



Supply Chain Risk Assessment Checklist

Supplier Identification & Profiling

Identify key suppliers and gather information about their operations, financials, and risk management practices.

Supplier Name

Write something...

Supplier ID

Enter a number...

Supplier Description/Business Overview

Write something...

Supplier Tier (1-3)

- ☐ Tier 1
- ☐ Tier 2
- ☐ Tier 3

Products/Services Supplied

- ☐ Raw Materials
- ☐ Components
- ☐ Finished Goods
- ☐ Logistics Services
- ☐ Other

Supplier Profile Document (Optional)

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Geopolitical & Macroeconomic Risks

Assess risks related to political instability, trade regulations, economic downturns, and natural disasters in supplier locations.

Country/Region of Primary Supplier Location

- ☐ North America
- ☐ South America
- ☐ Europe
- ☐ Asia
- ☐ Africa
- ☐ Oceania

Political Risk Index Score (e.g., from a reputable source)

Enter a number...

Date of Last Geopolitical Risk Assessment Review

Enter date...

Description of Current Political Instability in Supplier Region (if applicable)

Write something...

Trade Agreement Impact (e.g., tariffs, sanctions)

- ☐ No Impact
- ☐ Minor Impact
- ☐ Moderate Impact
- ☐ Significant Impact

Estimated Inflation Rate in Supplier Region

Enter a number...

Summary of Relevant Economic Forecasts and Potential Impact

Write something...

Financial Stability of Suppliers

Evaluate the financial health of key suppliers to identify potential disruptions due to insolvency or instability.

Supplier's Current Ratio

Enter a number...

Supplier's Debt-to-Equity Ratio

Enter a number...

Supplier's Revenue Growth (Past 3 Years)

Enter a number...

Supplier's Profit Margin

Enter a number...

Credit Rating Agency (if applicable)

- ☐ Standard & Poor's
- ☐ Moody's
- ☐ Fitch
- ☐ None

Overall Financial Risk Level (Based on analysis)

- ☐ Low
- ☐ Medium
- ☐ High

Notes/Observations regarding financial stability

Write something...

Operational Risks - Manufacturing & Logistics

Identify risks associated with supplier production processes, quality control, capacity, and logistics capabilities.

Supplier Production Capacity (Units/Year)

Enter a number...

Supplier Quality Management System Certification (e.g., ISO 9001)

- ☐ Certified
- ☐ Not Certified
- ☐ Pending Certification

Description of Supplier Manufacturing Processes

Write something...

Lead Time from Supplier to Our Facility (Days)

Enter a number...

Potential Logistics Risks (Select all that apply)

- ☐ Port Congestion
- ☐ Transportation Delays
- ☐ Customs Issues
- ☐ Damage During Transit
- ☐ Lack of Visibility
- ☐ None

Last Supplier Audit Date

Enter date...

Notes from Previous Supplier Audit (Manufacturing & Logistics)

Write something...

Cybersecurity Risks

Assess supplier cybersecurity practices and potential vulnerabilities that could impact data and operations.

Supplier's Cybersecurity Framework (e.g., NIST, ISO 27001)

- ☐ NIST Cybersecurity Framework
- ☐ ISO 27001
- ☐ Other (Specify)
- ☐ Not Applicable

Supplier's Last Reported Data Breach (Number of Records Affected)

Enter a number...

Description of Supplier's Security Awareness Training Program

Write something...

Supplier's Security Controls (Select all that apply)

- ☐ Firewalls
- ☐ Intrusion Detection/Prevention Systems
- ☐ Data Encryption (at rest and in transit)
- ☐ Multi-Factor Authentication
- ☐ Vulnerability Scanning
- ☐ Penetration Testing
- ☐ Endpoint Detection and Response (EDR)

Supplier's Incident Response Plan - Reviewed and Tested?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

Date of Last Cybersecurity Audit of Supplier

Enter date...

Regulatory & Compliance Risks

Evaluate supplier adherence to relevant laws, regulations, and industry standards (e.g., environmental, labor).

Applicable Regulations (e.g., GDPR, CCPA, RoHS)

- ☐ GDPR
- ☐ CCPA
- ☐ RoHS
- ☐ Conflict Minerals Reporting
- ☐ Modern Slavery Act
- ☐ Other (Specify)

Description of Supplier's Compliance Program

Write something...

Number of Compliance Audits Conducted in Last Year

Enter a number...

Date of Last Compliance Audit

Enter date...

Upload Compliance Documentation (Certificates, Reports)

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Areas of Non-Compliance Identified (if any)

- ☐ Data Privacy
- ☐ Environmental Regulations
- ☐ Labor Standards
- ☐ Anti-Corruption
- ☐ Product Safety
- ☐ Other (Specify)

Specific Actions Taken to Address Non-Compliance

Write something...

Concentration & Single Source Dependencies

Identify and evaluate the risks associated with relying on a limited number of suppliers or single sourcing critical components.

Percentage of Spend with Single Source Supplier (Critical Component A)

Enter a number...

Number of Approved Alternative Suppliers for Critical Component B

Enter a number...

Is there a documented strategy for mitigating single sourcing of Raw Material X?

- ☐ Yes
- ☐ No
- ☐ In Progress

Describe the risks associated with reliance on a single supplier for Packaging Material

Write something...

Date of last assessment of supplier diversification strategy

Enter date...

Which critical components are currently single-sourced?

- ☐ Component A
- ☐ Component B
- ☐ Component C
- ☐ Component D

Upload Supplier Risk Assessment Report (if available)

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Business Continuity & Disaster Recovery

Assess supplier preparedness for business disruptions and their disaster recovery plans.

Does the supplier have a documented Business Continuity Plan (BCP)?

- ☐ Yes
- ☐ No
- ☐ Unsure

Last BCP Review/Update Date

Enter date...

Briefly describe the supplier's BCP scope (e.g., departments, processes covered)

Write something...

Does the BCP include procedures for data backup and recovery?

- ☐ Yes
- ☐ No
- ☐ Unsure

Estimated Recovery Time Objective (RTO) (in hours)

Enter a number...


Estimated Recovery Point Objective (RPO) (in hours)

Enter a number...

What types of disasters/risks are addressed in the BCP?

- ☐ Natural Disasters (e.g., earthquake, flood)
- ☐ Cyberattacks
- ☐ Pandemics
- ☐ Supply Chain Disruptions
- ☐ Equipment Failure
- ☐ Utility Outages

Request BCP Summary Document (if available)

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Ethical & Social Responsibility

Evaluate supplier practices related to labor standards, human rights, and environmental sustainability.

Supplier Code of Conduct Adherence

- ☐ Fully Compliant
- ☐ Partially Compliant
- ☐ Non-Compliant
- ☐ Not Assessed


Labor Standards Verification (Select all that apply)

- ☐ Fair Wages
- ☐ Working Hours Limits
- ☐ Child Labor Prevention
- ☐ Forced Labor Prevention
- ☐ Freedom of Association
- ☐ Safe Working Conditions
- ☐ Not Assessed

Description of Supplier's Environmental Sustainability Practices

Write something...

Supplier Sustainability Report (if available)

 Upload File

Conflict Minerals Sourcing

- ☐ Verified Conflict-Free
- ☐ Requires Further Verification
- ☐ Not Assessed

Number of Worker Grievances Reported (past year)

Enter a number...

Risk Mitigation & Response Planning

Document planned mitigation strategies, contingency plans, and assigned responsibilities for addressing identified risks.

Detailed Mitigation Strategy

Write something...

Estimated Mitigation Cost

Enter a number...

Mitigation Implementation Deadline

Enter date...

Risk Owner (Responsible Party)

- ☐ Procurement
- ☐ Operations
- ☐ Quality Assurance
- ☐ Supplier Management

Contingency Plan Actions

- ☐ Identify Alternative Supplier
- ☐ Increase Safety Stock
- ☐ Expedite Shipping
- ☐ Redesign Product/Process

Communication Plan for Risk Event

Write something...

Next Review Date of Mitigation Strategy

Enter date...