



Supply Chain Vendor Compliance & Audit Survey Checklist 2026

Vendor Profile & Business Information

Verify basic company details, including legal entity name, primary contact information, geographic locations, and operational capacity.

Legal Company Name

Primary Contact Person

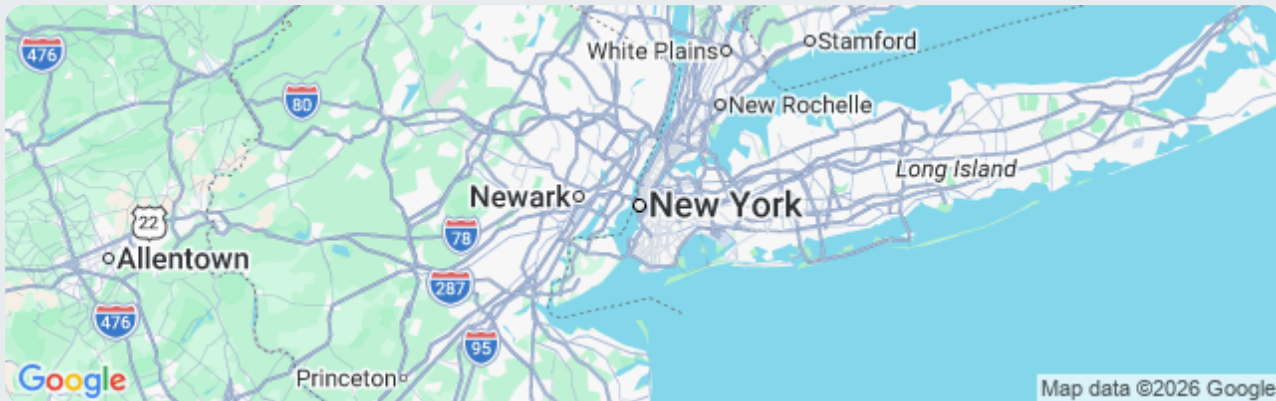
Years in Operation

Company Business Type

- ☐ Manufacturer
- ☐ Wholesaler
- ☐ Distributor
- ☐ Service Provider

Headquarters Address

 [Set My Current Location](#)



Business Registration Certificate

 [Upload File](#)

Brief Company Overview

Write something...

Regulatory & Legal Compliance

Assess adherence to international trade laws, business licenses, tax compliance, and industry-specific certifications/permits.

Business Registration Status

- ☐ Active
- ☐ Pending
- ☐ Expired
- ☐ Not Applicable

Business License Expiration Date

Enter date...

Required Compliance Certifications Held

- ☐ ISO 9001
- ☐ ISO 14001
- ☐ GDPR Compliance
- ☐ SOC2 Type II
- ☐ FDA Approved

Upload Business License Copy

 Upload File

Regulatory Non-Compliance History

Write something...

Compliance Officer Attestation

Quality Management Systems (QMS)

Review quality control processes, ISO certifications, testing protocols, and non-conformance management procedures.

ISO Certification Status

- ☐ ISO 9001 Certified
- ☐ ISO 14001 Certified
- ☐ Other Industry Specific Certification
- ☐ Not Certified

Quality Control Methods Used

- ☐ Statistical Process Control (SPC)
- ☐ Incoming Material Inspection
- ☐ In-Process Testing
- ☐ Final Product Audit
- ☐ Automated Optical Inspection (AOI)

Defect Rate (PPM)

Enter a number...

Last Internal Audit Date

Enter date...

Quality Manual Upload

 Upload File

Non-Conformance Handling Process

Write something...

Ethical Labor & Human Rights Standards

Audit compliance with labor laws, including prevention of child labor, fair wages, working hours, and workplace safety standards.

Does the vendor provide proof of legal minimum wage compliance?

- ☐ Yes
- ☐ No
- ☐ In Progress/Under Review

Which labor standard certifications does the vendor currently hold?

- ☐ SA8000
- ☐ SEDEX/SMETA
- ☐ Fair Trade Certified
- ☐ ISO 45001
- ☐ None

Describe the vendor's policy on preventing forced labor and human trafficking within their sub-tier suppliers.

Write something...

Upload Labor Policy and Code of Conduct Documentation

 Upload File

Total number of employees covered under the current safety audit

Enter a number...

Date of last internal labor rights audit conducted

Enter date...

Environmental & Sustainability Impact

Evaluate waste management practices, carbon footprint reduction efforts, energy efficiency, and sustainable sourcing policies.

Environmental Certifications Held

- ☐ ISO 14001
- ☐ LEED Certified
- ☐ EcoVadis Score
- ☐ None

Waste Management Practices

- ☐ Recycling Programs
- ☐ Composting
- ☐ Hazardous Waste Disposal
- ☐ Zero Waste to Landfill Initiative

Annual Carbon Emissions (Metric Tons CO2e)

Enter a number...

Sustainability Policy Summary

Write something...

Upload Sustainability Audit Report



Upload File

Last Environmental Impact Assessment Date

Enter date...

Supply Chain Security & Risk Management

Review cybersecurity protocols, physical facility security, contingency planning, and disaster recovery capabilities.

Facility Security Level Rating

- ☐ Low Risk
- ☐ Medium Risk
- ☐ High Risk

Security Measures in Place

- ☐ CCTV Surveillance
- ☐ Access Control Systems
- ☐ 24/7 Security Guard Presence
- ☐ Cybersecurity Firewalls
- ☐ Background Checks for Personnel

Last Security Audit Date

Enter date...

Business Continuity Plan Overview

Write something...

Upload Security Certification/ISO Documents

 Upload File

Number of Security Incidents in Last 12 Months

Enter a number...

Auditor Verification Signature

Logistics & Delivery Performance

Evaluate lead time accuracy, packaging integrity, shipping documentation accuracy, and inventory management reliability.

Average Order Lead Time

- ☐ < 5 Days
- ☐ 5-10 Days
- ☐ 11-20 Days
- ☐ > 20 Days

Order Accuracy Rate (%)

Enter a number...

Common Delivery Discrepancies Observed

- ☐ Damaged Goods
- ☐ Missing Items
- ☐ Incorrect Documentation
- ☐ Late Delivery
- ☐ Packaging Failure

Description of Logistics Bottlenecks

Write something...

Proof of Delivery (POD) Samples

 Upload File

Last Audit Completion Date

Enter date...

Financial Stability & Risk Assessment

Analyze creditworthiness, insurance coverage levels, and long-term financial viability to ensure supply continuity.

Annual Revenue (Last Fiscal Year)

Write something...

Current Debt-to-Equity Ratio

Enter a number...

Credit Rating Assessment

- ☐ AAA - AA (High)
- ☐ A - BBB (Medium)
- ☐ BB - B (Low)
- ☐ Below B (High Risk)

Available Financial Audits Provided

- ☐ Audited Balance Sheet
- ☐ Profit & Loss Statement
- ☐ Cash Flow Statement
- ☐ Tax Clearance Certificate

Upload Most Recent Audited Financial Report

 Upload File

Date of Last Financial Audit

Enter date...

Financial Officer Attestation

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🏁 Finish

 Generate Sample Report