LOCKTON AFFINITY Professional

Data Security Checklist

Are security policies suitable for the size of the accounting business, and size of the client base?

- The plan should clearly state staff responsibilities for maintaining data security.

Are the privacy and security policies in writing? Has an implementation policy been established? How is this enforced?

- Circulate the internal policy on a regular basis (recommended annually).
- Conduct regular checks and trainings to confirm that employees understand the terms and conditions.

How are they communicated to clients?

- Advise your clients of your privacy policies and measures you employ to protect their private information.

How is your data processed, stored and maintained?

- Ensure that buildings and server rooms are secure from unauthorized personnel.

If smartphones, laptops, tablets, etc. are used, how are these devices protected in the event of loss or theft?

- Ensure that all devices are password protected, and that all accessible private information is also password protected and/or encrypted.

Are passwords and encryption used?

- Make sure passwords are updated regularly and that encryption methodology is up-to-date.

Are anti-virus software and spam filters used and up-to-date? Are personal firewalls used?

- Make sure there is compliance on all company supplied devices and servers, and personal devices (as applicable).

Is data backed up on a regular basis?

- Implement the same security policies for saved or archived data.

Are employees (and clients) accessing information through a secure channel if allowed to access information remotely?

- Know the privacy policies for remote access, including cloud computing/data exchange/storage.

Do you have an emergency response plan?

- Appoint the appropriate person(s) at your office to be responsible for data/privacy protection and possible breaches. Implement a plan of action to address any potential breaches, including notification to your attorney, your agent/broker, and, if necessary, law enforcement.

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