

System and Organization Controls Certification Practice Test Questions and Answers

1. What is the primary purpose of a SOC 2 audit?

- A) Financial statement validation only
- B) Evaluating controls relevant to security, availability, processing integrity, confidentiality, and privacy
- C) Marketing compliance verification
- D) Employee performance assessment

2. Which Trust Services Criteria (TSC) category addresses data protection and access controls?

- A) Availability
- B) Security
- C) Processing Integrity
- D) Confidentiality

3. What is the difference between SOC 1 Type I and Type II reports?

- A) Type I covers longer time periods than Type II
- B) Type I evaluates design effectiveness, Type II includes operating effectiveness over time
- C) Type II is less comprehensive than Type I
- D) There is no significant difference between the two

4. Which principle is fundamental to effective control environment design for SOC audits?

- A) Complexity over simplicity
- B) Management commitment and tone at the top
- C) Minimal documentation requirements
- D) Avoiding regular monitoring activities

Answers: 1-B 2-B 3-B 4-B

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