

# SOC 2 COMPLIANCE ASSIST SERVICE

*Fast track and ensure your organisation's compliance*



# WHAT IS SOC 2?

Developed and introduced by the AICPA, the SOC 2 audit focuses on the internal controls of a service organisation, using the five Trust Services Criteria (TSC), which are Security, Confidentiality, Processing Integrity, Availability and Privacy. Depending on the organisation, or the reason for performing a SOC 2 audit, it may use a few or all of the TSCs to define the scope of its audit.



## What is the audit?

SOC 2 is a type of audit that ensures the organisation provides a safe and secure operating environment and appropriately manages its data and the data of their clients. The audit focuses on the controls that the organisation has defined to properly govern the services it provides to its clients.



## What are the audit requirements?

SOC 2 Audit requirements differ from other information security standards and frameworks as there is no minimum list of prescriptive controls established for compliance. Instead, the American Institute of Certified Public Accountants (AICPA) establishes general criteria that can be selected by an organisation to demonstrate they have controls in place to mitigate risks to the service they provide.



Consequently, there is no one right answer for how to address the established criteria. The auditor's job is to confirm what trust service criteria should apply to the service and what is being done by the organisation to meet it.



## Seamless integration

This popular service is designed to ensure your businesses not only meets the established criteria but provides clear and auditable proof of SOC 2 compliance for the audit with minimum impact to your business, operations and resources.

# THERE ARE 2 TYPES OF AUDITS:

## SOC 2 TYPE 1

This audit type describes the service organisation's systems and whether their design of controls meets relevant trust criteria put into operation at a specific point in time.

## SOC 2 TYPE 2

This audit type details the operational effectiveness of controls over a period of time. User organisations and their auditing team generally select six months for the time frame to evaluate.

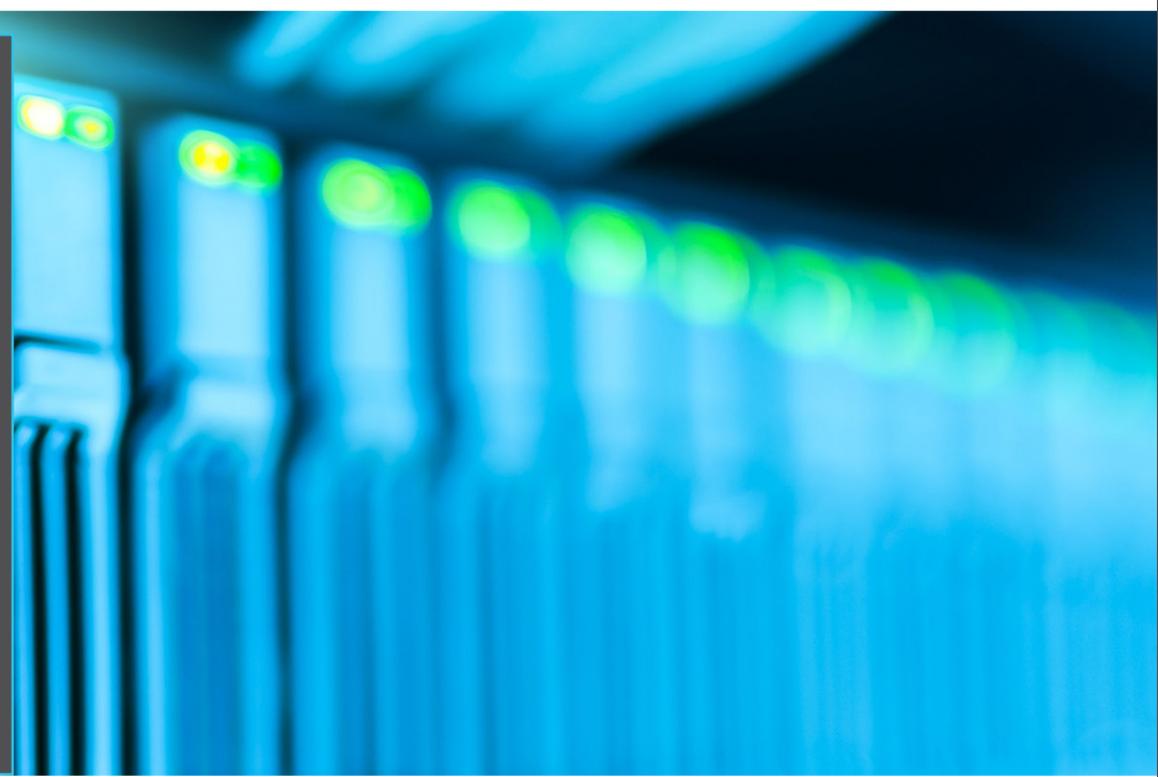


"The Crew helped us prepare for the SOC 2 audit and made the task manageable. Their guidance on the five trust principles and responsiveness ensured that we are able to move quickly with confidence."



## The 5-step approach

Risk Crew SOC 2 Assist Service is comprised of the following five-step approach to help your organisation achieve compliance. This popular service results in a simple, transparent, and easily demonstrable compliance framework for either SOC 2 Type 1 or 2 reports.



## Trust Services Criteria



### 1. Security

Is the system protected against unauthorised access (both physical and logical)?

### 2. Availability

Is the system accessible for operation and use as intended and agreed?

### 3. Confidentiality

Is information, designated as 'Confidential' protected according to policy or agreement?

### 4. Processing Integrity

Is system processing complete, accurate, and authorised?

### 5. Privacy

Is privacy criteria met when 'personal information' is processed, stored, or transmitted by the system?



### Control Review

Risk Crew starts by reviewing the current controls you have implemented to ensure the security, availability confidentiality, processing integrity and privacy (known collectively as Trust Service Criteria or TSC). Next, we'll assess the controls for effectiveness and correlation to any key performance indicators for metric reliability. We don't assume, we verify. The results indicate the quickest route to a successful audit.



### TSC Selection & Confirmation

Based on the output of the control review, Risk Crew then recommends the specific TSC to be validated in the audit and confirm this with you to ensure it meets your commercial objectives. At a minimum, SOC2 reports must include the Security or Common Criteria. Any other TSCs selected depend upon your business requirements.



### Control Mapping

Next Risk Crew will identify and document the policy reference that mandates the control, the applicable SOC 2 TSC, the actual control used to ensure the criteria is met, the control's objective and key performance indicators and associated testing procedures used to verify the effectiveness of the control over time. Risk Crew will "map" these essential components - clearly depicting the relationship between policies and testing. You will be able to provide to your Auditor clear evidence that SOC 2 TSCs are being met.

At Risk Crew we believe in the rule of measure twice - cut once. Connecting the dots in this way simplifies and streamlines the Auditor's work providing the essential data needed for the report.



### Gap Assessment

Once controls are mapped, Risk Crew will identify the gaps between your business and compliance to the TSCs. Where controls are insufficient or not present to demonstrate compliance to a selected TSC, Risk Crew shall recommend cost-effective remedial actions to 'fill the gaps' and demonstrate compliance. We will also recommend controls that are most effective in the people, process or technology.



### Findings Workshop

Finally, upon completion of the services outlined, Risk Crew shall conduct a workshop with your business' stakeholders to ensure their understanding of the findings and SOC2 compliance requirements. The workshop seeks to guide attendees through the steps required to obtain a favorable Type 1, SOC 2 Report. At Risk Crew, we believe that knowledge is the "silver bullet."



## THE BENEFITS

### Achieving compliance with SOC 2 will:

- ⊕ Protect against security breaches
- ⊕ Gain insight into your organisation's risk and security posture
- ⊕ Validate that your systems and networks are secure
- ⊕ Get a competitive advantage over organisations without SOC 2
- ⊕ Assure customers that controls are in place to help secure their data
- ⊕ Accelerate certification to other frameworks such as ISO 27001

## WHY CHOOSE RISK CREW?

Risk Crew has two decades of hands-on skills and experience in successfully implementing cost-effective — security risk management compliance frameworks. All of our services come with our 100% satisfaction guarantee.

## WHAT OUR CUSTOMERS SAY



“Compared to other Information Security consultancies; Risk Crew understand both threats and governance from a top down perspective and plugging in the necessary resources to achieve the task.”

“A very positive experience. Risk Crew staff were friendly and professional throughout the engagement, keeping me informed and addressing all concerns in a timely manner. I won't hesitate to recommend Risk Crew or use them for future engagements.”

“The directness and honesty when engaging with Risk Crew has always been a pleasure. This, combined with his vast in-depth understanding, and constant commitment to learning ensure that beautiful solutions can be delivered in a timely and scalable manner, marks them out among their competition.”

*We like to help. It's what we do.*

*To affirm the security of your services with SOC 2 – turn to the right crew, Risk Crew.*

## ABOUT RISK CREW

We are an elite group of information security governance, risk & compliance experts and the forerunners in the design & delivery of innovative & effective solutions with a 100% satisfaction guarantee.

*Contact us for more information*

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