

# 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 type="checkbox"/>	<input checked="" 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.

- |                          |                                     |   |
|--------------------------|-------------------------------------|---|
| <input type="checkbox"/> | <input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	Data integrity ensures the data is consistent, complete, accurate, and has been validated.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Data is available to individuals authorized to access it.

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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):** *I highly recommend that Botium Toys ensure employees have access only to data relevant to their roles and responsibilities, enforce the separation of duties to reduce insider threats, and ensure that credit card data from customers is encrypted by implementing TLS/SSL for web-based systems handling customer transactions. Deploy IDS to monitor network traffic and alert about any anomalies or attacks, and ensure backups for business continuity. Also, improve password management to prevent attackers from impersonating employees, and consider implementing MFA to add an extra layer of security. Finally, establish a disaster recovery plan. Immediate steps should also be taken to meet PCI DSS and SOC 2 compliance to secure customer data and avoid regulatory fines.*