

Cybersecurity Checklist



Written cybersecurity procedures should:



Identify Risks

Yes No

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| An annual assessment of the potential risks and vulnerabilities to the confidentiality, integrity, and availability of Confidential Personal Information. | | |
| Create an inventory of all computers, laptops, mobile devices, flash drives, disks, home computers, digital copiers, and other equipment used by the organization. | | |
| Locate and identify sensitive data and identify on which device(s) the data is stored. Also record which employee has access to the data. | | |
| Identify client information transmitted via email, cloud services, firm websites, custodians and other third party vendors. | | |



Protect

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| Establish authentication procedures for employee access to email on all devices (computer and mobile devices). | | |
| Passwords for access to email are changed frequently (e.g. monthly, quarterly). | | |
| Client instructions received via email are authenticated. | | |
| Due diligence has been conducted on the cloud service providers, custodians and other third party vendors and evaluated as to whether they have documented safeguards against breaches. | | |
| All records are backed up off-site. | | |
| Address data security and/or encryption requirements when transmitting information. | | |



Detect

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| Use anti-virus software on all devices accessing the firm's network, including mobile phones. Anti-virus updates are run on a regular and continuous basis. | | |
| Employees are trained and educated on the basic function of anti-virus programs and how to report potential malicious events such as phishing and ransomware. | | |



Respond and Recover

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| A plan and procedure in place to immediately notify authorities and clients in the case of a security incident or breach. | | |
| A business continuity plan to implement in the event of a cybersecurity event. | | |
| A process for retrieving backed up data and archival copies of information. | | |
| Policies and procedures for employees regarding the storage and archival of information. | | |