

Checklist



# GLBA Compliance Checklist



[innreg.com](https://innreg.com)



In an effort to further shed light on the matter, we've compiled a short checklist of actionable items.

01

**Get to know the GLBA.** A deep understanding of how the GLBA functions and how it affects your organization is paramount; It is most advisable to sit down with an expert and review the GLBA in detail first. This will allow you to gain a clearer overview of how the GLBA could apply to your corporate operations.

02

**Perform a vigorous risk assessment.** Risk assessment allows you to map out your current situation with respect to GLBA compliance. The most efficient way to conduct this is to engage an external experience expert to help you pinpoint the areas where any (potential) GLBA weaknesses are.

03

**Improve internal controls.** To achieve this goal, external help makes installing any cybersecurity checks more efficient and effective.

04

**Manage internal threats.** Outside threats should be considered first (for example hackers, or cyber criminals), but they are not the only ones. Internal staff and employees could even compromise the NPI of your consumers and customers (even by accident). To prevent this scenario, make sure to conduct a thorough employee recruitment process that filters potential risks and have a continuous employee education program keeping them updated on security practices.

05

**Vet your service providers.** If you engage service providers of any kind for help with your operations, make sure to check if they are GLBA compliant as well.

06

**Stay on top of things.** Keep updating your privacy rule requirements; Continuously revise, review, and update your privacy notices - making sure that things are up to date.

07

**Disaster Recovery Plan.** The GLBA mandates that there be an incident response plan in existence. Make sure that you have an IT disaster recovery and business continuity plan readily available to be able to show you have thought of everything and have precautions in place to alleviate any issues.