SOC 2 Readiness Scoring System

Instructions

Rate your organization's readiness for each Trust Services Criteria category on a scale of 1-5, where:

- **1** = No progress
- **2** = Minimal progress
- **3** = Some progress but incomplete
- **4** = Nearly complete
- **5** = Fully ready/compliant

After rating each category, calculate the total score to evaluate overall readiness.

01. Security Criteria (Required for all SOC 2 Reports)

Control Category	Description	Score (1-5)
Access Controls	Have you implemented effective access controls for systems and data?	
Encryption	Are encryption protocols in place for data in transit and at rest?	
Network Security	Are firewalls, VPNs, and other network security measures properly configured?	
Incident Response	Do you have an incident response plan to handle security breaches?	
Vulnerability Management	Is there a process for identifying and mitigating vulnerabilities?	
Monitoring and Logging	Are you logging, monitoring, and reviewing security events regularly?	
Authentication Mechanisms	Are multi-factor authentication and strong password policies enforced?	
Total Security Score:		/ 35

02. Availability Criteria (Optional)

Control Category	Description	Score (1-5)
System Monitoring	Are systems monitored for uptime and performance issues?	
Backup and Recovery	Are backup procedures in place, and are they tested regularly?	
Disaster Recovery Plan	Do you have a disaster recovery plan (DRP) in place for system availability?	
Capacity Planning	Is there a process for ensuring system capacity meets demand?	
Incident Response for Availability	Are there documented procedures to handle service outages?	
Total Availability Score:		/ 25

03. Processing Integrity Criteria (Optional)

Control Category	Description	Score (1-5)
Data Accuracy Controls	Are controls in place to ensure data is processed accurately and completely?	
Data Validation	Is data validated for completeness, accuracy, and timeliness?	
Change Management	Are changes to systems, applications, and processes properly managed?	
Transaction Monitoring	Are transaction logs monitored for errors or unauthorized modifications?	
Error Handling and Correction	Are there procedures for identifying and correcting processing errors?	
Total Processing Integrity Score:		/ 25

04. Confidentiality Criteria (Optional)

Control Category	Description	Score (1-5)
Data Classification	Is sensitive data classified and handled appropriately?	
Encryption of Confidential Data	Is confidential data encrypted during storage and transmission?	
Access Restrictions to Confidential Data	Are access controls in place to limit access to confidential data?	
Data Retention and Disposal	Are procedures in place for secure retention and disposal of confidential data?	
Third-Party Confidentiality Agreements	Are confidentiality agreements in place with third-party providers?	
Total Confidentiality Score:		/ 25

05. Privacy Criteria (Optional)

Control Category	Description	Score (1-5)
Privacy Policy	Does your organization have a documented and communicated privacy policy?	
Data Subject Rights	Are procedures in place to handle data subject access requests (DSARs)?	
Consent Management	Are there controls for managing user consent for data collection and processing?	
Data Minimization	Do you limit data collection to what is necessary for business purposes?	
Third-Party Privacy Controls	Are third-party processors compliant with your privacy standards?	
Total Privacy Score:		/ 25

Final Readiness Score Calculation

TSC Category	Total Score
Security	
Availability	
Processing Integrity	
Confidentiality	
Privacy	
Overall Score:	

> *"Compass was instrumental in their support of our SOC2 compliance. Their expert staff worked closely with my team to expedite the process and help us better align with the business direction. The partnership that has been established between our firms has been amazing and I would highly recommend Compass"*
>
> **CIO**
> Asplundh Tree Expert Co.

Readiness Levels

Percentage	Description
0-40% (0-54 points)	Significant gaps in controls; extensive remediation required before SOC 2 audit.
41-70% (55-94 points)	Partial readiness; some key controls in place but remediation is still required.
71-89% (95-119 points)	Almost ready; minor improvements needed before SOC 2 audit.
90-100% (120-135 points)	Ready for SOC 2 audit; strong controls in place with minimal remediation.

Compass offers comprehensive support for SOC 2 readiness and audits. From guiding your organization through preparation to partnering with our independent CPA firm for the final audit, we ensure a smooth and efficient process. **Reach out to us today** to learn how our expertise can streamline your compliance efforts and help you successfully meet SOC 2 requirements.