The following documents listed below have been compiled from our exhaustive list of Third-Party Due-Diligence & Vendor Management Program packets for purposes of providing an overview of the depth and details of the material we've developed.

For additional samples, please email us at info@flank.org

Phase IV: Annual Vendor Management Program

All third-parties which currently provide products, goods, services, solutions – and other related professional services to [company name] – are to complete **Appendix D.1 – Annual Vendor Management Questionnaire (All Risks and Categories)** every twelve (12) months, at a minimum, and more frequently (i.e., twice a year) if warranted.

Appendix D.1 thus becomes the primary vendor management program for ensuring the concept of "Continuous Monitoring" is applied to all relevant third-parties for which [company name] has a professional business relationship with. **Appendix D.1** should thus be sent out once a year to authorized personnel at all relevant third-parties, returned back to [company name] within thirty (30) calendar days, and reviewed as necessary. Any adverse, missing, incomplete, or questionable answer is to be assessed immediately by authorized personnel with [company name].

Appendix A – Initial Screening of Potential Third Parties

Use the following table below when initially screening all potential third-parties for various products and service offerings for [company name]. Please note, this is simply screening to be conducted for organizations for which [company name] is even considering as a *potential* provider of services. Should such organizations be ultimately included as a potential provider, they are to move on to additional due-diligence procedures in subsequent appendices.

Company Name:		
Services Offered:		
Physical Address:		
Website:		
Lead Contact:		
Reason why Third-Party is being considered as a provider:		
Initial Screening Procedures	**(1).**	**Discuss initiatives undertaken for ensuring the potential third-party's services are actually in alignment with organizational needs:**
	(2).	**Discuss what steps have been taken – and related initiatives – in contacting and communicating with the relevant third-party for purposes of gaining an understanding of their products, services, value:**
	(3).	**Discuss what initial due-diligence procedures have been done for ensuring such an organization should reasonably be considered in-scope as a potential provider of services:**
	(4).	**Discuss other initial due-diligence procedures:**
	(5).	**Discuss other initial due-diligence procedures:**
Final Decision:		**Is the relevant third-party to be considered as a potential provider of services where they can move forward to additional stages: [YES or NO and give reasons why.] If you answer YES, the please complete Appendix A.1 – Third-Party Information.**

Appendix A.1 – Third-Party Information

Please complete the following information for each third-party that is about to enter the due-diligence phases.

Information	Description	Date of Validation
Company Name:		
Name of person who provided/submitted the relevant third-party information to [company name]:		
Provider/Submittal Name and Title:		
Company name relationship, if any, to the third-party:		
Legal entity status:		
Country of incorporation and registration number:		
State of incorporation and registration number:		
Incorporation/Registration Address:		
Physical Address:		
Website URL:		
Phone Number(s):		
Publicly Traded (YES or NO):		
Organizational structure of the company:		

Appendix B – Risk Factors for Due-Diligence

Use the form below to document which of the sixteen (16) key risk factors are to be used for conducting initial due-diligence initiatives on any given third-party now under consideration as a *potential* provider of services.

Name of Third-Party:	[Enter Name of Third-Party]		
Risk Factors	**Included or Excluded for Due-Diligence**	**Reason**	**Responsible Party**
Key Risks	**INCLUDED**	Required as a minimum baseline for any type of INITIAL third-party due-diligence	
Information Technology & Information Security Risks			
PII & PHI Risks			
Cardholder Data Risks			
Compliance Risks			
Reputation Risks			
Strategic Risks			
Operational Risks			
Transaction Risks			
Credit Risks			
Country Risks			
Third-Party Risks			
Interest Rate Risks			
Liquidity Risks			
Legal Risks			
Market Risks			

Appendix C.1 – Third-Party Due-Diligence Procedures – Key Risks

Use the following matrix for performing initial due-diligence procedures on a third-party relating to the broader topic of key risks for such third-parties that have been chosen to be in-scope as a *potential* provider of products and services to [company name]. **Note: Key Risks are considered baseline due-diligence procedures for which [company name] must perform in order to gain a minimum understanding of the third-party being examined. These risks are not optional in terms of being performed. In fact, for the vast majority of businesses seeking to conduct due-diligence measures on third-parties, the relevant Key Risk areas listed below in Appendix C.1 are often deemed sufficient and that's because key risks also cover a mixture of I.T. security, operational, legal, and other due-diligence measures. However, when a detailed analysis is needed for any number of the other fifteen (15) risk areas, then such measures should be undertaken to include those areas that are above and beyond the baseline Key Risk areas.**

Third-Party Due-Diligence Key Risks				
No.	**Topic: Organizational Information & Structure**	**Third-Party Response**	**Evidence Provided**	**Notes and Comments**
1.	Full Legal Name.			
2.	Operational Address.			
3.	Registered Address.			
4.	Phone Number.			
5.	Website URL.			
6.	Type of Business (i.e., Individual, Corporation, Partnership, etc.).			
7.	List of other names, Doing Business As (DBA).			
8.	Is the organization publicly traded, if so, then on what exchange market?			
9.	If the organization is privately held, then list the partners/owners and percentage (%) of ownership:			
10.	Does your organization have a governing board? If so, please provide information as to whom these individuals are, their roles and responsibilities, etc.			
11.	Please list and describe the principal C Level officers of your organization: Such a listing should include, but is not limited to the following: President, CEO, CFO, COO, CTO, CIO, etc.			
	• CEO			
	• CFO			
	• COO			
	• CTO			
	• CIO			
	• Other			
	• Other			
12.	From a location perspective, please list and describe all locations (i.e., country, state, city, etc.) for which your organization will be providing services to our company.			
13.	Please list and describe any subsidiaries or other related entities that will be providing services in relation to the services your organization will be providing to our company. Specifically, please list, describe, and discuss if any of the below referenced types of entities will be used to perform services in conjunction with our relationship with your organization. *If YES, then please provide relevant contact information for each such entity.*			
	• Other Entities			
	• Individuals			
	• Subsidiaries			
	• Affiliates			