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**Vendor:** IIA

**Exam Code:** IIA-CCSA

**Exam Name:** Certification in Control Self-Assessment

**Version:** Demo

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**QUESTION NO: 1**

A methodology that can be used by managers and internal auditors to assess the adequacy of an organization's risk management and control processes is called:

- A. Control self-assessment
- B. Control certifications
- C. Managerial control
- D. Risk control

**Answer: A**

**QUESTION NO: 2**

Which of the following is NOT the purpose of an organization that uses self-assessment to have a formal, documented process that allows management and work teams to participate in a structured manner?

- A. Identifying risk factors and significant exposures.
- B. Accessing the control processes that do not mitigate or manage those risks.
- C. Developing action plans to reduce risks to acceptable levels.
- D. Determining the likelihood of, or assisting in, the achievement of business objectives.

**Answer: B**

**QUESTION NO: 3**

The purpose of Control self-assessment is:

- A. to make analysis through interviews
- B. to find report issued by auditors
- C. through which internal control effectiveness is examined and assessed
- D. to focus on policies and procedures that are strategy compliance

**Answer: C**

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**QUESTION NO: 4**

Which of the following is Correct?

- A. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations.
- B. Take guidelines to analyst conflicts of internal auditing.
- C. Required orientation and continuing education regarding audits.
- D. Assets are safeguards for internal audits.

**Answer: A**

**QUESTION NO: 5**

Principles relevant to profession of internal auditing and rules of conduct that describe their behaviors are the components of:

- A. Auditing Reviews
- B. Internal Auditing Profession
- C. Auditing Standards
- D. Institute of Internal Auditors

**Answer: D**

**QUESTION NO: 6**

Internal auditors have which following four principles to uphold and apply.

- A. Integrity, Objectivity, Control and Confidentiality
- B. Integrity, Objectivity, Confidentiality and Competency
- C. Reliability, Objectivity, Timeliness and Competency
- D. Integrity, Objectivity, Discretion and Expertise

**Answer: B**

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**QUESTION NO: 7**

When internal auditors establishes trust and thus provides the basis for reliance on their judgment, this refers to:

- A. Veracity
- B. Authenticity
- C. Integrity
- D. Accuracy

**Answer: C**

**QUESTION NO: 8**

Competency refers to:

- A. External auditors apply the knowledge, skills and experience needed in the performance of internal auditing services.
- B. Internal auditors apply the knowledge, skills and experience needed in the performance of internal auditing services.
- C. Reduce or prevent manufacturing defects
- D. Provide information about the process capability and maturity with standards.

**Answer: B**

**QUESTION NO: 9**

Which of the following is NOT the rule of integrity?

- A. Perform duty with honesty and responsibility.
- B. Observe law and make disclosures expected by law.
- C. Knowingly engage in acts that are discreditable to the organization.
- D. Respect to and contribute to the legitimate objectives of the organization.

**Answer: C**

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**QUESTION NO: 10**

To disclose all material facts known to internal auditors that if not disclosed, may distort the reporting of activities under review, this one of the rules of:

- A. Objectivity
- B. Integrity
- C. Confidentiality
- D. Expert judgment

**Answer: A**

**QUESTION NO: 11**

The entire objectives-risks-controls infrastructures of an organization are subject to greater monitoring and continuous improvements due to:

- A. Accountability for control
- B. Measuring methodology
- C. Evaluation methodology
- D. Self-assessment methodology

**Answer: D**

**QUESTION NO: 12**

Which of the following is Correct?

- A. Internal audit can focus on validating the evaluation conclusions produced by controlself assessment.
- B. controlling can focus on validating the evaluation conclusions produced by controlself assessment.
- C. Internal audit can focus on resource and budgetary produced by control-self assessment.
- D. Internal audit can focus on better risk assessment produced by control-self assessment.

**Answer: A**

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**QUESTION NO: 13**

Which of the following is Correct?

- A.** In traditional approach, reporting was done by work teams and in control selfassessment approach it is done by auditors.
- B.** In traditional approach, reporting was done by auditors and in control self-assessment approach it is done by work teams.
- C.** In traditional approach, setting business objectives were done by auditors and in control self-assessment approach it is done by management.
- D.** In traditional approach, accessing risks were done by auditors and in control selfassessment approach it is also done by auditors.

**Answer: B**

**QUESTION NO: 14**

In traditional approach, evaluating risks and controls were done by auditors and in control self-assessment approach it is done by work teams.

- A.** True
- B.** False

**Answer: A**

**QUESTION NO: 15**

In traditional approach, objectives used were of management's and in control selfassessment approach it is of work teams'.

- A.** True
- B.** False

**Answer: B**

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**QUESTION NO: 16**

A process affected by an entity's board of directors, management and other personnel designed to provide reasonable assurance regarding the achievement of objectives is called:

- A. Control location
- B. Control activities
- C. Internal control
- D. External control

**Answer: C**

**QUESTION NO: 17**

Operations control is related to the:

- A. Effective and efficiency use of the entity's cost.
- B. Effective and efficiency use of the entity's space.
- C. Effective and efficiency use of the entity's time.
- D. Effective and efficiency use of the entity's resources.

**Answer: D**

**QUESTION NO: 18**

\_\_\_\_\_ is relating to the entity's fulfillment with applicable laws and regulations.

- A. Compliance control
- B. Efficiency control
- C. Timeliness control
- D. Law enforcement

**Answer: A**

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**QUESTION NO: 19**

Who identified internal control components including Control environment, Information & communication, risk assessment, control activities and Monitoring?

- A. The American Institute of Standards (AIS)
- B. The American Institute of Certified Professional Accountants (AICPA)
- C. The American Institute of Certified Control (AICC)
- D. The American Institute of Professional Studies (AIPS)

**Answer: B**

**QUESTION NO: 20**

In traditional approach, final report is issued by management and in control selfassessment approach it is issued by work teams'.

- A. True
- B. False

**Answer: B**

**QUESTION NO: 21**

Which of the following is Correct?

- A. Policy adherence is a progressive approach.
- B. Business focus is traditional approach.
- C. Final report is issued by auditors in control self-assessment approach.
- D. Management develops to enhance control structure guided by the auditors using standards in control self-assessment approach.

**Answer: D**

**QUESTION NO: 22**

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Which of the following is Correct?

- A. People are one of the weakest links in control processes.
- B. Processes are one of the weakest links in control processes.
- C. Products are one of the weakest links in control processes.
- D. Inadequate Planning is one of the weakest links in control processes.

**Answer: A**

**QUESTION NO: 23**

The policy statement that defines the objectives for and commitment to risk management within the organization's strategic and operational context is called:

- A. Risk management
- B. Enterprise risk management
- C. Strategic risk management
- D. Operational risk management

**Answer: B**

**QUESTION NO: 24**

New employees, consultants and contractors must receive security awareness training and supporting documentation at the time of employment refers to:

- A. Employee orientation
- B. Confidentiality agreement
- C. Both A & B
- D. Neither A nor B

**Answer: C**

**QUESTION NO: 25**

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Which of the following is correct?

- A.** Its difficult that CSA can help audit to focus on high risk issues and concentrate their traditional audit effort there.
- B.** CSA can help Inventory to focus on high risk issues and concentrate their traditional inventory effort there.
- C.** CSA can help audit to focus on high risk issues and concentrate their advanced audit effort there.
- D.** CSA can help audit to focus on high risk issues and concentrate their traditional audit effort there.

**Answer: D**

**QUESTION NO: 26**

Accurate self-assessment is a realistic evaluation of your strengths and limitations.

- A.** True
- B.** False

**Answer: A**

**QUESTION NO: 27**

The four domains of emotional intelligence includes; Self-awareness, Self-management, Social awareness and:

- A.** Organizational awareness
- B.** Social skill
- C.** Achievement Orientation
- D.** Initiative

**Answer: B**

**QUESTION NO: 28**

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The ability to manage yourself and your responsibilities is called:

- A. Management awareness
- B. Achievement Orientation
- C. Conscientiousness
- D. Adaptability

**Answer: C**

**QUESTION NO: 29**

Which of the following is Correct?

- A. Inventiveness is the ability to promote competencies.
- B. The ability to recognize and meet customers' needs is called Influence.
- C. The ability to manage yourself is called self-control.
- D. Initiative is readiness to seize opportunities.

**Answer: D**

**QUESTION NO: 30**

Skill at sensing other people's emotions, understanding their perspective and taking an active interest in their concerns is called:

- A. Empathy
- B. Condolences
- C. Approval
- D. Promptness

**Answer: A**

**QUESTION NO: 31**

The ability to take charge and inspire with a compelling vision is known as:

- 
- A. Directed vision
  - B. Visionary leadership
  - C. Visionary management
  - D. Intended vision

**Answer: B**

**QUESTION NO: 32**

Proficiency in initiating new ideas and leading people in a new direction is called:

- A. Initiative
- B. Enterprise change
- C. Change catalyst
- D. Change activity

**Answer: C**

**QUESTION NO: 33**

Proficiency at cultivating and maintaining a web of relationships means to establish a:

- A. Aptitude association
- B. Competence union
- C. Connection
- D. Building bond

**Answer: D**

**QUESTION NO: 34**

Which of the following is Correct?

- A. Workshops involve gathering information from individuals representing different levels in the press.

- 
- B.** Workshops involve gathering information from work teams representing different levels in the business unit or function.
  - C.** Workshops involve gathering information from individuals representing similar levels in the business unit or function.
  - D.** Workshops involve gathering information from work teams representing similar levels in the lobby.

**Answer: B**

**QUESTION NO: 35**

In Facilitated team workshops, which is NOT the facilitated team format?

- A.** Objective-based format
- B.** Risk-based format
- C.** Configuration-based format
- D.** process-cased format

**Answer: C**

**QUESTION NO: 36**

Which of the following is correct?

- A.** In control-based format, the facilitator identifies the key risks and their mitigation controls before the beginning of the workshop.
- B.** In process-based format, the facilitator identifies the key risks and their mitigation controls before the beginning of the workshop.
- C.** In control-based format, the facilitator identifies the key risks and their mitigation controls after the beginning of the workshop.
- D.** In risk-based format, the facilitator identifies the key risks and their mitigation controls after the beginning of the workshop.

**Answer: A**

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**QUESTION NO: 37**

The aim of the workshop is to evaluate, update, validate, improve and streamline the whole process and its component activities in:

- A. Procedure-based format
- B. Process-based format
- C. Activity-based format
- D. Process-based format

**Answer: D**

**QUESTION NO: 38**

\_\_\_\_\_ are preferred if the culture in the organization may hinder open, candid discussions in workshop settings or if management desires to minimize the time spent and cost incurred in gathering the information.

- A. Interviews
- B. Surveys
- C. Dialogues
- D. Conferences

**Answer: B**

**QUESTION NO: 39**

What is commonly used to produce a quick answer to a specific question or concern about a particular process, activity or procedure?

- A. Rapid flow analysis
- B. Immediate respondents
- C. Management-produces analysis
- D. Supervision board

**Answer: C**

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**QUESTION NO: 40**

An efficient and economical method of storing data so it can be accessed quickly for management decisions using access tools like searches and records is known as:

- A. Database
- B. Data dictionary
- C. Data repository
- D. Catalog

**Answer: A**

**QUESTION NO: 41**

Good team communication, leadership, environment of trust and respect, good management are all factors of:

- A. Managerial acts
- B. Ethical conducts
- C. Enhanced operational conducts
- D. Open voting

**Answer: D**

**QUESTION NO: 42**

Which of the following is correct?

- A. Workshops can be very useful when a number of employees are away from work for a limited period time.
- B. Workshops can be very expensive when a number of employees are away from work for an extended period time.
- C. Workshops can be very expensive when there is a good management support among employees.
- D. Workshops can be very least costly when a number of employees are away from work for an extended period time.

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**Answer: B**

**QUESTION NO: 43**

Votes are cast anonymously and all responses are confidential is one of the advantages of:

- A. Classified voting
- B. Electronic mailing
- C. Electronic voting
- D. None of the above

**Answer: C**

**QUESTION NO: 44**

Which following is a classification of Control self-assessment workshop?

- A. Presentation software
- B. Electronic mailing
- C. Project management software
- D. None of the above

**Answer: A**

**QUESTION NO: 45**

\_\_\_\_\_ can be used in control self-assessment workshops in conjunction with other interactive programs such as OptionFinder to allow participants to anonymously express their opinions on the information presented.

- A. Presentation devices
- B. Seminar software
- C. Occupational software
- D. Presentation software

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**Answer: D**

**QUESTION NO: 46**

A successful Project has following phases:

- A. Planning, Execution, Controlling
- B. Initiation, Planning, Execution, Controlling
- C. Initiation, Planning, Execution, Testing
- D. Planning, Execution, Controlling, Testing

**Answer: B**

**QUESTION NO: 47**

Which of the following is NOT the potential benefit of the CSA to the organization?

- A. Better risk assessment
- B. Improved employee morale
- C. Improved ability to test
- D. Efficient business processes

**Answer: C**

**QUESTION NO: 48**

Which of the following is NOT the potential benefit of the CSA to the internal auditing?

- A. Improved employee morale
- B. Improved ability to test informal controls
- C. More efficient use of audit resources
- D. Better ability to focus on high-risk areas

**Answer: A**

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**QUESTION NO: 49**

The purpose of developing and organizational structure is:

- A. To establish individual responsibilities to handle complexity of the organization's processes.
- B. To establish individual responsibilities as a means of control and to ensure the organization achieves its goals.
- C. To establish individual responsibilities, their number and type.
- D. To establish individual responsibilities to formalize the organization's processes.

**Answer: B**

**QUESTION NO: 50**

Which of the following is NOT the type of organizational structures?

- A. Flat vs. tall organizational structures
- B. Centralized vs. decentralized organizations
- C. Productive vs. unproductive structures
- D. Mechanistic vs. organic structures

**Answer: C**

**QUESTION NO: 51**

Which structures characterized by fast information flow between levels of the organization and high employee satisfaction?

- A. Complex
- B. Centralized
- C. Productive
- D. Flat

**Answer: D**

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**QUESTION NO: 52**

Tall organization structures have a large number of levels between the top of the organization and the bottom.

- A. True
- B. False

**Answer: A**

**QUESTION NO: 53**

Which of the following is Correct?

- A. more highly centralized organizations tend to push responsibility for making important decisions to lower levels of management.
- B. more highly decentralized organizations tend to push responsibility for making important decisions to lower levels of management.
- C. more highly productive organizations tend to push responsibility for making important decisions to upper levels of management.
- D. more highly flat organizations tend to push responsibility for making important decisions to upper levels of management.

**Answer: B**

**QUESTION NO: 54**

\_\_\_\_\_ structures tend to evolve in highly formal, centralized organizations where employees are subject to strict controls and little flexibility in decision making.

- A. Simple
- B. Professional
- C. Mechanistic
- D. Organic

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**Answer: C**

**QUESTION NO: 55**

Organic structures are:

- A.** Common to Formal, decentralized organizations that tend to be more participative, open and fixed.
- B.** Common to Formal, centralized organizations that tend to be more participative, open and fixed.
- C.** Common to informal, centralized organizations that tend to be more participative, open and flexible.
- D.** Common to informal, decentralized organizations that tend to be more participative, open and flexible.

**Answer: D**

**QUESTION NO: 56**

Organizations with centralized structures with a strict chain of command and typically perform highly repetitive tasks grouped within their functional areas, have:

- A.** Machine bureaucracy
- B.** Performance bureaucracy
- C.** Functional bureaucracy
- D.** Organizational bureaucracy

**Answer: A**

**QUESTION NO: 57**

In organizational with decentralized structures where employees within highly trained specialties are granted decision-making authority within their functional area is called:

- A.** Machine bureaucracy

- 
- B. Professional bureaucracy
  - C. Functional bureaucracy
  - D. Decisional bureaucracy

**Answer: B**

**QUESTION NO: 58**

In linear organizations, decisions tend to follow from bottom to top through well-defined line of authority.

- A. True
- B. False

**Answer: B**

**QUESTION NO: 59**

When organizations delegate authority and make decisions by using managers from more than one subarea, these refer to:

- A. Template organization
- B. Complex structure
- C. Matrix organization
- D. Multilevel hierarchical structure

**Answer: C**

**QUESTION NO: 60**

What describes the purpose of the organization and how it is organized to meet its goals is called:

- A. System
- B. Mission
- C. Objectives

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D. Philosophy

**Answer: D**

**QUESTION NO: 61**

What refers to shared beliefs, values and behaviors of the members of an organization?

- A. Culture
- B. Legation
- C. Refinement
- D. Attitude

**Answer: A**

**QUESTION NO: 62**

Management styles can be categorized in which two classifications?

- A. Practitioner management and participative management
- B. Autocratic management and participative management
- C. Arbitrary management and exclusive management
- D. Autocratic management and proactive management

**Answer: B**

**QUESTION NO: 63**

People who make decisions themselves and issue orders to subordinates without seeking their input and without regard to their feelings are known as:

- A. Practitioners
- B. Stakeholders
- C. Participative managers
- D. Internal auditors

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**Answer: C**

**QUESTION NO: 64**

Which of the following is correct?

- A. Practitioners use a more democratic approach to leadership.
- B. Strategic managers use a more democratic approach to leadership.
- C. Autocratic managers use a more democratic approach to leadership.
- D. Participate managers use a more democratic approach to leadership.

**Answer: D**

**QUESTION NO: 65**

Which of the following is NOT the step involved in strategic planning process?

- A. Develop strategic plan
- B. Develop specific plan
- C. Communicate the plan
- D. Monitor the plan

**Answer: A**

**QUESTION NO: 66**

The change that results in a need to change policies, procedures, staffing levels or goals refers to which change?

- A. Change in policy
- B. Change in technology
- C. Change in practices
- D. Change in expertise

**Answer: B**

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**QUESTION NO: 67**

Change in moral environment says:

- A. require modifications of training policies or personnel rules
- B. change or increase areas of emphasis
- C. tightens controls and performance measures
- D. obtains and responds to feedback from external parties

**Answer: C**

**QUESTION NO: 68**

An organization-wide commitment to quality is called Quality control.

- A. True
- B. False

**Answer: B**

**QUESTION NO: 69**

Risk assessment and developing plans and processes for risk mitigation is the purpose of:

- A. Risk Planning
- B. Risk Monitoring
- C. Risk Identification
- D. Risk Management

**Answer: D**

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**QUESTION NO: 70**

Which of the following is Correct?

- A. Risk arising from business strategies and activities are identified and prioritized.
- B. Changes arising from business strategies and activities are identified and not prioritized.
- C. Risk arising from business strategies and activities are identified and but less prioritized.
- D. Risk arising from decision strategies and activities are identified and prioritized.

**Answer: A**

**QUESTION NO: 71**

\_\_\_\_\_ is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations.

- A. Audit-committee approval
- B. Cross-enterprise
- C. Internal auditing
- D. External auditing

**Answer: C**

**QUESTION NO: 72**

What aims to allow individuals involved in the process to assist the CSA team in identifying the risks and control weaknesses in the processes being reviewed?

- A. Interviews
- B. Survey
- C. Voting
- D. Auditing

**Answer: B**

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**QUESTION NO: 73**

What involve developing a purpose and goals statement for CSA, resource budgets and projected completion time lines?

- A. Resource planning
- B. Organizational planning
- C. Operational planning
- D. Strategic planning

**Answer: D**

**QUESTION NO: 74**

Which of the following is Correct?

- A. Employees working in a process are in a good position to identify ways to eliminate waste and streamline production through more efficient use of resources.
- B. Employees working in a process are in a good position to identify ways to eliminate waste and streamline production through better understanding of responsibility.
- C. Employees working in a process are in a good position to identify ways to eliminate waste and streamline production through improved communication.
- D. Employees working in a process are in a good position to identify ways to eliminate waste and streamline production through effective team building.

**Answer: A**

**QUESTION NO: 75**

The CSA process that results in identification of fraud indicators as well as actual fraudulent activities is called:

- A. Fraudulent statements
- B. Reduced risk of fraud
- C. Accountability and control
- D. Natural reluctance to change

**Answer: B**

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**QUESTION NO: 76**

What are the four phases of project management related to control self-assessment?

- A. Analyzing, Planning, Developing and Reporting
- B. Analyzing, Planning, Accountability and Reporting
- C. Planning, Analyzing, Developing and Changing
- D. Planning, Developing, Reporting and Follow-up

**Answer: D**

**QUESTION NO: 77**

To determine the scope of CSA, specific goals, work groups to be involved, resources needed and potential barriers to success for each CSA project in its which phase?

- A. Implementation
- B. Reporting
- C. Planning
- D. Analyzing

**Answer: C**

**QUESTION NO: 78**

“Getting the ball rolling” by facilitating the process, scheduling meetings, arranging necessary facilities and equipment and gather information all includes in \_\_\_\_\_ phase of project management.

- A. Implementation
- B. Reporting
- C. Planning
- D. Analyzing

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**Answer: A**

**QUESTION NO: 79**

Post implementation reviews of projects allow management to assess the degree to which the objectives were achieved for the resources expended in which phase of project management?

- A. Implementation
- B. Follow-up
- C. Reporting
- D. Analyzing

**Answer: B**

**QUESTION NO: 80**

If morale is high, values and ethics are not a priority and employees are not aligned to the objectives of the organizations.

- A. True
- B. False

**Answer: B**

**QUESTION NO: 81**

Work group participants may be suspicious and even hostile, seeing CSA as a management ploy to find out more about them, when:

- A. auditor implements several critical points with respect to use of CSA
- B. auditor doesn't able to recognize several critical points with respect to use of CSA
- C. auditor reports several critical points with respect to use of CSA
- D. auditor recognizes several critical points with respect to use of CSA

**Answer: D**

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**QUESTION NO: 82**

Control self-assessment questions have which following categories?

- A. General or Core questions
- B. Questions relating to particular business function
- C. Questions relating to specific business unit involves in workshop
- D. All of the above

**Answer: D**

**QUESTION NO: 83**

Questions which generally address the control environment, risk assessment, control activities or monitoring are:

- A. Core questions
- B. Business questions
- C. workshop questions
- D. All of the above

**Answer: A**

**QUESTION NO: 84**

“I understand how to use the business unit’s new automated accounting software”, this question falls in which category?

- A. Core questions
- B. Business questions
- C. workshop questions
- D. Noneof the above

**Answer: C**

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