

Controls and compliance checklist

To complete the controls assessment checklist, refer to the information provided in the [scope, goals, and risk assessment report](#). For more details about each control, including the type and purpose, refer to the [control categories](#) document.

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

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.)
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To complete the compliance checklist, refer to the information provided in the [scope, goals, and risk assessment report](#). For more details about each compliance regulation, review the [controls, frameworks, and compliance](#) reading.

Then, select “yes” or “no” to answer the question: *Does Botium Toys currently adhere to this compliance best practice?*

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.

This section is optional and can be used to provide a summary of recommendations to the IT manager regarding which controls and/or compliance best practices Botium Toys needs to implement, based on the risk posed if not implemented in a timely manner.

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.*