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.)

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):

Here are the priority recommendations for the IT manager:
HIGH PRIORITY (implement immediately):
1. **Implement encryption** for all credit card data (PCI DSS requirement)
2. **Establish access controls based on the principle of least privilege**
3. **Create and test backup and disaster recovery plans**
4. **Install an IDS** to detect suspicious activities

MEDIUM PRIORITY (within 3-6 months):
1. **Update password policy** (minimum 8 characters, complexity requirements)
2. **Implement a centralized password management system**
3. **Establish separation of duties** for critical functions
4. **Classify and inventory all data** (GDPR compliance)

LOW PRIORITY (plan for the future):
1. **Schedule regular maintenance** for legacy systems

2. **Consider SOC 2 certifications** to increase customer trust

These recommendations will reduce the risk score from 8 to approximately 3-4, protecting the company from fines and breaches while supporting international growth.