Appendix 3

Compliance Report – Purpose, Scope, and Methodology

Issued alongside the Q1 26/27 Compliance Report

On behalf of
Department of Community and Children's Services



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1. Purpose

The quarterly Compliance Report aims to provide assurance to Barbican Residents and stakeholders that the City of London Corporation, as landlord of the Barbican Estate, is meeting its statutory health and safety compliance obligations across the six core landlord compliance areas, gas, asbestos, lifts, fire, electrical and water ("the Big Six"). It reports whether the inspections, tests and assessments required to discharge those duties are current across the estate's assets, and where they are not, what is being done and by when.

The report is the estate's compliance record and register within a single document. The requirements underpinning each review type, the current position against each, risks and mitigations per area, whether non-compliant assets are in use, and actions tracked and scored quarter on quarter. The static reference information supporting it, the legal basis for each review type, the statutory basis of each element, and the responsible and delegated persons, is set out in Section 2 of this paper.

During Q1, the BEO validated compliance data across all areas against certificates and source documents held. This identified previously reported figures that did not reflect the evidenced position, in both directions; the Q1 report supersedes them, with each correction explained within its relevant section. From Q1 onwards, every reported percentage is evidenced by a certificate or report held in the compliance tracker.

2. What the report covers, and who is responsible

Review type	Principal legal basis	Basis	Duty Holder	Delegated To	Risk being managed
Gas safety	Gas Safety (Installation and Use) Regulations 1998	Statutory	City of London Corporation Director of Property and Estate Management	Daniel Castle (Contracts Manager)	Gas escape, carbon monoxide exposure
Asbestos	Control of Asbestos Regulations 2012	Statutory			Uncontrolled disturbance of, and exposure to, ACM
Lifts	Lifting Operations and Lifting Equipment Regulations 1998	Statutory			Lifting equipment failure or entrapment
Fire risk assessments	Regulatory Reform (Fire Safety) Order 2005; Building Safety Act 2022	Statutory			Unassessed or unmanaged fire risk
Fire door inspections	Fire Safety (England) Regulations 2022	Statutory			Compartmentation failure
Fire safety systems	RRO 2005 art. 17; Fire Safety (England) Regulations 2022; BSA 2022	Statutory (duty supporting elements)			Failure of detection, suppression or firefighting systems in the event of fire
Electrical safety	Electricity at Work Regulations 1989; BS 7671	Statutory (duty supporting elements)			Electric shock, electrical fire
Water hygiene	Health and Safety at Work etc. Act 1974; ACOP L8	Statutory			Waterborne pathogen increases and exposure

Every element in the report discharges a statutory duty. Where the duty is prescriptive, the inspection regime is set by the legislation. Where the duty is general the inspection regime follows recognised guidance and manufacturer requirements as the accepted means of discharging the duty. The report does not distinguish these in its tables because the distinction has no reporting consequence, all elements are inspected, scored and remediated on the same basis.

Planned maintenance for the fire, electrical and water portfolios is specified in line with SFG20, the industry-standard maintenance specification for building engineering services, and the same standard will be incorporated into the asbestos management contract at its 2026/27 procurement. Lift maintenance is

delivered to a bespoke specification developed by a specialist lift consultant, reflecting the age and configuration of the estate's lift stock; gas maintenance follows the prescriptive requirements of the Gas Safety (Installation and Use) Regulations 1998 directly.

The report does not cover data protection, procurement, safeguarding, financial or contractual compliance. These are compliance obligations of a different character, owned and reported through their own governance routes; including them would dilute a focused safety-assurance document into a general operations report.

3. Scope of "domestic"

Domestic EICRs and smoke alarms, apply only to City of London-owned residential properties (44). Long-leasehold flats, which form most of the estate, fall outside the landlord's statutory testing duties for these elements and are excluded from the reported figures.

4. How compliance is measured

A compliance percentage is the proportion of assets within an element holding an in-date inspection, test or assessment at the period end. 100% means all inspections are current; it does not mean there are no outstanding works. An inspection exists to find defects: an asset can be fully compliant while remedial actions arising from its most recent inspection remain open, provided those actions are being managed within their required timescales. Remedial actions are therefore measured and reported separately from inspection compliance, most visibly in the fire risk assessment section, where 100% assessment compliance and action resolution by severity band appear side by side, measured on different bases and labelled as such.

Three conventions follow from this:

Compliant but out of use.

An asset with a defect that cannot remain safely in service is isolated and taken out of use. Where the required inspection is current and the defect is being managed in accordance with the relevant procedure, the asset is reported as compliant and its out-of-use status is stated. Where the required inspection itself is overdue, the asset is non-compliant regardless of isolation. Isolation manages the risk; it does not substitute for the inspection.

Condition overrides paperwork.

Where testing establishes that a system cannot demonstrate the performance the inspection regime exists to verify, the element is reported as non-compliant even where service visits are complete.

Percentages follow evidence.

An inspection or assessment is counted only where the certificate or report is held. Work reported as done but not evidenced is not compliant. Compliance claimed in advance of evidence is not reported.

5. Compliance and Risk trend

Each compliance element carries a compliance trend (↑ increasing / ↓ decreasing / ↔ static) and each compliance area carries a risk trend (▲ rising / ▼ reducing / ◄ static). The compliance trend reflects movement in the compliance position. The risk trend reflects movement in exposure and controls; the two can and do move independently, and the driver alongside each trend explains why. A compliance percentage can fall while risk reduces and can hold at 100% while risk rises.