



SOC 2 Vendor Evaluation Practical Checklist for IT Leaders

Plow Networks

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Vendor Information

Field	Value
Vendor Name:	
Services Purchased:	
Vendor Risk Tier:	<input type="checkbox"/> Critical <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
Assessment Date:	
Assessed By:	

Section 1: SOC 2 Report Basics

Verify the vendor has provided a current, valid SOC 2 report.

Checklist Item	Status	Notes
SOC 2 report provided	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Report type: Type 2 (preferred) or Type 1	<input type="checkbox"/> T2 <input type="checkbox"/> T1	
Report is less than 12 months old	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Auditor is a reputable CPA firm	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Observation period is adequate (6+ months for Type 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Section 2: Trust Service Criteria Coverage

Verify the report covers criteria appropriate for your relationship with this vendor.

Criterion	Included in Report?	Required for Us?
Security (always required)	<input type="checkbox"/> Yes <input type="checkbox"/> No	Required
Availability	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Processing Integrity	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Confidentiality	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Privacy	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section 3: Auditor Opinion Review

The auditor's opinion is found in Section 1 of the SOC 2 report.

Checklist Item	Status	Notes
Opinion is UNQUALIFIED (clean opinion)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
If QUALIFIED: Issues documented and evaluated	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	
NOT an ADVERSE opinion (significant failures)	<input type="checkbox"/> Confirmed	

Section 4: Scope Alignment

Verify the audit scope covers the services you're actually purchasing.

Checklist Item	Status	Notes
Our specific products/services are in scope	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Data centers/infrastructure we use are in scope	<input type="checkbox"/> Yes <input type="checkbox"/> No	
No carve-outs that affect our data/services	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Subservice organizations are addressed	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Section 5: Control Exceptions Review

Review Section 4 of the report for control testing exceptions.

Checklist Item	Status	Notes
Number of exceptions is reasonable (few/none)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
No exceptions in access control areas	<input type="checkbox"/> Yes <input type="checkbox"/> No	
No exceptions in data protection/encryption	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Management responses to exceptions are adequate	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	
No repeated exceptions from prior audit periods	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Section 6: Final Assessment

Field	Value
Overall Assessment:	<input type="checkbox"/> Acceptable <input type="checkbox"/> Acceptable with Conditions <input type="checkbox"/> Unacceptable
Conditions (if applicable):	
Follow-up Required:	<input type="checkbox"/> None <input type="checkbox"/> Request clarification <input type="checkbox"/> Request remediation <input type="checkbox"/> Escalate
Next Review Date:	

Questions About Evaluating Vendor Security?

Plow Networks helps organizations assess third-party risk and ensure vendor compliance meets your requirements.

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