

Sussex Estates and Facilities Internal Audit Report

Business Unit:	Communities
Contract/Site:	Sussex Estates and Facilities University of Sussex Falmer Bn1 9QU
Report Number:	MA270716
Audit Date(s):	27 July 2016
Auditor:	Matthew Arnold (Energy and Environmental Manager)
Type of Audit:	Internal Audit - Campus Waste Collection and Processing
Additional Team:	Grounds Maintenance
Prepared by:	Matthew Arnold (Energy and Environmental Manager)
Report Issue Date:	29 July 2016
Auditees:	Ashley Wilcox - Grounds Manager Alan - Grounds Staff Dan - Grounds Staff
Distribution:	George Weekes (Partnership Director) James Brown (Site Services Manager) Chris Hunt (Estates Manager)
Scope & Approach	<p>The information used in this report was collected through interviews and visual inspections of work activities and control measures on site. Interviews were also completed with the grounds team to obtain their working practice and determine their understanding and capability to apply the company procedures and standards in their own environment.</p> <p>The following elements were audited:</p> <ul style="list-style-type: none">• ISO 14001:2004• ISO 9001:2008
Reason for Audit:	Contract Requirement No Management Request No

Auditor's risk rating assessment for this location:

The auditor's perceived environmental risk rating of '9' is reduced to '2' after the proposed mitigation measures have been implemented and monitored to ensure effective implementation and compliance.

This Risk rating is based on the 3 x 3 Boston Square Principle.

Lowest 1 - Highest 9.

	3 significant	3 (Significant & Unlikely)	6 (Significant & Possible)	9 (Significant & Probable)
IMPACT	2 Moderate	2 (Moderate & Unlikely)	4 (Moderate & Possible)	6 (Moderate & Probable)
	1 Minor	1 (Minor & Unlikely)	2 (Minor & Possible)	3 (Minor & Probable)
		1 - Unlikely	2 - Possible	3 - Probable
		LIKELIHOOD		

Based on
Business
Risk
Site
Operations

High
4

Based on
Business
Risk
Operations
Site
Review

Medium
6

Number of Findings (7): Immediate 0 High 1 Medium 3 Minor 0 Observation 1

Based on site operations, Sussex Estates and (SEF) conduct Facilities Management (FM) solutions including maintenance, cleaning, portering, logistics and security. The University conducts potentially high risk activities that impact on the environment.

It is management's responsibility to develop and maintain sound systems of risk management, internal control and governance and for the prevention and detection of irregularities. Internal audit work should not be seen as a substitute for management's responsibilities for the design and operation of these systems.

It is also the management's responsibility to review these actions and monitor their implementation.

Executive Summary

By way of the TFM agreement, the responsibility is with SEF to manage the waste collection from the public waste bins around campus and dispose of the waste correctly.

This audit was conducted in order to assess the general and recycled waste streams to ensure that they are kept separate and to ensure the University recycles as much waste as possible, from campus improving the weight of recycled material.

3 Waste Service removal of Mixed Recycling (scope of Services)

3.1.1

(a) The Service Provider at the premises shall provide the collection, removal and transport of all recycling waste to relevant external facilities.

The audit highlighted a number of corrective actions required to improve the current recycling collection process to maintain segregation of mixed recycling waste from general waste. This will improve the impact that the University has on its local and global environment. This is not only a statutory duty, it contradicts our contractual obligations and could have damaging effects on the integrity of SEF's and the University's environmental responsibilities.

It is advised that a number of actions are required to improve the segregation of general waste from recycled waste, which includes the following:

- The addition of external (1100 litre) recycle wheelie bins at the waste collection point on Pavilion Road. Without this, there is no final location for the collected mixed recycling.
- The addition of a see through plastic bag to be used for the recycling waste bins, to enable the visible segregation of waste streams. If the current collection strategy cannot be altered.
- Alternatively with the introduction of a number of big belly bins on campus, which should reduce the number of general waste collections and with the potential increase in recycle bins on campus (Scrutiny form awaiting approval from the University), there could be the potential for a designated collection of mixed recycling once a week. Therefor reducing the need for a different type of waste bag.
- Education of waste collection staff and campus users, to understand the recycled waste processing processes and the materials suitable and not suitable for recycling.
- Improved signage at the recycled waste collection points.

General Auditing Findings

Waste Collection:

Whilst shadowing two waste collection staff, it was clear that all recycling waste, collected from the recycling vestibules was disposed of in the general waste stream upon collection. This action is not only detrimental to the University's recycling credentials, it could also be damaging to SEF's environmental perceptions if seen from our customers and co-workers.

When asked why this practice was undertaken, it was discovered that there are currently no facilities to maintain segregation of waste at the end of the collection process. It was also assumed by the waste collection workers that any contaminant within the recycling waste would result in Veolia treating the waste as general waste and not recycle it, which is not the case.

It was noted that there were contaminants within the recycling bins, which would indicate a poor understanding of the recycling waste that should be deposited within and lastly some recycle bins were being emptied when they were only a few items within it. This would indicate that both clear signage is required to improve the quality of recycled material and a clear guide on collection practice is need for staff.

ISO 14001:2004 Environmental Standard Clause Number		All Recycled Bins Assessed	Finding Summary
Clauses			Ref
14001: 4.4.1	Resources, roles, responsibility and authority Management shall ensure the availability of resources essential to establish, implement, maintain and improve the environmental management system. Resources include human resources and specialised skills, organisational infrastructure, technology and financial resources.	✓	High 1 Medium 1
14001: 4.4.2	Competence, training and awareness The organisation shall ensure that any person(s) performing tasks for it or on its behalf that have the potential to cause a significant environmental impact(s) identified by the organisation is (are) competent on the basis of appropriate education, training or experience, and shall retain associated records.	✓	Medium 2
14001: 4.4.3	Communication With regard to its environmental aspects and environmental management system, the organisation shall establish, implement and maintain a procedure(s).	✓	Medium 3
14001: 4.5.1	Monitoring and Measurement The organisation shall establish, implement and maintain a procedure(s) to monitor and measure on a regular basis, the key characteristics of its operations that can have a significant environmental impact. The procedure(s) shall include the documenting of information to monitor performance, applicable operational controls and conformity with the organisations environmental objectives and targets.	✓	Medium 3
9001: 7.5.4	Customer Property The organisation shall exercise care with customer property, while it is under the organisation's control or being used by the organisation	✓	Medium 3
9001: 7.5.5	The organisation shall preserve the product during internal processing and delivery to the intended destination in order to maintain conformity to requirements. As applicable, preservation shall include identification, handling, packaging, storage and protection. Preservation shall also apply to the constituent parts of a product.	✓	Medium 3
9001: 8.2.1	NOTE monitoring customer perception can include obtaining input from sources such as customer satisfaction surveys, customer data on delivered product quality, user opinion surveys, lost business analysis, compliment, warranty claims and dealer reports.	✓	Medium 3

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Action Plan - Business Process Audit			
BU / Location:	Communities - Local Government	Site: SEF - University of Sussex	Audit Reference Number: MA270716
Responsibilities:	J Brown (Site Services Manager) Chris Hunt (Estates Manager)		Accountable: J Brown (Site Services Manager) Chris Hunt (Estates Manager)
			Consult: G Weekes (Partnership Director)
Start & finish dates:	Action Plan Start: 29/07/2016 Complete 09/09/2016		Inform: J Brown (Site Services Manager)
Proposed by (name):	Name: Role: M Arnold Date: 29/07/2016		
Agreed by (name):	Name: Role: G Weekes (Partnership Director) Date: 29/07/2016		

Immediate Up to One Week
 High One to Three Weeks
 Medium One to Six Weeks
 Low / Observations One to Nine Weeks

Task Planner							
NCR No	Clause	Non Conformity	Root Cause of Non-Conformity	Proposed Action	Current Status (R.A.G)	Person Responsible for Action	End
<i>No against which NCR Raised</i>	9001:2008 4.2.4	<i>Description of Non Conformity</i>		<i>Description of Proposed Action</i>	<i>Description of status of remedial action</i>	<i>Initials of Person responsible</i>	<i>Date to be close</i>
IMMEDIATE							
HIGH (6)							
1	14001: 4.4.1	Contaminated waste collections	No recycling waste bins within the	Request the installation of 2No 1100 recycle bins in the	Completed	JB	05.08.16

Last Updated: 27/06/2017

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Print Date: 27/06/2017

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			waste compound on Pavilion Road.	compound			
Medium (5)							
1	14001: 4.4.1					JB	29.09.16
2	14001: 4.4.2	Contaminated waste collections	Improve the understanding of environmental waste handling completed by Veolia	Request a site visit to Veolia for the refuse team and interested students to include a waste awareness training	Completed	JB	09.09.16
3	14001: 4.4.3, 4.5.1, 9001: 7.5.4, 7.5.5, 8.2.1	Contaminated waste collections	Clear instructions when to collect the recycling waste.	Reassess the recycling and general waste collection days, based on the results of collection from the big belly bins.	Completed	CH	09.09.16
Observations							
1	14001: 4.4.1	Improvement to recyclable collection	Poorly designed bins, with no clear signage	Replace existing black and green bins with clearly labelled (images) instruction on the materials for recycling	Completed	JB	09.09.16

Action Plan Closed Out

Name	James Brown	Signed	James Brown	Position	Site Service Manager	Date	29/09/16
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