

Management, Organization Structure, Personnel and Training

In this section we address the following items:

- Organizational chart and organizational changes
- Employee handbook
- Capacity planning
- Staff, supervisor, attorney ratios, tenure and turnover rate
- Hiring/background screening policy
- Diversity policy or program
- Drug testing policy
- Policies for determining who serves as a company spokesperson or representative to the media or community
- Processes associated with supervising, identifying and correcting performance issues and/or terminating employees
- Training program, policy, requirements and/or procedures.
- Licensing and/or certification requirements associated with any position or employee
- Experience, biographies/resumes for all key employees at the company.
- Volume: number of matters referred, matters completed and matters pending in the following areas for the past 24 months: foreclosure, bankruptcy, loss mitigation, evictions and/or REO related legal services

Audit, Internal Controls and Operational Processes/Procedures

In this section we address the following items:

- Any audits, certifications or quality control reviews, including the type and scope, and the specific processes or items covered, as well as negative findings and any corrective actions suggested and/or taken
- Internal quality control policies/procedures, and metrics/reports used to monitor adherence
- Data retention policy
- Flowcharts, processes and procedures related to (i) service delivery, (ii) timeline management, (iii) billing/invoicing and (iv) loss mitigation/escalation
- Metrics or reports utilizes in monitoring adherence to flowcharts, processes, or procedures?

Corporate Governance, Legal and Corporate Liability

In this section we address the following items:

- Company's culture
- Ethics/Whistleblower policy and procedure, any complaints received and how such complaints were reported, investigated and resolved.
- Litigation, liability or malpractice claims
- Investigations, inquiries, or subpoenas by any governmental agency or representative, judicial agency or representative, regulatory agency or representative, licensing agency or representative, or consumer group
- Sanctions by any court or regulatory body
- Criminal charges, convictions, or pleas, including those which specifically relate to embezzlement, fraud, misappropriation of funds, perjury, forgery, extortion, identity theft, cybercrime or money laundering
- Billing irregularities
- Investigation by any Federal, State or Local authorities regarding invoicing practices, or the invoicing practices of any partially or wholly owned affiliated companies
- News stories (local or national), articles, etc., or any published claims or assertions
- Process for monitoring and reporting any litigation, investigation or disciplinary actions
- Legal structure and organization of the company, and operational jurisdictions
- Owners/shareholders/partners
- Current certificate(s) of insurance, and any claims made within the last 24 months under any policies

Financial

In this section we address the following items:

- 2013 year end audited Financial Statements (Balance Sheet, Income Statement, P&L and Cash Flow) for your company.
- 2014 interim Financial Statements
- Drops in gross and/or average monthly revenue
- Contingent Liabilities
- Pending tax obligations and/or outstanding tax liens

Vendor/Subcontractors

In this section we address the following items:

- Vendor/subcontractor policies and procedures
- Key or primary vendors and subcontractors and services provided
- Vendor/subcontractor agreements
- Due diligence conducted in connection with the selection and ongoing monitoring of any key vendor/subcontractors
- Vendor audits and findings
- Affiliated vendors and revenues paid to affiliated vendors
- Fees and costs market analysis evidencing the reasonableness of the fees and pass thru charges
- Sample invoices to client and back up

Data and Information Security, Privacy Protection, Business Continuity and Information Technology

In this section we address the following items:

- In-house technical expertise or readily available technical support
- Network (points of failure, redundancy, security, diagrams, IP etc.)
- Data centers/locations
- Infrastructure change management
- Development network and production environment
- Emergency changes
- Critical systems
- Outages and production issues
- IT points of contact
- Intrusion detection systems
- Log files
- SPAM filtering
- Firewalls and router rules
- Restricted network access
- Anti-virus (AV) software
- Process for requesting, approving, granting, modifying and removing accesses and specific privileges to all systems and data
- Accounts, user names and passwords

Strictly Confidential

- Remote access authentication and monitoring
- Inactive user accounts
- Master cryptographic keys
- Laptop and information encryption
- Mobile and/or employee- owned devices
- Inventory of all assets
- Third party access to restricted or confidential data
- Data maps and data flow diagrams
- PCI compliance
- Incident response program
- Information Technology and Security policies and procedures
- Policies, processes or procedures that ensure confidential and restricted information is collected, used, stored, transmitted, shared and destroyed securely (Data Privacy and Protection)
- Business continuity/disaster recovery plans, policies, processes or procedures?
- Physical security and environmental controls
- Server room security (e.g., fasteners, mag locks, cameras, etc.).
- Removable media policy or program (CDs, DVDs, tapes, disk drives)?
- Classification, transmission and storage of data
- Cloud Services
- Segmenting and separating client data

For all policies and procedures we also address the process for making changes, and for communicating the policies/procedures, and any changes thereto, to all applicable employees.