

# 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, type an X in the “yes” or “no” column to answer the question: *Does Botium Toys currently have this control in place?*

## Controls assessment checklist

Yes	No	Control
	x	Least Privilege
	x	Disaster recovery plans
x		Password policies
	x	Separation of duties
	x	Firewall
	x	Intrusion detection system (IDS)
	x	Backups
x		Antivirus software
x		Manual monitoring, maintenance, and intervention for legacy systems
	x	Encryption
	x	Password management system
x		Locks (offices, storefront, warehouse)
x		Closed-circuit television (CCTV) surveillance
x		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, type an X in the “yes” or “no” column 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
	x	Only authorized users have access to customers’ credit card information.
	x	Credit card information is stored, accepted, processed, and transmitted internally, in a secure environment.
	x	Implement data encryption procedures to better secure credit card transaction touchpoints and data.
	x	Adopt secure password management policies.

#### General Data Protection Regulation (GDPR)

Yes	No	Best practice
	x	E.U. customers’ data is kept private/secured.
x		There is a plan in place to notify E.U. customers within 72 hours if their data is compromised/there is a breach.
	x	Ensure data is properly classified and inventoried.
x		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
	x	User access policies are established.
	x	Sensitive data (PII/SPII) is confidential/private.
	x	Data integrity ensures the data is consistent, complete, accurate, and has been validated.
x		Data is available to individuals authorized to access it.

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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.