

DOL Investigation Questions

Cybersecurity Information

1. Plan's written cybersecurity program information to protect plan assets and data from breaches.
2. Independent audit report or assessment report of the Plan's cybersecurity controls. State how many assessments were done in the last three years.
3. Have any weaknesses in the Plan's security controls been identified during an audit? If so, what steps were taken to correct them?
4. Does the system use multifactor authentication?
5. Do you have policies and procedures for how Plan participants access information systems containing Plan data? What are they?
6. Are you aware of any cybersecurity breaches related to the plan? If so, describe them.
7. Do you have policies and procedures that set forth the security requirements for all service providers with regard to protecting the Plan data and assets from cybersecurity breaches?
8. What criteria did you use to select the service provider? Did the criteria include cybersecurity for Plan participants' data and Plan assets?
9. Is there a provision in any service provider contracts regarding whether the service provider can use the Plan participants' data to increase its revenue
10. Do you conduct periodic cybersecurity awareness training? If so, how often?
11. Do you encrypt sensitive data, both when stored and in transit?