**Audit Plan for Law Firm**

**Purpose**

The purpose of this audit is to check the Law Firm’s office for any vulnerabilities in securing any sensitive data stored at the Law Firm.

**Outcome**

The outcome of this audit will be recommendations for the office manager of the Law Firm.

**Scope**

The scope of the audit is the Internet connection, computer, data processes and physical security of the Law Firm’s office.

**Audit Procedure**

**Arrival**: The auditor will arrive at the office of the Law Firm and contact the office manager, Xxxx Xxxxxx for an access code/access/authorization to proceed. Auditor will then walk into the facility using the code/access/authorization to gauge staff reactions.

**Introduction**: Once auditor is satisfied with the entry exercise, the auditor will introduce herself to Ms. Xxxxxx.

**Audit Meeting**: Once introduced, the auditor will work with Ms. Xxxxxx and any members of the staff, as requested, to complete the attached audit plan documentation. Items may be added to the audit plan as necessary and as agreed between the auditor and Ms. Xxxxxx. These items will be documented using the blank lines in the audit plan.

**Audit Hot Wash**: Once the auditor has completed the attached Audit Plan document, the auditor will inform Ms. Xxxxxx that the audit is complete and will then conduct a post audit meeting with Ms. Xxxxxx. The purpose of this meeting will be for the auditor to convey initial findings and for the auditor and Ms. Xxxxxx to generate and agree on any needed action plan/further information needed/potential recommendations/etc..

**Audit Commenced (time/date): 1100, 4/21/2023 Audit Complete (time/date): 1245, 4/21/23**

**Auditor: [signature]**

**Xxxx Xxxxxx: [signature]**

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|  | | **Audit Plan:**  **Items and Observations**  **Auditor: Penelope Tello Date: 4/21/23** | | | |
| **Item #** | **Description** | | **Expected Findings/pass criteria** | **Observations** | **Pass (Yes/No)** |
| 1 | Check how far the office’s wireless network can be found away from the office | | Wireless network cannot be found past the parking lot of the office | Wireless network could not be found in a parking lot across the street from the office | yes |
| 2 | Check that the router is password protected | | Router is password protected | Router is password protected | yes |
| 3 | Check employees’ knowledge of phishing emails and websites | | Employees know about phishing emails and websites | Legal assistant and office manager are somewhat aware of phishing emails but didn’t know about phishing websites | no |
| 4 | Check if any ports are open on the computers at the office, using ShieldsUP | | Ports should all be in stealth or at least closed | Legal assistant’s and office manager’s computers’ first 1056 ports were all in stealth | yes |
| 5 | Check if any emails or phone numbers used by the office have been disclosed, using HaveIBeenPwned | | Emails and phone numbers should show as not having been disclosed during any data breaches | Checked three emails used by the Law Firm: 1 had been found in 0 data breaches, 1 had been found in 7 data breaches, and 1 had been found in 10 data breaches  Checked three phone numbers used by the Law Firm and none of them had been found in a data breach | no |
| 6 | Check strength of passwords used at the office | | Passwords should be at least 10 characters long, have at least one uppercase letter, one lowercase letter, one number, and one system-acceptable special character | 3 of the 4 passwords used by the office follow the guidelines, but one was the main attorney’s name followed by 123 | no |
| 7 | Check that computers in the office have antivirus software | | All computers in the office should have active antivirus software | Legal assistant’s and office manager’s computers use Norton 360 Standard | yes |
| 8 | Check that the computers in the office are not missing any updates | | All computers in the office are up to date and have auto updates on | Legal assistant’s and office manager’s computers are up to date | yes |
| 9 | Check that the office has some type of firewall technology in place | | Office has firewall technology in place | The office has the Smart Firewall through Norton 360 Standard | yes |
| 10 | Check if anyone that does not work in the office can access sensitive data stored in the office | | No one that does not currently work inside the office should be able to access sensitive data | Three past employees still have access to view, edit, and download files on the Google Drive for the office | no |
| 11 | Check for at least one back up for data storage | | Back up for data storage exists on a physical device or on the cloud | Office uses the cloud to back up data | yes |
| 12 | Check for any procedures in place for limiting access to any sensitive data when an employee no longer works at the office | | Past employees should not have any access to sensitive data | Three past employees still have access to view, edit, and download files on the Google Drive for the office | no |
| 13 | Check for any procedures in place to limit employees’ access to sensitive data when they are away from the office | | Employees should not have access to sensitive data when they are away from the office | Legal assistant and office manager can only access sensitive data while in the office | yes |
| 14 | Check for any procedures in place for disposing of sensitive data and network devices, like shredding | | Documents with sensitive data that need to be disposed of should be shredded and any network devices that need to be disposed of should be properly done so | Office has a shredder, but the legal assistant said she was not aware that she was supposed to use it | no |
| 15 | Check that the office is in a safe area | | Office should be in a safe area | Office appears to be in a safe area | yes |
| 16 | Check the office for any protection mechanisms in place like a fence, gate, alarms, and/or locks | | Office should at least have locks and alarms | Office has a fence, gate, and locks, but it does not have any alarms | no |
| 17 | Check that there is only one point of entry into the office | | Office should only have one point of entry | Office only has one point of entry | yes |
| 18 | Check that hard copies of sensitive data are stored in secure locations that can be locked like a lockable filing cabinet | | Hard copies of sensitive data should be stored in secure locations | Most hard copies of sensitive data were stored in a locked room and a room that could be locked. However, one filing cabinet that contained hard copies of sensitive data that was not lockable was in the waiting/reception area | no |
| 19 | Check that the office has a working security system | | Office should at least have a security system in place to protect windows, doors, and point(s) of entry | Office does not have a security system to protect the windows, doors, or point of entry and no cameras | no |
| 20 | Check that the office has a secure room for servers/network devices | | Office has a secure room for servers/network devices | Office does have a secure room for the router | yes |
| 21 | Check that the office has backup power supplies | | Office has backup power supplies | Office does not have back up power supplies | no |
| 22 | Check that the office uses surge protectors | | Office should use surge protectors and change them at least once a year | Office does use surge protectors but does not change them each year | no |
| 23 | Check if there is software installed to track down the computers, if stolen | | Computers should have software installed that can be used to track the computers in case of theft | Legal assistant’s and office manager’s computers do not have any software installed to track the computer in case of theft | no |
| 24 | Check for a fire detection system in the office | | Office has a fire detection system | Office has smoke detectors and no sprinklers | yes |
| 25 | Check for a fire extinguisher in the office | | Office has a fire extinguisher | Office has a fire extinguisher | yes |
| 26 | Check that the environment for areas with digital devices is kept clean, cool, and smoke-free and has good air flow | | These areas are kept clean, cool, and smoke-free and have good air flow | Areas in the office with digital devices is clean, cool, smoke-free and has good air flow | yes |
| 27 | Check if the office has a custodial staff | | If the office has a custodial staff, the custodial staff should not have unsupervised access to digital devices and/or sensitive data | Office does not have a custodial staff | yes |
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