Controls and compliance checklist

Controls assessment checklist

Select “yes” or “no” to answer the question: *Does Botium Toys currently have this control in place?*

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

Select “yes” or “no” to answer the question: *Does Botium Toys currently adhere to this compliance best practice?*

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.

Recommendations (optional):

Many controls can be implemented in order to improve the security posture of Botium Toys. The principles of least privilege and separation of duties will help protect the confidentiality of data and improve compliance with PCI DSS, GDPR, and SOC. Implementing stronger password policies and a centralized password management system will reduce the risk of account breaches. The company should develop a schedule for monitoring and maintaining legacy systems and clarify intervention methods for these systems. They also need a disaster recovery plan and a procedure for maintaining backups of data in order to preserve business operations when incidents happen. An intrusion detection system should be installed in order to detect and prevent attacks. Implementing encryption will help bring the company into compliance with PCI DSS and GDPR.