## APPENDIX 1

## SAMPLE RISK ASSESSMENT CHECK-LIST

This is a **sample** risk assessment checklist that can be used as a tool to analyze vulnerabilities in your data system. This checklist is not all-inclusive and does not address all areas of data and processing system vulnerabilities. University Audit or external audit firms are good resources for application administrators interested in obtaining additional or more technology specific audit/assessment checklists.

Additionally, items on this checklist may not apply to every environment (e.g., mainframe, mini, LAN/WAN, PC in office) or every situation however all items should be considered and addressed.

### PHYSICAL SECURITY - GENERAL

| Item | YES | NO | N/A |
|---|---|---|---|
| Location: | | | |
| not a target for vandals | ___ | ___ | ___ |
| not advertised | ___ | ___ | ___ |
| not readily accessible by general public (in a student lab?) | ___ | ___ | ___ |
| away from high traffic areas or glass enclosures | ___ | ___ | ___ |
| close to emergency response units (e.g., Fire Dept.) | ___ | ___ | ___ |
| separate from user location | ___ | ___ | ___ |
| not close to rail lines | ___ | ___ | ___ |
| not close to airports | ___ | ___ | ___ |
| not close to manufacturing or chemical plants | ___ | ___ | ___ |
| not close to research facilities with toxic waste | ___ | ___ | ___ |
| not close to landfills | ___ | ___ | ___ |
| Photo-badge systems used | ___ | ___ | ___ |
| Sign-in log at entrances | ___ | ___ | ___ |
| Policy to challenge unfamiliar visitors | ___ | ___ | ___ |
| Visitors required to wear badges | ___ | ___ | ___ |
| Entrance security devices requiring keys, pass-codes or magnetic badges | ___ | ___ | ___ |
| Security system monitored 24 hours/day, 7 days a week | ___ | ___ | ___ |
| Controlled access to computer during working hours | ___ | ___ | ___ |
| Controlled access to computer during off-shift hours | ___ | ___ | ___ |