

# 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
<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

- ☒ ☐ 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
<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 type="checkbox"/>	<input checked="" type="checkbox"/>	Adopt secure password management policies.

#### General Data Protection Regulation (GDPR)

Yes	No	Best practice
<input type="checkbox"/>	<input checked="" 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)

Yes	No	Best practice
<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.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Data integrity ensures the data is consistent, complete, accurate, and has been validated.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.

### **3. Recommendations (Optional - Executive Summary)**

Based on the audit findings, the following strategic actions are recommended to mitigate risks and ensure regulatory compliance for Botium Toys:

- **Priority 1: Data Protection & Recovery (Critical):** Immediately implement **AES-256 encryption** for all sensitive data at rest and in transit. Additionally, establish a **Disaster Recovery Plan (DRP)** including automated, off-site

backups to ensure business continuity in case of a ransomware attack or system failure.

- **Priority 2: Identity and Access Management (IAM):** Enforce the **Principle of Least Privilege (PoLP)** and **Separation of Duties**. This will ensure that employees only access the data necessary for their specific roles, preventing unauthorized exposure of customers' PII and financial information.
- **Priority 3: Strengthening Authentication:** Upgrade the existing password policy to meet modern complexity standards (minimum 12 characters, including symbols and numbers). Deploy a **centralized password management system** to reduce help desk overhead and eliminate the use of weak credentials.
- **Priority 4: Network Monitoring:** Install an **Intrusion Detection System (IDS)** to monitor internal traffic for suspicious activity, filling a significant gap in the current "Detect" function of the NIST CSF.
- **Priority 5: Regulatory Alignment:** Perform a gap analysis specifically for **PCI DSS** to secure the payment environment and avoid heavy fines, while formalizing the data inventory processes required by **GDPR**.