

APPROVED VENDOR QUALIFICATION APPLICATION

Condensed Due-Diligence Questionnaire and Certification

Applicant legal name	
DBA / trade name	
Primary goods or services	
Application date	
Prepared by / title	
Requested by [Company] representative	
Tracking number	Internal use

*Complete every item. Do not leave blanks. Mark N/A only when genuinely inapplicable and explain every No or N/A response.
Label attachments by section and item number. Incomplete submissions may be returned without review.*

Return to: FredM@agpturbo.com
480-555-0147

Instructions and Definitions

1. Answer every question and provide current, legible supporting documents.
2. Report material changes occurring during review within five business days.
3. Approval does not guarantee purchases, volume, exclusivity, or a contract.
4. [Company] may verify information, contact references, request clarification, and conduct risk-based audits.
5. Do not provide passwords, full payment-card numbers, private keys, or unnecessary sensitive personal information.
6. Use a separately labeled confidential appendix for financial or security information when appropriate.

Definitions

Term	Meaning
Applicant / Vendor	The legal entity seeking approval, including locations and affiliates proposed to supply goods or services.
Material	Information a reasonable customer would consider important when evaluating capability, integrity, safety, quality, security, continuity, or legal risk.
Subcontractor	A third party used to manufacture, perform, host, store, transport, support, or otherwise fulfill an obligation to [Company].
Incident	An actual or suspected event affecting safety, quality, legality, confidentiality, availability, delivery, or reputation.
Personal Data	Information relating to an identified or identifiable person, as defined by applicable law.

Required Attachments

Attachment	Included	File / tab
Signed application and W-9 / applicable tax form	☐	
Formation record and certificate of good standing	☐	
Ownership / organization chart	☐	
Current licenses and permits	☐	
Certificate of insurance	☐	
Three customer references	☐	
Current financial evidence	☐	
Quality certificates / policy	☐	

Attachment	Included	File / tab
Security and privacy evidence, if applicable	☐	
Business continuity summary	☐	
Pricing, lead times, and standard terms	☐	
Adverse-matter and conflict disclosures	☐	

1. Company Identity, Ownership, and Contacts

Full legal name

DBA / former names

Entity type, jurisdiction, and formation date

Federal tax ID / EIN

Website and main telephone

Headquarters address

Remittance address

Operating / manufacturing locations

Parent company and material affiliates

Primary goods or services proposed

1.1 Corporate and Ownership Disclosures

Is the applicant active and in good standing wherever required? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:*

Has legal name, ownership, or control changed within five years? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:*

Is a merger, sale, restructuring, or material control change planned? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:*

Will any affiliate invoice, ship, host data, or perform work? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:*

Does any owner, officer, director, or key employee have a financial or family connection with [Company] personnel? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Has any principal been convicted of fraud, bribery, theft, money laundering, sanctions violations, or a relevant felony? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

1.2 Key Contacts

Role	Name	Title	Email	Phone
Executive sponsor				
Sales / account				
Operations / quality				
Finance / banking				
Security / privacy				
Emergency escalation				

2. Tax, Banking, Financial Capacity, and Insurance

Legal name on tax return and tax classification

Requested payment terms and credit limit

Primary bank and authorized banking-change contact

Prior-year revenue and current employee count

Fiscal year end and financial-statement contact

2.1 Financial Condition

Has the applicant or a performing affiliate filed bankruptcy within seven years? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are there material liens, judgments, defaults, tax delinquencies, or going-concern concerns? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Has an auditor issued a qualified or adverse opinion within three years? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Does one customer represent more than 25% of annual revenue? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Can the applicant fund at least 90 days of operations without accelerated payment? ☐ Yes ☐ No ☐ N/A

Register / attachment ref.: _____

Are banking changes independently verified through a known contact? ☐ Yes ☐ No ☐ N/A Register /

attachment ref.: _____

2.2 Insurance

Coverage	Carrier	Occurrence	Aggregate	Expiration
General liability				
Workers compensation / employers liability				
Auto liability				
Professional / E&O				
Cyber / privacy				
Product / umbrella / other				

2.3 Coverage Conditions

Will required additional-insured, primary/noncontributory, and waiver-of-subrogation endorsements be provided?

☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Are there exclusions or material claims that could affect the proposed relationship? ☐ Yes ☐ No ☐ N/A

Register / attachment ref.: _____

3. Products, Services, Capability, and Capacity

Product / service categories and relevant codes

Years providing the proposed offering

Standard and expedited lead times

Minimum order quantity

Maximum sustainable monthly capacity and current utilization

Countries of origin and primary inputs

Standard warranty and end-of-life notice

Unique capabilities, constraints, and bottlenecks**3.1 Technical and Operational Controls**

Can drawings, specifications, statements of work, and revision controls be met? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are production, service, test, and inspection processes documented and repeatable? ☐ Yes ☐ No ☐ N/A
Register / attachment ref.: _____

Will written approval be obtained before changing design, material, source, process, location, software, or key subcontractor? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Can lot, serial, batch, version, or service-record traceability be maintained? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are nonconforming, counterfeit, suspect, expired, and customer-owned materials controlled? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are tools, fixtures, software, technical records, calibration, and preventive maintenance controlled? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Can prototypes, validation, production ramp, repair, spares, and lifecycle support be provided? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Capacity-expansion or constraint-mitigation plan

4. Quality Management**Quality standard / certification and scope**

Certification body, number, and expiration

Quality manager

Most recent external and internal audit dates

Target defect / escape rate

Corrective-action response target

4.1 Quality Controls

Is a documented quality system approved by senior management? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are documents, records, inspection criteria, and revisions controlled? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are suppliers qualified, monitored, and periodically re-evaluated? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are incoming, in-process, and final acceptance controls documented? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Is measuring and test equipment calibrated to traceable standards? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are nonconformances contained, dispositioned, root-caused, corrected, and trend-analyzed? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are complaints, returns, field failures, and warranty claims analyzed? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Can certificates, material records, test reports, and inspection results accompany shipments? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Can [Company] audit relevant facilities, processes, records, and subcontractors? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Will serious quality escapes be reported within [24] hours? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Three-year quality performance and major corrective actions

5. Supply Chain, Logistics, and Trade Compliance

List critical subcontractors, contract manufacturers, hosts, logistics providers, and single-source suppliers.

Company	Function / item	Location	Single source?	Data access?

Company	Function / item	Location	Single source?	Data access?

5.1 Supply-Chain and Delivery Controls

Are critical sources and lower-tier dependencies identified? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Are alternate sources or time-to-recover plans maintained? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Will material subcontracting require disclosure and approval? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Are quality, confidentiality, security, compliance, audit, and record obligations flowed down? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Are forced labor, child labor, trafficking, conflict-mineral, and responsible-sourcing risks addressed? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Can country of origin, tariff classification, ECCN, and chain-of-custody evidence be provided? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Are sanctions, denied-party, embargo, export-license, and destination controls performed? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Can purchase orders be acknowledged with confirmed price, revision, quantity, and date? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Are delays, shortages, substitutions, and partial shipments communicated before shipment? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Can required labels, ASN, packing lists, certificates, lot/serial data, and proof of delivery be supplied? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

Are hazardous goods and packaging requirements controlled by trained personnel? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.:* _____

6. Health, Safety, Environment, and Workforce

HSE program owner

TRIR / DART / lost-time incidents - prior year

Fatalities and serious incidents - past five years

Environmental permits and certifications

Total employees / temporary workers / contractors

Union-represented percentage and annual turnover

6.1 HSE and Labor Practices

Is there a written HSE program and documented hazard-assessment process? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are employees trained, qualified, and authorized for assigned tasks? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are incidents, near misses, spills, exposures, and notices investigated and corrected? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Have there been serious or repeated HSE citations within five years? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are hazardous substances inventoried, labeled, stored, and supported by current SDS? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are emergency, evacuation, first-aid, spill, and contractor controls tested? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are product environmental and restricted-substance obligations controlled? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are work authorization, age, wage, hour, leave, and worker-classification requirements verified? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are forced labor, recruitment fees, passport retention, discrimination, harassment, and retaliation prohibited? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are temporary agencies and labor brokers vetted and monitored? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Describe significant HSE, labor, or environmental matters and corrective action

7. Information Security and Privacy

Security / privacy responsible officer

Security framework or certification

Most recent independent assessment / penetration test

Critical vulnerability remediation target

Categories of [Company] and personal data expected

Hosting / storage countries and subprocessors

Maximum incident-notification commitment

Data retention and deletion method

7.1 Security and Privacy Controls

Is a risk-based security and privacy program approved by management? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are least privilege, access reviews, joiner/mover/leaver controls, and MFA implemented? ☐ Yes ☐ No ☐ N/A
Register / attachment ref.: _____

Are endpoints encrypted, patched, monitored, and protected by anti-malware / EDR? ☐ Yes ☐ No ☐ N/A
Register / attachment ref.: _____

Are networks segmented and logs centralized, monitored, protected, and retained? ☐ Yes ☐ No ☐ N/A
Register / attachment ref.: _____

Are vulnerabilities scanned and penetration tests performed for relevant systems? ☐ Yes ☐ No ☐ N/A
Register / attachment ref.: _____

Are secure development, code review, dependency scanning, secrets, and change controls used? ☐ Yes ☐ No
☐ N/A *Register / attachment ref.: _____*

Are backups encrypted, isolated, tested, and protected from ransomware? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Are subcontractors with data access assessed and contractually bound? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Is there a tested incident-response and disaster-recovery process? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Has a material breach, ransomware event, or business-email compromise occurred within five years? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Is personal data minimized, purpose-limited, retained, deleted, and handled under applicable privacy law? ☐ Yes
☐ No ☐ N/A *Register / attachment ref.: _____*

Are subprocessors and cross-border transfers disclosed and lawfully supported? ☐ Yes ☐ No ☐ N/A *Register / attachment ref.: _____*

Is [Company] data prohibited from training public/shared AI models without approval? ☐ Yes ☐ No ☐ N/A
Register / attachment ref.: _____

8. Business Continuity and Resilience

Continuity plan owner and last review date

Last exercise date and type

Recovery time objective

Recovery point objective

Maximum tolerable downtime

Alternate site / production strategy

Key-person dependency mitigation

Backup power / communications capability

8.1 Continuity Controls

Are critical processes, systems, facilities, people, suppliers, and utilities documented? ☐ Yes ☐ No ☐ N/A

Register / attachment ref.: _____

Are business impact analyses and risk assessments reviewed annually? ☐ Yes ☐ No ☐ N/A Register /

attachment ref.: _____

Are recovery strategies funded and aligned to recovery objectives? ☐ Yes ☐ No ☐ N/A Register / attachment

ref.: _____

Are plans exercised with documented results and corrective actions? ☐ Yes ☐ No ☐ N/A Register / attachment

ref.: _____

Can work, production, service, and records transfer to alternate resources? ☐ Yes ☐ No ☐ N/A Register /

attachment ref.: _____

Are single points of failure identified and mitigated or formally accepted? ☐ Yes ☐ No ☐ N/A Register /

attachment ref.: _____

Are critical inventory, tooling, source code, records, and intellectual property protected? ☐ Yes ☐ No ☐ N/A

Register / attachment ref.: _____

Will [Company] receive prompt notice of events threatening supply or service? ☐ Yes ☐ No ☐ N/A Register /

attachment ref.: _____

Three most significant continuity risks and mitigation dates

9. Legal, Ethics, Regulatory, and Conflict Disclosures

9.1 Compliance Program

Is there a code of conduct and compliance program with senior oversight? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Are personnel trained on anti-bribery, gifts, conflicts, fraud, competition, sanctions, and reporting concerns? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Is there a confidential reporting channel and non-retaliation protection? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Are allegations investigated and corrective actions tracked? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Are third parties risk-screened before and during engagement? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Are facilitation payments, improper advantages, and inaccurate books prohibited? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Has the applicant or a principal been suspended, debarred, excluded, sanctioned, or declared ineligible? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Has the applicant received material subpoenas, investigations, consent orders, recalls, or regulatory notices within five years? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Will [Company] supplier-code, record-retention, and audit obligations be accepted? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

9.2 Conflicts and Relationships

Has anything of value been offered to or requested by a [Company] employee or family member? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Does a [Company] person have an ownership, employment, creditor, referral, commission, or family interest in the applicant? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Did a current or former [Company] person assist with this opportunity or application? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Is a broker, agent, consultant, lobbyist, or intermediary paid based on winning [Company] business? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Is there any actual or apparent conflict not otherwise disclosed? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

List material litigation, recalls, regulatory matters, debarments, investigations, and every conflict disclosure

10. Commercial Terms, Service, and References

Pricing currency and validity period

Volume discounts and minimum charges

Freight, taxes, tooling, and setup charges

Cancellation, return, and restocking terms

Warranty period and remedy

Invoice method and EDI / portal capability

Support hours and after-hours method

Routine / critical response and resolution targets

10.1 Commercial Administration

Will purchase-order terms control unless expressly agreed otherwise? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Will price changes and added fees require advance written acceptance? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Can invoices reference PO, line, shipment, quantity, unit price, tax, and approved charges? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Will credits be issued promptly and duplicate invoices prevented? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Can invoice, price, service, and performance records be audited? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Will banking changes require verified written notice and independent callback? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Can performance measures, complaints, root cause, and corrective action be reported? ☐ Yes ☐ No ☐ N/A Register / attachment ref.: _____

Requested exceptions to purchasing, quality, insurance, security, privacy, or supplier-code requirements

10.2 Customer References

Organization	Contact / title	Email / phone	Relationship	Comparable work

11. Explanation and Exception Register

Record every No or N/A response, adverse matter, inconsistency, qualification, and requested waiver. Attach continuation pages when needed.

Item	Response	Detailed explanation	Corrective action / date	Attachment

Item	Response	Detailed explanation	Corrective action / date	Attachment

12. Applicant Certification and Authorization

- ☐ The signer is authorized to submit this application and make these certifications.
- ☐ All answers and attachments are true, complete, current, and not misleading by omission after reasonable inquiry.
- ☐ No material adverse information has been withheld because it is confidential, unresolved, embarrassing, or considered unlikely to be discovered.
- ☐ The applicant will report material changes within five business days during review and throughout any approved relationship.
- ☐ The applicant authorizes [Company] to verify information, contact references, obtain lawful business-risk information, and conduct risk-based assessments.
- ☐ The applicant understands approval may be denied, conditioned, suspended, or revoked and does not promise business.
- ☐ The applicant will comply with applicable law, signed agreements, purchase orders, approved corrective plans, and incorporated [Company] policies.

Authorized signer	
Title	
Signature	
Date	
Secondary executive approval	
Title	
Signature	
Date	

Application preparer name and contact information, if different

13. Internal Evaluation and Approval

Vendor: _____ Tracking no.: _____

Area	Weight	Score 1-5	Weighted score	Notes / conditions
Business need				
Identity / ownership				
Financial / insurance				
Capability / capacity				
Quality				
Supply chain / delivery				
HSE / workforce				
Security / privacy				
Continuity				
Legal / ethics				
Commercial / service				
References / disclosures				
TOTAL				

Decision

Risk tier: ☐ Low ☐ Moderate ☐ High ☐ Critical

Decision: ☐ Approve ☐ Approve with conditions ☐ Defer ☐ Deny

Approved scope and locations

Conditions, corrective actions, and due dates

Requalification: ☐ Annual ☐ Every 2 years ☐ Every 3 years ☐ Event-driven

Function	Name	Decision / signature	Date
Requesting department			
Procurement			
Quality / operations			
Finance			
Security / privacy			
Legal / compliance / executive risk owner			