QUANTUM AUDIT ENGINE

Compliance Automation Readiness Checklist

42 checks to complete before you connect a compliance automation platform, so setup goes faster and your evidence stays organized.

How to use this checklist

Work through each section with the people who own the systems involved. Tick an item only when it is true today, not when it is planned. Anything left unticked becomes your setup to-do list.

> Tip: most delays in automation projects come from unclear scope, missing admin access and unassigned control owners. Sections 1, 2 and 7 address those first.

1. Scope and goals

- [ ] We have named the framework(s) we are preparing for (for example SOC 2, ISO 27001, HIPAA, GDPR).
- [ ] We know which products, environments and locations are in scope.
- [ ] We have a target date for our first audit window or customer deadline.
- [ ] An executive sponsor has approved time and budget for the project.
- [ ] One person is the day-to-day project owner.

2. Access you will need on day one

- [ ] Admin access to our cloud accounts (AWS, Azure or GCP) is available to the setup lead.
- [ ] Admin access to our identity provider (Google Workspace, Microsoft Entra ID, Okta or similar).
- [ ] Admin access to our code repositories and CI/CD tools.
- [ ] Admin access to our HR system or employee directory.
- [ ] Admin access to our ticketing or project tool (Jira, Linear, Asana or similar).

3. Systems inventory

- [ ] We have a list of every production system and who owns it.
- [ ] We have a list of every SaaS tool that stores customer or employee data.
- [ ] We know where customer data is stored and backed up.
- [ ] Each vendor that handles our data is listed with a contact and contract date.
- [ ] Endpoints (laptops) are listed with owners and operating systems.

4. Identity and access

- [ ] Single sign-on is used for core business tools where available.
- [ ] Multi-factor authentication is enforced for all staff.
- [ ] Shared accounts are documented or removed.
- [ ] Joiner, mover and leaver steps are written down.
- [ ] Access reviews have an owner and a schedule (for example quarterly).

5. Cloud and infrastructure

- [ ] Logging is enabled for production cloud accounts.
- [ ] Production and non-production environments are separated.
- [ ] Encryption at rest and in transit is enabled for data stores.
- [ ] Backups run on a schedule and a restore has been tested.
- [ ] Vulnerability scanning or patching has an owner and a cadence.

6. Engineering workflow

- [ ] Changes to production go through pull requests with review.
- [ ] Branch protection is enabled on main branches.
- [ ] Deployments are logged and traceable to a change.
- [ ] Dependencies are scanned for known vulnerabilities.
- [ ] Secrets are kept out of source code.

7. Policies and ownership

- [ ] We have (or have chosen templates for) an information security policy set.
- [ ] Each policy has an owner and a review date.
- [ ] Each control area has a named owner.
- [ ] Staff security awareness training has a schedule.
- [ ] An incident response plan exists and names who to contact.
- [ ] A risk register exists, even if it is short.

8. Evidence habits

- [ ] We agree where evidence lives (one shared location).
- [ ] Recurring tasks (access reviews, backups tests) create a record when done.
- [ ] Screenshots and exports are named with the date and system.
- [ ] Someone checks monthly that evidence is current.
- [ ] We have a list of evidence the platform cannot collect automatically.
- [ ] We know who will answer auditor questions for each area.

Your results

Section	Items ticked	Top gap to fix first	Owner
1. Scope and goals (5)			
2. Access (5)			
3. Systems inventory (5)			
4. Identity and access (5)			
5. Cloud and infrastructure (5)			
6. Engineering workflow (5)			
7. Policies and ownership (6)			
8. Evidence habits (6)			
Total (42)			

Reading your score

- **35 to 42:** you are ready to connect a platform and move quickly.
- **20 to 34:** fix your top gaps in sections 1, 2 and 7 before setup.
- **Under 20:** start with scope, ownership and a systems inventory. A guided setup sprint can help.

> Want help getting set up? See the Compliance Automation Setup Sprint at quantumauditengine.com/compliance-automation-setup-sprint/.

This checklist is general guidance to help you prepare. It is not an audit, certification or attestation, and it is not legal advice. © Quantum Audit Engine.