

EXECUTIVE SOC 2 READINESS ASSESSMENT

A SELF-ASSESSMENT FOR EXECUTIVE LEADERSHIP

Evaluate your organization's readiness for a SOC 2 examination in less than five minutes.



INSTRUCTIONS: Check Yes if your organization has implemented the control and it is operating consistently.



Enterprise customers increasingly expect independent assurance before awarding business.

1



GOVERNANCE & RISK MANAGEMENT

- ☐ We have an Information Security Policy approved by management
- ☐ Security responsibilities are formally assigned
- ☐ A formal enterprise risk assessment has been performed within the past 12 months
- ☐ Security awareness training is required for all employees
- ☐ Vendor risk management procedures are documented

SCORE: _____ / 5

2



LOGICAL ACCESS

- ☐ Multi-Factor Authentication is required for privileged accounts
- ☐ User access is approved before being granted
- ☐ Terminated users are removed promptly
- ☐ User access reviews are performed at least quarterly
- ☐ Administrative access is restricted and monitored

SCORE: _____ / 5

3



CHANGE MANAGEMENT

- ☐ All production changes require documented approval
- ☐ Changes are tested prior to implementation
- ☐ Emergency changes follow a documented process
- ☐ Source code changes undergo peer review
- ☐ Production access is restricted

SCORE: _____ / 5

4



SECURITY OPERATIONS

- ☐ Vulnerability scanning is performed regularly
- ☐ Critical security patches are installed timely
- ☐ Endpoint protection is deployed
- ☐ Security events are monitored
- ☐ Incident response procedures are documented and tested

SCORE: _____ / 5



AVAILABILITY & BUSINESS CONTINUITY

- ☐ Critical systems are backed up
- ☐ Backups are tested periodically
- ☐ Disaster Recovery procedures are documented
- ☐ Recovery testing has been performed
- ☐ Business Continuity responsibilities are defined

SCORE: _____ / 5



COMPLIANCE & MONITORING

- ☐ Evidence supporting security controls is retained
- ☐ Customer security questionnaires are answered consistently
- ☐ Management reviews control performance
- ☐ Internal controls are documented
- ☐ Compliance responsibilities are assigned

SCORE: _____ / 5

YOUR RESULTS

26-30 YES

EXCELLENT



Your organization appears well positioned to begin a SOC 2 examination.

20-25 YES

GOOD FOUNDATION



Minor improvements may be needed before beginning the examination.

15-19 YES

READINESS ASSESSMENT
RECOMMENDED



Several important control areas should be strengthened before initiating a SOC 2 engagement.

BELOW 15 YES

PREPARATION
REQUIRED



A readiness assessment is strongly recommended to reduce examination risk and improve efficiency.

WHY GRAY CPA?

- ✓ Boutique Assurance & Advisory Firm
- ✓ Partner-Led Engagements
- ✓ Practical Recommendations
- ✓ National Experience
- ✓ SOC 1 & SOC 2 Specialists

Gray CPA partners with organizations nationwide to prepare for and perform independent SOC examinations that strengthen customer confidence and support business growth.



WANT A PERSONALIZED SCORE?

Gray CPA offers a complimentary 30-minute Executive Readiness Consultation to review your assessment, identify potential gaps, and discuss next steps toward a successful SOC 2 examination.



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CONSULTATION

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Experienced Guidance • Trusted Partnership • Independent Assurance

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