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
☐	☑	Least Privilege
☐	☑	Disaster recovery plans
☑	☐	Password policies
☐	☑	Separation of duties
☑	☐	Firewall
☐	☑	Intrusion detection system (IDS)
☐	☑	Backups
☑	☐	Antivirus software
☑	☐	Manual monitoring, maintenance, and intervention for legacy systems
☐	☑	Encryption
☐	☑	Password management system
☑	☐	Locks (offices, storefront, warehouse)
☑	☐	Closed-circuit television (CCTV) surveillance

☑ ☐ Fire detection/prevention (fire alarm, sprinkler system, etc.)

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
☐	☑	Only authorized users have access to customers' credit card information.
☐	☑	Credit card information is stored, accepted, processed, and transmitted internally, in a secure environment.
☐	☑	Implement data encryption procedures to better secure credit card transaction touchpoints and data.
☐	☑	Adopt secure password management policies.

General Data Protection Regulation (GDPR)

Yes	No	Best practice
☑	☐	E.U. customers' data is kept private/secured.
☑	☐	There is a plan in place to notify E.U. customers within 72 hours if their data is compromised/there is a breach.
☐	☑	Ensure data is properly classified and inventoried.

Yes	No	
☑	☐	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
☐	☑	User access policies are established.
☑	☐	Sensitive data (PII/SPII) is confidential/private.
☑	☐	Data integrity ensures the data is consistent, complete, accurate, and has been validated.
☑	☐	Data is available to individuals authorized to access it.

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.

Implement Least Privilege Access:
 ● Reduce the risk of malicious insider threats or compromised accounts by ensuring that employees only have access to the data necessary for their roles.

Develop and Test Disaster Recovery Plans:
 ● Establish disaster recovery plans to ensure business continuity and data recovery in the event of an incident. Regularly test these plans to ensure effectiveness.

Enforce Separation of Duties:

- Implement separation of duties to minimize the risk and impact of a single compromised account by dividing responsibilities and access among multiple employees.

Deploy an Intrusion Detection System (IDS):
- Install and configure an IDS to detect and respond to anomalous network activities, enhancing threat detection capabilities.
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Implement Regular Backups:
- Regularly backup critical data and ensure that these backups are stored securely and can be restored in case of data loss or corruption.

Adopt Comprehensive Encryption Practices:
- Implement data encryption for storing, accepting, processing, and transmitting sensitive information, including credit card data, to ensure confidentiality and integrity.

Establish a Centralized Password Management System:
- Enforce strong password policies and utilize a centralized system to manage passwords, reducing the risk of weak passwords and improving overall security.

Enhance Physical Security:
- Regularly review and update physical security measures such as locks, CCTV, and fire detection systems