



# P&R Board

August 2023

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# IG Action Plan Progress



## Progress

1. The audit in 2023 provided us with an action plan containing the remaining actions from last year, as well as new actions focused on records management, training, and awareness. In response to recent data breaches, new actions have been added to the plan.
2. Since ECFRS and Essex Police are separate legal entities and data controllers, ECFRS ICO registration has been updated. We made clear, however, that both entities are part of the same authority and are registered together.
3. The IG Policy handbook has been completed and all staff members will have access to templates and policies. In the next IGB, the handbook will be consulted.
4. There is a surveillance policy and procedure for ECFRS as well as a surveillance register.

## What is remaining ?

- Records Management procedures and the methods by which business areas collect, store, and use information should be carefully considered.
- There is a risk of data breach, resulting in personal loss, reputational damage, and loss of public confidence at all levels.
- To ensure digital tools and data are used correctly, the Acceptable Use Policy needs to be updated and staff should be provided with guidelines, which include steps that explain the responsibilities associated with using SharePoint and Teams, the importance of storing documents in secure folders, and how to manage access permissions for sites and documents containing personal information or sensitive business data.

# Internal Audit Outcome for 2023 - Adequate



1. The basis for the auditor's opinion and the assurance statement:

Level
Good Assurance
<b>Adequate Assurance</b>
Limited Assurance
No Assurance



2. Observations:

*“The focus should be on records management, with ICT and IG working collaboratively with the business to ensure that the technology available to staff is set up appropriately and used in accordance with ECFRS policy.”*

# Internal Audit Outcome for 2023 - Adequate



The following areas were audited:

Transparency & Accountability	Records Management
Risk & Assurance	Training & Awareness

0	Critical priority issues identified
5	Major priority issues identified
12	Moderate priority issues identified
35	No / Minor Issues identified

# Update External Audit 2023 :



- In addition to the internal audit, the Service will also conduct an external audit to ensure that the provisions of the Data Protection Act 2018 are carried out in a proper manner. It is expected to be done in **October 2023**.
- Auditor has experience conducting data protection audits and advising organizations on how to improve compliance levels and avoid penalties through the implementation of processes.
- The DPO and DDPO will deal with the auditor and must prepare a set of documents for the audit. In addition, it is possible that the auditor will need to speak with other departments within the organisation, but this will be scheduled in advance.