

Audit-Ready Every Day

Turning SOC compliance from an audit-week scramble into a daily habit.

A real project — described in general terms, with no confidential details

Swipe to see how →

The stakes

Every client-facing report our team built or changed fell under SOC 1 and SOC 2 controls.

- **The evidence had to be complete**
Clear owner, testing, approvals, release — with dates proving the order.
- **Auditors pull a sample**
Any ticket can be the one they check.
- **Late gaps are expensive**
A missing approval found at audit time means rework under pressure.

7 checks on every ticket

How our team's two SOC controls were tested:

- 1 Ownership**
The requester owns the report
- 2 Scope tag**
Client-facing reports are tagged SOC
- 3 Environment separation**
Built and tested outside production
- 4 Requester review**
The owner tests before release
- 5 Dual approval**
Requester and developer sign off
- 6 Segregation of duties**
A second, senior developer releases it
- 7 Milestone dates**
Every step, in the right order

The daily habit

Simple, manual — and disciplined.

Pull

Compliance filters I built pull every SOC ticket each day.



Check

Each ticket is reviewed against the 7 checks.



Flag

An Excel gap report goes to the owners the same day.



Fix

Each analyst or developer fixes their own ticket.

What the owners saw

A daily gap report — illustrative, with invented tickets:

Ticket	Missing check	Fix
RQ-1047	SOC tag	Owner adds the tag
RQ-1051	Requester approval	Approve before release
RQ-1058	Milestone dates	Developer corrects date
RQ-1063	None	Complete ✓

Every gap names the ticket, the missing check and the fix — minutes, not a meeting.

Before and after

Audit-week cleanup

Gaps found during audit prep

Fixed months later, from memory

Whoever is free fixes it

Rework on sampled tickets

Daily check

Gaps found the same day

Fixed while details are fresh

The ticket's owner fixes it

Records already complete

The results

2

SOC controls owned by our
team

7

checks on every SOC ticket

Daily

review, same-day follow-up

180

company controls I
coordinated on loan to
Internal Audit

Smooth audit testing cycles — records were complete when the sample was pulled.

WHAT I LEARNED

Compliance is a habit, not an event.

Clear checks, same-day flags and owners fixing their own work can keep an audit calm — even before full automation.

The full case study — control framework, gap report, recommendations — is in my Featured section.

Case study 2 of 3