

# Controls and compliance checklist

## 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)
<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)

<b>Yes</b>	<b>No</b>	<b>Best practice</b>
<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 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 checked="" type="checkbox"/>	<input type="checkbox"/>	Adopt secure password management policies.

### General Data Protection Regulation (GDPR)

<b>Yes</b>	<b>No</b>	<b>Best practice</b>
<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 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)

<b>Yes</b>	<b>No</b>	<b>Best practice</b>
<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.

- Data integrity ensures the data is consistent, complete, accurate, and has been validated.
  - Data is available to individuals authorized to access it.
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**Recommendations (optional):** Needs to improve password policy.

Need all employees to get trained and make them have knowledge of Risk and Threats.