

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
<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 type="checkbox"/>	<input checked="" type="checkbox"/>	Manual monitoring, maintenance, and intervention for legacy systems
<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

- ☒ ☐ 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.

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|-------------------------------------|--------------------------|---|
| <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.

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.

Recommendations for Botium Toys:

- Implement Least privilege/separation of duty within the organization so that individuals authorized to access it are only able to access sensitive data such as PII and SPII and customer credit card information.
- Implement and adopt secure password management policies that meet current minimum password complexity requirements (e.g., at least eight

- characters, a combination of letters and at least one number; special
- characters) and no centralized password management system that enforces the
- password policy's minimum requirements which will also increase productivity and reduce the amount of service desk tickets to IT.
- Data encryption to be enforced to ensure confidentiality of customer's data that is stored locally on the company's internal database.
- Backups in place to help recover from breach/downtime as no disaster recovery plan of critical data and maintain business during such breach.
- Introduction of intrusion detection system (IDS) to monitor network traffic and also to complete manual monitoring, maintenance, and intervention for legacy systems and clearly documented for intervention.

Outcome of following recommendations above will achieve Compliance in

1. General Data Protection Regulation (GDPR)
2. Payment Card Industry Data Security Standard (PCI DSS)
3. System and Organizations Controls (SOC type 1, SOC type 2)

Also

1. increase security and decrease attack field.
2. Increase Productivity and reduce IT work load.
3. Reduce the possibility of being fined for being in breach of above regulations.