# Controls and compliance checklist

To complete the controls assessment checklist, refer to the information provided in the [scope, goals, and risk assessment report](https://docs.google.com/document/d/1s2u_RuhRAI40JSh-eZHvaFsV1ZMxcNSWXifHDTOsgFc/template/preview#heading=h.evidx83t54sc). For more details about each control, including the type and purpose, refer to the [control categories](https://docs.google.com/document/d/1btezuy_bMKWoK8pd97ZuzdWB9y6au_zfkrpkfVf8ktI/template/preview) 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](https://docs.google.com/document/d/1s2u_RuhRAI40JSh-eZHvaFsV1ZMxcNSWXifHDTOsgFc/template/preview). For more details about each compliance regulation, review the [controls, frameworks, and compliance](https://www.coursera.org/learn/foundations-of-cybersecurity/supplement/xu4pr/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. |
|  |  | 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):** Multiple controls needs to be implemented by Botium Toys to improve the security posture and to ensure confidentiality of sensitive information including: Least privilege, Disaster recovery plan, password policies, seperation of duties, IDS systems, on going legacy management system, encryption and password management system.

In order to address the gaps in the compliance, Botium Toys will need to implement controls such as least privilege, password policies, seperation of duties and encryption. Furthermore, Botium Toys will need to properly classify assets, to identify additional controls that may need to be implemented to improve security posture and protect sensitive information.