

Supplier & Contractor Compliance Checklist

ISO-aligned compliance portal process, from requirement definition to monitoring and improvement

ISO 37301 • ISO 9001 • ISO 14001 • ISO 45001 • ISO 27001

Use this checklist to run a structured supplier and contractor compliance process end to end. It mirrors the XGRC® Compliance Hub lifecycle, covering requirement definition, onboarding, document submission, validation, expiry management and continuous improvement. Tick each item as you complete it.

A Compliance Requirement Definition

- ☐ Define compliance requirements for suppliers and contractors
- ☐ Align requirements to applicable standards and regulations
- ☐ Develop structured compliance templates
- ☐ Assign internal ownership

B Supplier & Contractor Onboarding

- ☐ Register suppliers and contractors
- ☐ Provide access to compliance portal
- ☐ Communicate compliance requirements
- ☐ Assign onboarding responsibilities

C Document Submission

- ☐ Enable document upload by external parties
- ☐ Capture required compliance documentation
- ☐ Ensure completeness of submissions
- ☐ Maintain central document repository

D Validation & Approval

- ☐ Review submitted documents
- ☐ Validate compliance against requirements
- ☐ Approve or reject submissions
- ☐ Maintain audit trail

E Expiry & Renewal Management

- ☐ Define document expiry rules
- ☐ Track expiry dates
- ☐ Send automated reminders
- ☐ Ensure timely renewals

F Monitoring & Compliance Status

- ☐ Monitor compliance status across suppliers
- ☐ Identify non-compliant parties
- ☐ Track compliance trends
- ☐ Escalate issues where required

G Reporting

- ☐ Generate compliance reports
- ☐ Provide dashboards
- ☐ Report to management
- ☐ Highlight risks and gaps

H Continuous Improvement

- ☐ Identify improvement opportunities
- ☐ Update compliance requirements
- ☐ Improve onboarding processes
- ☐ Enhance monitoring and controls