State of Vermont SOC Reporting
Department SOC Check-off List

(BP #12 SOC Check-off List)

Vendor and Service:

Does the report cover the services contracted to our institution?
☐ The report covers the services contracted to our institution. See the services in the comments below.
☐ The report does not cover the services contracted to our institution.

Comments:

Report Type:
☐ SOC 1 Type 1 ☐ SOC 2 Type 1 ☐ SOC 3
☐ SOC 1 Type 2 ☐ SOC 2 Type 2

Auditing Company:

Testing Period:

Date of Report:

Report Results:

Does the report identify any current or subsequent significant events?
☐ The report does not identify current/subsequent significant events.
☐ The report identifies current/subsequent significant events. See the events in the comments below.

Comments:

Are complementary user entity controls necessary to achieve the control objective?
☐ The report does not identify any necessary complementary user entity controls.
☐ The report identifies necessary complementary user entity controls. See the controls in the comments below.

Comments:

Does the report identify any subservice organizations?
☐ The report does not identify any subservice organizations.
☐ The report identifies subservice organization. See the organization in the comments below.

Comments:
Does the report contain any limitations with regard to documentation or testing of controls?

☐ The report does not identify any limitations.

☐ The report identifies limitations. See the limitations and related controls in the comments below.

Comments:

What was the auditor's opinion of the organization's assertion?

☐ The auditor's opinion does not identify any exceptions of concern. Also known as “unqualified.”

☐ The auditor's opinion identifies significant exceptions of concern. Also known as “qualified.” See the significant exceptions in the comments below.

☐ The auditor could not express an opinion due to scope limitations.

Comments:

Did the auditor identify weaknesses in the controls?

☐ This report type does not test controls.

☐ The report does not identify any weaknesses.

☐ The report identifies weaknesses. See weaknesses and management’s response in the comments below.

Comments:

Review Summary (Additional comments, if needed)