

Controls and compliance checklist

Completed by Carla Jacobsen

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

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.

- Use separation of duties to ensure that only employees who need to read customer PII/SPII and cardholder data for their job can read it. Everyone else shouldn't be able to read it.
- Use encryption to help maintain the confidentiality of the customer credit card data. If the data is encrypted, if there is a cyberattack and the attacker is able to get the data, it will be harder for the attacker to read the data.
- Install an intrusion detection system so that Botium Toys' will be notified if there is an intrusion on the network, and it will be able to be addressed.
- Regularly create backups of database data and other important information to maintain availability and integrity of the data in case of a disaster where the current data becomes unusable. Set up a disaster recovery plan for Botium Toys' to help return to normal operating conditions in case of a disaster that impacts crucial parts of the business.

- Update the password policy to require more secure passwords with at least 8 characters, at least one of each different kind of character (uppercase, lowercase, number, special).
- Set up a centralized password management system to enforce the password policies.
- Set up a regular schedule for the tasks associated with monitoring, maintaining, and intervening for legacy systems. Make the procedures for intervention methods more clear.
- Establish user access policies.
- Data should not be available to users not authorized to access it.