

Service Organization Controls (SOC) Report Review Checklist

Southern Illinois University Edwardsville

Campus: y # - o ° -oO

Department: _____

Name of Responsible Party Completing this: _____

Checklist: Date of Completion of Review: _____

Name of Third Party Service Organization: _____

Description of Service Being Provided: _____

About the Report

Report Type: \# \# \#

Name of Audit Firm: _____

Period Covered by Report: _____

Date of Report: _____

Does the report cover the services being contracted? _____

Yes. The report covers the services that were contracted for. See the description of services above.

No. The report does not cover the services being contracted for. See the description of services above. _____
_____ u h o h _____ \# _____

Comments (required if "No" is checked above): _____

Evidence of Review

Are complementary user entity controls necessary to achieve the control objectives? _____

Yes. _____

No. _____ o _____

Provide a summary of the required complementary user entity controls (CUEC) (or attach relevant pages from the SOC report which provide a summary of the CUEC). (Required if “Yes” is checked above):

Are the required complementary user entity controls in place?

- N/A. Complementary user entity controls are not required.
- Yes. The required complementary user entity controls are in place.
- No. Complementary user entity controls are required but are not in place.

If the checklist is being completed by an entity other than the ultimate end-user department, consider whether a review of the CUEC by the ultimate end-user department is required.

- N/A. Complementary user entity controls are not required.
- N/A. Checklist was completed by the ultimate end-user department.
- No. A review of CUEC by the ultimate end-user department is not necessary.
- Yes. A review of CUEC by the ultimate end-user department is necessary and was performed.

Does the report identify any subservice organizations?

- N/A. The report identifies a subservice organization, but the service being provided to SIU does not include services provided by the subservice organization.
- No. The report does not identify any subservice organizations.

- Yes. The report identifies subservice organizations. Name the subservice organization below and check the box that best describes the further action taken.

Name of Sub service Organization:

- SOC Report Review Checklist was completed for the subservice organization.
- It was determined that the SOC report of the subservice organization contained a clean audit opinion and no further review was considered necessary.
- Other

What is the Auditor's Opinion of the Organization's assertions?

- 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 description of the concerns below.
- The auditor could not express an opinion due to a scope limitation.

Concerns:

Preparer Conclusions and Attestations

I,
attest that I have reviewed the described Service Organization's Control (SOC) Report of the named third party service organization, and based on this review, I recommend that it is:

- Appropriate to continue with a contractual relationship with this provider.
- Appropriate to continue with a contractual relationship with this provider, with the following cautions:
- Not appropriate to continue with a contractual relationship with this provider.

If you are recommending to proceed with a contractual relationship with this provider, attach a copy of this completed checklist to the Purchase Requisition and send it to your purchasing department for processing.

Upon completion of this checklist, the SOC Report, if deemed confidential by way of a Non-Disclosure Agreement, should be destroyed. This checklist, along with being sent to your purchasing department, should be retained in the user departments' records. The checklist is subject to potential audit, and must be able to be provided upon request.