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
☐	☑	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.)

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**
□	☑	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 (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.

1. Botium Toys needs to have a strong security plan, ideally referring to the NIST Security Framework.
2. Just as how the organization does a great job notifying E.U. customers within 72 hours of the occurred data breach, Botium Toys also needs to work on preventing such breaches to avoid this whole scenario in the first place. This requires the organization to have a solid intrusion detection system(IDS) like the Cisco IDS, McAfee, Juniper IDP installed.
3. Access to customers' Personally Identifiable Information(PII) must be revoked from all the employees and only be given to the concerned department that makes sure the credit card data provided by customers are encrypted.

4. A stronger and more well-defined centralized password system that meets the password security policy needs to be incorporated.
5. The IT department needs to back up important company data on a regular basis.