

SOC II Compliance Checklist

In today's digital landscape, trust is everything—especially when it comes to handling sensitive customer data. SOC 2 (System and Organization Controls 2) is a widely recognized auditing standard developed by the AICPA that evaluates how effectively an organization manages data security, availability, processing integrity, confidentiality, and privacy.

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SOC 2 Compliance Checklist

1. Pre-work for SOC 2 Compliance

- Choose the right type of SOC 2 report:
 - SOC 2 Type 1 – assesses your controls at a single point in time.
 - SOC 2 Type 2 – tests control effectiveness over a defined period.
 - Select based on client or partner requirements.
- Determine the framework (applicable Trust Service Criteria) for your report.
- Estimate required resources (software, personnel, tools, audits).
- Obtain leadership buy-in to secure necessary resources.

2. Work Toward SOC 2 Compliance

- Run an initial assessment with compliance automation software.
- Review and implement missing controls in the “Security” Trust Service Criteria:
 - CC1 – Control Environment
 - CC2 – Communication and Information
 - CC3 – Risk Assessment
 - CC4 – Monitoring Activities
 - CC5 – Control Activities
 - CC6 – Logical and Physical Access Controls
 - CC7 – System Operations
 - CC8 – Change Management
 - CC9 – Risk Mitigation
- Address remaining gaps in other selected Trust Service Criteria.
- Draft security policies and protocols that meet SOC 2 standards.
- Re-run automation to confirm all criteria are met and evidence is collected.

3. Complete a SOC 2 Report Audit

- Select and hire an AICPA-affiliated auditor (QSA/CPA).
- Conduct a readiness assessment with the auditor.
- Resolve any gaps identified during readiness.
- Undergo the full SOC 2 audit (provide evidence via automation platform).
- Receive your SOC 2 report upon passing the audit.

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4. Maintain SOC 2 Compliance Annually

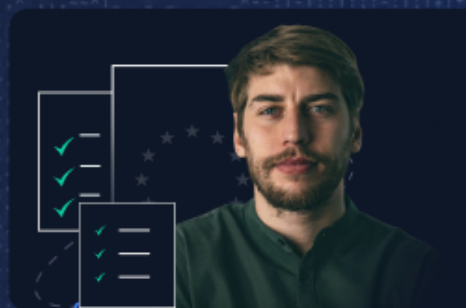
- Continuously monitor systems to detect compliance drift.
- Promptly remediate any new gaps arising from system changes.
- Undergo an annual SOC 2 re-certification audit to renew compliance.

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Thank you!

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Book a call directly

Meet with me and book a **free 15-min** call below to discuss your needs

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