

AUDIT COMMITTEE - 12TH JULY 2021

Report of the Strategic Director of Commercial Development, Asset and Leisure

Lead Member: Councillor Roy Rollings

Part A

ITEM 12 ENVIRONMENTAL AUDITS – REPORT ON OUTCOMES

Purpose of Report

The purpose of this report is to update the Committee on the outcome of environmental audits undertaken for April 2022.

Recommendation

That the Committee notes the outcome of the environmental audit process, including the identified actions for any mitigation required.

Reasons

To ensure the Committee is kept informed of the Council's approach to managing environmental risks related to the Environmental Management System.

Policy Justification and Previous Decisions

The Council has an in-house Environmental Management System to manage legal compliance with environmental regulations and environmental impact arising from its activities and operations. The Council's Corporate Plan sets a commitment to 'take action to protect the environment for future generations' and the Council has adopted a Climate Change Strategy, a Carbon Management Plan, a Waste Strategy and a Green Spaces Strategy towards this aim.

The driver for implementing and improving the Council's Environmental Management System comes from the Council's Environmental Policy which can be seen at https://www.charnwood.gov.uk/pages/environmental_management. The Policy was adopted by Cabinet in October 2015 and establishes a framework for setting objectives and targets for environmental improvement. In February 2021 a review of the policy was undertaken to ensure that it is reflective of both the Council's priorities and fits within the scope of the EMS. The policy was updated under a delegated decision to include an explicit commitment to protection of the environment including the prevention of pollution in relation to the context of the Council activities.

A Climate Change Strategy was adopted by cabinet on 10th May 2018 and revised November 2019. The Climate Change Strategy provides the action plan for the Council to maintain and potentially improve its environmental performance. A refresh of the Climate Change Strategy is scheduled to be undertaken for the financial year 2022/23.

A Climate Change Motion was approved by Full Council on 24 June to note the findings from the International Panel on Climate Change report published in October 2018

(minute 23.1 19/20 refers). The report concluded that we have less than 12 years to act to avoid the worst impacts of climate change. The motion set an aspiration for the council to achieve carbon neutrality from its own operations by 2030. The Council also committed to work with residents, businesses and other public bodies across the borough and region to deliver this ambitious goal through all relevant technologies, strategies and plans.

A Carbon Neutral Plan setting out a pathway to achieve carbon neutrality for Council own operations has been adopted by Cabinet at its meeting on 16th September 2021 (minute 27 21/22 refers).

Implementation Timetable including Future Decisions and Scrutiny

Reports will continue to be submitted to the Committee on an annual basis.

Report Implications

The following implications have been identified for this report.

Financial Implications

The costs of preparing and providing strategic management for the implementation of the Environmental Management System are met from within the Planning and Regeneration Service budget. The costs of implementing the Environmental Management System in respect of operations and activities undertaken by the Council are met from within the existing budgets of individual service areas that the Environmental Management System covers. The Council’s Sustainability Officer provides the strategic resource to manage the in-house Environmental Management System.

Risk Management

The risks associated with the decision Cabinet is asked to make and proposed actions to mitigate those risks are set out in the table below.

Risk Identified	Likelihood	Impact	Overall Risk	Risk Management Actions Planned
Failure to comply with environmental legislation leads to damage to environment, reputation, and civil or criminal action being taken against the Council	Likely (3)	Significant (2)	Moderate (6)	Access to Legislation Update Service, Training, Raising Awareness, Internal audits
The Council fails to meet broader environmental objectives outlined within its policy	Unlikely (2)	Minor (1)	Very Low (2)	SLT and Audit Committees in place to review annual performance

Sustainability

An Environmental Management System will help ensure environmental legal responsibilities are met and more easily managed on a day to day basis. The Environmental Management System will help manage waste and resources more effectively and reduce cost.

Key Decision: No

Background Papers: None

Officer to contact: Maria French
Sustainability Officer
(01509) 634802
Maria.french@charnwood.gov.uk

Part B

Background

1. The Council has an in-house Environmental Management System for Council owned property at Southfield Road / Information & Computer Services building, Loughborough Town Hall, Charnwood Museum, Oak and Ark Business Centres and Woodgate Chambers. It relates to the direct operations of the Council and not to any activities sub-contracted to other operators (such as domestic and municipal waste collection). The Environmental Management System does not deal with activities related to the enforcement of environmental or planning Regulations aimed at reducing impacts across the Borough, except where these relate directly to the Council's own actions and activities. The Sustainability Officer provides the resource to coordinate the in-house Environmental Management System programme overseen by the Senior Leadership Team. Implementation of the Environmental Management System is the direct responsibility of the service areas carrying out activities and operations that fall within its scope.

Legal Compliance

2. The Sustainability Officer has overall responsibility for keeping information on environmental aspects and their associated legislative requirements. 'Environmental aspects' are any element of the Council's activities that can interact with the environment. The current method of updating legal information about the environment is provided by the online Legislation Update Service on a monthly basis.

Environmental Audits

3. Environmental audits took place on 5, 6 and 14 April 2022 to check legal compliance and implementation of the Environmental Management System. Audits included the Oak and Ark Business Centres, the Museum, Town Hall, Southfield Road offices, Information & Computer Services building and Woodgate Chambers. The audit reports have been issued to building managers and relevant heads of service and, where non-conformities have been raised, recommendations for mitigation actions have been made. Recommendations for mitigating actions are for the service areas/responsible managers to implement at the earliest opportunity having regard to the scale of risk.
4. A presentation on the outcome of audit findings and recommendations was provided to building managers on 27th April 2022. The implementation of mitigation actions is managed through the Legislation Update Service which enables urgency of the action required, deadlines and management oversight to be coordinated.

Audit Findings

5. The audit process identifies any activity it considers to be posing an environmental risk as either a Non-Conformance with Requirement (NCR - a non-fulfilment of a legal requirement), an 'Issue' or a 'Recommendation'. The former is the more serious finding in the sense that there is proof that a legal requirement is not being met, or a lack of evidence to prove that it is being met. An Issue may be an instance where:

- a) there is not a non-fulfilment of a legal requirement, but there is a lack of environmental best practice being used.
- b) there is not currently a breach in legislation, but the issue should be addressed to avoid doing so in future.

A Recommendation recognises something which may later develop into an NCR or issue and needs addressing.

6. Overall, the management of the Environmental Operational System has been maintained to a good standard in most sites. 2021 was a challenging year due to the impact of the COVID-19 pandemic and staff changes. The recent loss of key staff members appears to have led to lack of defined roles and responsibilities in relation to upholding the System. Findings around routine testing regimes should not be allowed to lapse further. This was apparent in the findings from the Town Hall. Improvement was seen where staff are setting digital calendar reminders to address routine testing. In 2022 there were 7 Non-Conformance with Requirement (NCRs) found and 8 found in 2021. There were 15 Issues found in 2022 with 27 found in 2021 and 14 Recommendations made in 2022 with 12 made in 2021. Positive improvements were seen in relation to the maintenance of COSHH records and their availability at all locations. Incorrect waste documentation was the main operational audit finding
7. Of the 7 NCRs, 1 has been resolved and 6 have programmes in place to ensure they are resolved in a timely manner. Of the 15 Issues, 0 have been completed and 15 have programmes to ensure they are resolved in a timely manner. Of the 14 Recommendations, 2 has been completed, 12 are to be resolved in a timely manner.
8. The audit findings are set out at Appendix A. A summary of the Non-Conformance with Requirement (NCR) findings is presented below by site:

Southfield Road Offices

9. Although there have been some changes to the site, these have mostly been cosmetic or the movement of people. Whilst some staff have returned the site is not at full occupancy and the ground floor is no longer leased by the NHS. Southfield Road remains exempt from the Heat Network Regulations because Leicestershire County Council is the only valid customer. The arrival of another valid customer would bring the network within scope (the NHS were not considered a valid customer by the regulator).
10. Housekeeping was of a very standard with waste being stored in the correct locations. The Environmental Policy was seen displayed on a notice board.
11. A small fuel spill was seen in the car park (NCR1). Rainwater was carrying the spill to what appeared to be a surface water drain. Release of ecotoxic chemicals to water, pollution to a water course and prosecution. A record of the spillage incident seen in the car park, should be retained. The actions taken should be reviewed in line with the Council spillage response process.

12. A waste printer cartridge collection has not been made for 2 years (NCR2). A process needs to be put in place to ensure that printer cartridge waste is not stored for more than 12 months, as this contravenes the guidance: 'Waste exemption: NWFD 2 temporary storage at the place of production'. Lack of a waste transfer note within 12 months indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of the Council be investigated. Arrange for an urgent collection of the waste.

Charnwood Museum

13. There have been no significant changes to the site since the previous audit. Most COVID-19 restrictions have been removed and the museum is now operating summer hours which run from April to October. The standard of housekeeping was found to be high, with chemicals and waste stored in the correct location. A positive observation was recorded in relation to the play workshops run by the museum. During the workshops children are encouraged to use waste materials in crafting activities.

14. There was no waste transfer note (NCR3) for sanitary waste available for the Initial sanitary waste collection. Lack of a waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of the Council be investigated.

Town Hall

15. The Town hall has been opened since September 2021 with a number of staff still working from home. February and March have been the busiest on record. There is a knowledge gap in relation to monitoring the EMS since the previous Technical Manager left at the end of January 2022. A replacement Technical Manager has been appointed however this may not be a full-time position until September. Staffing levels have also been impacted by a Duty Manager leaving and Operations Manager on extended leave.

16. Housekeeping was found to be good in the public areas. In the backstage area props were piled on top of the recycling bin. Chemical were stored in the correct locations and generally waste was correctly segregated.

17. It was evident during the audit that elements of the EMS are not being monitored (NCR4). Lack of awareness could result in a legal noncompliance. Roles and responsibilities should be identified and addressed in relation to managing the EMS (Environmental Management System).

18. The Legionella Precaution Monthly Risk form had not been completed for March 2022 (NCR5). As readings taken in February 2022 were illegible, it was not possible to evidence conformance against the required temperatures. Legionella build up can be prevented by regular flushing of the water system. The 'Legionella Precaution Monthly Risk' process should be clearly recorded, and evidence of completion retained.

19. There were no waste records available to view during the audit in relation to general (Serco), dry mixed recycling (Love Loughborough) and sanitary (NCR6). Lack of a

waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of the Council be investigated. Waste transfer notes should be obtained and retained by the site for a minimum of two years.

20. The Display Energy Certificate seen in reception expired on 30 September 2021 (NCR7). A local authority can issue a penalty charge notice of £500 for failing to display a DEC. The Department for Communities and Local Government guidance on 'Display Energy Certificate and Advisory Reports for Public Buildings' states that "To enable members of the public to view the document easily, it should be no smaller than A3 in size". A current Display Energy Certificate should be obtained.

Oak Business Centre

21. The standard of housekeeping at the Oak Business Centre was found to be very high. There have been no changes to the site since the last audit. Occupation of the offices is high. Plans are in place for the Oak to have a smart boiler and smart radiators. There were no NCR's found at the Oak.

Ark Business Centre

22. Housekeeping was found to be good throughout the premises with chemical stored in correct locations. There have been no changes to the site since the last audit other than increased occupation of the offices, with only a couple of units unoccupied. There were no NCR's raised for the Ark.

Woodgate Chambers

23. Housekeeping was of a high standard. A smart eco water boiler, with an anti-legionella function was installed in March 2022. In November 2021, the Regulator was notified that Woodgate Chambers operates a heat network, under the Exempt Building Class of the Heat Network Regulations. The reason for the exemption was that more than 10% of the leases began before 20th November 2020. There were no NCR's found.

Management Review

24. A Management Review with the Strategic Leadership Team was held on 15th June 2022 to discuss audit findings and recommendations. The report was well received with the hard work by building managers to ensure compliance acknowledged. Audit actions will be included as part of the Legislation Update Service, which enables urgency of the action required, deadlines and management oversight to be coordinated. Training to building managers will be scheduled to ensure ongoing environmental legal compliance and continual improvement.

Monitoring

25. To ensure actions identified by environmental audits are addressed in a timely way, the audit cycle is annual with a progress review, six months after the initial audit where Non-Conformance with Requirement NCRs or notes raised in the first audit are followed up on to determine progress. The outcome of the annual audit is considered by SLT and reported to Audit Committee.

Timetable

25. The timetable for the 2022 environmental audit cycle is shown in the table below.

Event	Description	Date
Environmental Compliance Audit	To review effectiveness of environmental management system	April 2022
SLT Briefing of outcome	To consider non-compliance and any mitigating actions	June 2022
Audit Committee	To receive a report on the outcome of environmental audits	July 2022
Environmental Audits – Follow-up	To review the progress being made by building managers	October 2022

Appendices

Appendix A - Summary Results of Follow-up Environmental Audits

Figure 1: Summary of Operational Audit Findings

	Non-Conformance		Issue		Recommendation		Overall number of findings	
	2022	2021	2022	2021	2022	2021	2022	2021
Museum	1	2	1	7	3	3	5	12
Ark Business Centre	0	1	3	1	2	1	5	3
Town Hall	4	2	4	4	4	4	12	10
Southfield Road	2	0	3	7	3	1	8	8
Woodgate Chambers	0	1	1	2	1	0	2	3
Oak Business Centre	0	1	2	6	0	0	2	7
General	0	1	0	0	1	3	1	4
Total	7	8	15	27	14	12	36	47

Summary Results of Internal Audits – April 2022

Southfield Road Offices 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
NCR 1	6 th April 2022	Premises Officer	A small fuel spill was seen in the car park. Rainwater was carrying the spill to what appeared to be a surface water drain.	Release of ecotoxic chemicals to water, pollution to a water course and prosecution	9	3	3	Unknown	A record of the spillage incident seen in the car park, should be retained. The actions taken should be reviewed in line with the Council spillage response process.	A record of the incident has been retained. Spill response procedure being reviewed. Closed
NCR 2	6 th April 2022	Premises Officer	A waste printer cartridge collection has not been made for 2 years. A process needs to be put in place to ensure that printer cartridge waste is not stored for more than 12 months, as this contravenes the guidance: 'Waste exemption: NWFD 2 temporary storage at the place of production'.	Lack of a waste transfer note within 12 months indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	Issues with the supplier	Arrange for an urgent collection of the waste	Follow-up with waste carrier has taken place.
Issue 1	6 th April 2022	Premises Officer	The waste food bin in the Break-out kitchen, contained general waste and recyclable waste	Disposal of Non-Recyclable, Non-hazardous Materials. There is a risk that recyclable waste could be going to landfill if that is the destination of the food waste bin seen in the kitchen.	4	2	2	Staff not following correct waste disposal process	Increase signage and consider the convenience and positioning of the waste recycling bins for those using the breakout kitchen.	Meeting with bin provider held. Awaiting quotation

Southfield Road Offices 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
Issue 2	6 th April 2022	Premises Officer	To refresh spill response training at least every 12 months. Issue.	Release of ecotoxic chemicals to water. A spillage could cause pollution to the environment, prosecution of the council and have financial consequences.	6	3	2	Spill response training was last conducted in August 2020, best practice suggest that this is conducted every 12 months.	Arrange for spillage training to be carried out on site and record the training, if possible, take photographic evidence of the training.	In progress
Issue 3	6 th April 2022	Premises Officer	It should be confirmed if Dry Mixed Recycling and General Waste are both included on the waste transfer note covering the period 01/11/21-31/10/22.	Recycling of Recyclable Material, Failure to comply with the waste hierarchy and risk of pollution. The Environmental Protection Act 1990 imposes a duty of care on persons concerned with handling waste. This Duty of Care affects anyone who produces, imports, carries, keeps, treats or disposes of controlled waste, or as a broker has control of such waste.	4	2	2	A waste transfer note was not available for recycling. It could not be determined whether Dry Mixed Recycling is included on the note seen: 01/11/21-31/10/22 for Mixed Municipal Waste.	Establish why there is not a separate waste transfer note for recycling and general waste.	In progress
Rec 1	6 th April 2022	Premises Officer	A record of the spillage incident seen in the car park should be retained. It should include reference to the site drainage plan and the type of drain the spill entered. The actions taken should be reviewed in line with the Council spillage response process.	Release of ecotoxic chemicals to water. A spillage could cause pollution to the environment, prosecution of the council and have financial consequences.	6	3	2	Spillage on car park source not established.	A record of the spillage incident seen in the car park should be retained. It should include reference to the site drainage plan and the type of drain the spill entered. The actions taken should be reviewed in line with the Council spillage response process.	Closed

Southfield Road Offices 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
Rec 2	6 th April 2022	Premises Officer	It is recommended that a current material safety data sheet for 'Selgiene Extreme C500.', is obtained, reviewed and its COSHH Risk Assessment is updated line with Charnwood B.C COSHH policy.	Not having current information on the site as to the risk to the environment from substances means that if a pollution event were to occur involving those substances, the environmental risk may be greater than anticipated, and there may be a prosecution from a pollution event. Aside from environmental risk, this also poses a risk to human health.	4	1	4	Lack of following the COSHH update process.	It is recommended that a current material safety data sheet for 'Selgiene Extreme C500.', is obtained, reviewed and its COSHH Risk Assessment is updated line with Charnwood B.C COSHH policy.	In progress
Rec 3	6 th April 2022	Premises Officer	The site should determine what measures are in place to check the integrity of the bund contained within the oil storage component of the lift mechanism.	To prevent pollution in the event of a spill.	2	1	2	Lack of awareness of requirement	The site should determine what measures are in place to check the integrity of the bund contained within the oil storage component of the lift mechanism.	Inspected on each service visit Documented on service sheet Closed
Positive Observation	6 th April 2022	Premises Officer	Property Officer was able to demonstrate that has put reminder tasks into his Outlook calendar for forthcoming renewals and service reminders.							

Charnwood Museum 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
NCR 3	14 th April 2022	Museum Manager	There was no current sanitary waste transfer note available at the museum.	Lack of a waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency.	6	2	3	There was no waste transfer note available at the museum.	Obtain the sanitary waste transfer note for 2022	Open
Issue 4	14 th April 2022	Museum Manager	The season ticket is due for renewal on 30/4/2022. The annual waste transfer note for recycling expires on 30/4/2022.	Lack of a waste transfer note indicates that the duty of care has not been followed.	6	2	3	Paperwork not yet in place	Contact the supplier and obtain a new season ticket	Open
Issue 5	14 th April 2022	Museum Manager	The Display Energy Certificate has an invalid expiry date.	A local authority can issue a penalty charge notice of £500 for failing to display a DEC.	2	2	1	The expiry date is incorrect on the certificate	Obtain a Display Energy Certificate with a valid expiry date.	Open
Rec 4	14 th April 2022	Museum Manager	It is recommended that a current material safety data sheet for 'Hycolin Professional Antiviral Multi-Purpose Cleaner Disinfectant' reviewed and its COSHH Risk Assessment is updated in line with Charnwood COSHH policy.	Not having current information nearby on the site as to the risk to the environment from substances means that if a pollution event were to occur involving those substances, the environmental risk may be greater than anticipated, and there may be a prosecution from a pollution event.	2	1	2	Failure of process for checking the currency of material safety data sheets.	Obtain material safety data sheet	Open
Rec 5	14 th April 2022	Museum Manager	Due to the minimal amount of florescent tube waste, it is recommended that an	As there is minimal florescent tube waste, there is a risk the waste	2	1	2	low levels of florescent tube	Review transport option to Southfield Road offices	Open

Charnwood Museum 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
			investigation is held into the feasibility of safely transporting florescent tube waste to Southfield Road.	could be stored on site for longer than the time specified in NWFD 2 waste exemption is in breach of the Environmental Permitting Regulations and could result in prosecution if the site were ever investigated.				waste have been generated.		
Rec 6	14 th April 2022	Museum Manager	It is recommended that the museum obtain confirmation from the café that the secondary containment of the waste cooking oil is not leaking and posing a pollution risk.	If the waste oil is not being stored correctly the waste producers, they are not taking responsibility for their waste. There is a risk to environment of oil leaking for which the consequence could be a financial loss.	2	2	1	Possible leaking secondary containment	Explain the issue with the tenant and request them to resolve the issue.	Open
Positive Observation	14 th April 2022	Museum Manager	A positive observation was recorded in relation to the play workshops run by the museum. During the workshops children are encouraged to use waste materials in crafting activities							

Charnwood Museum 2021 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
Issue 1	4 th March 2021	Museum Manager	The operators of the café should be informed that the cooking should be stored on secondary containment and suggested that they purchase a spill kit and train on its use.	The waste oil is not being stored correctly the waste producers are not taking responsibility for their waste. There is a risk to environment of oil leaking for which the consequence would be a financial loss.	2	2	1	Insufficient waste control by tenant.	Explain the issue with the tenant and request them to resolve the issue.	A spill kit has been purchased and was seen in use. Closed
Rec 1	4 th March 2021	Museum Manager	The waste transfer note for mixed recycling specifies that aerosols can be transferred with the waste. This is incorrect as aerosols should be consigned separately. The aerosol reference should be removed from the waste transfer note.	An incorrect waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	The paperwork provided seemed to incorrectly advise that the waste could be disposed of in this recycling stream	Contact the supplier by requesting a separate aerosol collection and waste transfer note.	Closed
Rec 2	4 th March 2021	Museum Manager	To ensure that the competency certificate for the engineer who carried out the air conditioning maintenance is stored in the museum folder.	Not having the competency of the engineer who undertakes the maintenance is not compliant with the O-zone Depleting Substances Regulations and could lead to prosecution if the f-gas maintenance records were ever to be investigated by the Environment Agency.	2	1	2	Supplier lack of compliance in providing engineers records.	Contact the supplier and request a copy of the engineer's certificate/competence.	Closed
Rec 3	4 th March 2021	Museum Manager	To consider installing PIR sensors and LED lighting in staff areas.	The use of electricity is linked to climate change, therefore energy saving measures should be adopted where possible	6	2	3	Due to the pandemic and lower building utilisation it does not appear that energy saving	Review costings	To be reviewed as part of the 2030 Carbon Neutral Plan

Charnwood Museum 2021 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
								lighting measures have been reviewed for the staff areas.		

Town Hall 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
NCR 4	6 th April 2022	Town Hall Manager	It was evident during the audit that elements of the EMS are not being monitored	Lack of awareness could result in a legal noncompliance	9	3	3	Lack of allocation of roles and responsibilities for the management system.	Roles and responsibilities should be identified and addressed in relation to managing the EMS (Environmental Management System)	Open
NCR 5	6 th April 2022	Town Hall Manager	The 'Legionella Precaution Monthly Risk' form had not been completed in March 2022. As readings taken in February 2022 were illegible, it was not possible to evidence conformance against the required temperatures	Legionella build up can be prevented by regular flushing of the water system	6	1	6	Monthly process could not be evidenced	Clearly record the 'Legionella Precaution Monthly Risk' process and retain evidence of completion	Open
NCR 6	6 th April 2022	Town Hall Manager	There were no waste records available to view during the audit in relation to the following wastes: Sanitary Dry Mixed Recycling (Love Loughborough) General (Serco)	Lack of a waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	Lack of knowledge of waste stream documentation and retention periods	Waste transfer notes should be obtained and retained by the site for a minimum of two years	Open

Town Hall 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
NCR 7	6 th April 2022	Town Hall Manager	The Display Energy Certificate seen in reception; number 8034-4313-6199-4729-9696 expired on 30/09/2021.	A local authority can issue a penalty charge notice of £500 for failing to display a DEC	6	1	6	Failure to notice the Display Energy Certificate seen in reception, number 8034-4313-6199-4729-9696 expired on 30/09/2021	Obtain a current Display Energy Certificate	Open
Issue 6	6 th April 2022	Town Hall Manager	It should be ensured that waste bins remain accessible, to avoid the risk of pollution.	Disposal of Non-Recyclable, Non-hazardous Materials. There is a risk the obstructing a waste bin could result in incorrect disposals of waste	4	4	1	Failure to observe access to waste bins	Ensure that waste bins provided are easy to access and unobstructed	Open
Issue 7	6 th April 2022	Town Hall Manager	Records of the recently installed air conditioning equipment, associated contractor and engineer competencies should be retained by the Town Hall technical department.	Not retaining the competency of the engineers and company who undertake the installation (depending on what equipment was installed), could be non-compliant with the Ozone Depleting Substances Regulations and could lead to prosecution if the f-gas maintenance records were investigated by the Environment Agency	6	2	3	lack of awareness	Obtain and retain records of the recently installed air conditioning equipment, associated contractor and engineer competencies.	Open
Issue 8	6 th April 2022	Town Hall Manager	A current material safety data sheet should be obtained for: 'Evans Lemon Gel', product number A013 EV, and should be reviewed against the accompanying the COSHH	Not having current information nearby on the site as to the risk to the environment from substances means that if a pollution event were to occur involving those	2	1	2	Failure of process for checking the currency of material safety data sheets.	A current material safety data sheet should be obtained for: 'Evans Lemon Gel', product number A013 EV, and should be reviewed against the	Open

Town Hall 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
			data sheet, which should be reprinted, signed and retained in the file.	substances, the environmental risk may be greater than anticipated, and there may be a prosecution from a pollution event. Aside from environmental risk, this also poses a risk to human health.					Accompanying the COSHH data sheet, which should be reprinted, signed and retained in the file.	
Issue 9	6 th April 2022	Town Hall Manager	Consideration should be given to the appropriate storage of the gas cannister seen near the COSHH Cupboard and the kitchen.	Consider the risk to the environment in which the gas is stored	6	2	3	lack of awareness	Consideration should be given to the appropriate storage of the gas cannister seen near the COSHH Cupboard and the kitchen	Open
Rec 7	6 th April 2022	Town Hall Manager	Action should be taken to ensure spill training takes place on a regular basis (best practice suggests annually) and it is recommended that photographs are taken during the training to evidence that training was undertaken.	To prevent pollution in the event of a spill. There was no evidence that environmental spill training had been conducted since 02/03/2021	2	1	2	Lack of awareness of requirement.	Action should be taken to ensure spill training takes place on a regular basis (best practice suggests annually) and it is recommended that photographs are taken during the training to evidence that training was undertaken	Open
Rec 8	6 th April 2022	Town Hall Manager	It should be ensured that the COSHH cabinet is lockable.	Release of ecotoxic chemicals to water. Not having the cabinet locked poses a risk to the environment from substances stored	4	2	2	The lock was broken and had not been addressed at the time of audit.	It should be ensured that the COSHH cabinet is lockable	Open
Rec 9	6 th April 2022	Town Hall Manager	It is recommended that the contractors who left the oil arrange for the oil to be collected at their own cost.	The waste oil is not being stored correctly and by being left in the fryer, the waste producers are not taking responsibility for their waste. There is a risk to environment of oil leaking for which the	2	2	1	The contractor is not observing his legal obligation.	Charnwood BC did not create the waste so as the waste producer, the contractor has duty of care to remove the waste	Open

Town Hall 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
				consequence would be a financial loss						
Rec 10	6 th April 2022	Town Hall Manager	It is recommended that the appropriate bags are put into the general waste and recycling bins, and that the intended waste labelling is clear on both bins.	Failure to comply with the waste hierarchy and risk of pollution. The Environmental Protection Act 1990 imposes a duty of care on persons concerned with handling waste. This Duty of Care affects anyone who produces, imports, carries, keeps, treats or disposes of controlled waste, or as a broker has control of such waste.	2	2	1	Bags were put into the incorrect bins	It is recommended that the appropriate bags are put into the general waste and recycling bins, and that the intended waste labelling is clear on both bins	Open

Town Hall 2021 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2021
NCR 2	4 th March 2021	Town Hall Technical Manager	No waste transfer note for sanitary waste is available for the Initial sanitary waste collection.	Lack of a waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	PHS last visit to site was within the date range of the WTN. A new supplier is being sourced for reopening	Advise date of last collection and who new supplier is and when they were engaged. 17/03/2020. Previous note ran from 01/10/2019 to 30/09/2020. Engage a new supplier.	Remains open
NCR3	Oct 2021	Town Hall Technical Manager	There is no waste transfer note for the collection of printer cartridges.	Lack of a waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	Lack of knowledge of this waste stream and its collection arrangements	This needs to be investigated and obtained	Remains open
Issue 4	4 th March 2021	Town Hall Technical Manager	To complete the waste transfer note for general waste from the Town Hall	An incorrectly completed waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	Incorrectly completed by CBC	Ensure all sections are completed correctly	Closed
Issue 5	4 th March 2021	Town Hall Technical Manager	To ensure that the waste transfer note from Love Loughborough is signed by Serco.	An incorrectly completed waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste	6	2	3	Incorrectly completed by Serco	Ensure all sections are completed correctly Refer to supplier briefing note	Closed

Town Hall 2021 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2021
				management practices of Charnwood BC be investigated.						
Issue 6	4 th March 2021	Town Hall Technical Manager	There is no evidence of the engineers (Ian Simpkins) competence to conduct the testing of the air conditioning unit.	Not having the competency of the engineer who undertakes the maintenance is not compliant with the Ozone Depleting Substances Regulations and could lead to prosecution if the f-gas maintenance records were ever to be investigated by the Environment Agency.	2	1	2	Not supplied by service company	Obtain certificate	Closed
Rec 4	4 th March 2021	Town Hall Technical Manager	To consider reviewing the payback time requirement for energy improvements.	The use of electricity is linked to climate change, therefore energy saving measures should be adopted where possible	6	2	3	Allocation of finances	Establish if a review of the payback requirements for introducing energy saving measures can be carried out.	Remains open
Rec 5	4 th March 2021	Town Hall Technical Manager	The mixed recycling waste transfer note specifies that aerosols can be transferred with the waste. This is incorrect. Aerosols should be consigned separately. The aerosol reference should be removed from the waste transfer note.	An incorrect waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	Waste provider not providing the correct paperwork/service	Arrange for a separate collection for aerosols	Closed

Town Hall 2020 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2021
Rec 4	12 Feb 2020	Town Hall Technical Manager	<p>Andy Davies' competency should be obtained and kept on file</p> <p>Failure to have the correct gas refilled into the equipment poses a risk to the environment, as the Montreal Protocol has stated that gases with a high GWP should be phased out. This is the responsibility of the engineer, but Charnwood BC should take action to avoid an environmental risk.</p>	Not having the competency of the engineer who undertakes the maintenance is not compliant with the O-zone Depleting Substances Regulations and could lead to prosecution if the f-gas maintenance records were ever to be investigated by the Environment Agency.	2	1	2	Incompetency on the part of the service company	Next time he visits, ask if he can provide his competency certificates for your records.	Closed
Rec 5	12 Feb 2020	Town Hall Technical Manager	It must be noted that the next time the gas is refilled in the AHU, it must be refilled either with a smaller amount of gas, or with a different gas which has a lower global warming potential.	Failure to have the correct gas refilled into the equipment poses a risk to the environment, as the Montreal Protocol has stated that gases with a high GWP should be phased out. This is the responsibility of the engineer, but Charnwood BC should take action to avoid an environmental risk.	2	1	2	It is thought that the service company may not be aware that the refrigerant used originally is now banned.	This should be discussed with Carrier as soon as possible, and before the next leak check. If you need to add refrigerant to a system affected by the refill ban after 2020, you will need to follow guidelines.	<p>Discuss with carrier when refilling is required 2021</p> <p>No gases have been added since the last audit</p> <p>Remains open</p>

Oak Business Centre 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2021
Issue 1	6 th April 2022	Business Centre Supervisor	It should be confirmed if dry mixed recycling and general waste are both included on the waste transfer note covering the period 01/11/21-31/10/22. It should also be established how segregation is occurring at the waste centre.	Lack of a correct waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	Waste practices	Contact the supplier and confirm if season ticket includes DMR	Open
Issue 2	6 th April 2022	Business Centre Supervisor	The transfer note for printer cartridges is dated 04/02/21. Waste should not be stored by the producer for longer than 12 months as this would contravene the guidance: 'Waste exemption: NWFD 2 temporary storage at the place of production	Waste should not be stored by the producer for longer than 12 months as this would contravene the guidance: 'Waste exemption: NWFD 2 temporary storage at the place of production	3	3	1	Waste practices	Check that this is the latest waste transfer note.	Open

Oak Business Centre 2021 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
NCR 5	4 th March 2021	Building Manager	There needs to be a transfer note for printer cartridges, for Infotone	Lack of a correct waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency	6	2	3	Infotone did not supply a correct WTN	Contact Infotone to update waste transfer note	Closed

Oak Business Centre 2019 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
Rec 13	8 th Feb 2019	Business Centre Manager	Outside lights in the car park were left on all day. Photocells for these lights could reduce the use of the lighting when not required	The use of electricity is linked to climate change, therefore energy saving measures should be adopted where possible	6	2	3	Due to the pandemic and lower building utilisation it does not appear that energy saving lighting measures have been reviewed for the staff areas	Investigation into photocells is recommended	To be reviewed as part of carbon 2030 plan

Ark Business Centre 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
Issue 4	14 th April 2022	Business Centre Supervisor	It should be confirmed if dry mixed recycling and general waste are both included on the waste transfer note covering the period 01/11/21-31/10/22 and that collections of the	Lack of a correct waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency	4	2	2		Establish with the waste provider.	Open

Ark Business Centre 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
			waste streams are separate.	should the waste management practices of Charnwood BC be investigated.						
Issue 5	14 th April 2022	Business Centre Supervisor	The Ark, should review the Tenancy Agreement in relation to the storage of oil and chemicals at the unit. The Ark should write to the tenant requesting the following action be taken by in relation the IBC stored at unit 17:	Risk of release of ecotoxic chemicals to a water course, pollution to the environment and prosecution.	6	2	3	Storage of an unknown substance in a position where pollution could occur.	Review the Tenancy Agreement	Open
Issue 6	14 th April 2022	Business Centre Supervisor	It should be ensured that recycling waste is not disposed of in the general waste.	Failure to comply with the waste hierarchy and risk of pollution. The Environmental Protection Act 1990 imposes a duty of care on persons concerned with handling waste. This Duty of Care affects anyone who produces, imports, carries, keeps, treats or disposes of controlled waste, or as a broker has control of such waste.	3	1	3	Tenants not following the correct waste process	Address the issue with tenants	Open
Rec 4	14 th April 2022	Business Centre Supervisor	It is recommended that a current material safety data sheet for 'Suma Bac D10 Sanitiser', is reviewed and retained in line with Charnwood B.C COSHH policy.	Not having information on the site as to the risk to the environment from substances means that if a pollution event were to occur involving those substances, the environmental risk may be greater than anticipated, and there may be a prosecution from a pollution event.	4	2	2	The most recent safety data sheet had not been downloaded	A safety data sheet has been found for this chemical, and a COSHH Risk assessment should be updated from it.	Open

Ark Business Centre 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
				Aside from environmental risk, this also poses a risk to human health.						
Rec 5	14 th April 2022	Business Centre Supervisor	Reprint the Energy Performance Certificate in A3 size in colour to ensure the certificate number is visible	A local authority can issue a penalty charge notice of £500 for failing to display a DEC	2	1	2	Printer error.	Reprint the Energy Performance Certificate	Open

Ark Business Centre 2021 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
NCR 3	4 th March 2021	Building Manager	To ensure that the printer cartridge waste transfer note includes: Correct SIC code Carriers licence number Signature of the producer	Lack of a correct waste transfer note indicates that the duty of care has not been followed, which could result in prosecution by the Environment Agency should the waste management practices of Charnwood BC be investigated.	6	2	3	Infotone did not supply a correct WTN	Supplier to be contacted to obtain correct waste transfer note	Closed

Ark Business Centre 2019 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2021
Rec	08 Feb 2019	Building Manager	<p>Possible energy saving option due to daylight sensors reducing energy use in sunny areas of the building</p> <p>Motion sensors are in place.</p>	The use of electricity is linked to climate change, therefore energy saving measures should be adopted where possible	6	2	3	Due to the pandemic and lower building utilisation it does not appear that energy saving lighting measures have been reviewed for the staff areas.	Investigation into daylight sensors is recommended	To be reviewed as part of carbon 2030 plan

Woodgate 2022 Audit										
Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
Issue 1	6 th April 2022	Premises Officer	The current mode of transportation of waste fluorescent tubes should be assessed for protection to the environment and safety to the individual.	There is a risk of pollution o the environment posed by the mode of carrying hazardous waste	4	2	2	Transportation issue	The current mode of transportation of waste fluorescent tubes should be assessed for protection to the environment and safety to the individual	Open
O	6 th April 2022	Premises Officer	The air-conditioning service is due in April 2022	The use of F gases and the maintenance of the systems they're used in is strictly controlled by UK F gas regulations. This is because, if leaked into the atmosphere, F-gases can dangerously contribute to global warming. Failure to comply with the regulations could lead prosecution	2	1	2	Time management issue	Arrange for the air conditioning to be serviced at Woodgate	Open

General Legal Compliance March 2021 Audit

Ref	Date Raised	Process Owner	Description of Non-conformity	Risk phase	Overall Risk Rating	Likelihood	Impact	Root Cause	Recommended action	Update May 2022
NCR 6	4 th March 2021	Building Manager	It needs to be ensured that the Heat Network Regulations are complied with where there is communal heating or the distribution of thermal energy in the form of steam, hot water or chilled liquids from a central source.	Office for Product Safety and Standards is the regulator, non-compliance with obligated regulations could lead to prosecution.	6	2	3	Lack of evidence to support compliance with Heat Regulations	Carry out an assessment of the regulations and establish records to prove the accurate compliance status	Closed

Likelihood	Very Likely (4)	4	8	12	16
	Likely (3)	3	6	9	12
	Unlikely (2)	2	4	6	8
	Remote (1)	1	2	3	4
		Minor (1)	Significant (2)	Serious (3)	Major (4)
		Impact			

OVERALL RISK RATING	
12 - 16	HIGH
6 - 9	MODERATE
3 - 4	LOW
1 - 2	VERY LOW