

Controls and compliance checklist

Scope: The scope of this audit is defined as the entire security program at Botium Toys. This includes their assets like employee equipment and devices, their internal network, and their systems. You will need to review the assets Botium Toys has and the controls and compliance practices they have in place.

Goals: Assess existing assets and complete the controls and compliance checklist to determine which controls and compliance best practices that need to be implemented to improve Botium Toys' security posture.

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

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|-------------------------------------|--------------------------|--|
| <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.) |
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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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	Data is available to individuals authorized to access it.

Botium Toys' security posture could use a major restructuring to improve its security. Major controls like Least privilege, Disaster recovery plans, Separation of duties, IDS, Firewall could help improve the security posture and provide confidentiality to the required parties. Although there are password policies implemented, it could be updated to the newer standards.

To adhere to the compliance, Botium Toys' Least privilege, Separation of duties, and Encryption. The company also needs to properly classify assets, to identify additional controls that may need to be implemented to improve their security posture and better protect sensitive information.