/21 provided by Amalgamated
- RA-F010 Waste Disposal (3/12/20, reviewed by MB)
- RA-F004 Delivery & Receipt of Chemical Substances to ZI (24/09/20, reviewed by MB)
- RA-F005 Storage & Removal of chemicals within ZI (24/09/20, reviewed by MB)
- Environmental policy & Procedure (Contractors Induction)

Building 85 (Faculty of Environmental & Life Sciences)
The site tour and observations included, but were not limited to -

- Notice boards with relevant information (DEC, EPC, First Aiders, H&S poster, etc.) at Reception area.
- Due to the nature of the activities, there're some areas where temperature control is required
- Automatic ventilation
- Delivery yard (at the rear of the building). Spill kits (with instructions)
- Safety Station (eyewash, showers, spill kits)
- Recycling Point, General Waste, Cardboard, Cans, Plastic Bottles
- Hazardous & Biological waste managed by SRL (see above waste section)
- Spill response sheet & Risk Assessment (handling boxes containing chemical, biological or physical hazards 2021, reviewed by MD on 24/03/21) checked.
- No COSHH data sheets. The chemicals they handle will all be in their appropriate shipping packaging and are only opened by the technicians or scientists
- The team are instructed to refuse delivery of chemicals with damaged packaging. They have an annual practical spill drill each summer using the kit in their yard. Their instructions are only to contain any spill and get assistance. Spill kit instructions are in their yellow container. During the annual drill they check the manhole cover and the drain shut off gate are in good order.

- Fire Extinguishers last inspection on 1/06/21 provided by Amalgamated

External/Common Areas in Highfield Campus

- Bus Interchange (mixed recycling & General waste)
- Redbrick area (outdoors open-space area devoted, among other activities, to environmental events)
- Valley Gardens (Biodiversity area)
- Landscape + stream
- Bike Storage (locked sheds in the middle of the Campus)
- Outside Library (recycling centre)
- EVC (Installed at the beginning of 2019)

Chamberlain House of Residents

Flat 1A, Bloc D: The site tour and observations included, but were not limited to -

- EPC Reference No. 0291-9686-3230-2200-7673 (valid until 6/04/27)
- External Area, Main Entrance, Rooms, Kitchen
- Waste area outside (Cardboard, Mixed recycling, Electrical items, Food & Donation)
- Recycling Point, General Waste, Plastic and Cans, Paper Waste, Food
- Fire Extinguishers last inspection on 1/06/21 provided by Amalgamated

University of Southampton is adequately prepared for emergencies and provided procedures on how to prevent these and how to deal with them in the event of an emergency. Sampled the following available information:

- UOSEMSP006 Emergency preparedness & response (version 13, 3/06/20)
- UOSEMOP001 Hazardous Material Spill Response Procedure (version 14, 8/02/21)
- UOSEMSOP008 Environmental Operational Procedure – Hazardous materials & oils storage
- H&S Guidance Emergency Evacuation (v1.1, March 2017) inc. Fire evacuation, Evacuation procedure, Fire Wardens, First Aiders, First Responders & Senior Managers.
- See above numerous Risk Assessments

Conclusion of the overall effectiveness of the process: Process / Audit Area is satisfactory

Use of Registration Marks and Logos

Use of Registration Mark (if used) is in accordance with the Rules of Registration	Yes
Organization doesn't use the NQA logos	

Example of the current NQA logos:

ISO 9001 (UKAS Accredited)

ISO 9001 (UKAS Accredited) with 'UKAS Tick and Crown'

More information can be found at: https://www.nqa.com/en-gb/clients/logo-library

If there are inaccuracies, errors or queries regarding this report or audit findings, please contact NQA Head Office on 0800 052 2424 within five working days of the closing meeting.

End of Audit

Audit Plan

This plan relates to the next Surveillance visit.
Relevant Standard/Supporting Documentation: ISO14001:2015 & EcoCampus

Member/ Role	MMT Lead Assessor	**Member/ Role**	MMT Lead Assessor
Date	TBC (day 1)	**Date**	TBC (day 2)
Time	Location/Department/Function	**Time**	Location/Department/Function
0900	Opening Meeting /Company Overview	0900	Opening Meeting
0930	Organisation Context Leadership Management Planning Processes	0915	Site Tour 1 & 2: Operational controls & Emergency preparedness
1200	Lunch	1200	Lunch
1230	Performance Evaluation and Improvement processes	1230	Support processes (Training & Awareness inc. & Communication)
1400	Waste & Recycling	1330	Energy Team
		1530	Report Writing
		1600	Wash Up Meeting day 2
1530	Report Writing		
1630	Wash Up Meeting day 1		
Member/ Role	MMT Lead Assessor		
Date	TBC (day 3)		
Time	Location/Department/Function		
0900	Opening Meeting		
0915	Sustainability Procurement		
1015	Sustainability Travel & transport		
1100	Retrieval documentation & report writing		
1600	Closing meeting		
Completed by	MMT	Timings and content may be subject to change	

The objectives of the audit will be:

- To confirm that the management system had been established implemented and maintained in accordance with the requirements of the audit standard.
- To evaluate the ability of the management system to ensure the client organisation meets applicable statutory, regulatory and contractual requirements. Note: A management system certification audit is not a legal compliance audit.
- To evaluate the effectiveness of the management system to ensure it is continually meeting its specified objectives
- To identify as applicable, areas of the management system for potential improvement.

The audit scope describes the extent and boundaries of the audit, such as physical locations, organisational units, activities and processes to be audited.

Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.

AUDIT REPORT PART D – AUDIT MATRIX

Relevant Standard/Supporting Documentation:	ISO 14001:2015 & EcoCampus

- This audit programme is to be prepared by the Lead Auditor at the completion of the Stage 2 audit or the Recertification audit. It should be replicated in all subsequent surveillance visit reports.
- Where an element(s) of the programme cannot be completed at a given visit the programme shall be amended and up-issued accordingly to ensure coverage at the following visit.
- Site visits are to be included in the programme with a clear indication as to the processes intended to be sampled.

Type of visit		Surveillance 1	Surveillance 2	Recertification	Surveillance 1
Visit Due Date (MM/YY)		6-8/07/21	2022	2023	2023
Mandatory Elements / Selected Processes	Processes to be audited during visits are to be indicated with a cross (X). All processes are to be audited during a three-year certification cycle excluding the re-certification visit.				
Context of the organization		X	X	✓	X
Leadership		X	X	✓	X
Planning		X	X	✓	X
Support		X	X	✓	X
Performance evaluation		X	X	✓	X
Improvement		X	X	✓	X
Use of marks and references to certification / Client website		X	X	✓	X
Site Tour		X	X	X	X
Operations Processes (specify from scope)					
• OPERATIONAL CONTROLS		X	X	X	X
• EMERGENCY PREPAREDNESS		X	X	X	X
• SUSTAINABLE PROCUREMENT		X	X	X	X
• SUSTAINABLE TRANSPORT & TRAVEL PLAN		X	X	X	X
• WASTE & RECYCLING		X	X	X	X
• ENERGY MONITORING		X	X	X	X
Off Site Processes for review at Site Visits (Specify) Each year different buildings will be visited*					
• B53		X	X*	X*	X*
• B85		X	X*	X*	X*
• Chamberlain Halls of Residence		X	X*	X*	X*
• External areas Highfield Campus		X	X*	X*	X*
Non-Core Shifts to be Audited (non-core shifts to be audited minimum of 1 per cycle)					
Client Locations to be visited (Specify)					
Audit trails will be developed based upon identified risk throughout the audit and as such timings and content may be subject to change. Where the client operates shifts, the activities that take place during shift working shall be considered when developing the audit programme					

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