CHECKLIST INTELLIGENT iT COMPLIANCE

SOC 2 Type II Readiness Checklist

Prepare for your SOC 2 audit by verifying controls across all five Trust Service Criteria.

SOC 2 Type II requires demonstrating that controls are effective over time (typically 6-12 months). Use this checklist to assess your readiness before engaging an auditor.

SECURITY (COMMON CRITERIA — REQUIRED)

- [ ] Formal information security policy documented, approved by management, and distributed to all staff
- [ ] Risk assessment performed annually with documented risk register and treatment plan
- [ ] Logical access controls: unique user IDs, MFA, role-based access, quarterly access reviews
- [ ] Network security: firewalls, IDS/IPS, network segmentation, encrypted connections
- [ ] Change management process: documented approval, testing, and rollback procedures for all system changes
- [ ] Incident response plan documented, tested annually, and incidents are tracked and resolved
- [ ] Vulnerability management: regular scanning, timely patching, and penetration testing at least annually

AVAILABILITY

- [ ] System uptime monitoring in place with defined SLAs and escalation procedures
- [ ] Disaster recovery plan documented and tested at least annually
- [ ] Redundancy implemented for critical systems (failover, load balancing, geo-redundancy)
- [ ] Capacity planning process ensures resources meet current and projected demand

PROCESSING INTEGRITY

- [ ] Data processing is complete, valid, accurate, and timely with documented quality checks
- [ ] Error handling and exception reporting procedures are in place and monitored
- [ ] Automated and manual reconciliation processes validate data accuracy

CONFIDENTIALITY

- [ ] Data classification policy defines confidential data and handling requirements
- [ ] Encryption enforced for confidential data at rest and in transit
- [ ] Data retention and disposal policies are documented and followed
- [ ] NDAs and confidentiality agreements are executed with employees and third parties

PRIVACY

- [ ] Privacy notice published and accessible, describing data collection, use, and sharing practices

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- [ ] Consent mechanisms in place for collection of personal data
- [ ] Data subject access and deletion requests can be fulfilled within required timeframes
- [ ] Third-party data processors are assessed and bound by data processing agreements

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