

Controls and compliance checklist exemplar

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

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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" 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)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Closed-circuit television

(CCTV) surveillance

- ☒ ☐ Fire detection/prevention (fire alarm, sprinkler system, etc.)
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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
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Only authorized users have access to customers’ credit card information.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Credit card information is accepted, processed, transmitted, and stored 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
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|-------------------------------------|-------------------------------------|---|
| <input type="checkbox"/> | <input checked="" 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 type="checkbox"/> | <input checked="" 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 type="checkbox"/> | <input checked="" type="checkbox"/> | Data is available to individuals authorized to access it. |

Recommendations (optional): In this section, provide recommendations, related to controls and/or compliance needs, that your IT manager could communicate to stakeholders to reduce risks to assets and improve Botium Toys' security posture.

Urgent:

Limit Access to PII/SPII data only to essential employees as it'll limit risk exposure if an employee has been compromised

Encrypt credit card information incase of breach to the organization

Install an IDS and develop a disaster recovery plan i.e. have backups of critical data

Increase the requirements of password complexities