

REGTECH MASTERY SERIES • PART 1: BEFORE YOU BUY

RegTech Readiness Scorecard

Thirty statements across six dimensions to test whether your organisation is ready to buy, implement and own compliance technology.

THE “BEFORE YOU BUY” AUDIT

The most expensive RegTech mistake isn’t buying the wrong solution. It’s buying **any** solution before you are ready. Rate your organisation on each statement below, then total each dimension.

Scale: 0 = Not true • 1 = Somewhat true • 2 = Mostly true • 3 = Completely true

1 Dimension 1: Data Readiness

Is your data clean enough for AI?

#	Statement	0	1	2	3
1	We have a single source of truth for core compliance data.	☐	☐	☐	☐
2	Data quality is actively monitored and issues are addressed promptly.	☐	☐	☐	☐
3	Data ownership is clear, and someone is accountable for each dataset.	☐	☐	☐	☐
4	Legacy systems have been audited for data integrity issues.	☐	☐	☐	☐
5	We could migrate data to a new system without major remediation.	☐	☐	☐	☐

Dimension 1 total / 15

2 Dimension 2: Process Clarity

Do you know how work flows?

#	Statement	0	1	2	3
6	Key compliance workflows are documented and up to date.	☐	☐	☐	☐
7	A new hire could understand our processes from the documentation alone.	☐	☐	☐	☐
8	We know where current processes break down or rely on workarounds.	☐	☐	☐	☐
9	Different teams follow the same process for identical activities.	☐	☐	☐	☐
10	We could draw our end-to-end workflows on a whiteboard right now.	☐	☐	☐	☐

Dimension 2 total / 15

3 Dimension 3: Change Capacity

Can your organisation absorb another transformation?

#	Statement	0	1	2	3
11	Our teams are not currently overwhelmed by other transformation initiatives.	☐	☐	☐	☐
12	We have dedicated implementation resources (not “on top of” day jobs).	☐	☐	☐	☐
13	Our last major technology implementation was considered a success.	☐	☐	☐	☐
14	When we announce new initiatives, people lean in rather than tune out.	☐	☐	☐	☐
15	We protect time for change instead of simply adding to existing workloads.	☐	☐	☐	☐

Dimension 3 total / 15

4 Dimension 4: Executive Commitment

Is this a priority or a checkbox?

#	Statement	0	1	2	3
16	Our executive sponsor understands what this initiative requires.	☐	☐	☐	☐
17	Leadership will remain engaged beyond budget approval.	☐	☐	☐	☐
18	There is appetite at senior level to make hard decisions.	☐	☐	☐	☐
19	This initiative has visibility at board or executive-committee level.	☐	☐	☐	☐
20	Our sponsor has a track record of seeing technology through to success.	☐	☐	☐	☐

Dimension 4 total / 15

5 Dimension 5: Team Readiness

Do you have the skills to own this?

#	Statement	0	1	2	3
21	We have identified who will own this system after implementation.	☐	☐	☐	☐
22	We have internal resources with experience in this technology.	☐	☐	☐	☐
23	Our training budget covers ongoing development.	☐	☐	☐	☐
24	Key roles are filled by people with the capacity to take this on.	☐	☐	☐	☐
25	We have a plan to build or hire the skills we are currently missing.	☐	☐	☐	☐

Dimension 5 total / 15

6 Dimension 6: Culture Foundation

Do people trust the foundation?

#	Statement	0	1	2	3
26	Compliance is seen as a partnership function, not policing.	☐	☐	☐	☐
27	People speak up when they see problems, without fear of blame.	☐	☐	☐	☐
28	Teams that need to collaborate actually do (minimal silos).	☐	☐	☐	☐
29	Issues surface early rather than being hidden.	☐	☐	☐	☐
30	Our organisation rewards people for raising uncomfortable questions.	☐	☐	☐	☐

 Dimension 6 total / 15

Your readiness profile

Dimension	Your score	Max
1. Data Readiness		15
2. Process Clarity		15
3. Change Capacity		15
4. Executive Commitment		15
5. Team Readiness		15
6. Culture Foundation		15
Total readiness score		90

Score	Level	Strategic action
75-90	READY	Move forward with confidence.
55-74	CAUTION	Address gaps in parallel with vendor evaluation.
35-54	PAUSE	Build foundations before buying.
0-34	NOT READY	Prioritise the basics; a RegTech purchase will likely fail.

Your two weakest dimensions and the one action that would move each up a band (owner • action • date)

NEXT STEP

 Ready to shortlist vendors? Continue with the **RegTech Selection Checklist (Part 2)**.