Botium Toys: Internal Security Audit
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

1. Manage and secure password by encrypting and moving them online

2. Provide privilege of access only on a need-to-know basis

3. Credit Card Safety has been negligent by a huge margin. Implement Card information protection by creating a centralized and secured database only accessible by user through MFA (Multi Factor Authentication).

4. Ensure Proper data management and classification

5. Although the password management system is there it is very weak. Implement advanced password management solutions like Bitwarden or NordPass.

6. Create Strong back up for data to be accessed/ recovered incase of breach.