Controls and compliance checklist

"X" is used to indicate a “yes” or “no” to answer the question: *Does Botium Toys currently have this control in place?*

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).

**Controls assessment checklist**

|  |  |  |
| --- | --- | --- |
| **Yes** | **No** | **Control** |
|  | X | Least Privilege |
|  | X | Disaster recovery plans |
|  | X | Password policies |
|  | X | Separation of duties |
| X |  | Firewall |
|  | X | Intrusion detection system (IDS) |
|  | X | Backups |
| X |  | Antivirus software |
|  | X | Manual monitoring, maintenance, and intervention for legacy systems |
|  | X | Encryption |
|  | X | Password management system |
| X |  | Locks (offices, storefront, warehouse) |
| X |  | Closed-circuit television (CCTV) surveillance |
| X |  | 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** |
|  | X | Only authorized users have access to customers’ credit card information. |
| X |  | Credit card information is stored, accepted, processed, and transmitted internally, in a secure environment. |
|  | X | Implement data encryption procedures to better secure credit card transaction touchpoints and data. |
|  | X | Adopt secure password management policies. |

General Data Protection Regulation (GDPR)

|  |  |  |
| --- | --- | --- |
| **Yes** | **No** | **Best practice** |
|  | X | E.U. customers’ data is kept private/secured. |
| X |  | There is a plan in place to notify E.U. customers within 72 hours if their data is compromised/there is a breach. |
|  | X | Ensure data is properly classified and inventoried. |
| X |  | 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** |
|  | X | User access policies are established. |
|  | X | Sensitive data (PII/SPII) is confidential/private. |
| X |  | Data integrity ensures the data is consistent, complete, accurate, and has been validated. |
|  | X | Data is available to individuals authorized to access it. |

**Recommendations**

Botium Toys needs to implement multiple controls to improve it's security posture and to ensure it's confidentiality of sensitive infornation. these controls include: least priviledge, disaster recovery plans, password policies, separation of duties, IDS, legacy system management, encryption, and a password management system.

Also, regarding compliance, Botium Toys needs to properly classify assets and to identify additional controls that needs to be implemented to improve their security posture and better protect sensitive information