Vendor Vetting Checklist

What to confirm before a new supplier's first order, and how to keep it current

Intended for: owners and managers who approve product suppliers and service providers.
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> **A vendor's compliance becomes part of your record.** Run this check centrally before the first order, no matter which site brought the vendor in. Complete the sections for all vendors, then the product or service section that fits. Tick **N/A** where an item does not apply, and record why in the N/A log at the end.

Vendor	_____	**Vendor type**	_____
Supplies	_____	**Requested by**	_____
Reviewed by	_____	**Approved on**	_____

01 All vendors: licenses and registrations, verified at the source

- ☐ Any license or registration the vendor needs, confirmed directly with the issuing authority, not only from a copy the vendor sent N/A ☐
- ☐ License type covers the products or services you plan to buy N/A ☐
- ☐ Legal name and address on the license match the contract and invoices N/A ☐
- ☐ Expiry date recorded in the vendor file and your compliance calendar N/A ☐

02 All vendors: insurance certificates

- ☐ Certificate of insurance on file, with coverage types and limits that fit what the vendor does N/A ☐
- ☐ Your business named as an additional insured where your contract calls for it N/A ☐
- ☐ Policy expiry date recorded, not only the date the certificate was issued, with a reminder set N/A ☐
- ☐ Coverage reviewed with your insurance broker if the vendor's work could create liability for you N/A ☐

03 Product vendors only: compliance documentation

- ☐ Testing results or certificates of analysis on file and current, where the product category requires them N/A ☐
- ☐ Chain-of-custody or tracking records show a complete, unbroken path to the vendor N/A ☐
- ☐ Labels and packaging meet the rules where you sell N/A ☐
- ☐ Documentation arrives with every shipment, not only the first one N/A ☐
- ☐ Recall steps set out in the contract: who notifies whom, how fast, and who pays N/A ☐

04 Service vendors only: access, records, and people

- ☐ Any permit or license the service itself requires where you operate, such as alarm, security, or waste hauling, confirmed at the source N/A ☐
- ☐ Who will be on your premises or in your systems, and how their access is approved and removed N/A ☐
- ☐ Records the vendor creates for you, such as service reports, waste manifests, or data exports, and how you get copies N/A ☐
- ☐ How the vendor protects your data and records, and who at the vendor can see them N/A ☐
- ☐ Whether the vendor uses subcontractors, and whether the same checks apply to them N/A ☐

General information only. Requirements vary by jurisdiction and change often; confirm current rules with your regulator or a qualified professional.

05 All vendors: references

- ☐ At least two references from licensed businesses that use the same product or service N/A ☐
- ☐ References asked whether paperwork arrives on time, complete, and correct N/A ☐
- ☐ References asked how the vendor handled a problem, such as a recall or a missed service N/A ☐

06 All vendors: contract terms

- ☐ Vendor will cooperate with inspections, audits, and regulator requests N/A ☐
- ☐ You can access the vendor's records for work done for you, for as long as you must keep your own N/A ☐
- ☐ Vendor must tell you promptly about license changes, suspensions, or changes in its own supply N/A ☐
- ☐ You can end the relationship if the vendor loses a required license or cannot produce required records N/A ☐

07 All vendors: ownership and red flags

- ☐ Legal entity and owners identified, and consistent across license, contract, and invoices N/A ☐
- ☐ Past regulatory actions, recalls, or disputes checked through a public search N/A ☐
- ☐ No pressure to skip paperwork, pay outside normal channels, or rush the first order N/A ☐
- ☐ Pricing far below the market explained, not ignored N/A ☐
- ☐ Documents look original and consistent, with nothing altered or missing N/A ☐

08 Keep it current

- ☐ Re-verification date set for each license, certificate, and test result, based on its expiry
- ☐ Vendor file reviewed on a set schedule (a suggested cadence, not a requirement)
- ☐ New vendors added only through the central approval step, never directly by a site

09 Triggers for a review right away

- ☐ A license or registration lapses, is suspended, or changes
- ☐ A recall, product complaint, failed test, or service failure involving the vendor
- ☐ A change in the vendor's ownership or in where it sources product
- ☐ A shipment or service visit arrives without the required paperwork
- ☐ A regulator or auditor asks about the vendor or its work

N/A log: items that do not apply to this vendor

Section and item	Why it does not apply	Confirmed by

Re-verification schedule (or keep it in the SPL Vendor File Tracker, Excel)

Document	Verified on	Expires	Next check	Owner
License or registration				
Insurance certificate (policy expiry)				
Testing or certificate of analysis				
Vendor contract				

Prepared by SPL Management | Want a second set of eyes? spl-management.com/consultation

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