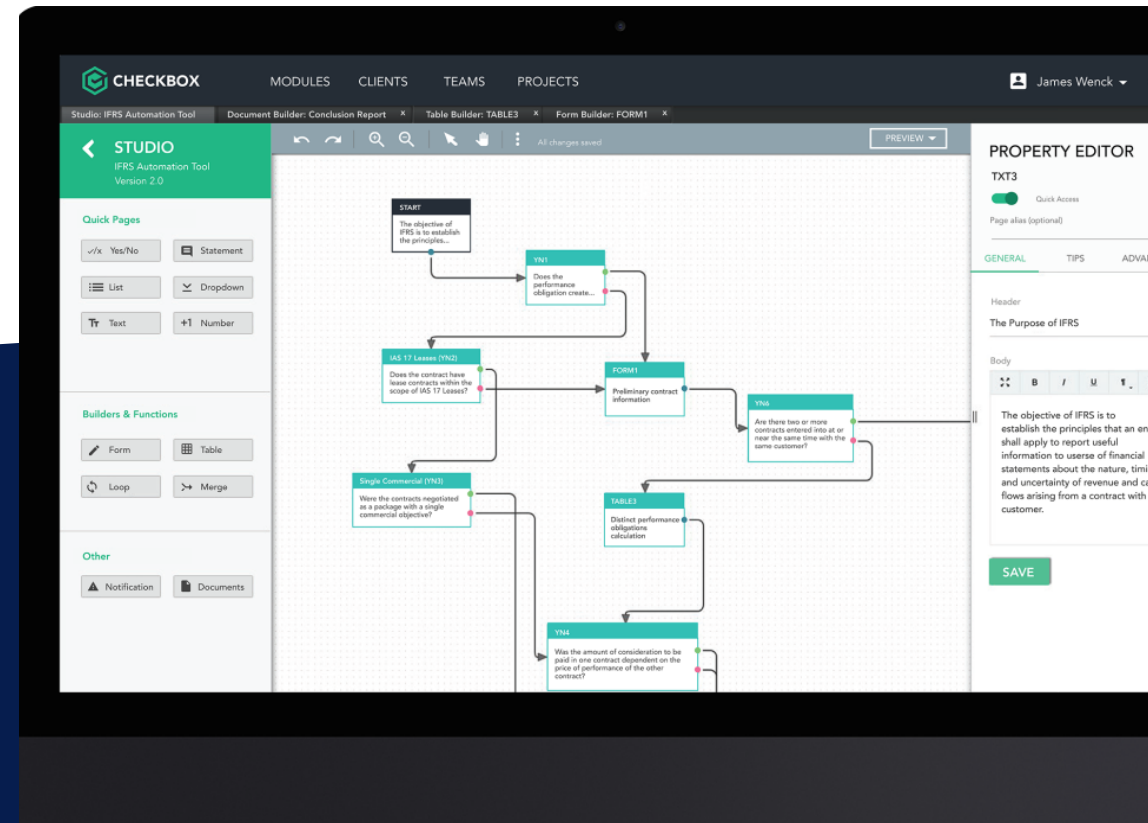# User Guide
SOC 2 Readiness Assessment

20 January 2020

Contact Details:

Paul Wenham | **Founder & CEO**
+61(0) 490 086 000
paul@assurancelab.com.au

Contents

assurancelab

The Checkbox Platform

- The SOC 2 Readiness Assessment is built in the Checkbox.ai Platform

- No code development studio for audit, risk and compliance assessments

- Enables setup of users, workflows, email notifications, audit trails and advanced document outputs

SOC 2 Readiness Assessment

- An average of 120 questions are used (from a pool of over 300) for a tailored assessment of your processes and practices to the SOC 2 standard. The report outputs:

  - Observations and recommendations;

  - Control descriptions and characteristics;

  - Review areas for quality checks; and

  - Audit-ready documentation

Assessment Overview – Steps

assurance**lab**

Click the links for further detail on each section!

KEY:

Client

AssuranceLab

1. Start the Assessment

2. System & Process Scoping

3. Allocate Owners

4. User Account Setup

5. Create User Accounts

6. Complete Assessment Sections

7. Generate Output Report

Assessment Selection

Introduction

The following personal details are used to tailor the assessment and benchmark to industry peers.

For any privacy concerns, read our Privacy Policy or use an alias for your details.

Contact Name: What is your preferred name?

Input text *

Contact Email: What's the best email contact for this assessment?

Input text *

Company: What is the name of your company or the company to be assessed?

Input text *

Service: What is the name of your product, platform, or service to be covered by the assessment?

(Eg. Checkbox App, Microsoft Azure, Software Development, Market Research & Business Intelligence)

General Guidance

Services

Service Type

SOC 2 Trust Services Categories

Key Terms

BACK   NEXT →

Comments

Notes

1. The SOC 2 Readiness Assessment can now be initiated from our website.

2. Follow the prompts, with drop-down guidance panels on the right side of the screen.

3. At the end of each section, you can go Back, Next or add Comments to the transcript.

System & Process Scoping

Scoping Assessment

In-house Scope | Outsourced Scope

The following section will determine the scope of systems and processes for the assessment. Read the guidance on the right side of the screen or contact your Service Auditor if you are unsure.

AssuranceLab Scope: In relation to the SOC 2 App services, do you manage the following functions in-house?

Select all that apply.

☐ Physical hosting of critical infrastructure

☐ Office location(s) requiring reporting of physical access controls

☐ Software development

☐ Backups of production systems and data

☐ Automated job (batch) scheduling

Software: Do you use software/tools for the following areas in relation to the SOC 2 App services?

Select all that apply and input the name(s) of the software used. Read the Software Scope guidance for materiality considerations.

In-house Scope | **Outsourced Scope**

Outsourced Scope: In relation to the SOC 2 App services, which of the following functions are outsourced to third-party providers?

Select all that apply and input the name of the third-party provider(s). Read the Outsourced Scope guidance for materiality considerations.

☐ Infrastructure as a Service

☐ Managed services for the infrastructure

☐ Data centre hosting

☐ Security of office location(s) requiring reporting of physical access controls

☐ Software development

General Guidance	⌄

Scope Overview	⌄

Physical Security	⌄

Key Terms	⌄

Notes

1. The inputs defined here impacts the assessment scope.

2. Contact your Service Auditor or AssuranceLab if you are unsure.

3. Inputs cover the nature of services, software/systems used and outsourcing to third-party vendors.

User selection: Assessment

User allocation

The assessment process you selected is split into nine (9) sections. You can specify individuals to allocate each section to, or you can leave these blank to allocate all sections to you.

Read the guidance on the right for each section for further details.

1. Control Environment

Code of Conduct | Hiring & Onboarding | Management | Roles & Responsibilities | Performance & Training

Suggested owner(s): HR, COO, CEO
Estimated time: 15-30 mins (up to 31 questions)

User email
paul@assurancelab.com.au

2. Information & Communication

Internal Communications | External Communications

Suggested owner(s): Head of Services, COO, CPO, CIO
Estimated time: 10-20 minutes (up to 12 questions)

---

1. Control Environment

Code of Conduct | Hiring & Onboarding | Management | Roles & Responsibilities | Performance & Training

Code of Conduct: Defining and enforcing expected conduct standards for personnel.

Hiring & Onboarding: Identifying, assessing, approving and onboarding employees and contractors.

Management: Board and management level governance and meetings.

Roles & Responsibilities: Defining, communicating and monitoring the roles and responsibilities of personnel and third parties.

Performance & Training: Managing the performance and training requirements of personnel.

2. Information & Communication

3. Data Management

Steps

1. Assign owners for each of the nine (9) assessment sections by input of their email address

2. Guidance panels on the right side of the screen describe the content of each section

Note: *Each section requires an individual owner. Where multiple people are involved, we recommend assigning an individual to coordinate and input on behalf of the others.*

Step-by-Step Guide:
User Account Set-up

assurancelab

1 Welcome to Checkbox [Inbox ×]

Checkbox Notifications <notifications@checkbox.ai>
to info

Hello PAUL,
Welcome to Checkbox!

https://app.checkbox.ai/password/7d35ad66dc7864fef947f0f80a385078

The above link will allow you to complete your registration, allowing you to set your password and access your Checkbox account.
For security reasons, this link will only remain active for 72 hours. If the link expires, you will need to contact your administrator.

Cheers,
The Checkbox team

[↩ Reply] [↩ Reply all] [➡ Forward]

2

CHECKBOX

Set Your Password
info@assurancelab.com.au

✕ Contains at least 10 characters
✕ Contains a number
✕ Contains a letter
✕ Contains an uppercase character
✕ Contains a special character

Set new password

Confirm password

DONE

Help   Privacy

3

Project Teams

Project Team	Description
Live SOC 2 Readiness Assessment External	Live SOC 2 Readiness Assessment External

Steps

1. You will receive an account setup email from Checkbox

2. Set your password and login

3. You should see a project team for the SOC 2 Readiness Assessment

Troubleshooting

Contact us if your link has expired or you do not see the project team.

info@assurancelab.com.au

①

Project Teams

Project Team	Description
Live SOC 2 Readiness Assessment External	Live SOC 2 Readiness Assessment External

②

🏠 Live SOC 2 Readiness Assessment External

Apps

📄 SOC 2 Readiness Assessment External Access

③

Readiness Assessments

Widget
In Progress ▼

🔍 Search...

	Name	Reference	Creator	Created On	Owners	Last Edited ↓	Status	Actions
⌄		SOC2RAEA-12	Public user	20 Jan 2020	Paul Wenham	20 Jan 2020	In Progress	⋮
	Change Management	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	Completed	
	Control Environment	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	In Progress	
	Data Management	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	Completed	
	Information & Comm...	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	Completed	
	Physical Security	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	Completed	
	Risk Management	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	Completed	
	System Operations	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	In Progress	
	System Security	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	In Progress	
	Vendor Management	SOC2RAEA-12	Public user	20 Jan 2020	Jane Doe	20 Jan 2020	Completed	

1 of 1   ‹ 1 ›

Steps

1. When you login you should see the SOC 2 Readiness Assessment Project Team

2. On the left side select the SOC 2 Readiness Assessment

3. Click the drop-down to view the nine assessment sections and click into the one you wish to complete

---

notifications@checkbox.ai
to Pswenham

You have been assigned the Vendor Management section of the SOC 2 Readiness Assessment External Access.

Vendor Selection | Vendor Monitoring

Suggested owner(s): COO, CIO, CSO/CISO, CTO
Estimated time: 5-10 minutes (up to 12 questions)

https://assurancelab.checkbox.ai/app/team/1395/app/2198/assessment/60374/78d5cf5d-b205-424d-bdc2-fa1a09805521

Steps

1. The allocated owners of each section will receive a link to open the assessment

Note: *This link is only valid for the specific assessment section and cannot be used once that section is complete.*

Step-by-Step Guide:
Assessment Inputs

assurancelab

Control Environment: Code of Conduct

Section 1: Control Environment

Code of Conduct | Hiring & Onboarding | Management | Roles & Responsibilities | Performance & Training

Code of Conduct: Is there a Code of Conduct documented in the Employee Handbook or separately?

- ⦿ Yes
- ○ No
- ○ Unsure

New Joiner Sign-off: Is the Code of Conduct formally acknowledged or signed off by new employees?

- ○ Yes
- ○ No
- ○ Unsure

Senior Management: Does management formally review the following on at least an annual basis?

- ☐ team performance
- ☐ internal control effectiveness
- ☐ systems and data security
- ☐ employee skills and competencies
- ☐ operational resourcing requirements
- ☐ None of the above

Senior Management Meetings: How frequently does the management team meet?

Select the minimum frequency that is consistently applied and documented in an agenda, minutes, meeting pack or other form.

Select an option

[dropdown ▼]

Thank you for your responses.

Steps

1. Input responses to all questions. Previous responses will adjust future questions automatically

2. Select all that apply or "none of the above" for checkbox responses. Select the best answer for drop down inputs

3. At the end of each section you will see a thank you message confirming completion

4. Access the remaining areas by login or links until all sections are complete

assurance**lab**

Readiness Assessment Outputs

AssuranceLab is notified automatically when all sections are complete. We generate your report of observations and controls. Contact us to discuss it further.

SOC 2 Audit

When you are ready, we can launch a SOC 2 audit in our web-based audit tracking system. Our agile audit approach can start before the observations are addressed.

assurancelab

Contact

📱 +61 490 086 000

✉ info@assurancelab.com.au

🖥 https://assurancelab.com.au