

# Controls and compliance checklist

To complete the controls assessment checklist, refer to the information provided in the [scope, goals, and risk assessment report](#). For more details about each control, including the type and purpose, refer to the [control categories](#) document.

Then, select “yes” or “no” to answer the question: *Does Botium Toys currently have this control in place?*

## Controls assessment checklist

Yes	No	Control
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Least Privilege
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Disaster recovery plans
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Password policies {existe pero necesita mejoras para cumplir estándares actuales.}
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Separation of duties
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Firewall
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Intrusion detection system (IDS)
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Backups
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Antivirus software
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Manual monitoring, maintenance, and intervention for legacy systems { no existe un cronograma regular para estas tareas y los métodos de intervención no están claros.}
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Encryption
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Password management system
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Locks (offices, storefront, warehouse)

- |                                     |                          |  |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Closed-circuit television (CCTV) surveillance                  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Fire detection/prevention (fire alarm, sprinkler system, etc.) |

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To complete the compliance checklist, refer to the information provided in the [scope, goals, and risk assessment report](#). For more details about each compliance regulation, review the [controls, frameworks, and compliance](#) reading.

Then, select “yes” or “no” to answer the question: *Does Botium Toys currently adhere to this compliance best practice?*

### Compliance checklist

#### Payment Card Industry Data Security Standard (PCI DSS)

Yes	No	Best practice
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Only authorized users have access to customers’ credit card information.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Credit card information is stored, accepted, processed, and transmitted internally, in a secure environment.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Implement data encryption procedures to better secure credit card transaction touchpoints and data.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Adopt secure password management policies.

#### General Data Protection Regulation (GDPR)

Yes	No	Best practice
<input type="checkbox"/>	<input checked="" type="checkbox"/>	E.U. customers’ data is kept private/secured.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	There is a plan in place to notify E.U. customers within 72 hours if their data is compromised/there is a breach.

- |                                     |                                     |   |
|-------------------------------------|-------------------------------------|---|
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | Ensure data is properly classified and inventoried.   |
| <input checked="" type="checkbox"/> | <input type="checkbox"/>            | Enforce privacy policies, procedures, and processes to properly document and maintain data. |

### System and Organizations Controls (SOC type 1, SOC type 2)

Yes	No	Best practice
<input type="checkbox"/>	<input checked="" type="checkbox"/>	User access policies are established.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sensitive data (PII/SPII) is confidential/private.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Data integrity ensures the data is consistent, complete, accurate, and has been validated.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Data is available to individuals authorized to access it.

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This section is *optional* and can be used to provide a summary of recommendations to the IT manager regarding which controls and/or compliance best practices Botium Toys needs to implement, based on the risk posed if not implemented in a timely manner.

**Recommendations (optional):** In this section, provide recommendations, related to controls and/or compliance needs, that your IT manager could communicate to stakeholders to reduce risks to assets and improve Botium Toys' security posture.

Recomendaciones para mejorar la postura de seguridad de Botium Toys:

1. Implementar controles de acceso (Principio de mínimo privilegio y separación de funciones)

2. Adoptar políticas de contraseñas seguras y un sistema centralizado de gestión de contraseñas

3. Introducir cifrado para datos sensibles

4. Establecer un plan de recuperación ante desastres y copias de seguridad periódicas

5. Implementar un sistema de detección de intrusiones (IDS)

6. Clasificar e inventariar activos

7. Mejorar el cumplimiento con PCI DSS, GDPR y estándares SOC

- **PCI DSS:** Asegurar el almacenamiento y la transmisión segura de datos de pago, y restringir el acceso solo a personal autorizado.
- **GDPR:** Fortalecer los controles de privacidad de los datos de clientes de la UE y garantizar la notificación de incidentes en los plazos establecidos.
- **SOC:** Formalizar las políticas de acceso de usuarios y restringir la disponibilidad de datos únicamente a personas autorizadas.