



Risk Committee of the Barbican Centre Board

Date: WEDNESDAY, 20 JANUARY 2016
Time: 9.30 am
Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL
Members: Deputy Dr Giles Shilson (Chairman)
Deputy John Tomlinson (Deputy Chairman)
Lucy Frew
Deputy Catherine McGuinness
Sir Brian McMaster
Judith Pleasance
Keith Salway

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N.B. Part of this meeting could be the subject of audio or visual recording

**John Barradell
Town Clerk and Chief Executive**

AGENDA

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES**
To approve the public minutes of the meeting held on 13 October 2015.
For Decision
(Pages 1 - 6)
4. **OUTSTANDING ACTIONS**
Report of the Town Clerk.
For Information
(Pages 7 - 8)
5. **INTERNAL AUDIT UPDATE**
Report of the Head of Internal Audit.
For Information
(Pages 9 - 20)
6. **WHISTLEBLOWING**
Report of the Head of HR.
For Information
(Pages 21 - 22)
7. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
8. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
9. **EXCLUSION OF THE PUBLIC**
MOTION – That under Section 100A of the Local Government Act 1972, the public be excluded from the meeting for the following items, on the grounds that they involve the likely disclosure of Exempt Information, as defined in Part 1, of Schedule 12A of the Local Government Act
10. a) **NON-PUBLIC MINUTES**
To approve the non-public minutes of the meeting held on 13 October 2015.
For Decision
(Pages 23 - 26)

b) **SPECIAL MEETING: NON-PUBLIC MINUTES**
To approve the notes of the special meeting held on 2 December 2015.
For Decision
(Pages 27 - 28)
11. **RISK REGISTER**
Report of the Chief Operating & Financial Officer.
For Decision
(Pages 29 - 68)

12. **UPDATE ON IT SECURITY**
Report of the Chief Operating & Financial Officer.
For Information
(Pages 69 - 72)
13. **SECURITY UPDATE**
Chief Operating & Financial Officer and Director of Operations & Buildings to be heard.
For Information
14. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
15. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

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RISK COMMITTEE OF THE BARBICAN CENTRE BOARD

Tuesday, 13 October 2015

Minutes of the meeting of the Risk Committee of the Barbican Centre Board held at Committee Rooms, 2nd Floor, West Wing, Guildhall on Tuesday, 13 October 2015 at 11.00 am

Present

Members:

Deputy Dr Giles Shilson (Chairman)
Deputy John Tomlinson (Deputy Chairman)
Lucy Frew
Sir Brian McMaster
Keith Salway

In Attendance

Officers:

Sir Nicholas Kenyon	- Managing Director, Barbican Centre
Sandeep Dwesar	- Chief Operating & Financial Officer, Barbican Centre
Michael Dick	- Director of Operations & Buildings, Barbican Centre
Leo Thomson	- Director of Audiences & Development, Barbican Centre
Nigel Walker	- Head of Security, Barbican Centre
Niki Cornwell	- Head of Finance (Barbican), Chamberlain's Department
Anna Simmonds	- Senior Audit Manager, Chamberlain's Department
Gregory Moore	- Town Clerk's Department

1. APOLOGIES

Apologies were received from Deputy Catherine McGuinness and Judith Pleasance.

2. MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA

There were none.

3. MINUTES

The public minutes and summary of the meeting held on 9 June 2015 were approved.

4. OUTSTANDING ACTIONS

The Board noted the outstanding actions list and received updates on the items thereon.

Whistleblowing: The Managing Director was asked to report back to the next meeting on the steps being taken to promulgate the policy to staff across the

Barbican Centre, with the Town Clerk asked to ascertain the arrangements for staff at Guildhall.

Artist Cancellations: The Director of Audiences & Development clarified that monetary refunds were only available when shows were fully cancelled, with exchanges or credit notes otherwise offered in lieu and with a validity of six months. It was noted that the vast majority of customers preferred to use this to see the same show on a different date.

Oracle Update: The Head of Finance confirmed that Drum Works and other such third party organisations linked to the Centre did not use the Oracle system and therefore there were no licensing concerns.

Security Costs: The Director of Audiences & Development advised that basic security costs were included in all contracts, with additional fees built in to the contracts if extra security was anticipated to be necessary in advance of the event. However, if it only became apparent that additional security was necessary late in the day, the Barbican tended to cover the cost and seek to negotiate back a proportion of the associated fee; such instances were rare and the costs low.

A Member suggested that it would be sensible to build in to contracts a clause reserving the right to charge the artist a limited additional amount of money for any extra security required, based on professional or police advice. Including a clause placing a duty of disclosure on artists if they were aware of a likely need for additional security was also suggested.

The Director thanked Members for the helpful points made and undertook to follow up on the suggestions.

RECEIVED.

5. **INTERNAL AUDIT UPDATE**

The Committee received a report of the Head of Internal Audit and Risk Management providing an update on Internal Audit activity undertaken at the Barbican Centre since June 2015 and analysing the delivery of planned reviews in 2015-16.

The ongoing Barbican International Enterprise review was discussed, with it asked if any there were issues emerging which would be of interest to the Committee. The Senior Audit Manager advised that, whilst there were two amber recommendations, the majority of areas had been rated as “green” to date, with overall assurance level of “green” so far.

The budget-setting review was also referenced, with it confirmed that the review would include a look at aspects of the timing and profiling of budgets and how variances were dealt with. It was also suggested that the statement on commitments to repay various internal loans to the City Corporation should form part of this review.

Discussion took place on the subject of how revenue accruing from productions which fell across financial years was allocated. Whilst Members were cognisant that rules around this were in place, they felt it would be beneficial to obtain an internal audit critique on the processes to gauge whether they were fully appropriate. The Head of Finance reassured Members that this issue was monitored closely by the Barbican's external auditors, with the agreement in place such that all revenue was allocated within one financial year only.

The longer term audit plan for the Barbican was tabled, which covered those audits scheduled for the next five year period. However, it was cautioned that re-planning took place each year and, as such, amendments would be made in response to emerging or changing areas of need.

A Member observed that a number of audits, all concerning contracts, were proposed to be split out and undertaken separately; given that they all effectively comprised the same process, it was asked if it would not be more sensible to undertake them concurrently as a single review. The Senior Audit Manager noted the comment and advised that she would look at this when revising the forward plan in the coming months, adding that changes would be made so that the plan presented in 2016 was more aligned to the Barbican's business plan.

The issue of information technology (IT) security was discussed, with it suggested that further reassurance should be provided in this area given its growing importance. It was advised that the Barbican's arrangements were audited as part of the City Corporation's general IT audit each year, but that in addition the Barbican employed experts to undertake its own more specific penetration tests to provide extra assurance. It was observed that it would be helpful to include the outcomes of such tests within the risk register and provide a summary of conclusions or an update to the Risk Committee in future, so as to provide additional confidence.

RESOLVED: That the delivery position for the 2015-16 Internal Audit Plan, the outcome of reviews completed to date and the proposed areas of coverage for forthcoming reviews be noted.

6. **BRIBERY ACT 2010**

The Committee received a report of the Head of Internal Audit and Risk Management providing information on the Bribery Act 2010.

It was asked if the City Corporation had an anti-bribery policy in place and if Barbican staff would be covered by this policy; the Town Clerk undertook to look in to the issue and report back.

A Member cautioned that the Act placed very strict duties and responsibilities upon organisations, such that they were liable even if any bribery was undertaken by individual sub-contractors without the organisation's knowledge. In the Barbican's case, this could lead to particular difficulties with touring exhibitions in countries where additional payments were a cultural norm or expected as part of regular transactions, as people on the ground were left in

difficult positions. It was urged that clear guidance around escalation procedures in such cases be prepared and distributed, and that back to back provisions be placed in to contracts with sub-contractors to make clear the Barbican's expectations.

The Head of Finance undertook to discuss the provisions within current contracts with the Comptroller and to speak with the Head of Barbican International Enterprises to get a sense of the existing guidance and reality on the ground; it was subsequently requested that a report be prepared for the next meeting setting out the guidance in place for staff, clarifying the policies currently in place and setting out the Barbican's position.

It was noted that this information could also be useful for other committees, and Internal Audit were asked to highlight the issue to others as appropriate.

RECEIVED.

7. PROCESS FOR CONTRACTING COMMERCIAL CLIENTS

The Committee received a report of the Chief Operating & Financial Officer setting out the processes in place for contracting Commercial events.

RECEIVED.

8. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

There were none.

9. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT

There were none.

10. EXCLUSION OF THE PUBLIC

RESOLVED – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in paragraph 3 of Part I of the Schedule 12A of the Local Government Act.

11. NON PUBLIC MINUTES

The non-public minutes of the meeting held on 9 June 2015 were approved.

12. RISK REGISTER

The Committee received a report of the Chief Operating & Financial Officer advising Members of the risk management system in place at the Barbican, updating on the significant risks that had been identified and outlining measures for mitigation of these risks.

RESOLVED: That the report be received and its content noted.

13. NON PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

There was one question.

14. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

There was one urgent item, providing an update on the Centre for Music feasibility study.

At the conclusion of the meeting, the Chairman also took the opportunity to thank the **Director of Audiences & Development**, noting that this would be her last Risk Committee meeting before her departure to take up post as the new Managing Director of the Welsh National Opera. He took the opportunity to express his sincere gratitude on behalf of the Committee for the outstanding work she had delivered during her tenure and wished her good luck in her new role.

The meeting ended at 12.15 pm

Chairman

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Risk Committee of the Barbican Centre Board
Outstanding actions 2015

Action	Notes/Description	Officer responsible	Date added	Status
Bribery Act	Report setting out guidance to staff and policies currently in place to be produced.	Chief Operating & Financial Officer	October 2015	On agenda for June meeting.
Whistleblowing	Managing Director to report back on how communication around the whistleblowing policy is managed at the Centre; Town Clerk to do same re Guildhall.	Managing Director/Town Clerk	October 2015	On agenda for January meeting.
Security – contractual items	To explore whether it was possible to add clauses around duty of disclosure and recouping of any requisite additional security costs.	Director of Audiences & Development	October 2015	Update to be provided to January meeting.
IT Security	Updates on penetration tests and other IT security reviews to be included in Risk Register.	Head of IT	October 2015	On agenda for January meeting.
Communication with protesters	To follow up with colleagues in Communications re the production of leaflets and communication to protesters around LLW increases.	Managing Director	October 2015	FAQs/messaging produced.
Equalities and Diversity Action Plan: Risks	Appropriate thought to be given to identifying potential risk and mitigating actions associated with E&D action plan.	Head of HR	Referred from Board, Oct 15	Oral update to be provided at January meeting.

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Committee:	Date:
Risk Committee of the Barbican Centre Board	20 January 2016
Subject: Internal Audit Update Report	Public
Report of: Head of Internal Audit and Risk Management	For Information

Summary

This report provides an update on the internal audit reviews undertaken between November 2015 and January 2016, as well as a status update in respect of the schedule of planned work for 2015-16 (Appendix 1).

Since the Committee update report in October 2015 two audits have been progressed to completion: Budget-Setting and Financial Management, and Barbican Internal Enterprises, terms of reference have been finalised for three audits: Box Office Income (Pricing), Bars, and Membership Schemes, and a System Controls Audit (Artifax) is in progress. Delivery of the 2015-16 audit plan is progressing to target and it is anticipated that all reviews will be completed by 31 March 2016.

Two final reports issued in December 2015 contained substantial (green) assurance ratings. The review of Budget-Setting and Financial Management resulted in two amber and two green recommendations, all but one of which were agreed for implementation by Barbican management. One amber priority recommendation relating to the full costing of activities created by the Art Forms was agreed in principle but is not anticipated to be implemented in full due to resource constraints.

Two amber priority and six green priority recommendations arose as part of the review of Barbican International Enterprises. Barbican management have agreed all but one amber priority recommendation.

As at the end of December 2015 there are no live high (red and amber) priority recommendations apart from those arising from the two recently finalised reviews.

This report also includes the Draft Internal Audit Plan 2016-19 for comment and suggestions for any changes or additions to the proposed plan. (Appendix 2)

Recommendation(s)

Members are asked to note the delivery position for the 2015-16 Internal Audit Plan, the outcome of reviews completed to date, the proposed areas of coverage for forthcoming reviews, and to consider the draft Internal Audit Plan 2016-19.

Main Report

Background

1. This report provides an update on audit work progressed since the update to this Committee in October 2015 and includes a summary of the status of all 2015-16 reviews (Appendix 1). The draft Internal Audit Plan for 2016-2019 is attached for consideration and comment (Appendix 2).

Delivery of Internal Audit Work

2. An analysis of the status and outcome of reviews within the 2015-16 audit plan is attached at Appendix 1. Two audit reviews – outlined below – have been finalised, one review is in progress and the scope and timing of the remaining three reviews have been agreed with management to facilitate full plan delivery by 31 March 2016.

Summary of audit review outcomes – 2015-16 Planned Work

Budget-Setting and Financial Management

4. This finalised review evaluated the adequacy of budget setting arrangements to ensure flexibility at a time of economic uncertainty and to address the commercial, artistic and educational aspects of the Centre's programme. The review also examined budget monitoring and the accuracy, integrity and timeliness of financial performance reporting to enable effective decision-making.
5. The review resulted in a substantial (green) assurance opinion. On the basis of testing performed, the review concluded as follows:
 - A number of mechanisms are in place to ensure that budget setting accords with Barbican priorities.
 - Budget setting incorporates budget holder engagement, ownership and accountability from the outset, facilitating good financial management.
 - Senior management and Member oversight is exercised through the approval of the budget resources for the year and regular review of budget performance.
 - Controls to ensure that budget holders have access to sufficient, relevant, reliable and timely information are generally effective.
 - Arrangements to ensure that variances are identified, investigated, analysed and reported on a timely basis are generally adequate.
 - Reconciliation arrangements were found to be generally adequate, with box office income reconciled daily and transactions from the feeder system ENTA uploaded onto a control account within CBIS on a monthly basis and reconciled accordingly.
 - The scope, frequency and segregation of duties observed in the reconciliation processes are considered appropriate.
6. Budget position statements are reviewed at monthly budget monitoring meetings between Finance and budget holders. Budget holders indicated, however, that budget position statements are not always received on a timely basis to allow scrutiny prior to budget meetings. Whilst the tight deadlines within the monthly budget cycle are acknowledged, a green priority recommendation has been made

to ensure that some flexibility is allowed, enabling appropriate analysis and scrutiny of the figures and improved forecasts. Management have agreed this recommendation for immediate implementation, and it is understood that this is already the aim, but consistent achievement is dependent upon available resources.

7. Monthly budget monitoring meetings, which include discussions regarding variances, are not minuted and an amber priority recommendation has been made to ensure that actions are followed up as appropriate. Management have undertaken to implement this by January 2016.
8. Budget holder feedback indicated that they would benefit from: refresher training, documented guidance, additional information such as full activity levels for areas other than the main art forms and consistently receive reports on a timely basis. It is noted that 'Finance for non-financial staff' training is run but on an infrequent basis. A green priority recommendation has been agreed by management for implementation by the end of March 2016.
9. It is understood that the full cost of activities created by the Art Forms are not apportioned to individual events and as such the net contribution / expense is not known. An amber priority recommendation has been made to inform financial performance monitoring and to facilitate budget management. Management were aware of this issue, having identified this as part of the strategic plan, and some work had been undertaken previously to address this. It is understood that management agree with the recommendation but resources are currently insufficient to enable full implementation; the recommendation is thus categorised as 'not agreed' as there are no firm plans to mitigate the highlighted risk.

Barbican International Enterprises (BIE)

9. This finalised review evaluated the adequacy of the arrangements in place regarding the development and delivery of a programme of touring exhibitions and the financial management provisions to ensure that value for money is achieved. Testing comprised a sample of exhibitions from both types of product (those that started as exhibitions in the Barbican Centre and those that are designed specifically for touring) and an evaluation of compliance with development and monitoring processes.
10. The review resulted in a substantial (green) assurance opinion and overall, satisfactory controls were confirmed to ensure the effective delivery of touring exhibitions. It was noted that despite the market difficulties faced, the overall performance of International Enterprises is positive and presents a financial contribution to the Barbican Centre. Performance monitoring and management information available is sufficient and timely.
11. On the basis of testing performed, the review concluded as follows:
 - Appropriate controls such as research, market testing and partnering agreements - to reduce investment risks - were observed at project identification stage
 - Continuous budget and project monitoring meetings are held at project

development stage and project management schedules are used to ensure that projects are developed on time and are quality controlled.

- Robust contractual agreements with customers and the presence of BIE staff at the opening and closing of exhibitions were also found.
 - Arrangements in place for the recruitment of curators, designers, technicians, and other exhibition team members are generally adequate.
 - Adequate financial controls are in operation to ensure that fluctuations in the market are reflected on a timely basis in the BIE forecasts, and that action is taken promptly in respect of known variances.
 - Good governance was observed in terms of the reporting of financial and activity performance for touring exhibitions to Directors and Members.
12. Testing highlighted that the identification, development and delivery of touring exhibitions' process is not documented and as such it relies on a key officer's knowledge. Management have undertaken to draw up a handbook at the earliest opportunity in response to an amber priority recommendation.
13. No evidence was found in respect of the initial budget approval or reporting of budget performance for the development of major exhibitions, such as Designing 007 James Bond. An amber priority recommendation has been made relating to recording the approval of budgets for development of major exhibitions. Management have since advised that sign-off is, and was, obtained at Director level and as such consider this to be adequate, although acknowledge that it could have been better documented and have therefore not accepted the recommendation.
14. Two green priority recommendations have been made in relation to recruitment and contractual arrangements and management agreed to implement these immediately to ensure that contracts are signed promptly and held securely.
15. Three green priority recommendations have been made to strengthen financial management of touring exhibitions and management agreed to implement two of these immediately. The remaining recommendation in respect of increasing Barbican International Enterprises' profile / presence on the Barbican's website is awaiting approval and management have undertaken to implement this at the earliest opportunity.
16. A green priority recommendation has been made for the risk identified in relation to business carried out in the EU to be upgraded to amber as per the "Risk Matrix" scoring grid, in order to ensure that management actions and monitoring of fluctuating situations are robust enough. Management have agreed to implement this recommendation with immediate effect.

2015-16 Reviews in Progress

System Controls: Artifax

17. Fieldwork has been completed in respect of the system controls review of Artifax, the Venue and Event Management system. The purpose of this review is to obtain assurance that adequate financial control arrangements are in place to restrict access to the Artifax system to authorised personnel through the use of password

controls and system access rights. Circulation of the draft report is imminent and finalisation of the review is anticipated by 29 February 2016.

Box Office Income - Pricing

18. The terms of reference for this review have been finalised and project completion is anticipated by 31 March 2016. The objective of this internal audit review is to establish and evaluate the rationale for setting box office pricing for a sample of art forms. It is proposed that testing for this review be focused on box office pricing in respect of the theatre (to include a sample of commercial rentals), cinema and gallery. Audit testing will examine the process for determining how productions are priced so that audiences will be attracted to purchase tickets, as well as the relationship between the contribution to costs and the scope that the Barbican has for setting prices in a competitive environment.

Bars

19. The terms of reference for this review have been finalised and project completion is anticipated by 31 March 2016. The purpose of this review is to obtain assurance that there are adequate arrangements in place in respect of cash income received by the Barbican's bars, that income is recorded and banked in full and that bar stock is appropriately managed. The audit will also look to ensure that there are adequate reporting arrangements in respect of bar income and stock levels held.

Membership Schemes

20. The terms of reference for this review have been finalised and project completion is anticipated by 31 March 2016. The purpose of this audit is to obtain assurance that there are adequate controls in operation to ensure that membership scheme uptake and benefits to the Barbican are realised in line with business plans. The review will also consider whether sufficient, accurate and timely management information is available to enable performance monitoring / inform decision-making in relation to the Membership Schemes.

Draft Internal Audit Plan 2016-19

21. The Draft Internal Audit Plan for 2016-19 has been prepared using a risk-based approach and in consultation with the Chamberlain and Head of Finance. This one year plan and the strategy for 2016-19 are attached at Appendix 2. Comment and suggestions for consideration in future internal audit plans are sought from your Committee Members.

Implementation of Audit Recommendations

22. There are currently no outstanding red and amber priority recommendations. The amber recommendations arising from the recently finalised reviews referred to above will be followed up in due course and the outcome reported to this Committee.

Conclusion

23. Reviews of Budget-Setting and Financial Management, and Barbican International Enterprises have provided substantial assurance.

24. Delivery of the 2015-16 audit plan is progressing to target. Barbican Centre management have accepted all but two of the recommendations arising from recently finalised reviews and the high (amber) priority recommendations will be followed up in due course. As at the end of December 2015 there are no further live red or amber recommendations awaiting implementation by Barbican management.

Appendices

Appendix 1 Internal Audit Plan Schedule of Projects 2015-16

Appendix 2 Draft Internal Audit Plan 2016-2019

Chris Harris, Head of Audit and Risk Management
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Scheduled Work Internal Audit Plan 2015-16

Project	Planned Days	Current Stage	Completion Date	Assurance Rating	Recommendations			
					Total Red	Total Amber	Total Green	Total
<u>Cost Estimating and Cost Planning</u> Review of arrangements to ensure that major project costs are properly estimated and planned with appropriate budgets set prior to project works commencing on site. The audit will also look to obtain reasonable assurance that actual project expenditure is compared with original project estimates to identify key variances and improve cost estimation in future.	25	Final Report	31 August 2015	Substantial	0	1	1	2
<u>Barbican International Enterprises</u> Evaluation of the adequacy of the arrangements in place regarding the development and delivery of a programme of touring exhibitions and the financial management provisions to ensure that value for money is achieved.	20	Final Report	31 December 2015	Substantial	0	2	6	8

Project	Planned Days	Current Stage	Completion Date	Assurance Rating	Recommendations			
					Total Red	Total Amber	Total Green	Total
<u>Budget-Setting and Financial Management</u> The purpose of this review is to ascertain how the Barbican Centre sets a budget that is flexible at a time of economic uncertainty and addresses the commercial, artistic and educational aspects of the Centre's programme. It will also examine budget monitoring and the accuracy of financial performance reporting.	15	Final Report	31 December 2015	Substantial	0	2	2	4
<u>Box Office Income (Pricing)</u> An examination of the process for determining how productions are priced so that audiences will be attracted to purchase tickets, as well as the relationship between the contribution to costs and the scope that the Centre has for setting prices in a competitive environment.	15	TOR Finalised	31 March 2016	-	-	-	-	-
<u>Bars</u> A high level review to ensure that contractor performance is adequately monitored, all income due has been	7	TOR Finalised	31 March 2016	-	-	-	-	-

Project	Planned Days	Current Stage	Completion Date	Assurance Rating	Recommendations			
					Total Red	Total Amber	Total Green	Total
received in accordance with the contract, asset registers are current and that an adequate handover plan has been formalised.								
<u>Membership Scheme</u> Review of uptake and the arrangements to ensure that benefits are realised.	10	TOR Finalised	31 March 2016	-	-	-	-	-
<u>IT – System Controls</u> To obtain assurance that there are adequate logical input and access controls within the Artifax system and that they are operating effectively.	7	Fieldwork	29 February 2016	-	-	-	-	-

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Internal Audit Plan 2016-17

Audit Title	Rationale
Major Incident, Security and Safety	This is a key risk identified and will assess that the controls in place are operating effectively.
Catering	A review of the management of the catering contract to ensure services are delivered as per requirements and that appropriate financial monitoring controls are in place.
Customer Experience	This is a Strategic goal to enable delivery of a great experience to Barbican Centre Visitors. It will review of arrangements to ensure delivery of the supporting work strand: 'a seamless, real-time and consistently high standard customer experience across all touch points and channels, digital and physical. Focusing on data management related to customer satisfaction.
Car Parking System	A new system was introduced in summer 2015 and this review will ensure that appropriate key controls have been implemented.

Internal Audit 3 Year Strategy

Audit Title	2016-17	2017-18	2018-19
Major Incident, Security and Safety	✓		
Catering	✓		
Customer Experience	✓		
Car Parking System	✓		
Strategic Planning, Monitoring and Implementation		✓	
IT Projects		✓	
Financial Monitoring and Income Generation (New Retail Outlet)		✓	
Cancellation of Events		✓	
Widening Audiences		✓	
Cash Handling		✓	
Repairs and Maintenance			✓
Progression and Professional Development (Artistic Offering/Supporting Artists)			✓
Target Setting and Performance Monitoring			✓
Sponsorship and Donations			✓

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Committee(s): Risk Committee of the Barbican Centre Board	Date(s): 20 January 2016
Subject: Whistleblowing Policy	Public
Report of: The Head of HR (Barbican Centre)	For Information
Report author: Steve Eddy – Barbican Centre	

Summary

The Risk Committee of the Barbican Centre Board previously considered the Whistleblowing Policy in place at the Barbican Centre. Whilst satisfied with the comprehensiveness of the policy, Members were keen to ascertain what steps were being taken promulgate the policy to staff across the Barbican Centre and ensure that all members of staff were sufficiently aware of the procedures in place for them to escalate any concerns.

This report provides a brief outline of the arrangements in place at the Barbican, including the requirement for all new starters to read and confirm their familiarity with the policy and the refreshers issued to staff on an intermittent basis. The report also sets out the corresponding arrangements in place for staff based at Guildhall.

Recommendation(s)

Members are asked to:

- Note the report.

Main Report

Background

1. In June 2015, the Risk Committee of the Barbican Centre Board received a copy of the City of London Corporation's Whistleblowing Policy. It was noted that this policy applied to all Corporation employees, including Barbican staff.
2. Members commented on the comprehensiveness of the document and were satisfied that it represented a robust policy. However, clarification was sought as to the way in which it was communicated to staff, with it observed that the efficacy of the policy would be compromised should staff be insufficiently aware of it.
3. This report sets out the position at both the Barbican Centre and the Guildhall.

Barbican Centre

4. All new starters at the Barbican are required to have an induction meeting with an HR representative, where they are shown how to access the totality of HR policies and procedures which might affect them. These are set out in a document known as the "Employee Handbook" and accessible via Colnet (the City's intranet

system). Staff are then asked to sign a form to confirm they have been shown how to access each of these policies.

5. The Barbican intranet site (BIZ) also has an HR section, which has a link to the Employee Handbook and also a separate link to the Whistleblowing policy.
6. The Barbican Centre also periodically highlights key HR issues for staff in the staff newsletter, Digest. Following liaison with Internal Audit on the launch of the new Whistleblowing policy, the June 2015 copy of Digest contained an update on Whistleblowing to highlight its introduction, and included a link to the policy.

Guildhall

7. As with the Barbican Centre, all new starters based at Guildhall are shown how to access all relevant policies on their first day, including the Whistleblowing policy, and are required to familiarise themselves with them as part of their induction process.
8. In order to complete their induction process (and consequently their probation period), staff are required to sign a form confirming that they are familiar with various policies or have completed certain procedures/training courses. The Whistleblowing policy is specifically referred to on this form, with employees obliged to confirm that they have read and understood the policy.
9. The policy is also easily accessible as part of the “Employee Handbook”, which is regularly used by staff to access HR information.
10. As with the Barbican Centre, key HR issues for staff are periodically promoted through internal communications channels and the Whistleblowing policy was featured prominently on the intranet homepage when it was refreshed in May 2015, thereby reminding and signposting staff every time they used either the inter- or intra- net.

Conclusion

11. This report sets out the methods by which the Whistleblowing Policy is communicated to staff at both the Barbican Centre and Guildhall.

Appendices

- None

Steve Eddy

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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