verito
It just works. Securely.

INTERNAL SECURITY AUDIT WORKSHEET

WEBINAR COMPANION RESOURCE – "SECURITY SMARTS"

SECTION 1: TEAM & ACCESS CONTROL

1. **Multi-Factor Authentication (MFA):** Do we enforce MFA for all critical firm and client-facing applications (email, portal, tax software)?

   [ ]Yes
   [ ] No

---

2. **Least Privilege Access:** Is our access control based on the principle of least privilege (i.e., team members only have access to the data they absolutely need to perform their jobs)?

   [ ]Yes
   [ ] No

---

3. **Onboarding/Offboarding:** Do we have a formal, documented process for granting and, more importantly, revoking all system access immediately upon an employee's departure?

   [ ]Yes
   [ ] No

SECTION 2: VENDOR MANAGEMENT

4. **Vendor Evaluation:** Have we formally evaluated the security posture of all our critical software vendors within the last 12 months using a checklist?

[ ]Yes
[ ] No

---

5. **Certification Records:** Do we have copies of our key vendors' SOC 2 reports or other security certifications on file for review?

[ ]Yes
[ ] No

SECTION 3: DATA HANDLING & POLICIES

6. **Written Security Plan (WISP):** Do we have a written information security plan (WISP) as required by the FTC Safeguards Rule?

[ ]Yes
[ ] No

---

7. **Security Training:** Does our team receive regular, documented security awareness training (e.g., how to recognize and report phishing attempts)?

[ ]Yes
[ ] No

SECTION 4: INCIDENT RESPONSE

8. **Response Plan:** Do we have a documented incident response plan that outlines the steps to take in the event of a data breach?

[ ]Yes
[ ] No

---

9. **Team Awareness:** Does every team member know who to contact and what the immediate first steps are if they suspect a security incident?

[ ]Yes
[ ] No

Scoring Your Firm:

- **7–9 "Yes" Answers:** Strong Posture. You have a solid security foundation. Focus on continuous monitoring and improvement.
- **4–6 "Yes" Answers:** Needs Improvement. You have some controls in place, but there are significant gaps that require attention. Prioritize the "No" areas.
- **0–3 "Yes" Answers:** Urgent Action Required. Your firm is at high risk. Take immediate steps to address these foundational security measures.