Appendix 1 - LPF Internal Audit Outstanding Management Actions as at 29 October 2024

LPF PUBLIC DATA

Ref	Audit	Audit progress	Rec Title	Agreed Management Action	Rating	Status	Est Date	Revised Date	Management Update
1	LPF2202 Information Governance	67%	1.1 - Policy, Standards & Procedures Implementation	LPF will incorporate data strategy, data archiving, and information governance controls into new or existing documentation. RACI covered at 4.2.	High	Started	30/06/2025	30/06/2025	A Data Manager has been appointed, with responsibility for delivering a Data Project. This project will develop and embed LPF's data management strategy and framework, which will address the Information Governance audit findings.
2		15 actions 10 complete 5 outstanding - rebased dates	3.1 - Review of existing documents and data classification	As part of LPF's planned data classification implementation, existing documents will be reviewed to ensure they reference, and align with, data classification approach.	Medium	Started	30/06/2025	30/06/2025	
3			3.3 - Retention schedule guidance	LPF will:1. create documented guidance on how retention periods are determined, including how CEC's requirements are tailored to LPF.2. update retention schedule to align with LPF's data assets	Medium	Started	30/06/2025	30/06/2025	
4			6.1 - Information Asset register review and update	LPF will review and update its information asset register, and ensure the asset register, system list, third party supplier list, and retention schedule align.	Low	Started	30/06/2025	30/06/2025	
5			6.2 - Update of registers to illustrate system dependencies	LPF will update existing registers (which may include third party supplier list, system lists, refreshed information asset register) to capture details; and create overview diagram(s) to illustrate the flow of business-critical systems.	Low	Started	30/06/2025	30/06/2025	
6	LPF2302 Business Continuity and Incident Response	18%	1.2: BCM Framework	Develop a Policy & Framework aligned with ISO 22301.	Medium	Pending	30/04/2025	n/a	New actions agreed October 2024
7		22 actions 4 complete 18 outstanding	1.3: BCM Risk Strategy	Develop a BCM Risk Management Strategy aligned with LPF's objectives		Pending	30/04/2025	n/a	
8			1.5: BCM Reporting Requirements	Determine governance arrangements incl. reporting arrangements in line with ISO 22301, section 9.1. and document in the BC Policy & Framework	Medium	Pending	30/04/2025	n/a	
9			1.6: BCM Approach	Identify interested parties and their requirements and include in BC Policy & Framework		Pending	30/04/2025	n/a	
10			2.1: Initial / Strategic BIA	Undertake an initial assessment with senior managers to identify a Findings will inform the BIA programme.	High	Pending	30/04/2025	n/a	
11			2.2: Implementation of BIA Process	Develop BIA process and template (incl. elements from ISO22301 8.2.2)		Pending	31/10/2025	n/a	
12			3.1: Business Continuity Planning	Determine which services require BC Plans based on impact analysis and ensuring rationale is documented.		Pending	30/09/2025	n/a	
13			3.2: Strategic Business Continuity Plan	Determine Plan structure including scenario-specific plans (risk-based), develop BC Plan template aligned to requirements of ISO22301 including all elements documented in 8.4.4.2 and 8.4.4.3	Medium	Pending	31/12/2025	n/a	
14			3.3: Risk Incident Management Plans	Determine Plan structure including scenario-specific plans (risk-based).		Pending	31/03/2025	n/a	
15			3.4: Approval from Committee	Determine Plan structure including scenario-specific plans (risk-based), develop BC Plan template aligned to requirements of ISO22301 including all elements documented in 8.4.4.2 and 8.4.4.3		Pending	31/12/2025	n/a	
16			4.1: IT Disaster Recovery	Complete and approve the ITDR Plan.	High	Pending	30/06/2025	n/a	
17			4.2: Suppliers	Review Suppliers SLAs, following BIA processes, and ensure they are aligned. No additional action for BIA/BCM - captured in agreed actions for BIAs etc.		Pending	31/12/2025	n/a	

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18			5.1: BCM Exercise Strategy	Develop risk-based Exercise programme (incl. frequency and consider criticality, complexity, plan maturity). The Ex Programme will also be designed to ensure exercises collectively exercise across the organisation, from top to bottom, vary in type and include external suppliers/parties, where appropriate. Plans for critical services to be reviewed annually or following significant change (if sooner).	Low	Pending	30/04/2025	n/a	
19			5.2: Exercises	Develop risk-based Exercise programme (incl. frequency and consider criticality, complexity, plan maturity). The Ex Programme will also be designed to ensure exercises collectively exercise across the organisation, from top to bottom, vary in type and include external suppliers/parties, where appropriate. Plans for critical services to be reviewed annually or following significant change (if sooner).	Low	Pending	30/04/2025	n/a	
20			5.3: Outcomes	Deliver risk-based Exercise programme. As BIAs will be carried out on risk based basis, and resultant exercises reliant on BIAs, will provide copy of 1x completed post exercise report to evidence delivery. Thereafter, ongoing delivery will be monitoring by reporting and governance arrangements.	Low	Pending	31/12/2025	n/a	
21			5.4: Post-Incident Review Process	Develop Incident Debrief template and process to ensure all recommendations for improvement are identified, captured, and tracked to completion with an allocated lead and timeframe. The process will include the reporting requirements for recommendations identified through incidents.	Low	Pending	31/01/2025	n/a	
22			6.1: Training and Awareness Programme	Develop a competencies matrix, identify colleague with BD responsibility, develop a training and awareness programme, develop training materials, maintain training records.	Medium	Pending	31/12/2025	n/a	
23			4.3: Crisis Management	Develop Incident Management Procedure (incl. an Incident Comms Protocol).	High	Pending	28/02/2025	n/a	
24	LPF2303 Information Security Arrangements	**50%** 2 actions 1 complete 1 outstanding	1.1 - Incident Management Policy	LPF will create an overarching IT incident management policy, and communicate to staff. Where necessary, this will co-ordinate with, and refer to, existing policies and procedures on incident management and security incident response.	Medium	Started	31/12/2024	n/a	An IT Incident Management Policy has been drafted, awaiting senior management review and approval. Expected to complete by due date.
25	LPF2401 Pensions Committee Governance and Operational Effectiveness	**0%** 11 actions 0 complete 11 outstanding	1.1 (b): Annual Cycle for Review of Standing Orders	LPF will, thereafter, review the Procedural Standing Orders annually.	Low	Pending	30/06/2025	n/a	On track to be delivered by the end of June 2025.
26			1.1(a): Review of Standing Orders	LPF will review the Procedural Standing Orders, which shall then be brought to the Pensions Committee for approval. This review will consider any relevant matters arising from Findings 3 and 4.	Low	Pending	31/12/2024	n/a	While a review has begun, completion of this Action is dependent on the Workshop to consider any relevant matters arising from Findings 3 and 4. Company Secretary and Head of Governance, Resilience and Democracy are in discussion regarding the scheduling of the Workshop.
27			2.1 (a): Members' Training Programme	Per an objective previously reported to the Committee in June 2024, LPF shall review, and consult on, LPF's Training Framework (and associated Policy and practices), exploring skills analysis and individual development plans, and continue to refine its Induction Process, to support Pensions Committee members in the development of knowledge, understanding and expertise, and align targeted content to the specific needs of the Pensions Committee members (individually and collectively).	Medium	Pending	30/06/2025	n/a	On track for the end of June 2025, with an indicative proposal expected in December 2024

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28			2.1 (b): Succession Planning	Per an objective previously reported to the Committee in June 2024, given the interrelationship between Councillors and Committee membership, explore potential ways to enhance the careful management and planning (i.e., succession planning) of Pensions Committee membership appointments to support continuity and knowledge and expertise, working collaboratively between LPF and CEC.	Medium	Pending	31/03/2025	n/a	On track for the timescales.
29			2.1 (c): Non-Compliance with Training Programme	We will consider ways of dealing with non-compliance with the training programme.		Pending	30/06/2025	n/a	On track for the timescales.
30			3.1: Working Relationships	A workshop shall be arranged by the end of the 2024/25 financial year to include all Pensions Committee members, relevant officers, Pension Board members, and Independent Professional Observer to consider the recommended matters, as well as any other pertinent matters arising to help strengthen working relationships. This shall include making arrangements for the workshop to be independently [externally] facilitated. LPF will develop a structure/agenda for the workshop, working collaboratively with the facilitator, Convener of the Committee, Chair of the Pension Board, and Chief Executive Officer of LPF.	High	Pending	30/06/2025	n/a	On track for the end of June 2025. Workshop in planning alongside the Governance Review to mitigate the risk of competing recommendations
31			4.1: Timings for Meetings	The recommendations raised shall be captured on the agenda for the workshop (per Finding 3) for consideration.	Medium	Pending	30/06/2025	n/a	On track for the timescales.
32			4.2: Complexity and Volume of Information within Reports	The recommendations raised shall be captured on the agenda for the workshop (per Finding 3) for consideration. Per an existing objective, LPF will review (and introduce changes, where necessary) any existing guidance for report writers, or introduce such guidance where it does not exist.		Pending	30/06/2025	n/a	On track for the timescales.
33			4.3: Review of Management of Motions Guidance	The recommendations raised shall be captured on the agenda for the workshop (per Finding 3) for consideration.		Pending	30/06/2025	n/a	On track for the timescales.
34			5.1: Continuous Improvement Metrics	The recommendation shall be captured on the agenda for the workshop (per Finding 3) for consideration.		Pending	30/06/2025	n/a	On track for the timescales.
35			5.2: Annual Performance Review	Per an intent previously reported to the Committee in June 2024, an approach to complete an annual review of the effectiveness of the Pensions Committee shall be explored, designed and agreed by the Committee. In accordance with good governance practice, the annual review shall (as a minimum) include a survey. The outputs of each annual review shall be reported to the Committee. The output report shall address the matters recommended, amongst others, and include a Terms of Reference 'compliance' statement. Recommendations for continuous improvement will be identified, agreed by the Committee, and tracked to delivery.		Pending	31/03/2025	n/a	On track for the timescales.