

TRANSACTION PATHWAY

SOC Audit Checklist Pathway

SEPTEMBER 2022



This Pathway will help you manage your SOC processes, acting as a checklist of the various areas you need to review and providing some of the main tasks you need to consider. Tailor it to your specific business and set up it as a My Template to be able to replicated annually. You can even set up Tasks to repeat monthly, quarterly and annually to ensure you complete the tasks in accordance with your review cycle.

STAGE	TASKS	TASK FORMS	TASK DOCUMENTS
SOC Processes Review	<ul style="list-style-type: none">➤ SOC Policies and Producers designated person➤ Annual policy review		
SOC People Review	<ul style="list-style-type: none">➤ SOC defined organisational structure confirmed➤ SOC background screening processes confirmed		
SOC data review	<ul style="list-style-type: none">➤ Review Legal Documents		
SOC infrastructure review			
SOC software Review			