

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 checked="" type="checkbox"/>	<input type="checkbox"/>	Password policies
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Separation of duties
<input checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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.)

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 checked="" type="checkbox"/> | <input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	Data integrity ensures the data is consistent, complete, accurate, and has been validated.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	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.

Comments:

- Password policy: Exists, although it doesn't meet minimum complexity requirements to be called safe.
- Password management: Ineffective, decentralized password management system that presents losses of productivity in certain scenarios (like resetting password)
- Legacy systems: Monitoring and maintenance are irregular due to lack of scheduling, intervention protocols are unclear.
- Data availability: Data is available to all employees, invalidating least privilege practice.
- Data classified and inventoried: Current assets have been inventoried/listed, but not classified.

Recommendations:

- Integrate correct **authorization protocols**, adhering to Least Privilege practice making data more secure and compliant with many standards.

- Provide disaster recovery plans, such as **hard backups**, to ensure business continuity.
- Adjust password policies to typical standards, for example **minimum of 8 characters including at least 1 digit and 1 special character**.
- Integrate separation of duties
- **Install Intrusion Detection System** on every computer in IT team to detect potential security breaches.
- Create a clear **schedule for monitoring and maintenance of legacy systems**.
- Create clear **intervention protocols** for legacy systems.
- Task IT team with implementing **encryption on personal data**.
- Set up a centralized **password management system** to mitigate losses of productivity from password administrative functions.