Controls and compliance checklist

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.)

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:

There are multiple controls that need to be implemented to improve Botiums Toy´s security posture and a better ensure of the confidentiality of sensitive information.

To address the obvious gaps on compliance, Botium Toys needs to implement controls such as the Least Privilege, separation of duties, etc.