# Controls and compliance checklist

**Controls assessment checklist**

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| **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.) |

**Compliance checklist**

Payment Card Industry Data Security Standard (PCI DSS)

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| **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)

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| **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)

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| **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. |

**Recommendations**

To improve Botium Toys' security posture, it is essential to implement key controls. First, ensure the principle of least privilege is enforced, limiting user access based on job needs. Strengthen disaster recovery plans and regularly test them, while also enforcing robust password policies, including multi-factor authentication. Implement a firewall, an intrusion detection system (IDS), and regular backups to safeguard against network threats and data loss.

Second, address physical security by installing locks, CCTV, and fire detection systems. For legacy systems, manual monitoring and regular patching should be prioritized. Encrypt sensitive data both at rest and in transit, and implement a secure password management system to safeguard credentials.

Lastly, ensure compliance with industry standards such as PCI DSS, GDPR, and SOC. Limit access to sensitive payment data, secure EU customer data, and establish a breach notification process. By adhering to these best practices, Botium Toys can mitigate risks and strengthen overall security.