

Vendor Site Visits Checklist

A vendor site visit is a valuable tool that can provide you with a point-in-time assessment of your organization's critical or high-risk vendors. Use this checklist as a basic framework for what to do during on-site or virtual visits.

Planning Stage

Proper planning is essential to ensure that your site visit is efficient and productive. Consider the following steps before your virtual or on-site vendor visit:

Evaluate the inherent risk and criticality: Your vendors that are selected for these on-site or virtual site visits should be dependent on their inherent risk and criticality.

Schedule the visit: Contact the vendor to coordinate the date and time.

Request information: Send the information request at least three weeks before the visit.

Review vendor information: Look at the vendor's risk profile and due diligence as this allows you to identify any gaps you'll need to address during the visit or detect observable controls that need verification.



In addition to the above, there are three additional considerations to consider for a virtual site visit:

If you're using screen-sharing or video call technology, ensure it's a secure option.

Talk about expectations related to screenshots, screen capture and recording.

Discuss how facility tours will be conducted (e.g., Is live chat like Facetime on a mobile phone acceptable?)

Plan the visit schedule: Make sure to document the required steps, contact person(s) and estimated completion time and scope of the assessment. Here's a sample agenda:

Physical security – Examine the perimeter of the building, walk through the data center and check users of the card key system. Review employee and visitor access protocols.

Insurance – Review the vendor's insurance coverage.

Cybersecurity – Evaluate firewall, IPS and DNS configurations and review the penetration test report.

Information security – Review the information security program, incident response plan and testing documentation.

Business continuity (BC) and disaster recovery (DR) – Evaluate the BC/DR plan, including testing results.

Interview employees – Have one-on-one discussions with the director of information security, call center team lead and two operators.

Create an interview schedule: Ensure you know the exact people you'll be speaking with during the visit and coordinate a time to talk to them.

Organize your agenda: Don't waste precious meeting time by asking questions they've already answered.

Execution Stage

Now that you're ready for the site visit, it's time to review and follow your audit work program. Remember these steps:

Request control data, if needed: Vendors are often hesitant to provide this information on a remote questionnaire, so a site visit provides a good opportunity to request this information.

Document everything: Include details on the time, the person(s) involved, the conclusion and any notes or next steps to be addressed.

Reinforce your expectations: A vendor site visit is an excellent opportunity to confirm your expectations regarding security, quality, efficiency, etc.

Report your findings to the vendor: Make sure that the vendor is aware of any issues that need to be resolved and confirm how and when they'll take action.

Conclusion Stage

After you've completed the virtual or on-site visit, it's important to take a few final steps:

Provide your report to your organization's senior management and the board, if applicable: They should be aware of any discovered issues and the timeline of when the vendor will resolve them.

Document and track all vendor remediations: Follow up on deliverables as they're due.



Site visits aren't a substitution for overall due diligence, nor do they evaluate a vendor's operational effectiveness. They should instead be used as a supplement to your vendor risk management activities as a way to gain better confidence in the vendor's policy and practices.



Download free samples of Venminder's vendor Control Assessments and see how they empower third-party risk professionals in mitigating risks.

[DOWNLOAD NOW](#)

venminder

WIPFLI