



# Vendor Due Diligence Checklist

Complete

Score	0 / 0 (0%)	Flagged items	0	Actions	2
Company Name	ETW Manufacturing, Ltd.				
Location	Oklahoma, USA (35.0077519, -97.092877)				
Date	16.01.2024 07:07 PST				
Purpose of Due Diligence Check	Third-Party Supplier Sourcing and Screening for Q1 2024				
Vendor Name	AFLS Suppliers, Inc.				
Vendor Address	123 Bay Avenue, Colorado, USA				
Facilitator Name	Kim Sutherland				

## Actions

2 actions

Vendor Due Diligence / Business Information

### Business registration and licensing documentation

In Progress/For Follow-Up

Upon review, the vendor's business registration and licensing documentation are last updated in November 2023. Since the vendor recently acquired a smaller manufacturing facility, their current documents are still in processing. This needs to be followed up again next Monday, as the representative already gave us an advance heads-up last week.

**To do** | Assignee: SafetyCulture Staff | Priority: Low | Due: 22.01.2024 08:37 PST | Created by: SafetyCulture Staff

Follow up on the vendor's business registration and licensing documentation.

Vendor Due Diligence / Business Information

### Ownership structure and key stakeholders

In Progress/For Follow-Up

While the vendor's ownership structure is clear, along with its key stakeholders, we have to take into account the recent acquisition and how this affects the roles of the current stakeholders. This will be discussed in next week's all-hands session, so a follow-up is needed by then.

**To do** | Assignee: SafetyCulture Staff | Priority: Low | Due: 25.01.2024 08:37 PST | Created by: SafetyCulture Staff

Schedule a follow-up discussion on the vendor's ownership and stakeholder structure.

## Vendor Due Diligence

2 actions

Review the following:

### Business Information

2 actions

**Company name, address, and contact details**

Done

**Legal structure (corporation, LLC, etc.)**

Done

**Date of establishment**

Done

**Business registration and licensing documentation**

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**Organizational chart**

Needs Attention/For Improvement

Related to the previous items, this needs urgent attention from the vendor. We can't make any initial decisions while this is still pending. Our F&L team, together with our SLT, will prioritize this point of discussion this week with the vendor for any updates and urgent actions.

Also, attached is the vendor's current org chart as of January 16, 2024.

[AFLS Suppliers, Inc. - Organizational Chart \[2023\].pdf](#)

### Financial Information

**Audited financial statements for the last three years**

Done

**Current financial statements (balance sheet, income statement, cash flow statement)**

Done

**Bank statements**

Done

<b>Outstanding debts and liabilities</b>	Done
<b>Financial projections for the next three years</b>	Done
<b>Revenue breakdown by product or service</b>	Done
Regulatory Compliance	
<b>Business licenses and permits</b>	Done
<b>Regulatory filings</b>	Done
<b>Compliance with industry-specific regulations</b>	Done
<b>Environmental, health, and safety compliance</b>	Done
<b>Any ongoing or past legal disputes or regulatory actions</b>	Done
Contracts and Agreements	
<b>Overview of key contracts and agreements</b>	Done
<b>Client and supplier agreements</b>	Done
<b>Employment contracts</b>	Done
<b>Non-disclosure agreements</b>	Done
<b>Material contracts and their renewal dates</b>	Done
<b>Any change of control clauses</b>	Done
Intellectual Property	
<b>List of intellectual property assets (patents, trademarks, copyrights)</b>	Done
<b>Documentation proving ownership of intellectual property</b>	Done
<b>Any infringement claims or legal actions related to intellectual property</b>	Done
<b>Licensing agreements</b>	Done
Operations and Technology	
<b>Overview of business operations</b>	Done

<b>Technology infrastructure and systems</b>	Done
<b>Data security measures</b>	Done
<b>Disaster recovery and business continuity plans</b>	Done
<b>IT policies and procedures</b>	Done
Employee and Labor Relations	
<b>Number of employees and their roles</b>	Done
<b>Organizational structure and hierarchy</b>	Done
<b>Employee contracts and benefits</b>	Done
<b>Compliance with labor laws</b>	Done
<b>History of labor disputes or strikes</b>	Done
Insurance Coverage	
<b>Overview of insurance policies</b>	Done
<b>Coverage limits and deductibles</b>	Done
<b>Any pending insurance claims or history of claims</b>	Done
<b>Insurance certificates and expiration dates</b>	Done
Supply Chain Management	
<b>Key suppliers and vendors</b>	Done
<b>Supply chain risks and contingency plans</b>	Done
<b>Quality control measures</b>	Done
<b>Any supply chain disruptions in the past</b>	Done
Environmental and Social Responsibility	
<b>Environmental impact assessments</b>	Done
<b>Social responsibility policies and initiatives</b>	Done
<b>Corporate social responsibility reports</b>	Done

<b>Any history of environmental or social violations</b>	Done
Cybersecurity	
<b>Cybersecurity policies and procedures</b>	Done
<b>Data breach history, if any</b>	Done
<b>IT security infrastructure</b>	Done
<b>Compliance with data protection regulations</b>	Done
Due Diligence on Subcontractors	
<b>Identification of subcontractors and their roles</b>	Done
<b>Compliance of subcontractors with relevant regulations</b>	Done
<b>Security measures taken with subcontractors</b>	Done
Business Continuity and Disaster Recovery	
<b>Business continuity plans</b>	Done
<b>Disaster recovery plans</b>	Done
<b>Testing and validation of these plans</b>	Done
Corporate Social Responsibility (CSR)	
<b>CSR policies and initiatives</b>	Done
<b>CSR reports and achievements</b>	Done
<b>Community engagement activities</b>	Done
Health and Safety	
<b>Health and safety policies</b>	Done
<b>Incident reports and safety records</b>	Done
<b>Compliance with occupational health and safety regulations</b>	Done

## Completion

### Notes and Comments

While the vendor seems promising for our organization, there are still a lot of things to address as soon as possible. Hence, all documents and actions have been attached and assigned in this report for urgent attention.

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### Review and Approval



Ace Norman  
16.01.2024 08:50 PST

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### Facilitator Name and Signature



Kim Sutherland  
16.01.2024 08:50 PST

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## Media summary

## File summary

[AFLS Suppliers, Inc. - Organizational Chart \[2023\].pdf](#)