

Legal and Regulatory Compliance



Ensuring your staff, policies and procedures are compliant with legal and regulatory requirements and industry best practice

Effective information management is a priority for every organisation today. The use of IT – for applications such as identity management or network monitoring – plays a key role in achieving this objective, but businesses now have to ensure their systems meet the demands of an ever increasing tide of legislation too.

The Data Protection Act (DPA) and Freedom of Information Act (FoIA) are important examples and it's critical that organisations reconcile the requirements of these Acts with their own supporting policies to ensure that they correctly manage their legal exposure and risk.

At a practical level, too, organisations need to understand the legal complexities involved in activities such as monitoring of email, voice, SMS or web communications.

Insight Consulting can help you meet these obligations with a comprehensive range of compliance-based services that include:

- DPA and FoIA Compliance Audits
- Policy Health Checks (eg. email, Internet, Acceptable Use)

- Structured Improvement Plans
- Training and awareness programmes.

Who's responsible?

Regulatory and legislative risks affect all areas of your business – they're not just the concern of legal or HR departments.

Your directors and senior managers, for example, need to be aware that they have responsibility and accountability for risks and that, in particular, the task of managing information risk does not fall solely to IT managers. Liabilities (Director, Corporate and Personal), and the consequences of non-compliance, carry an obligation for everyone from the top down.

A strategy for compliance

One of the best approaches to achieving legislative compliance – and endorsing relevant industry best practice – is by conducting Compliance Audits and Policy Health Checks of your business. The results of these activities will provide you with a Structured Improvement Plan that will also help you prioritise your policy development and staff training needs.

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Assessing and mitigating information and asset risks is vitally important in demonstrating compliance to regulators. Risk management best practice dictates that organisations assess information and supporting infrastructure risks as well as identifying the objectives and underpinning controls most appropriate to their needs.

Compliance Audits

An often misunderstood area of law is data sharing and its impact on activities such as recruitment, sales and marketing, employment, eTrading, communications monitoring and web development.

Type of review	Internal compliance audit	Outsourced compliance audit	Outsourced compliance audit & policy health check
Resources and involvement	High	Low	Low
Internal knowledge requirements	High	Low	Low
Internal resources requirements	High	Medium	Medium
Project time	High	Medium	Medium
Compliance	-1	0	+1

Benefits of compliance audits

An Insight Compliance Audit will provide you with a comprehensive, and impartial, assessment of how well your organisation meets each of its legislative compliance obligations. We'll also provide you with a Structured Improvement Plan detailing the corrective actions you'll need to take to achieve compliance. And, because our recommendations are prioritised, you'll be able to ensure that corrective efforts and resources are focused on the most appropriate areas of your business.

Policy Health Checks

Policy Health Checks represent a cost effective way of examining your existing policies and documentation and assessing their degree of compliance with relevant legislation and industry best practice.

They can address:

- Data Protection Policy
- Information Security Policy
- Acceptable Use Policy
- Monitoring Policy
- eMail Policy
- Internet Policy
- Communications Policy
- Staff Handbook
- Employment Contracts
- Information security-related third party Contracts.

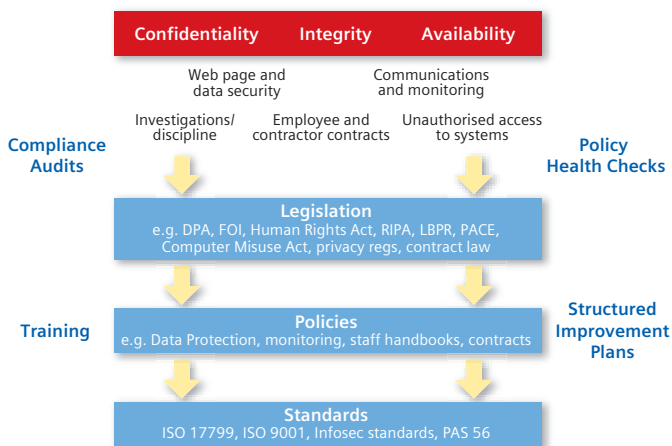
A road map for compliance

Following an audit or health check, Insight's specialists can continue to work with you to help implement or oversee the changes recommended in a Structured Improvement Plan.

These can include the deployment of proposed technical solutions, organising education programmes or advising on the development or updating of your policies and procedures.

Training and awareness

An educated workforce is at the heart of any compliant organisation and Insight offers a range of training options for managers, practitioners and employees that includes public courses, bespoke training and eLearning solutions. Our training specialists can assist you in developing an integrated training and awareness programme to ensure that the appropriate levels of knowledge are cascaded throughout your organisation levels in a structured, efficient and cost effective manner.



Our methodology for legal and regulatory compliance

Key features

- Compliance Audits for Data Protection Act and Freedom of Information Act
- Policy Health Checks to review existing policies against legislation and industry best practice
- Training and awareness programmes to ensure staff understand their compliance obligations
- Service delivery by consultants with extensive operational experience across a broad range of public and private sector organisations.



Insight Consulting is the specialist security, compliance and continuity unit of Siemens Communications and offers a complete, end-to-end portfolio encompassing:

- Research
- Consultancy
- Testing
- Implementation
- Training
- Recruitment
- Managed services

Insight is BS7799 certified, is a GCat and S-Cat (Category 7) supplier and subscribes to the CESG Listed Advisor Scheme (CLAS) and CHECK services.

If you'd like to discuss how Insight could help you manage risk in your organisation, email us at insight@insight.co.uk or visit our web site at www.siemens.co.uk/insight

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