

# Supplier Assurance Snapshot (Mock)

Evidence + monitoring + decision trail — designed for audits & governance

## PLATFORM VERIFICATION

**Verified**

Supplier subscription: monitoring active

## BUYER DECISION

**Conditional**

Decision shown is buyer-specific

## ENGAGEMENT

**Active**

Portfolio exposure applies to Active

Platform Verification = reusable evidence. Buyer Decision = local policy + exceptions (auditable).

### ACCOUNTABILITY & ROUTING

Accountable function (assurance owner): TPRM / Outsourcing

Business owner (relationship): Facilities Ops

Exception owners: Procurement + DPO

Routing ensures alerts go to action owners; decisions remain auditable.

### OPEN EXCEPTIONS

**2**

Owner sign-off + due dates

### EVIDENCE ITEMS COMPLETE

**23/25**

Missing items highlighted below

### DAYS TO NEXT REVIEW

**88**

Cadence: quarterly

### Evidence gaps (3)

Cyber insurance cert

ESG policy

BCP test results

### WHAT CHANGED (LAST 30 DAYS)

- Insurance verified
- Director/PSC change detected
- Policy expires in 60 days
- Register incomplete (exception)

### RED FLAG ALERTS (LAST 30 DAYS)

**Critical** Director conflict of interest **CRO**  
 flagged  
 Source: registry

**High** Sanctions list match **Compliance**  
 requires review  
 Source: sanctions

**High** Adverse media: regulatory fine **TPRM**  
 (£50k)  
 Source: media

Red flags are always-notify (cannot be downgraded). Operational alerts are digested (expiry, routine updates).

### EXCEPTIONS & RATIONALE (THIS IS WHAT AUDITORS ASK FOR)

ID	ISSUE	RISK	DECISION / RATIONALE	OWNER	DUE
E-01	Register of Interests incomplete	Low	Immaterial supplier; mitigation via contract caps	Procurement	28 Feb
E-02	Cyber insurance sub-limit	Med	Board-approved exception; annual review locked	CRO + DPO	31 Mar

### MONITORING

Supplier monitoring: Active (supplier-paid)

Buyer portfolio monitoring: Active only when Engagement = Active

Mock illustration for discovery/outreach. Not a real supplier assessment.

If this output matters, reply: "Who owns vendor assurance evidence and exceptions in your org?"