



Healthcare Vendor Management Checklist: Risk & Compliance

Vendor Onboarding & Due Diligence

Initial assessment and risk profiling of new vendors before engagement.

Vendor Description and Services Offered

Write something...

Vendor Risk Level (Low, Medium, High)

☐ Low

☐ Medium

☐ High

Estimated Annual Spend

Enter a number...


Services Provided (Select all that apply)

- ☐ Software Development
- ☐ Data Storage
- ☐ Consulting
- ☐ Medical Device Maintenance
- ☐ IT Support

Vendor Start Date

Enter date...

Vendor Business License/Registration

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Contract Review & Legal Compliance

Ensuring contracts meet legal and regulatory requirements, including HIPAA and data security clauses.

Contract Type

- ☐ Service Agreement
- ☐ Procurement Agreement
- ☐ Business Associate Agreement (BAA)
- ☐ Software License Agreement

Summary of Key Contract Terms

Write something...

Effective Date of Contract

Enter date...

Contract Expiration Date

Enter date...

Contract Value (USD)

Enter a number...

HIPAA Compliance Clauses Present?

- ☐ Data Security
- ☐ Data Breach Notification
- ☐ Confidentiality
- ☐ Subcontractor Agreements

Legal Review Signature

Financial Stability Assessment

Evaluating vendor's financial health to mitigate potential disruptions in service.

Annual Revenue (USD)

Enter a number...

Debt-to-Equity Ratio

Enter a number...

Current Ratio

Enter a number...


Credit Rating (if applicable)

- ☐ AAA
- ☐ AA
- ☐ A
- ☐ BBB
- ☐ BB
- ☐ B
- ☐ Not Rated

Date of Last Financial Statement

Enter date...

Upload Last Financial Statements (PDF)

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Business Continuity Plan Availability?

- ☐ Yes
- ☐ No

Security & Data Protection

Verification of vendor's security protocols, incident response plans, and data breach notification procedures.

Vendor Security Framework Certification (e.g., SOC 2, HITRUST)

- ☐ SOC 2 Type II
- ☐ HITRUST CSF
- ☐ ISO 27001
- ☐ None

Encryption Strength (Bit Length)

Enter a number...

Data Security Controls Implemented

- ☐ Access Controls (RBAC)
- ☐ Data Loss Prevention (DLP)
- ☐ Intrusion Detection/Prevention Systems (IDS/IPS)
- ☐ Vulnerability Scanning
- ☐ Firewalls

Vendor Security Assessment Report (e.g., Penetration Test Results)

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Data Residency Compliance

- ☐ Compliant
- ☐ Non-Compliant
- ☐ Pending Assessment

Summary of Vendor's Incident Response Plan

Write something...

Business Associate Agreement (BAA) Compliance

Ensuring the BAA is complete, accurate, and adhered to by the vendor.

BAA Executed?

- ☐ Yes
- ☐ No
- ☐ In Progress

BAA Execution Date

Enter date...

Summary of Key BAA Terms

Write something...

HIPAA Security Addendum Included?

- ☐ Yes
- ☐ No

Copy of Executed BAA

 Upload File

Number of Covered Entities Listed in BAA

Enter a number...

Data Use Restrictions Clarified?

- ☐ Yes
- ☐ No
- ☐ Unclear

Performance Monitoring & Reporting

Tracking vendor performance against agreed-upon metrics and addressing any performance issues.

Uptime Percentage (Last Month)

Enter a number...

Average Response Time (Seconds)

Enter a number...

Service Level Agreement (SLA) Compliance

- ☐ Met
- ☐ Partially Met
- ☐ Not Met

Number of Critical Incidents

Enter a number...

Date of Last Performance Review

Enter date...

Summary of Performance Trends (Last Quarter)

Write something...

Audit & Risk Assessments

Regular audits of vendor compliance with contractual obligations and regulatory requirements.

Last Audit Date

Enter date...

Audit Type

- ☐ Financial
- ☐ Security
- ☐ Compliance
- ☐ Operational

Audit Score (1-100)

Enter a number...

Summary of Audit Findings

Write something...

Areas of Non-Compliance

- ☐ HIPAA
- ☐ Data Security
- ☐ Contractual Obligations
- ☐ Financial Reporting

Supporting Audit Documentation

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Remediation Plan Owner

Write something...

Remediation Completion Date

Enter date...

Vendor Relationship Management

Maintaining open communication and collaboration with vendors to ensure ongoing satisfaction and risk mitigation.

Frequency of Scheduled Check-in Meetings

Enter a number...

Last Communication/Meeting Date

Enter date...

Overall Vendor Satisfaction Level

- ☐ Very Satisfied
- ☐ Satisfied
- ☐ Neutral
- ☐ Dissatisfied
- ☐ Very Dissatisfied

Summary of Recent Communication & Key Discussion Points

Write something...

Escalation Point of Contact for Issues

Topics for Next Scheduled Review

- ☐ Performance Metrics
- ☐ Contract Renewals
- ☐ Security Updates
- ☐ Cost Optimization
- ☐ Service Level Agreements

Offboarding and Data Retrieval

Securely offboarding vendors and retrieving sensitive data upon contract termination.


Contract Termination Date

Enter date...

Reason for Contract Termination

Write something...

Termination Notice Documentation

 Upload File

Data Retrieval Status

- ☐ Initial Retrieval Started
- ☐ Partial Retrieval Complete
- ☐ Full Retrieval Complete
- ☐ Data Transfer Verified

Number of Data Records Retrieved

Enter a number...

Notes on Data Retrieval Process

Write something...

Signature of Responsible Party

Continuous Improvement & Updates

Reviewing and updating vendor management processes to address emerging risks and regulatory changes.

Last Process Review Date

Enter date...

Summary of Recent Process Changes

Write something...

Regulatory Updates Considered?

☐ Yes

☐ No

Number of Vendor Management Audits Completed This Year

Enter a number...

Areas for Potential Improvement Identified

- ☐ Vendor Communication
- ☐ Security Protocols
- ☐ Contract Negotiation
- ☐ Risk Assessment

Action Items for Next Review Cycle

Write something...