[Company name]

How to use this document: delete this paragraph before saving, sharing, or circulating it. Every part shown in blue is yours to replace: type your own details over each blue [field] until no blue remains. Then select all (Ctrl+A) and set the font colour to the same dark colour throughout. What is left is your finished document.

Supplier Approval Checklist

Supplier legal name: _____ **Goods or services supplied:** _____

Name of approval owner: _____ **Date of approval check:** _____

Risk level assigned to this supplier: _____

Use this checklist before a new supplier is approved, and again when an approval is renewed or a material change occurs. A supplier is not approved until every mandatory check below is marked as met, or a written exception has been recorded in the decision section and signed by the approver. Tick a check by shading or marking its checkbox cell; leave no checkbox cell unmarked.

A. Legal identity and registration

Check	Evidence required	Done	Result	Notes
Legal name matches the registration document provided.	Registration document showing the supplier legal name and registration number.		[Result of this approval check]	[Notes on this approval check]
Trading name, where different from the legal name, is recorded.	Document showing the trading name used by the supplier.		[Result of this approval check]	[Notes on this approval check]
Registered address and contact details are confirmed.	Confirmation of the registered address and main contact details.		[Result of this approval check]	[Notes on this approval check]
Ownership and control information has been provided where required.	Ownership information supplied by the supplier.		[Result of this approval check]	[Notes on this approval check]

B. Financial standing

Check	Evidence required	Done	Result	Notes
Recent financial statements or a financial assessment have been reviewed.	Financial statements or financial assessment report.		[Result of this approval check]	[Notes on this approval check]
No unresolved adverse financial finding affects the ability to supply.	Record of the financial review and any finding raised.		[Result of this approval check]	[Notes on this approval check]
Credit terms requested are within the approved range for this risk level.	Record of the credit terms requested and approved.		[Result of this approval check]	[Notes on this approval check]

C. Insurance and licences

Check	Evidence required	Done	Result	Notes
Public liability insurance is current and covers the work supplied.	Insurance certificate showing cover, limits, and expiry date.		[Result of this approval check]	[Notes on this approval check]
Professional indemnity insurance is current where the work requires it.	Insurance certificate showing cover, limits, and expiry date.		[Result of this approval check]	[Notes on this approval check]
Licences or permits required for the work are current.	Licence or permit documents with expiry dates.		[Result of this approval check]	[Notes on this approval check]

D. Quality and capability

Check	Evidence required	Done	Result	Notes

[Company name]

Capability to meet the specification has been demonstrated.	Evidence of capability, such as a capability statement or site visit record.		[Result of this approval check]	[Notes on this approval check]
Quality management arrangements are described and acceptable.	Quality management description or certification document.		[Result of this approval check]	[Notes on this approval check]
Capacity to meet the volumes and timescales required has been confirmed.	Capacity confirmation from the supplier.		[Result of this approval check]	[Notes on this approval check]

E. Data protection, security, and compliance

Check	Evidence required	Done	Result	Notes
Data protection arrangements are described where the supplier will handle personal data.	Data protection description or agreement.		[Result of this approval check]	[Notes on this approval check]
Security controls are described where the supplier will access systems or premises.	Security description provided by the supplier.		[Result of this approval check]	[Notes on this approval check]
Sanctions and exclusion screening has been completed with no adverse result.	Screening result record.		[Result of this approval check]	[Notes on this approval check]
Anti-bribery and code of conduct acknowledgements have been received.	Signed acknowledgements from the supplier.		[Result of this approval check]	[Notes on this approval check]

F. References and conflicts

Check	Evidence required	Done	Result	Notes
References from comparable customers have been checked.	Reference check notes.		[Result of this approval check]	[Notes on this approval check]
Any conflict of interest declared by the supplier has been reviewed.	Conflict of interest declaration and review note.		[Result of this approval check]	[Notes on this approval check]
Any subcontractor the supplier will rely on has been disclosed.	Subcontractor disclosure from the supplier.		[Result of this approval check]	[Notes on this approval check]

G. Commercial terms

Check	Evidence required	Done	Result	Notes
Pricing, payment terms, and delivery terms are agreed in writing.	Agreed commercial terms document.		[Result of this approval check]	[Notes on this approval check]
Contract or order terms, including termination rights, are agreed.	Contract or order terms document.		[Result of this approval check]	[Notes on this approval check]

Evidence index List each document received, so the approval can be audited later without searching for the source papers.

Document received	Date received	Expiry date, if any	Checked by
[Title of evidence document one]	[Date evidence document one was received]	[Expiry date of evidence document one]	[Name of person who checked evidence document one]
[Title of evidence document two]	[Date evidence document two was received]	[Expiry date of evidence document two]	[Name of person who checked evidence document two]

Approval decision

Decision	Selected	Conditions and next review
Approved		[Conditions of approval, or state that there are no conditions]

[Company name]

Approved with conditions		[Conditions that must be met, with the date by which each condition must be met]
Not approved		[Reasons for non-approval and any action before reapplication]

Next review date for this approval: [Next review date for this supplier approval]. Any approval condition that is not met by its date must be escalated to [Name or role to whom unmet approval conditions are escalated].

Signatures: Approval owner: Name: _____ **Signature:** _____ **Date:** _____

Approver: Name: _____ **Signature:** _____ **Date:** _____