

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.