



## Finance and Risk Committee of the Barbican Centre Board

**Date:** WEDNESDAY, 1 NOVEMBER 2023

**Time:** 10.45 am

**Venue:** CO-LAB SPACE, BARBICAN CENTRE

**Members:** Tijs Broeke (Chair) Robert Glick  
Tom Sleigh (Deputy Chairman) Tobi Ruth Adebekun (External Member)  
Deputy Randall Anderson Deputy Alpa Raja  
Alderman Sir William Russell Mark Page (External Member)

**Enquiries:** Kate Doidge  
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**Ian Thomas CBE**  
Town Clerk and Chief Executive

# AGENDA

## Part 1 - Public 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 and non-public summary of the last meeting held on 11 September 2023.

**For Decision**  
(Pages 5 - 8)

4. **INTERNAL AUDIT UPDATE**

Report of Head of Internal Audit.

**For Information**  
(Pages 9 - 22)

5. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

6. **ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT**

7. **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, in Schedule 12A, of the Local Government Act.

**For Decision**

## Part 2 - Non-Public Agenda

8. **NON-PUBLIC MINUTES**

To approve the non-public minutes of the last meeting held on 11 September 2023.

**For Decision**  
(Pages 23 - 26)

9. **BARBICAN BUDGET 2024-25**  
Joint report of CEO, Barbican Centre, and Chamberlain.  
**For Decision**  
(Pages 27 - 52)
10. **BARBICAN FIRE SAFETY PROJECT**  
Report of the City Surveyor.  
**For Decision**  
(Pages 53 - 64)
11. **RADIO SYSTEM INFRASTRUCTURE REPLACEMENT**  
Joint report of CEO, Barbican Centre, and Principal, Guildhall School of Music and Drama  
**For Decision**  
(Pages 65 - 86)
12. **CREATIVE COLLABORATIONS FINANCES DEEP DIVE**  
Joint report of the CEO, Barbican Centre, and Chamberlain.  
**For Information**  
(Pages 87 - 94)
13. **CYBER SECURITY ANNUAL REPORT**  
Report of CEO, Barbican Centre.  
**For Information**  
(Pages 95 - 118)
14. **BARBICAN CYCLICAL WORKS PROGRAMME (CWP) AND CAPITAL PROJECTS - UPDATE REPORT**  
Report of CEO, Barbican Centre  
**For Discussion**  
(Pages 119 - 126)
15. **BARBICAN BUSINESS REVIEW: SEPTEMBER 2023 (PERIOD 6)**  
Joint report of CEO, Barbican Centre, and Chamberlain.  
**For Information**  
(Pages 127 - 140)
16. **ARTS PROGRAMMING & BUSINESS EVENTS RISK REGISTER**

Report of the Artistic Director.

**For Information**  
(Pages 141 - 158)

17. **RISK UPDATE**

Report of CEO, Barbican Centre.

**For Information**  
(Pages 159 - 182)

18. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

19. **ANY OTHER BUSINESS THE CHAIR CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

## FINANCE AND RISK COMMITTEE OF THE BARBICAN CENTRE BOARD

Monday, 11 September 2023

Minutes of the meeting of the Finance and Risk Committee of the Barbican Centre Board held at Co-Lab Space, Barbican Centre on Monday, 11 September 2023 at 1.45 pm

### Present

#### Members:

Tijs Broeke (Chair)  
Deputy Randall Anderson  
Robert Glick  
Mark Page (External Member)

#### Officers:

Claire Spencer	- CEO, Barbican Centre
Cornell Farrell	- Barbican Centre
Will Gompertz	- Barbican Centre
Natasha Harris	- Barbican Centre
Luke Kemp	- Barbican Centre
Ali Mirza	- Barbican Centre
Patrick Moran	- Barbican Centre
Sarah Wall	- Chamberlain's Department
Richard Chamberlain	- City Surveyor's Department
Kate Doidge	- Town Clerk's Department
Ben Dunleavy	- Town Clerk's Department

#### 1. APOLOGIES

No apologies were received for this meeting.

Tom Sleigh and Alderman Sir William Russell observed the meeting virtually.

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

There were no declarations for this meeting.

#### 3. MINUTES

RESOLVED - the public minutes and non-public summary of the meeting held on 27 June 2023 were approved as a correct record.

#### 4. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

There were no public questions.

#### 5. ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT

There were no public items of urgent business.

The Chair noted that this would be the Artistic Director's final Committee meeting and thanked him on the Committee's behalf.

**6. 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 Part 1, of Schedule 12(A), of the Local Government Act.

**7. NON-PUBLIC MINUTES**

The non-public minutes of the meeting held on 27 June 2023 were approved as a correct record.

**8. BARBICAN IMMERSIVE FUTURE PLANS**

The Committee received a joint report of the Chamberlain and the CEO, Barbican Centre concerning future plans for Barbican Immersive.

**9. BARBICAN EXHIBITION HALLS ENABLING WORKS**

The Committee received a report of the City Surveyor concerning the Barbican Exhibition Halls Enabling Works project.

**10. BARBICAN CWP AND CAPITAL PROJECTS - UPDATE REPORT**

The Committee received a report of the CEO, Barbican Centre providing an update on the Cyclical Works Programming (CWP) and Capital Projects.

**11. BARBICAN BUSINESS REVIEW: JULY 2023 (PERIOD 4)**

The Committee received a joint report of the Chamberlain and the CEO, Barbican Centre, concerning a business review for Period 4.

**12. COMMERCIAL FINANCIAL DEEP DIVE**

The Committee received a joint report of the Chamberlain and the CEO, Barbican Centre concerning the financial details of the Commercial Department.

**13. CINEMA FINANCES DEEP DIVE**

The Committee received a joint report of the Chamberlain and the CEO, Barbican Centre concerning the financial details of the Cinema area.

**14. ARTS PROGRAMMING & BUSINESS EVENTS RISK REGISTER**

The Committee received a report of the CEO, Barbican Centre concerning the Arts Programming and Business Events Risk Register.

**15. RISK UPDATE**

The Committee a report of the CEO, Barbican Centre providing an update on the risk management system at the Barbican Centre.

**16. NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

There were no non-public questions.

**17. ANY OTHER BUSINESS THE CHAIR CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

There were no non-public items of urgent business.

**The meeting ended at 3.10 pm**

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Chairman

**Contact Officer: Kate Doidge  
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<b>Committee(s)</b>	<b>Dated:</b>
Finance & Risk Committee of the Barbican Centre Board	01/11/2023
<b>Subject: Internal Audit Update</b>	<b>Public</b>
<b>Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?</b>	<b>N/A</b>
<b>Does this proposal require extra revenue and/or capital spending?</b>	<b>N</b>
<b>If so, how much?</b>	<b>N/A</b>
<b>What is the source of Funding?</b>	
<b>Has this Funding Source been agreed with the Chamberlain's Department?</b>	<b>N/A</b>
<b>Report of: Head of Internal Audit</b>	<b>For Information</b>
<b>Report author: Cirila Peall, Audit Manager</b>	

## Summary

This report has been prepared to provide Members with an update in respect of Internal Audit activity related to the Barbican Centre since the June 2023 meeting of this Committee. An annual compliance check has been completed since the last update, follow-up enquires are in progress in relation to an audit that has previously passed third follow-up stage, and planning is underway for two audits. A corporate audit and associated follow-up have also been undertaken which have findings relevant to this Committee.

As at early October 2023 there are no live red priority recommendations and six live amber priority recommendations which arose from two audits.

## Recommendation(s)

Members are asked to:

- Note the report

## Main Report

### Background

1. The Barbican Finance & Risk Committee receives updates in respect of delivery of Internal Audit work and the implementation of Audit recommendations.
2. Audit scope information is provided, as per finalised terms of reference, for audits in progress and summary outcomes are reported for finalised audit work i.e. where full management responses have been received and agreed.
3. In terms of high priority (red and amber) recommendations, this report provides Members with the latest implementation position, based on formal audit follow-up undertaken and, where appropriate, interim updates from Barbican management.

## Current Position

### *Delivery of Internal Audit Work*

4. A breakdown of assurance work delivery between the last Internal Audit update and early October 2023 is set out in Appendix 1. Detailed audit findings are set out under audit headings below but developments since the last update to this Committee can be summarised as:
  - Annual compliance check (Purchase Cards): moderate assurance opinion.
  - Enquiries are underway in respect of an audit which has had three previous rounds of follow-up (Facilities Management and Maintenance)
  - Planning is in progress in respect of two Barbican-focused audits: Financial Management (light touch review) and Business Continuity.
  - A corporate audit incorporating testing of Barbican performance (Purchasing Ordering Compliance) received a moderate assurance opinion.
  - A corporate audit is in progress which will incorporate testing related to the Barbican (Accounts Payable: Prompt Payment Performance).
5. It is anticipated that the Financial Management and Business Continuity audits will be initiated in November. The timing of planned assurance work in respect of Facilities Management and Maintenance (extended follow-up of 2020-21 audit) has been impacted by Barbican management absence / turnover and resulting in capacity challenges. Internal Audit has only recently received status updates in respect of the live issues and recommendations in this area, and it is apparent from these that control improvements are at an early stage of implementation. The timing of work to evaluate the effectiveness of controls will be determined once Barbican management have confirmed timescales for full rollout.

### Purchase Cards (P Cards) – Annual Compliance Check

6. The focus of this assurance work was evaluating the impact of action taken following the previous audit, finalised in December 2022. Audit testing focused on the latest two reported quarters of data - 4,168 transactions totalling £435,078 - and comprised:
  - Examination of reported compliance with the P Cards Policy.
  - Determination of reasons for ongoing non-compliance.
  - Evaluation of local action taken to address non-compliance.
7. Recent P Card performance data, published internally, was compared to that from the original audit and demonstrates:
  - Improvement in respect of transaction description length (minimum character requirements met: 86% compared to 82%) and the percentage of transactions submitted for review by cardholders (91% compared to 80%).
  - Despite improvement, 9% of recent transactions (with a value of approx. £33k) were unsubmitted, circumventing review and approval processes.
  - A decline in the submission of receipts; (unsupported transactions rose to 23% from 18%).

8. The assurance opinion in relation to this area remains moderate. Internal Audit has received evidence of a range of actions taken to address non-compliance with the policy such as general reminders, targeted communications, P Card ‘approver’ checks and challenge, such as requests for more transaction information from cardholders and chasing up missing receipts, as well as local monitoring of cardholder trends e.g. transactions not coded or unapproved transactions. These actions have not yet had the desired impact in terms of the Barbican’s overall compliance performance and will need sustained focus to drive and maintain further improvement.

Facilities Management and Maintenance – Extended Follow-Up

9. This audit was finalised in March 2021 and has received three rounds of follow-up to evaluate progress in resolving issues raised, as set out in the table below and reported previously to this Committee. The third round of follow-up in September 2022 determined that there were 5 remaining live issues and Internal Audit has been liaising with Barbican management since that time seeking status updates to evaluate developments in proposed control processes and progress in implementation. Capacity to provide updates was impacted by staff changes.
10. Barbican management have provided detailed updates to Internal Audit as at early October 2023, some evidence of new control design, and proposed arrangements for rollout. Progress has been demonstrated against all 5 live issues in terms of updating processes to mitigate the risks flagged during the audit, although these are not yet fully operational. Revised target timescales are required for implementing the new arrangements and building up a sufficient body of evidence of application, enabling the impact of these controls to be evaluated.

<b>Audit:</b>	<b>Facilities Management and Maintenance</b>				
Final Report Date:	Mar 2021	Issues Raised:	13	Original Assurance Rating:	<b>Moderate</b>
First Follow-Up	Dec 2021	Issues Resolved:	4	Updated Assurance Rating:	<b>Moderate</b>
Second Follow-Up	June 2022	Issues Resolved:	4	Updated Assurance Rating:	<b>Moderate</b>
Third Follow-Up	Sept 2022	Issues Resolved:	8	Updated Assurance Rating:	<b>Moderate</b>
Management Update	Oct 2023	Issues Resolved:	8	Updated Assurance Rating:	Not Provided

11. We are not providing an updated assurance opinion in this area due to the time elapsed since the original audit work and the fact that the findings were based on the circumstances at that time. There have been significant developments since the audit fieldwork was carried out, including key staff turnover, and these may have impacted areas where no issues were identified during the original audit. Internal Audit focus is on ensuring the live issues from the original audit are addressed, as these remain valid, and consideration will be given to a wider audit in 2024-25 to obtain overall assurance on this area of operation.

## Corporate Review: Purchase Ordering (PO) Compliance

12. The focus of this corporate review, finalised in June 2023, was analysis of PO Compliance for all City of London departments and Institutions for 2022-23 and transactional testing in each area to understand the circumstances contributing to retrospective requisitioning activity. Internal Audit was unable to provide assurance that the controls in place to ensure compliant PO practice were operating effectively. Several recurring themes were identified, highlighting the need for further action to be taken across the board to improve overall PO compliance - in particular ensuring that:

- POs are raised only where required e.g. not in respect of utilities.
- Requisitions are raised and approved prior to the relevant invoice dates, including those requisitions appended to earlier POs as 'top-ups'.
- 'Top-up' are used appropriately i.e. not where a new PO is required.

13. The Barbican's performance for the financial year 2022-23 was below the corporate target with 28% (2,033) of requisitions raised retrospectively. While retrospective requisitions and associated POs assist with the invoice payment process, these are non-compliant transactions and do not provide any of the internal control intended by a requisition and purchase order process. Retrospective activity may constitute inappropriate management override of the internal control framework. Corporate audit recommendations were made to promote compliant practice by improving the focus of performance reporting and providing further guidance to staff; these matters were highlighted at the corporate Executive Leadership Board due to their cross-cutting nature.

14. Recent follow-up enquiries determined that requisitions continue to be raised retrospectively and the published performance data for 2023-24 to date indicates that the Barbican's overall proportion of retrospective requisitions remains 28% (960). The corporate recommendations remain live as the issues have not been satisfactorily resolved across the board. Barbican management should take local action to support the necessary performance improvements and strengthening of the control environment.

### *Live High Priority Recommendations*

15. Internal Audit follow-up is undertaken promptly once target timescales have been reached and a revised assurance opinion is provided, where appropriate, on the basis of detailed follow-up outcomes. As at early October 2023 there are no live red priority recommendation and six live amber priority recommendations which arose from two audits, as summarised at **Appendix 2**.

16. Five of the live high priority recommendations (Facilities Management and Maintenance) have previously passed the third round of follow-up and were subsequently incorporated in a dashboard update to the Audit & Risk Management Committee (A&RMC). There is a clear expectation from the A&RMC expectation that Internal Audit will continue to liaise with relevant management to obtain independent assurance that all remaining issues have been resolved, facilitating effective management of the property assets.

## **Forward Programme**

17. Appendix 1 contains details of all planned work within 2023-24 and reflects the changes agreed at the last meeting of this Committee: the audit of Equalities, Diversity and Inclusion has been deferred in favour of a review of Business Continuity. At the request of this Committee, an audit of Fire Safety has been added to the forward programme; scope and timing to be confirmed. The status of all planned audit assignments is shown in the appendix.
18. Internal Audit has recently made two appointments at Senior Auditor level, providing sufficient resource to deliver the remainder of planned work within the programme. Internal Audit will liaise with the Chief Executive Officer other members of Barbican management to firm up the scope and timing of audit work not yet initiated, namely Health and Safety, Health and Safety, Contract Management, and Safeguarding.

## **Corporate & Strategic Implications**

19. The overall programme of Internal Audit work is designed to provide assurance as to the adequacy of the City of London Corporation's systems of internal control and governance. This programme of activity is aligned with the Corporate Plan, Corporate Risk Register and Departmental Top Risks. The Barbican, as an institutional department of the Corporation, has a sub-programme of Internal Audit work that includes audit assignments specific to the activity of the Barbican and regular follow-up activity in respect of recommendations implementation.

## **Conclusion**

20. Members are asked to note the findings of completed Internal Audit work (including corporate reviews), the delivery position in respect of the ongoing programme of assurance, and the status of live high priority recommendations as at early October 2023.

## **Appendices**

- Appendix 1: 2022-23 Assurance Work Outcomes
- Appendix 2: Live High Priority Recommendations

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## Barbican Internal Audit Delivery Update: October 2023

Project & Scope	Current Stage	Assurance Rating	Recommendations Raised			
			Total Red	Total Amber	Total Green	Total
<p><u>Purchase Cards Compliance</u></p> <p>An annual compliance check incorporating follow-up of the high-level recommendation made in the 2022-23 audit (finalised December 2022). The scope comprised:</p> <ul style="list-style-type: none"> <li>• Examination of reported compliance with the P Cards Policy.</li> <li>• Determination of reasons for ongoing non-compliance.</li> <li>• Evaluation of local action taken since the previous audit was finalised in December 2022, to address non-compliance.</li> </ul> <p>The issues and associated recommendation from the original audit remain live. No new recommendation was raised.</p>	Complete	Moderate	0	0	0	0
<p><u>Corporate Review: Purchase Ordering (PO) Compliance</u></p> <p>The focus of this corporate review, finalised in June 2023, was analysis of PO Compliance for all City of London departments and Institutions for 2022-23 and transactional testing in each area to understand the circumstances contributing to retrospective requisitioning activity. A high-level recommendation was made to help improve compliance performance; this is owned by Chamberlain's Financial Services (Transactional Finance). Assurance in respect of the Barbican's PO compliance is moderate due to ongoing retrospective requisitioning activity.</p>	Complete	Moderate	0	0	0	0

Project & Scope	Current Stage	Assurance Rating	Recommendations Raised			
			Total Red	Total Amber	Total Green	Total
<u>Financial Management</u> A light touch review incorporating examination of new / proposed arrangements in this area.	Planning	N/A	-	-	-	-
<u>Business Continuity</u> To incorporate examination of arrangements for mitigation of BC BBC H&S 002 Failure to deal with Emergency /Major Incident or Risk of Terrorism.	Planning	N/A	-	-	-	-
<u>Health and Safety</u> Part of a rolling programme, specific theme to be determined.	Not Initiated	N/A	-	-	-	-
<u>Safeguarding</u> To incorporate examination of arrangements for mitigation of BC CL 002 Safeguarding.	Not Initiated	N/A	-	-	-	-
<u>Contract Management (Locally Managed)</u> Part of a rolling programme, specific contract to be determined.	Not Initiated	N/A	-	-	-	-
<u>Fire Safety</u> Scope and timing of this review (2023-24 or 2024-25) is to be confirmed following discussion with Barbican management	Not Initiated	N/A	-	-	-	-
<b>TOTAL RECOMMENDATIONS RAISED</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>



Follow-Ups	Revised Assurance Rating	Issues / Recommendations Outstanding			
		Total Red	Total Amber	Total Green	Total
<p><u>Purchase Cards Compliance: 2022-23 Audit – First Follow-Up September 2023</u></p> <ul style="list-style-type: none"> <li>Audit finalised in December 2022: moderate assurance with high-level recommendation raised</li> </ul> <p><b>First follow-up in September 2023: moderate assurance as the issue is outstanding</b></p>	Moderate	0	1	0	1
<p><u>Facilities Management and Maintenance: 2021-22 Audit – Extended (post third round) follow-up September 2023</u></p> <ul style="list-style-type: none"> <li>Audit finalised in March 2021: moderate assurance with 13 recommendations raised.</li> <li>First follow-up in December 2021: moderate assurance with nine issues outstanding.</li> <li>Second follow-up in June 2022: moderate assurance with nine issues outstanding.</li> <li>Third follow-up in September 2022: moderate assurance with five issues outstanding.</li> </ul> <p><b>Extended follow-up in September 2023: five issues outstanding from the original audit. No updated assurance rating provided due to the time elapsed since the original audit.</b></p>	Not Provided	0	5	0	5
<p><u>Cyber Security: 2022-23 Audit – Second Follow-Up April 2023</u></p> <ul style="list-style-type: none"> <li>Audit finalised in September 2022: moderate assurance with seven recommendations raised.</li> <li>First follow-up in December 2022: moderate assurance with two issues outstanding.</li> <li>Second follow-up in April 2023: substantial assurance with all issues from the original audit resolved.</li> </ul>	Substantial	0	0	0	0
<b>ISSUES / RECOMMENDATIONS OUTSTANDING AT LATEST FOLLOW-UP</b>		<b>0</b>	<b>6</b>	<b>0</b>	<b>6</b>

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## Schedule of Barbican Centre Live Issues &amp; Associated High Priority Recommendations as at early October 2023

Recommendation Area	Priority	Original Target Date	Revised Target Date	Status & Comments
<b>Facilities Management &amp; Maintenance – finalised March 2021</b>				
<i>Internal Audit Comment: a third follow-up exercise in September 2022 confirmed implementation slippage, with 5 issues outstanding. Status updates have been provided to Internal Audit by Barbican management, advising of progress made as at early October, and confirmation is required of revised target timescales for demonstrating issues identified during the original audit in 2020-21 have been resolved i.e. processes have been developed but evidence is not yet available of their implementation</i>				
<p><u>1. Facilities Management &amp; Maintenance</u> The Head of Engineering Projects should determine appropriate productivity targets and wider performance measures for the Engineering Team and implement a framework for monitoring performance accordingly, in order to drive the necessary improvements in performance.</p>	Amber	30/09/2021	Awaited from Management	<p><u>Management Update:</u> This year, unfortunately, we as a department were behind on our appraisals. All appraisals have now been done, but the process will be done differently next year. We have planned for 2024 that meetings with individuals will happen more regularly, with the first round of face-to-face appraisals taking place in April. These objectives include onboarding an additional Engineering Services Manager to be able to have 2 office-based managers for the engineering team to allow the department to run more smoothly.</p>
<p><u>2. Facilities Management &amp; Maintenance</u> The Head of Engineering and Projects should ensure that the accuracy and completeness of Programmed Maintenance tasks within the Micad and Agility systems are periodically verified.</p>	Amber	31/05/2021		<p><u>Management Update:</u> Micad has been replaced by an alternative CAFM software called Concerto. The new IFM contractor, Atalian Servest, is undertaking an asset verification exercise. The contractor has 6 months from the start of the contract in April to complete the verification exercise so the information should be provided imminently.</p>

Recommendation Area	Priority	Original Target Date	Revised Target Date	Status & Comments
				<p>The Head of Eng &amp; Project and the Engineering Services Manager are meeting with the City Surveyor (Property Facilities Management Team) to verify whether the responsibility for maintaining each type of assets lies in house or with the service provider. When this is complete, we will confirm each asset is accounted for on Concerto (service provide) or on Agility (in-house). We are waiting for the completed asset lists to finish the exercise.</p> <p>We have developed a process for when existing assets are removed/replace or new assets are installed. This ensures that all assets information is current on Concerto and that we have a maintenance regime for each asset. We have also programmed annual review at the end of the contract year to check the PPM list is accurate against the list of assets.</p>
<p><u>3. Facilities Management &amp; Maintenance</u> The Head of Engineering and Projects should implement an appropriate action plan to ensure that all outstanding all Gas Safety, Electrical Safety and Water Management tasks are completed.</p>	Amber	15/07/2021		<p><u>Management Update:</u> In addition to the above, a compliance spreadsheet has been developed which will turn Green then Amber as the appropriate PPM is due and Red if the due date is passed. Now monthly compliance meetings can resume because the new Engineering Services Manager is in post. Actions will be recorded and checked at the monthly compliance meeting.</p>

Recommendation Area	Priority	Original Target Date	Revised Target Date	Status & Comments
				Compliance Certs are stored electronically on Concerto and copies are on the Barbican network.
<p><u>4. Facilities Management &amp; Maintenance</u> The Head of Engineering and Projects should ensure that the skills analysis exercise is completed in an appropriate timeframe.</p>	Amber	30/09/2021		<p><u>Management Update:</u> We have been compiling all of our technician's training within a single spreadsheet so that we can clearly see who holds what and when it is due to expire. Having this document should provide us an easy overview as well as being able to see who needs what training.</p> <p>The technicians have all been invited to 1-1s with the Head of Engineering and Projects (4 people remaining due to annual leave and sickness) over the past couple of months after filling in a training sheet. The spreadsheet is still a work in progress.</p>
<p><u>5. Facilities Management &amp; Maintenance</u> The Head of Engineering and Projects should implement arrangements for verifying the accuracy of reactive maintenance tasks recorded as 'completed' in Micad.</p>	Amber	31/05/2021		<p><u>Management Update:</u> The Engineering Services Manager who is new in post will check or arrange for checks to be carried out when PPMs are updated as complete on Agility and Concerto. These will be random checks based on PPM reports from either system. This process will also be completed for reactive works on both Concerto and Agility. A record of checks will be kept.</p>

Recommendation Area	Priority	Original Target Date	Revised Target Date	Status & Comments
<b><u>P-Card Compliance Checks – December 2022 and September 2023</u></b>				
<i>Internal Audit Comment: an annual compliance check in September 2023 has confirmed that issues flagged during the previous year's audit have not been fully resolved; some non-compliant practices persist.</i>				
<p><b>6. <u>Management Actions to Ensure Compliance</u></b>            Barbican Centre Management should promote compliant P-Card practice by ensuring that:</p> <ul style="list-style-type: none"> <li>• Approval of submitted transactions incorporates robust check and challenge.</li> <li>• Cardholder transactions are submitted in good time to facilitate effective review and approval.</li> <li>• Cardholders are consistently held to account in respect of any non-compliance with the Scheme.</li> <li>• Appropriate use is made of the three strikes rule.</li> </ul>	Amber	31/03/2023	Ongoing	<p><b><u>Internal Audit Update:</u></b>            Evidence has been provided of a range of action taken to drive up compliance rates and whilst this has had some impact in individual cases, overall performance is not at the required level. Audit examination of recently published internal P Card data (Q1 2023-24) indicates that further, ongoing action is required to promote consistent compliant practice.</p> <p>A further check will be carried out in early 2024-25 to analyse performance and evaluate the effectiveness of management actions.</p>

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

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