**ATTACHMENT TO THE ITPQ – SERVICE PROVIDER QUESTIONNAIRE (SPQ)\***

**\*COMPLETE FOR EACH SERVICE PROVIDER**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Service provider name** | **Number of years in business** | **Managing executive of the**  **service provider** | **Name, title and phone number of the**  **insurance company contact at the service provider** | **Name, title and phone number of the individual within the insurance company designated to be the liaison with service provider** |
|  |  |  |  |  |

**Attach copies of all executed current contracts between the service provider and the company and answer the following questions:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Questions** | **Yes** | **No** | **Attachment** |
| 1 | Has a Service Organization Control (SOC) report (SOC1 or SOC2) been issued? If so, provide a copy of the **two** most recent reports. |  |  |  |
| 2 | Does the contract allow the insurance company to conduct audits? Does the contract contain a provision that requires an annual SOC (previously SAS 70) review? |  |  |  |
| 3 | Has the service provider been audited by the insurance company and, if so, provide a copy of the most recent IT internal  audit report and the service providers response? |  |  |  |
| 4 | Does the service provider provide any of the following services for the insurance company? |  |  |  |
|  | a. Processing? |  |  |  |
|  | b. Data preparation? |  |  |  |
|  | c. Program Development? |  |  |  |
|  | d. Program maintenance? |  |  |  |
|  | e. Systems analysis? |  |  |  |
|  | f. Other (explain)? |  |  |  |
| 5. | Does the service provider’s blanket bond (fidelity bond) cover losses due to actions by their personnel? |  |  |  |
| 6. | Does the service provider carry insurance adequate to restore loss of company records due to mishap? |  |  |  |
| 7. | Is the service provider adequately protected by a disaster plan, and if so, is it up-to-date and tested? |  |  |  |
| 8. | Have provisions been made for backup of critical files away from the service provider premises? |  |  |  |
| 9. | Does the company maintain the original copy of all source documents transmitted to the service provider? |  |  |  |
| 10. | Are controls, such as document count, transaction count or other control totals, established for all documents sent to or  handled by the service provider? |  |  |  |

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|  | **Questions** | **Yes** | **No** | **Attachment** |
| 11. | Are input control figures reconciled with the control figures furnished by the service provider? |  |  |  |
| 12. | Are all rejected transactions clearly identified and listed on an error report or file? |  |  |  |
| 13. | Are there methods to ensure that errors are corrected by the service provider? |  |  |  |