2020-21 Audit of Barbican Security, issued January 2021, Assurance Rating: AMBER

Executive Summary

Background & Scope

The Barbican Centre, a Grade II listed building, encompasses a Concert Hall, two Theatres, the Barbican Art and Curve Galleries and three Cinemas together with but not limited to seven Conference Halls, two Exhibition Halls and a Conservatory.

The terror attack at Manchester Arena in 2017, underlines the paramount importance of maintaining a secure venue, in order to keep Visitors, Members, and Officers safe.

A range of capital projects have recently been undertaken at the Barbican Centre to enhance security, including but not limited to: the upgrading of CCTV and Access Control Systems infrastructure; installation of Anti-Shatter Window Film, together with implementing Hostile Vehicle Mitigation measures.

The objectives of this Internal Audit review were to provide assurance that adequate arrangements are in place for:

- Setting a strategy which defines a long term, sustainable approach to security at the Barbican Centre.
- Undertaking appropriate security risk assessments to determine potential threats to the Barbican Centre.
- Implementing an appropriate security infrastructure at the Barbican Centre.
- Managing security incidents.
- Safeguarding valuable assets.

Summary

- The audit confirmed that there are adequate arrangements in place for setting the Barbican Centre's Asset Management Plan, which underpins the City's wider 2020-2025 Corporate Property Asset Management Strategy; the arrangements acknowledge the Barbican Centre's status as an Institution of the City, and not a legal entity in its own right.
- Whilst the Barbican Centre has taken appropriate action to determine its security vulnerabilities by commissioning Counter Terrorism Security Advisor (CTSA) reviews, there is no forward programme in place for undertaking further CTSA reviews. As such, changes in the nature of the Barbican Centre's security vulnerabilities may not be identified and appropriately managed.
- The audit established that the Barbican Centre: has delivered a range of capital projects (e.g. CCTV and Access Control Project, Implementation of Hostile Vehicle Mitigation measures) to address the security vulnerabilities identified by the CTSA reviews; utilises the City's Corporate contract with ISS, for the provision of Manned Guarding. However, the audit identified clear scope for improvement on the part of the contractor in delivering Manned Guarding services.
- There is clear scope for improving Security Incident Management capabilities by enhancing monitoring arrangements to ensure that all security incidents are recorded within the City's online Corporate Security Incident Tracker together with subsequent actions required to reduce the likelihood of security incidents re-occurring. Where actions required are not recorded there is an increased level of risk that the actions will not be implemented.
- Whilst there are adequate arrangements in place for safeguarding valuable and portable IT assets, the audit identified scope to enhance internal control by implementing measures to periodically confirm that mobile phones and tablets allocated to staff are accounted for.

- Monitoring the cost of keeping the Barbican Centre secure against assigned budgets.
- Measuring the effectiveness of security arrangements at the Barbican Centre, through performance measurement and management.

- There are adequate arrangements in place for safeguarding artwork on display within the Barbican Centre's Art and Curve Galleries.
- On the basis of audit work undertaken, the audit confirmed that there are adequate arrangements for monitoring security related costs against budget.
- The Barbican Centre does not utilise performance measures (e.g. Key Performance Indicators) to determine the effectiveness of the Barbican Centre's Security arrangements. In the absence of performance measures deficiencies in security arrangements may not be identified, potentially resulting in hazardous events.

2020-21 Audit of Barbican & GSMD Facilities Management & Maintenance, issued March 2021, Assurance Rating: AMBER

Executive Summary

Background and Scope

The Barbican Centre, a Grade II listed building, and Guildhall School, with its state-of-the-art performance facilities, have extensive and complex repairs and maintenance requirements. Delivery of effective repairs and maintenance services is vital in keeping these organisations operational.

Currently, repairs and maintenance are delivered under a hybrid model, utilising the City of London's Corporate Building Repairs and Maintenance contractor, Skanska, and an internal Engineering Team, overseen by the Head of Engineering and Projects. Skanska and the Engineering Team utilise the Micad Computer Aided Facilities Management system and the Agility Asset Management System respectively, to deliver their services.

The objectives of this review were to provide assurance that there are adequate arrangements in place for:

- Devising a suitable long-term Facilities Management Strategy.
- Managing delivery of Programmed Maintenance.
- Managing delivery of Reactive Maintenance.
- Ensuring compliance with Health and Safety Legislation and Statutory requirements.
- Managing the performance of the Engineering Team.
- Managing maintenance expenditure in line with approved budgets.

Summary

The Audit review found that:

- A suitable long-term Facilities Management Strategy is in place.
- There is clear scope to improve the controls in place to ensure the effective delivery of both programmed maintenance and reactive maintenance.
- There are specific areas of non-compliance with Health and Safety Legislation and Statutory requirements.
- There is no performance management framework in place to drive performance improvement within the Engineering Team.
- Overall, there are adequate arrangements in place for managing repairs and maintenance expenditure in line with approved budgets.

2020-21 Audit of Barbican Ticketing System, issued June 2021, Assurance Rating: AMBER

Executive Summary

Background

This audit was undertaken as part of the Audit 2020-21 Internal Audit Plan.

In March 2016, the Barbican risk register identified a risk with respect to the Ticketing System (Enta) and the risk of financial instability of the supplier, and lack of future development. To address this, system replacement options were investigated and a ticketing system procured. The Spektrix ticketing system went live in February 2020 and has approximately three hundred users.

Scope

The objective of this review was to evaluate the extent to which:

- The Spektrix system has delivered against its specified business objectives.
- Secure configuration practices are in operation to maintain security, including routine patching and access controls.
- The Spektrix system is configured with management controls to prevent fraudulent and erroneous activity, for example in respect of transaction cancellations and refunds.
- Arrangements are in place to identify and manage both current emerging risks associated with the system.
- Management information and reporting mechanisms facilitate performance monitoring.

Summary

The Audit review found that:

- Overall delivery of the Spektrix system supports the Barbican business plan goals as specified under the umbrella of the Pillar 4 Technology Programme. Full delivery against the tender requirements could not be confirmed as this level of detail is not currently tracked.
- Secure configuration practices are implemented as part of the Software as a Service (SaaS) provided by Spektrix, including patching and anti-virus scanning. System access restrictions are in place with access based on the principle of providing least privilege/access.   There is scope to further strengthen controls with three recommendations made.
- Elements of management control are in operation to reduce fraudulent and erroneous activity through a range of measures such as system workflow and the ability to restriction permissions. Temporary removal of authorisation protocols for refunds during the Covid-10 pandemic need to be reinstated once normal operations resume.
- Established arrangements are in operation for identifying and tracking resolution of system issues giving rise to risks, and for escalation of significant risks to the departmental risk register.
- A regular review of Spektrix system performance against the Service Level Agreement is not currently in place with a recommendation made. It was noted that Spektrix system enables data capture to facilitate production of key management information. Several inbuilt reports are in use across various departments and greater use is expected once ticketing activity increases following Centre reopening.