DIAGNOSTIC WORKSHEET:
GENERAL PRACTICES RISKING DATA SECURITY

Completion of this diagnostic worksheet is a first step to understanding general areas where risk can be mitigated. Doc.It Suite clients undergo a detailed audit of processes, technology and resources to ensure the firm is insulated from risk to data security.

The first step to resolving security risks is to identify processes and methodology that risk data security. Answering "YES" to any of the following statements identifies areas to address in a discovery call with Doc.It.

YES	NO	DO ANY OF THESE STATEMENTS DEFINE YOUR FIRM?
☐	☐	We use a CD-ROM, DVD or USB flash drive to deliver clients' tax return or large files (e.g. client hand you their QuickBooks file on a USB flash drive).
☐	☐	We use email to exchange documents internally, with clients or external parties.
☐	☐	You have a web portal, but staff, accountants, partners and clients are not consistently using it.
☐	☐	Access to client data is not gated (access credentials are not required).
☐	☐	Digital document storage lacks retention policies/standards, or policies are in place but not followed consistently.
☐	☐	USB thumb drive or removable hard drive is used as a primary backup system.
☐	☐	Lack of clear process/policy to ensure all data is scrubbed from retiring technology (computers, smart phones, copier/fax, scanners, USB flash drives, CD-ROM, DVD).
☐	☐	We have no policy, or are not following policy, regarding email archiving, retrieval and retention.
☐	☐	We do not back-up data daily in multiple locations.
☐	☐	People who work for the firm are allowed to use public Wi-Fi for their connection to email or back-to-the-office.
☐	☐	We have lost a stored document.
☐	☐	It is likely we have documents in our possession that have reached the end of their retention period but have not been destroyed.
☐	☐	We do not have a plan for disaster recovery.
☐	☐	We do not encrypt emails or add passwords on documents.
☐	☐	We do not have compliancy requirements for where and how data is stored.
☐	☐	We do not have a purge plan for paper documents.

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