**VENDOR RISK ASSESSMENT CHECKLIST**

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|  | **REFERENCES**  |
|  | Who are your references? Please provide individual names and contact information. |
|  | What is the evidence of financial solvency that can be provided, including recent financial statements? |
|  | **PERFORMANCE** |
|  | What is your percentage of on-time delivery?  |
|  | What contract stipulations, including terms, renewal and notification requirements, and required service levels, can you meet? |
|  | What are your client and internal communication protocols? |
|  | What project management process documentation will be provided for review? |
|  | **COMPLIANCE** |
|  | When can we review your liability insurance to ensure that it’s up to date? |
|  | What is your ability for verifying necessary licensing and regulatory compliance, such as governmental security clearance, financial regulatory compliance, or HIPAA training? |
|  | When can we obtain criminal and background checks, including any history from lawsuits, complaints to the state attorney general, or Better Business Bureau records, to demonstrate a history of compliance? |
|  | **DISASTER PREPAREDNESS**  |
|  | What is your readiness strategy for business continuity in the event of a widespread outbreak of disease? |
|  | What are your disaster recovery processes, policies, and procedures for recovery or technology infrastructure continuation after a human-made or natural emergency? |
|  | **SECURITY PROCESSES** |
|  | Do you have incident security breach management practices in place?  |
|  | What is your organizational security process? Can we review any relevant documentation? |
|  | Who is in charge, and who receives training in the handling and safeguarding of customer information and procedural breaches? |
|  | What are the physical security procedures that define security for offices and data centers? How do you handle visitors, access to premises, and surveillance? |
|  | What is the asset management process of operating, maintaining, upgrading, and disposing of digital assets or other valuables? |
|  | **CYBERTHREAT GOVERNANCE AND ORGANIZATIONAL STRUCTURE** |
|  | Who is responsible for security and cybersecurity within the organization? |
|  | Who is the chief information security officer or chief information officer? |
|  | What can you tell us about any teams or committees that meet regularly on cybersecurity issues? |
|  | What cybersecurity policies do you employ? |
|  | Where do you outsource IT or IT security functions? |
|  | When and how frequently do you train employees on your IT security policies? Do you automate assessments? |
|  | Who on your senior executive team participates in cybersecurity exercises?  |
|  | What is your prioritization process to protect your critical assets? |
|  | What standards do you use to protect customer information? |
|  | What has been your most significant cybersecurity incident? |
|  | **SECURITY CONTROLS AND TECHNOLOGY** |
|  | Who is in charge and how do you use cyber vulnerability and cyberthreat information? |
|  | When and how do you perform inventory on authorized and unauthorized software and devices? |
|  | What practices have you developed to secure configurations for hardware and software? |
|  | What do you use to assess the security of the software that you develop and acquire? |
|  | What processes do you use to monitor the security of your wireless networks? |
|  | What are your data recovery capabilities? |
|  | What automated tools do you use to continuously monitor for malware? What processes and tools do you use to reduce and control administrative privileges? |
|  | What processes do you have in place to prevent sensitive data exfiltration? |
|  | What are your cybersecurity incident plans and preparations?  |
|  | What processes do you have in place to respond to an incident? Do you regularly practice those processes? |
|  | When do you conduct external and internal tests to identify vulnerabilities and attack vectors? |
|  | What do you use to manage remote access to your corporate network? |
|  | What are your removable media policies and controls? |
|  | When and how do you monitor for unauthorized connections, devices, personnel, and software? |
|  | What is the process you have in place to communicate security incidents affecting our data? |

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