# Controls and compliance checklist

**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.) |

**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:**  
  
**High Priority:**

* Implement encryption for credit card and customer data.
* Enforce least privilege access and separation of duties.
* Develop and enforce secure password policies with centralized management and MFA.
* Establish a disaster recovery plan and perform regular data backups.

**Medium Priority:**

* Deploy an IDS to monitor traffic and detect intrusions.
* Create a regular schedule for legacy system monitoring.

**Low Priority:**

* Expand security awareness training across all employees.
* Improve device security for employees working remotely or offsite.