# Controls and compliance checklist

To complete the controls assessment checklist, refer to the information provided in the [scope, goals, and risk assessment report](https://docs.google.com/document/d/1s2u_RuhRAI40JSh-eZHvaFsV1ZMxcNSWXifHDTOsgFc/template/preview#heading=h.evidx83t54sc). For more details about each control, including the type and purpose, refer to the [control categories](https://docs.google.com/document/d/1btezuy_bMKWoK8pd97ZuzdWB9y6au_zfkrpkfVf8ktI/template/preview) 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](https://docs.google.com/document/d/1s2u_RuhRAI40JSh-eZHvaFsV1ZMxcNSWXifHDTOsgFc/template/preview). For more details about each compliance regulation, review the [controls, frameworks, and compliance](https://www.coursera.org/learn/foundations-of-cybersecurity/supplement/xu4pr/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. |

**Recommendations (optional):**

Multiple controls need to be implemented as they are not present.

* Least Privilege
* Disaster recovery plans
* Password policies
* Separation of duties
* IDS
* Backups
* Manual monitoring, maintenance, intervention for legacy systems
* Encryption
* Password management system

This will mitigate potential risks, threats, or vulnerabilities to critical assets.

The company will need to improve Least Privilege, Password Policies, Separation of Duties, Encryption to stay compliant to as to date. These will keep sensitive data and information safe..