PLATOPS

Assess your SOC 2 readiness

PlatOps provides security-first DevOps, cloud, and managed IT services for small and mid-sized businesses. We help organizations achieve compliance certifications, secure their infrastructure, and modernize their operations — without the enterprise price tag.

From SOC 2 and HIPAA compliance to cloud migrations and 24/7 monitoring, our team of engineers delivers measurable results with a 100% audit pass rate across 60+ client engagements.

100%	60+	8-12 wk	24/7
AUDIT PASS RATE	ORGANIZATIONS	AVG. TO COMPLIANCE	MONITORING

SOC 2 Readiness Assessment

Pre-Audit Self-Assessment Questionnaire

Prepared by PlatOps Security Version 1.0 | January 2026

ASSESSMENT OVERVIEW

ATTRIBUTE	VALUE
Total Questions	67
TSC Covered	Security (Required) + Optional TSCs
Time to Complete	60-90 minutes
Scoring	0-3 per question
Output	Readiness score + gap analysis + timeline estimate

Scoring Guide

- **0** = Not implemented
- **1** = Partially implemented (< 50%)
- **2** = Mostly implemented (50-90%)
- **3** = Fully implemented with documentation

TSC Selection

Before starting, select which Trust Service Criteria apply:

- [ ] **Security** (Required for all SOC 2 audits)
- [ ] **Availability** (If you have SLA/uptime commitments)
- [ ] **Processing Integrity** (If data accuracy is critical)

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ORGANIZATION INFORMATION

FIELD	RESPONSE
Company Name	
Industry	
Number of Employees	
Target Audit Date	
SOC 2 Type (I or II)	
Primary Auditor (if selected)	

SECTION 1: SECURITY (CC - Common Criteria) [REQUIRED]

CC1: Control Environment (5 Questions)

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
1	Is there a documented security policy approved by management?	_____	Y / N
2	Are security roles and responsibilities formally defined?	_____	Y / N
3	Is there a dedicated security function or officer?	_____	Y / N
4	Is there a code of conduct or ethics policy?	_____	Y / N
5	Does the board/management oversee security programs?	_____	Y / N

CC1 Score: _____ / 15

CC2: Communication & Information (4 Questions)

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
6	Are security policies communicated to all employees?	_____	Y / N
7	Is there a process to communicate security to external parties?	_____	Y / N
8	Is security training provided to all employees?	_____	Y / N
9	Is there a mechanism for employees to report security issues?	_____	Y / N

CC2 Score: _____ / 12

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#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
10	Is there a formal risk assessment process?	_____	Y / N
11	Are risks assessed at least annually?	_____	Y / N
12	Is there a risk register documenting identified risks?	_____	Y / N
13	Are risk mitigation plans documented and tracked?	_____	Y / N

CC3 Score: _____ / 12

CC4: Monitoring Activities (4 Questions)

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
14	Are security controls monitored on an ongoing basis?	_____	Y / N
15	Are control deficiencies identified and remediated?	_____	Y / N
16	Is there an internal audit function or process?	_____	Y / N
17	Are third parties used for independent security assessments?	_____	Y / N

CC4 Score: _____ / 12

CC5: Control Activities (6 Questions)

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
18	Are logical access controls implemented (authentication, authorization)?	_____	Y / N
19	Is multi-factor authentication required?	_____	Y / N
20	Are access rights reviewed periodically?	_____	Y / N
21	Is there a change management process?	_____	Y / N
22	Are changes tested before production deployment?	_____	Y / N
23	Is there segregation of duties for critical functions?	_____	Y / N

CC5 Score: _____ / 18

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#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
24	Are unique user IDs assigned to each user?	_____	Y / N
25	Is access based on job function (RBAC)?	_____	Y / N
26	Is privileged access limited and monitored?	_____	Y / N
27	Is access removed upon termination within 24 hours?	_____	Y / N
28	Are password policies enforced (complexity, rotation)?	_____	Y / N
29	Is physical access to facilities controlled?	_____	Y / N
30	Is data center access restricted and logged?	_____	Y / N
31	Is there visitor management for facilities?	_____	Y / N

CC6 Score: _____ / 24

CC7: System Operations (6 Questions)

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
32	Is there a vulnerability management program?	_____	Y / N
33	Are systems scanned for vulnerabilities regularly?	_____	Y / N
34	Are patches applied within defined timeframes?	_____	Y / N
35	Is antivirus/anti-malware deployed on all systems?	_____	Y / N
36	Are security events logged and monitored?	_____	Y / N
37	Is there a SIEM or centralized log management?	_____	Y / N

CC7 Score: _____ / 18

CC8: Change Management (4 Questions)

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
38	Is there a formal change management process?	_____	Y / N
39	Are changes documented and approved?	_____	Y / N
40	Are changes tested before production?	_____	Y / N
41	Is there rollback capability for failed changes?	_____	Y / N

CC8 Score: _____ / 12

CC9: Risk Mitigation (3 Questions)

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
42	Are vendor risks assessed before engagement?	_____	Y / N
43	Are vendors with data access subject to security requirements?		Y / N

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SECTION 2: AVAILABILITY (A) [Optional]

Complete if you selected Availability TSC

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
45	Are SLAs defined and documented for customers?	_____	Y / N
46	Is system capacity monitored and managed?	_____	Y / N
47	Is there redundancy for critical systems?	_____	Y / N
48	Are backups performed according to policy?	_____	Y / N
49	Are backups tested for restoration?	_____	Y / N
50	Is there a disaster recovery plan?	_____	Y / N
51	Is the DR plan tested at least annually?	_____	Y / N
52	Are RTO and RPO defined and achievable?	_____	Y / N

AVAILABILITY SCORE: _____ / 24

SECTION 3: PROCESSING INTEGRITY (PI) [Optional]

Complete if you selected Processing Integrity TSC

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
53	Are processing objectives defined and documented?	_____	Y / N
54	Is input data validated before processing?	_____	Y / N
55	Are processing errors detected and corrected?	_____	Y / N
56	Is output reviewed for completeness and accuracy?	_____	Y / N
57	Are data quality metrics monitored?	_____	Y / N

PROCESSING INTEGRITY SCORE: _____ / 15

SECTION 4: CONFIDENTIALITY (C) [Optional]

Complete if you selected Confidentiality TSC

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59	Is access to confidential data restricted?	_____	Y / N
60	Is confidential data encrypted at rest?	_____	Y / N
61	Is confidential data encrypted in transit?	_____	Y / N
62	Are there policies for secure disposal of confidential data?	_____	Y / N

CONFIDENTIALITY SCORE: _____ / 15

SECTION 5: PRIVACY (P) [Optional]

Complete if you selected Privacy TSC

#	QUESTION	SCORE (0-3)	EVIDENCE AVAILABLE?
63	Is there a published privacy policy?	_____	Y / N
64	Is consent obtained before collecting personal data?	_____	Y / N
65	Can individuals access and correct their data?	_____	Y / N
66	Is there a process for data deletion requests?	_____	Y / N
67	Are privacy impact assessments conducted?	_____	Y / N

PRIVACY SCORE: _____ / 15

SCORING SUMMARY

Your Readiness Scores

TSC	YOUR SCORE	MAX SCORE	%	READINESS
Security (Required)	_____	132	___%	_____
Availability	_____	24	___%	_____
Processing Integrity	_____	15	___%	_____
Confidentiality	_____	15	___%	_____
Privacy	_____	15	___%	_____

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SCORE %	READINESS LEVEL	ESTIMATED TIME TO AUDIT
0-25%	**Not Ready**	6-12 months
26-50%	**Early Stage**	4-6 months
51-75%	**In Progress**	2-4 months
76-90%	**Nearly Ready**	4-8 weeks
91-100%	**Audit Ready**	Ready now

GAP ANALYSIS

Critical Gaps (Score = 0)

List all questions scored 0:

QUESTION #	GAP DESCRIPTION	PRIORITY
		High / Medium
		High / Medium
		High / Medium
		High / Medium
		High / Medium

Partial Gaps (Score = 1-2)

List questions scored 1-2:

QUESTION #	GAP DESCRIPTION	PRIORITY
		High / Medium
		High / Medium
		High / Medium
		High / Medium
		High / Medium

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Required Documentation for SOC 2

DOCUMENT	STATUS	NOTES
Information Security Policy	Draft / Final / N/A	
Acceptable Use Policy	Draft / Final / N/A	
Access Control Policy	Draft / Final / N/A	
Change Management Policy	Draft / Final / N/A	
Incident Response Plan	Draft / Final / N/A	
Business Continuity Plan	Draft / Final / N/A	
Vendor Management Policy	Draft / Final / N/A	
Risk Assessment Report	Draft / Final / N/A	
System Description	Draft / Final / N/A	
Network Diagram	Draft / Final / N/A	

ESTIMATED TIMELINE

Based on your readiness score, your estimated timeline:

Security Score: ____%

PHASE	DURATION	ACTIVITIES
Gap Remediation	_____ weeks	Policy development, control implementation
Evidence Collection	_____ weeks	Document preparation, screenshot collection
Type I Audit	4-6 weeks	Point-in-time assessment
Observation Period	3-6 months	Operating effectiveness (Type II only)
Type II Audit	4-6 weeks	Operating effectiveness assessment

Estimated Total Time to Type II: _____ months

NEXT STEPS

Ready to Start Your SOC 2 Journey?

Step 1: Schedule a free SOC 2 consultation → platops.com/book-call

Step 2: Get a detailed gap analysis and roadmap → platops.com/assessment

Step 3: Accelerate your certification with expert guidance

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- **Remediation Support** - Control implementation
- **Policy Development** - Documentation creation
- **Audit Preparation** - Evidence collection
- **Continuous Compliance** - Ongoing monitoring

Our Track Record

- **100%** SOC 2 audit pass rate
- **8-12 weeks** average time to Type I
- **60+** organizations certified

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Ready to Get Started?

Let our team of security and infrastructure experts help you achieve your goals faster.

100%	60+	8-12 wk	24/7
AUDIT PASS RATE	ORGANIZATIONS SERVED	AVG. TIME TO COMPLIANCE	MONITORING & SUPPORT

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