Controls Checklist

Controls assessment checklist

Yes	No	Control	Explanation
	X	Least Privilege	*Currently, all employees have access to customer data. Privileges need to be limited to reduce the risk of a breach.*
	X	Disaster recovery plans	*There are no disaster recovery plans in place. These need to be implemented to ensure business continuity.*
	X	Password policies	*Employee password requirements are minimal, which could allow a threat actor to more easily access secure data or other assets via employee work equipment/the internal network.*
	X	Separation of duties	*Needs to be implemented to reduce the possibility of fraud/access to critical data, since the company CEO currently runs day-to-day operations and manages the payroll.*
X		Firewall	*The existing firewall blocks traffic based on an appropriately defined set of security rules.*
	X	Intrusion detection system (IDS)	*The IT department needs an IDS in place to help identify possible intrusions by threat actors.*

		Control	Description
	X	Backups	*The IT department needs to have backups of critical data, in the case of a breach, to ensure business continuity.*
X		Antivirus software	*Antivirus software is installed and monitored regularly by the IT department.*
	X	Manual monitoring, maintenance, and intervention for legacy systems	*The list of assets notes the use of legacy systems. The risk assessment indicates that these systems are monitored and maintained, but there is not a regular schedule in place for this task and procedures/ policies related to intervention are unclear, which could place these systems at risk of a breach.*
	X	Encryption	*Encryption is not currently used. Implementing it would provide greater confidentiality of sensitive information.*
	X	Password management system	*There is no password management system currently in place. Implementing this control would improve productivity in the case of password issues.*
X		Locks (offices, storefront, warehouse)	*The store's physical location, which includes the company's main offices, store front, and warehouse of products, has sufficient locks.*
X		Closed-circuit television (CCTV) surveillance	*CCTV is installed and functioning at the store's physical location.*
X		Fire detection/prevention (fire alarm, sprinkler system, etc.)	*The physical location has a functioning fire detection and prevention system.*