



Audit Preparation Guide

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Prepared for:

ComplianceAutomator.com

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SaaS / Technology Industry

Generated: March 30, 2026

ComplianceAutomator.com

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0.1 Intake Summary

- Industry: SaaS / Technology

Assumptions Used

- Operating model not provided; assume lean startup processes.
 - Company size not provided; assume startup/SMB scale.
 - Regions not provided; assume US-focused operations.
 - Data types not provided; assume standard customer and operational data.
 - Hosting not provided; assume cloud-hosted (AWS/GCP/Azure).
 - Security maturity not provided; assume early-stage controls with room to mature.
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0.2 How to Use This Compliance Toolkit

1. Replace any remaining placeholders (if any).
 2. Assign document owners and reviewers.
 3. Review recommended status tables and adjust targets.
 4. Schedule an internal review meeting.
 5. Store finalized documents in your compliance repository.
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1. Audit Readiness and preparation Guide

ComplianceAutomator.com - SaaS Technology Company

1.1 Executive Summary

This comprehensive audit readiness guide is designed specifically for ComplianceAutomator.com to ensure systematic preparation for various audit types common in the SaaS technology industry. The guide covers SOC 2, ISO 27001, financial audits, and compliance audits while addressing unique SaaS considerations such as data security, multi-tenancy, and subscription revenue models.

1.2 1. Audit Types and Frequency Planning

Primary Audit Types for SaaS Companies

SOC 2 Type II Audit

- **Frequency:** Annual
- **Timeline:** 6-month observation period
- **Key Focus:** Security, Availability, Processing Integrity, Confidentiality, Privacy

ISO 27001 Certification Audit

- **Frequency:** Initial certification + annual surveillance
- **Timeline:** 3-6 months preparation
- **Key Focus:** Information Security Management System (ISMS)

Financial Audit

- **Frequency:** Annual (required if publicly traded or investor mandated)
- **Timeline:** Year-end + 90 days
- **Key Focus:** Revenue recognition (ASC 606), subscription accounting

Compliance Audits

- **GDPR/Privacy:** Annual or bi-annual
- **Industry-specific:** Varies by customer requirements