

WWRGD Vendor Risk Assessment Workflow SOP

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Standard Operating Procedure for Generating Vendor Risk Assessment Reports

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GC RFI & General Vendor RFI Evaluations

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Prepared By:

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CONFIDENTIAL — INTERNAL USE ONLY

Overview

This Standard Operating Procedure (SOP) provides a standardized, repeatable process for evaluating vendor Request for Information (RFI) responses and generating comprehensive risk assessment reports. The workflow ensures consistent evaluation methodology and report output quality across all vendor evaluations conducted by WWRGD.

This workflow applies to evaluations of both:

General Contractor (GC) vendors — using the WWRGD Enhanced GC RFI combined with the WWRGD GC Risk Scoring Matrix (WWRGD-RSM-GC-001 v2.0)

General (non-GC) vendors — using the WWRGD General Vendor RFI combined with the WWRGD General Vendor Risk Scoring Matrix (WWRGD-RSM-GV-001 v1.0)

The workflow covers six sequential phases: RFI Distribution & Collection, Critical Risk Indicator (CRI) Screening, Category Scoring, Risk Level Classification, Report Generation via Amazon Quick, and final Review, Approval & Communication. Each phase must be completed in order to ensure the integrity and consistency of the risk assessment process.

Prerequisites — Select Your Toolkit

Before starting any vendor risk assessment, confirm which document pair applies to the vendor type being evaluated:

Vendor Type

RFI Template

Risk Scoring Matrix

General Contractors (GC)

WWRGD_Enhanced_GC_RFI.xlsx

WWRGD_GC_Risk_Scoring_Matrix.docx

Document ID: WWRGD-RSM-GC-001 v2.0

General Vendors (Non-GC)

WWRGD_General_Vendor_RFI.xlsx

WWRGD_General_Vendor_Risk_Scoring_Matrix.docx

Document ID: WWRGD-RSM-GV-001 v1.0

Phase 1: RFI Distribution & Collection

Objective: Send the RFI to vendors and collect completed responses.

Step 1.1 — Prepare the RFI

Open the appropriate RFI Excel template (GC or General Vendor)

Update the Introduction tab with the following key dates:

RFI Issue Date

Questions Due Date

Response Due Date

Evaluation Period

Shortlist Notification Date

Add any project-specific or category-specific context if needed

Save the finalized version to the project shared folder

Step 1.2 — Distribute via Coupa

Upload the finalized RFI to the Coupa Supplier Portal

Invite target vendors to respond via the portal

Set the submission deadline (align with the Response Due Date on the Introduction tab)

Confirm vendors have received access notifications from Coupa

Step 1.3 — Collect Responses

Monitor submissions in Coupa throughout the response period

Confirm all required sections are completed; flag and follow up on incomplete submissions

Collect all required supporting documentation:

Audited financial statements (3 years)

Insurance certificates and bonding documentation

Safety certifications and OSHA records (GC) or workplace safety records (General Vendor)

Professional licenses and accreditation certificates

Compliance program documentation

Organize completed responses by vendor in a designated shared folder

Phase 2: Critical Risk Indicator (CRI) Screening

Objective: Screen all vendors against the 7 automatic disqualification triggers BEFORE proceeding to category scoring.

Step 2.1 — Open the Risk Scoring Matrix

Open the appropriate Risk Scoring Matrix document (GC or General Vendor version)

Navigate to Section A: Critical Risk Indicators

Have the vendor's completed RFI response open alongside the matrix for cross-reference

Step 2.2 — Screen Each Vendor Against All 7 CRIs

For each vendor, evaluate each of the 7 Critical Risk Indicators and mark Pass or Fail using the table below:

#

Critical Risk Indicator

Where to Find in RFI

Disqualification Threshold

1

Active Litigation

Q1.12–1.13 (Qualitative Response)

Exceeding \$5,000,000 in active litigation exposure

2

Regulatory Violations (GC: OSHA Violations)

Safety & Sustainability tab, Q16–17

Any willful or repeat violations from any regulatory body

3

Financial Distress

Q1.26–1.28, Q1.34–1.37 (Financial section)

Negative operating cash flow or any covenant violations in the past 3 years

4

Debarment Status

Safety tab Q20 (GC) or Risk Management Q6.4 (General Vendor)

Any federal, state, or local debarment or suspension from contracts

5

Safety Metrics

Safety tab Q22–23 (GC) or Q16–22 (General Vendor)

EMR greater than 1.2 or TRIR greater than 3.0

6

Bond/Insurance Capacity

Q1.25/Q1.32 (Financial) + Q6.4–6.9 (Risk & Accreditation)

Insufficient bonding or insurance capacity for project/engagement scope

7

License Status

Q1.17–1.18 (General Information)

Any expired or currently suspended professional or contractor licenses

Step 2.3 — Document CRI Results

Mark each indicator as Pass or Fail in Section A of the Risk Scoring Matrix

If ANY indicator = Fail:

Stop all scoring immediately for this vendor

Escalate to VP/Executive per Section F of the Risk Scoring Matrix

Vendor is automatically classified as CRITICAL RISK and is disqualified
Document the specific reason for disqualification with evidence from the RFI
Send rejection notification per stakeholder communication guidelines
If ALL indicators = Pass: Proceed to Phase 3: Category Scoring

Phase 3: Category Scoring (1–4 Scale)

Objective: Score each vendor across the 6 weighted risk categories using the detailed rubrics in the Risk Scoring Matrix.

Step 3.1 — Open Section C of the Risk Scoring Matrix

Open Section C: Detailed Scoring Rubrics in the applicable Risk Scoring Matrix

Reference the 1–4 scale definitions: Excellent (4), Good (3), Fair (2), Poor (1)

Have the vendor's completed RFI response available for cross-reference throughout scoring

Step 3.2 — Score Each Category

For each of the 6 risk categories, review the vendor's RFI responses and assign a raw score from 1 (Poor) to 4 (Excellent) based on the rubric criteria:

Risk Category

Weight

Max Pts

Key RFI Sections to Review

Financial Stability

25%

100 pts

Section 1B (Financial Risk & Stability):

Revenue, Net Profit, D/E Ratio, Bond Capacity, Operating Cash Flow, Audited Financial Statements (3 years)

Safety Performance

20%

80 pts

Tab 5 — Safety & Sustainability:

TRIR, EMR, OSHA violation history, safety program documentation, safety culture assessment, training records

Quality/Performance History

20%

80 pts

Section 3 (Quality & Performance Management):

CPI, SPI, defect/error rate, on-time delivery, client retention rate, project failure history

Operational Capacity

15%

60 pts

Section 1 (General Info) + Section 2 (Service Offering):

Capacity utilization %, concurrent project capacity, staff depth and bench strength, scalability track record, active project portfolio

Compliance Record

10%

40 pts

Section 6 (Risk & Accreditation):

Compliance program overview, 5-year violation history, remediation records, third-party certifications, internal audit schedule

Technology Capabilities

10%

40 pts

Tab 5 (Technology & Cybersecurity) or Section 2C (GC):

BIM/VR/ProCore (GC) or industry platform proficiency (General), SOC 2/ISO 27001 certifications, data protection standards, reporting capabilities, integration capabilities

Step 3.3 — Apply Weights and Calculate Composite Score

After scoring all 6 categories, apply the weighted calculation to determine the Composite Score:

COMPOSITE SCORE FORMULA

Raw Score (1–4) × Category Weight × 100 = Weighted Score per Category

Sum of all 6 Weighted Scores = Composite Score (Maximum: 400 points)

Example Calculation:

Financial Stability: $3 \times 25\% \times 100 = 75$ pts

Safety Performance: $4 \times 20\% \times 100 = 80$ pts

Quality/Performance: $3 \times 20\% \times 100 = 60$ pts

Operational Capacity: $3 \times 15\% \times 100 = 45$ pts

Compliance Record: $4 \times 10\% \times 100 = 40$ pts

Technology Capabilities: $2 \times 10\% \times 100 = 20$ pts

COMPOSITE SCORE: 320 / 400 !' LOW RISK

Phase 4: Risk Level Classification

Objective: Map the composite score to a risk tier and determine the required decision and actions.

Step 4.1 — Determine Risk Level

Match the vendor's Composite Score to the appropriate risk tier:

Composite Score

Risk Level

Color Code

Decision

320 – 400 pts

LOW RISK

% Green

Approve — Proceed with standard MSA terms and standard due diligence

240 – 319 pts

MEDIUM RISK

% Yellow

Conditional Approval — Enhanced monitoring required; quarterly reviews; performance guarantees

160 – 239 pts

HIGH RISK

% Orange

Executive Review Required — VP/Executive approval required; weekly reporting; dedicated oversight; reduced scope

Below 160 pts

CRITICAL RISK

% Red

Not Recommended / Disqualify — Rejection notification required; 12-month re-application waiting period

Step 4.2 — Identify Required Actions

Reference Section F of the Risk Scoring Matrix to identify the required approval authority, actions, and contract enhancements:

Risk Level

Approval Authority

Required Actions

Contract Enhancements

LOW RISK

Category Manager

Standard due diligence; annual re-evaluation

Standard MSA terms

MEDIUM RISK

Director Level

Enhanced monitoring; quarterly reviews; remediation plan required

Performance bonds/guarantees; parent company guarantees; SLA penalties

HIGH RISK

VP / Executive

Weekly reporting; dedicated oversight team; formal remediation milestones

Increased retainage; milestone-based payments; reduced engagement scope; parent guarantees

CRITICAL RISK

Disqualify

Issue rejection letter; document disqualification reason; enforce 12-month re-application wait

N/A

Phase 5: Generate the Risk Assessment Report Using Amazon Quick

Objective: Use the Vendor Risk Assessment Expert agent in Amazon Quick to generate a standardized, repeatable risk assessment report with consistent format and quality every time.

Step 5.1 — Open Amazon Quick and Select the Agent

Navigate to Amazon Quick at quick.aws.amazon.com

Start a new conversation in the platform

Select the Vendor Risk Assessment Expert agent from the agent selector

Verify the correct agent is active before uploading any documents

Step 5.2 — Upload the Required Documents

Use the attachment/upload button in the chat footer to upload both required files. Do not proceed without uploading both documents:

Vendor Type

Documents to Upload

GC Vendors

1. Vendor's completed RFI response (their filled-in copy of WWRGD_Enhanced_GC_RFI.xlsx)
2. WWRGD GC Risk Scoring Matrix (WWRGD_GC_Risk_Scoring_Matrix.docx)

General Vendors (Non-GC)

1. Vendor's completed RFI response (their filled-in copy of WWRGD_General_Vendor_RFI.xlsx)
2. WWRGD General Vendor Risk Scoring Matrix (WWRGD_General_Vendor_Risk_Scoring_Matrix.docx)

Step 5.3 — Use the Standardized Prompt

Copy and paste the standardized prompt below into the chat to ensure consistent, repeatable output format every time. Replace the bracketed fields with the specific vendor details:

STANDARD PROMPT — Copy & Paste:

Please generate a comprehensive Vendor Risk Assessment Report for [VENDOR NAME] based on their attached completed RFI response and the attached Risk Scoring Matrix. Follow this exact structure:

1. Executive Summary

- Vendor name, category (GC or [vendor type]), and evaluation date
- Overall risk rating (LOW / MEDIUM / HIGH / CRITICAL) with composite score (X/400)
- 3–5 key findings as bullet points
- Critical decision factors for stakeholders
- Recommended next steps with timelines

2. Critical Risk Indicator (CRI) Screening Results

- Pass/Fail table for all 7 CRIs with evidence from the RFI response
- Flag any concerns or borderline items with specific RFI references

3. Category-by-Category Scoring

- Table with columns: Risk Category | Weight | Raw Score (1–4) | Weighted Score | Justification
- For each category, provide evidence-based reasoning citing specific RFI responses
- Highlight specific strengths and weaknesses per category

4. Composite Score Calculation

- Show the full calculation: each category's Raw Score × Weight × 100
- Total composite score and corresponding risk tier

5. Risk Mitigation Recommendations

- Table with columns: Risk Area | Severity (High/Medium/Low) | Mitigation Strategy | Contract Protection | Monitoring Requirement
- Specific, actionable recommendations for each identified risk

6. Vendor Improvement Areas

- Clear guidance on what the vendor can do to improve their score
- Specific areas where documentation or performance data is lacking or insufficient

7. Decision Recommendation

- Approve / Conditional Approval / Executive Review / Disqualify
- Required approval authority per the Risk Scoring Matrix
- Recommended contract enhancements
- Suggested review timeline (annual re-evaluation or upon material business changes)

Please present all scoring in table format and provide numbered references to specific RFI responses as evidence for each score assigned.

Step 5.4 — Review the Generated Report

Once the agent generates the report, perform the following quality checks before accepting the output:

Verify CRI screening — Confirm all 7 Critical Risk Indicators were evaluated correctly with appropriate evidence

Validate category scores — Check that raw scores (1–4) align with the rubric criteria in Section C of the Risk Scoring Matrix

Review evidence citations — Ensure each category score is supported by specific, numbered references to vendor RFI responses

Confirm risk tier — Verify the composite score calculation is correct and maps to the appropriate risk level

Check completeness — Confirm all 7 report sections are present with adequate detail

If corrections are needed: Request clarifications or corrections directly in the chat before proceeding

Step 5.5 — Request a Downloadable Version

After reviewing and approving the report content, request a formatted, downloadable Word document for stakeholder distribution:

FOLLOW-UP PROMPT — Downloadable Report:

"Please generate a downloadable Word document of this risk assessment report with professional WWRGD formatting."

Step 5.6 — Compare Multiple Vendors (Optional)

To compare multiple vendors side-by-side in a single session, upload all completed RFI responses and use the multi-vendor comparison prompt:

MULTI-VENDOR COMPARISON PROMPT:

"Please generate a comparative vendor risk assessment for [VENDOR A], [VENDOR B], and [VENDOR C] based on their attached completed RFI responses and the attached Risk Scoring Matrix. Include a side-by-side comparison table showing all 6 category scores, composite scores, risk tiers, and a recommendation ranking."

Phase 5 Quick Reference Checklist — Amazon Quick Report Generation

Step

Action

What You Need

5.1

Open Amazon Quick !' Select Vendor Risk Assessment Expert agent

Amazon Quick access (quick.aws.amazon.com)

5.2

Upload vendor's completed RFI + corresponding Risk Scoring Matrix
2 files per vendor: completed RFI (.xlsx) + Risk Scoring Matrix (.docx)

5.3

Paste the standardized prompt (replace [VENDOR NAME] and vendor type)
Standard prompt from this SOP (Section 5.3 above)

5.4

Review the generated report for accuracy and completeness
Risk Scoring Matrix rubrics (Section C) for validation reference

5.5

Request downloadable DOCX with professional WWRGD formatting
Follow-up prompt from Step 5.5 above (optional but recommended)

5.6

Compare multiple vendors side-by-side (optional)
All vendor RFI files uploaded; multi-vendor comparison prompt from Step 5.6

Phase 6: Review, Approve & Communicate

Objective: Obtain the appropriate internal approval and communicate results to all relevant stakeholders.

Step 6.1 — Internal Review

Route the completed risk assessment report to the appropriate approval authority based on the vendor's risk level (see Phase 4.2 table)

The approving authority must review the full report, including CRI screening results, category scores, and the decision recommendation

Obtain documented sign-off (email confirmation or formal approval in procurement system) before communicating any results externally

If the approver requests changes or additional information, return to Amazon Quick and request revisions or supplemental analysis

Step 6.2 — Stakeholder Communication

Share the Executive Summary section with procurement leadership and relevant business stakeholders

For LOW RISK vendors: Communicate approval and proceed to contracting

For MEDIUM RISK vendors: Share the full report including the mitigation plan, monitoring schedule, and required contract enhancements

For HIGH RISK vendors: Present to VP/Executive with formal mitigation recommendations; obtain explicit executive approval before proceeding

For CRITICAL RISK vendors: Issue formal rejection notification that includes:

The specific disqualification reason(s) with reference to CRI thresholds

The 12-month re-application waiting period requirement

Guidance on what the vendor must address to be reconsidered

Step 6.3 — Documentation & Filing

Archive all documents in the designated vendor evaluation folder:

Vendor's completed RFI response

Completed Risk Scoring Matrix with scores recorded

Generated risk assessment report

Supporting documentation (financials, certifications, safety records)

Approval documentation and stakeholder communications

Set a calendar reminder for annual re-evaluation (or sooner upon material business changes, ownership changes, or significant compliance events)

Update the vendor registry with the final risk tier and evaluation date

Workflow Summary — All 6 Phases

Phase

Action

Output

1

Distribute & Collect

Prepare and send RFI via Coupa; collect completed vendor responses and all supporting documentation

Completed vendor RFI packages with supporting documentation organized by vendor

2

CRI Screening

Screen all vendors against 7 automatic disqualification triggers before investing time in full scoring

Pass/Fail determination for each vendor; disqualification and escalation where required

3

Category Scoring

Score each of the 6 weighted risk categories on the 1–4 scale using rubric criteria; calculate composite score

Raw scores (1–4), weighted scores per category, and composite score out of 400

4

Risk Classification

Map composite score to the appropriate 4-tier risk level; identify required approval authority and actions

Risk level determination (LOW/MEDIUM/HIGH/CRITICAL) with required actions and contract enhancements identified

5

Generate Report via Amazon Quick

Upload vendor RFI + Matrix to Amazon Quick; use standardized prompt to generate structured 7-section risk assessment report

Standardized, professional vendor risk assessment report in consistent 7-section format; downloadable as Word document

6

Review & Communicate

Obtain approval from appropriate authority; communicate results to stakeholders; archive all documentation

Approved vendor decisions documented; stakeholders notified; full evaluation package archived; re-evaluation reminder set

Appendix A: RFI-to-Matrix Cross-Reference

The following tables map each Risk Scoring Matrix category to the specific RFI tab and section(s) where the

scoring data is collected. Use these as a quick navigation guide when completing the scoring process.

GC RFI — WWRGD_Enhanced_GC_RFI.xlsx

Scoring Category

RFI Tab

RFI Sections

Financial Stability

Tab 4: Qualitative Response

Section 1B — Q1.26–1.37: Revenue, Net Profit, D/E Ratio, Bond Capacity, Operating Cash Flow, Audited Financials

Safety Performance

Tab 5: Safety & Sustainability

Q16–26: OSHA violation history, EMR, TRIR, safety program documentation, safety culture assessment, training records

Quality/Performance History

Tab 4: Qualitative Response

Section 3A–3C — Q3.1–3.42: CPI, SPI, defect rate, on-time delivery, client retention, project failure history

Operational Capacity

Tab 4: Qualitative Response

Section 1 (Q1.15–1.16): capacity utilization, concurrent projects; Section 2 (Q2.11–2.16): staffing, resources; Section 11 (Q11.1): active project portfolio

Compliance Record

Tab 4: Qualitative Response

Section 6 — Q6.1–6.11: compliance program, violation history, remediation records, certifications, internal audit schedule

Technology Capabilities

Tab 4: Qualitative Response — Section 2C

Q2.17–2.26: BIM/VR, CAD/Revit, ProCore proficiency, SOC 2/ISO 27001, data protection, reporting capabilities

General Vendor RFI — WWRGD_General_Vendor_RFI.xlsx

Scoring Category

RFI Tab

RFI Sections

Financial Stability

Tab 3: Qualitative Response

Section 1B — Q1.21–1.32: Revenue, Net Profit, D/E Ratio, Insurance Capacity, Operating Cash Flow, Audited Financials

Safety Performance

Tab 4: Safety & Compliance

Q16–26: TRIR, EMR, workplace safety metrics, safety program documentation, safety culture assessment, training records, regulatory compliance

Quality/Performance History

Tab 3: Qualitative Response

Section 3–3C — Q3.1–3.35: CPI, SPI, defect/error rate, on-time delivery, client retention rate, SLA compliance

Operational Capacity

Tab 3: Qualitative Response

Section 1 (Q1.15–1.16): capacity utilization; Section 2 (Q2.1–2.10): service offering, staffing; Section 7 (Q7.1): active engagement portfolio

Compliance Record

Tab 3: Qualitative Response

Section 6 — Q6.1–6.11: comprehensive compliance program, violation history, remediation records, certifications, whistleblower mechanisms

Technology Capabilities

Tab 5: Technology & Cybersecurity

Q1–15: industry platform proficiency, SOC 2/ISO 27001, data protection and encryption standards, integration capabilities, advanced reporting

Appendix B: Standardized Prompts Library

The following standardized prompts are designed for use with the Vendor Risk Assessment Expert agent in Amazon Quick. Using these exact prompts ensures consistent report structure and quality across all vendor evaluations. Copy and paste each prompt directly — do not paraphrase or abbreviate.

Prompt 1: Single Vendor Risk Assessment Report

Use this prompt to generate a full risk assessment report for a single vendor. Replace [VENDOR NAME] with the vendor's legal entity name and [vendor type] with the appropriate category (e.g., General Contractor, Technology Provider, Professional Services Firm).

"Please generate a comprehensive Vendor Risk Assessment Report for [VENDOR NAME] based on their attached completed RFI response and the attached Risk Scoring Matrix. Follow this exact structure: 1. Executive Summary (risk rating, composite score X/400, 3–5 key findings as bullet points, critical decision factors, recommended next steps with timelines); 2. Critical Risk Indicator (CRI) Screening Results (Pass/Fail table for all 7 CRIs with evidence from the RFI response, flag any concerns or borderline items); 3. Category-by-Category Scoring (table with columns: Risk Category | Weight | Raw Score (1–4) | Weighted Score | Justification; evidence-based reasoning citing specific RFI responses; highlight strengths and weaknesses per category); 4. Composite Score Calculation (show full calculation: each category's Raw Score × Weight × 100; total composite score and risk tier); 5. Risk Mitigation Recommendations (table with columns: Risk Area | Severity (High/Medium/Low) | Mitigation Strategy | Contract Protection | Monitoring Requirement; specific, actionable recommendations); 6. Vendor Improvement Areas (clear guidance on what the vendor can do to improve their score; specific areas where documentation or performance is lacking); 7. Decision Recommendation (Approve / Conditional Approval / Executive Review / Disqualify; required approval authority per the matrix; recommended contract enhancements; suggested review timeline). Present all scoring in table format with numbered references to specific RFI responses as evidence for each score."

Prompt 2: Multi-Vendor Comparison

Use this prompt when evaluating multiple vendors simultaneously and a side-by-side comparison is needed. Upload all completed vendor RFI responses before using this prompt. Replace [VENDOR A], [VENDOR B], and [VENDOR C] with the actual vendor names; add or remove vendors as needed.

"Please generate a comparative vendor risk assessment for [VENDOR A], [VENDOR B], and [VENDOR C] based on their attached completed RFI responses and the attached Risk Scoring Matrix. Include the following: 1. Side-by-side comparison table showing all 6 category raw scores, all 6 weighted scores, composite scores, and risk tiers for

each vendor; 2. Individual CRI screening results for each vendor in a single consolidated Pass/Fail table; 3. Strengths and weaknesses comparison — identify what each vendor does well and where they fall short relative to the group; 4. Recommendation ranking — rank vendors from most to least recommended with clear justification for each ranking position. Use table format throughout and cite specific RFI response evidence for all scores."

Prompt 3: Downloadable Report Request

Use this prompt as a follow-up after generating and reviewing the risk assessment report content. This requests the agent to produce a formatted, downloadable Word document suitable for distribution to stakeholders.

"Please generate a downloadable Word document of this risk assessment report with professional WWRGD formatting. The document should include all 7 sections as generated, with tables formatted with borders, risk tiers displayed with appropriate color indicators, and the WWRGD document header."

Prompt 4: Quick CRI Screening Only

Use this prompt for a rapid pre-screening when you need to quickly assess whether a vendor is disqualified before investing time in full scoring. This is useful during initial intake screening when managing a large vendor pool.

"Please screen [VENDOR NAME] against all 7 Critical Risk Indicators based on their attached completed RFI response. Provide a Pass/Fail table for each of the 7 indicators with: (1) the relevant RFI question(s) reviewed, (2) the specific evidence from the vendor's response, (3) the disqualification threshold, and (4) your Pass or Fail determination. Flag any borderline items or areas where the response is ambiguous or incomplete. Conclude with an overall CRI screening result: All Pass (proceed to full scoring) or Fail (disqualify and escalate)."

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