CERTLABZ CERTIFICATION BOARD

Certified Compliance Technology Professional (CCTP)

Ten Sample Questions

These ten questions are written at the difficulty of the live exam. Six carry a figure, a data table, a configuration or a code listing; four are plain scenario questions, as on the live paper. Every one is a scenario a working compliance technology professional would meet, and none of them appears in the live question bank.

The live exam is multistage adaptive: how you score on one stage selects the difficulty of the next, so no two candidates sit the same paper. It is a performance-based exam: each form can carry up to 5 to 12 performance-based questions alongside the multiple-choice questions, which means you build, sequence or complete something rather than only choosing from a list. Answers and full explanations follow each question here; the live exam does not disclose item-level answers.

Question 1 — Domain 1: Compliance and GRC Foundations — DATA

Sarah Miller reviews what each GRC pillar covers.

Pillar	Main focus
Governance	(to choose)
Risk	(to choose)
Compliance	(to choose)

Table 1.1 GRC pillars and their focus.

Which pillar answers whether the firm follows the rules?

- A. Governance direction
- B. Risk appetite
- C. Compliance
- D. Strategy planning

Correct answer: C
The compliance pillar is about following the rules that apply to the firm, such as laws, regulations and internal policies. Governance sets direction and oversight, and risk management weighs what could go wrong, so neither one is the pillar that answers whether the firm follows the rules.

Question 2 Domain 2: Regulations and Frameworks

One source is legally binding and one is a voluntary set of good practices a firm may choose to adopt. Which source is the legally binding one?

- (A) A control framework
- (B) A regulation
- (C) A maturity model
- (D) A best-practice guide

Correct answer: B
A regulation is a legal requirement that a firm must follow, and a failure to comply can carry penalties. A framework, a maturity model and a best-practice guide are voluntary references a firm may adopt to organize its work, but they are not laws in themselves.

Question 3 Domain 3: Compliance Technology and GRC Tools DATA

James Carter maps each GRC tool feature to what it does.

Feature	What it does
Control library	(to choose)
Workflow engine	(to choose)
Dashboard	(to choose)

Table 3.1 GRC tool features.

Which feature routes tasks and approvals to their owners?

- (A) Control library
- (B) Dashboard
- (C) Data export tool
- (D) Workflow engine

Correct answer: D
A workflow engine routes tasks, reviews and approvals to the right owners and tracks their status. A control library stores the set of controls, and a dashboard shows a summary view, so neither one is what moves work between people.

Question 4 Domain 4: Risk Management DATA

Emma Wilson reads a short risk register.

Risk	Rating
Vendor outage	High
Old software	Medium
Staff error	Low

Table 4.1 A short risk register.

Using the ratings shown, which risk should be treated first?

A Vendor outage
B Old software
C Staff error
D None of the risks

Correct answer: A
A risk register helps a team rank risks so the highest ones get attention first. The vendor outage is rated High, above the Medium and Low items, so it is the risk to treat first on this list.

Question 5

Domain 5: Audit, Evidence and Reporting

CONFIG

Olivia Davis lists items an auditor asked to see.

```
Access review  : screenshot
Policy sign-off: signed record
Backup test    : dated log
Change ticket  : approval note
```

Listing 5.1 Items collected for the auditor.

What do these items together provide?

A Audit evidence
B A marketing plan
C A budget forecast
D A staff roster

Correct answer: A
Records such as screenshots, signed sign-offs, dated logs and approval notes show that a control was operating as intended. Together they form audit evidence, which is proof an auditor can review rather than a plan, a forecast or a roster.

Question 6

Domain 6: Data Privacy, Security and Operations

DATA

David Brown matches each practice to what it does.

Practice	What it does
Access control	(to choose)
Encryption	(to choose)
Data minimization	(to choose)

Table 6.1 Privacy and security practices.

Which practice limits how much personal data is collected?

- A Access control
- B Encryption
- C Data minimization
- D Continuous monitoring

Correct answer: C
Data minimization means collecting and keeping only the personal data that is actually needed for a purpose. Access control decides who may see data and encryption protects it, so neither one limits how much data is gathered in the first place.

Question 7 Domain 1: Compliance and GRC Foundations

A colleague says compliance is only about paying fines when the firm is caught. What is the better description of compliance?

- A Only paying fines
- B Ignoring all rules
- C A one-time project task
- D Meeting obligations

Correct answer: D
Compliance is the ongoing work of meeting the obligations that apply to the firm, including laws, regulations and internal policies. It is not only about fines and it is not a one-time task, because rules and the business both keep changing over time.

Question 8 Domain 2: Regulations and Frameworks CONFIG

Liam Anderson sorts sources into binding and voluntary.

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Regulation : legally binding
Statute    : legally binding
Framework  : voluntary guide
Benchmark  : voluntary guide
```

Listing 8.1 Sources sorted by type.

Which source must the firm follow by law?

- (A) A regulation
- (B) A framework
- (C) A benchmark
- (D) A voluntary guide

Correct answer: A
A regulation is legally binding, so the firm must follow it. A framework and a benchmark are voluntary references the firm may choose to use, but they do not carry the force of law on their own.

Question 9

Domain 4: Risk Management

After rating a risk as low and unlikely, a team decides to take no further action and simply keep watching it. What is this response called?

- (A) Risk transfer
- (B) Risk acceptance
- (C) Risk avoidance
- (D) Risk remediation

Correct answer: B
Choosing to live with a low risk and monitor it, rather than spend effort reducing it, is risk acceptance. Transfer moves the risk to a third party, avoidance stops the activity, and remediation fixes the cause, so none of those describe simply watching a small risk.

Question 10

Domain 3: Compliance Technology and GRC Tools

A firm tracks its controls, owners and due dates in a shared spreadsheet that no one keeps up to date. Which tool would help most?

- (A) A photo editor
- (B) A video player
- (C) A slideshow maker
- (D) A GRC platform

Correct answer: D
A GRC platform is built to hold controls, assign owners, track due dates and send reminders, which keeps the record current. A photo editor, a video player and a slideshow maker are unrelated to managing compliance work.

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