

# Vendor Due Diligence Checklist

This checklist isn't extensive – questions could change based on your requirements or the company, industry, size, or region. However, it does give your organization a good starting point for collecting evidence from potential vendors.

## General Information

- Articles of Incorporation
- Business License
- Mission Statement
- Comprehensive List of All Services
- Location(s) and Proof of Location(s)
- Overview of Company Structure
- Biographical Information of Executives
- List of Subcontractors
- Any dba, aka, or fka Information
- References

## Financial Review

- Annual Report (if publicly traded)
- Tax Documents
- Loans and Other Liabilities
- Major Assets
- Principal Owners

## Reputational Risk

- Code of Conduct
- Litigation History of Company and Key Individuals
- Negative News Reports
- Complaints and Negative Reviews
- Reports from Agencies like the CFPB or BBB

## Insurance

- General Liability
- Cyber Insurance
- Insurance Specific to Services

## Information Security Technical Review

- Internal or External Audit Reports
- Penetration Testing Reports
- Risk Assessment
- Network and Data Flow Diagrams
- History of Data Breaches and Security Incidents
- Site Visits or Other Tests to Assess Physical Security
- Business Continuity Plan
- Disaster Recovery Plan
- Security Awareness Training Performance

## Policy Review

- Information Security Policy
- Privacy Policy
- Change Management Policy
- Vendor Management Policy
- Data Retention and Destruction Policy
- Hiring Policy