SOP: Pre-qualification and Documentation Requirements

Purpose:

This SOP details the **pre-qualification and documentation requirements** necessary for evaluating and approving vendors, contractors, or suppliers. It outlines the criteria for assessing qualifications, the types of documents required such as certifications, licenses, financial records, and compliance reports, and the process for verifying authenticity and completeness. The goal is to ensure that all parties meet established standards and regulatory requirements before engagement, promoting quality, safety, and reliability in operations.

Scope

This SOP applies to all departments involved in the selection, evaluation, and approval of vendors, contractors, and suppliers.

Responsibilities

- **Procurement Team:** Ensure all pre-qualification requirements are communicated and met.
- **Compliance Officer:** Review submitted documents for completeness and authenticity.
- **Department Heads:** Approve or reject vendors based on evaluation results and compliance.

Pre-qualification Criteria

- Relevant industry experience
- Financial stability
- Possession of mandatory certifications and licenses
- Compliance with applicable laws and regulations
- Quality, safety, and performance standards
- References and performance history

Required Documentation

Document Type	Description	Requirement
Company Registration Certificate	Official document showing legal registration	Mandatory
Business Licenses	Relevant to sector and service offered	Mandatory
Tax Certification	Proof of tax compliance	Mandatory
Financial Statements	Audited statements for last 2-3 years	Mandatory
Insurance Certificates	Proof of valid insurance coverage	Mandatory
ISO/Quality Certifications	Relevant to products/services offered	As applicable
Health & Safety Reports	Compliance with safety regulations	Mandatory/As applicable
References	Client or project references	Mandatory

Process for Verification

1. Collect and log all submitted documents from prospective vendor/contractor.
2. Check authenticity and expiration of all documents with issuing authorities if necessary.
3. Assess documentation against established qualification criteria.
4. Document findings and provide feedback if additional information or clarifications are needed.
5. Approve or reject based on evaluation outcomes; notify applicant of decision.
6. Maintain records of all completed pre-qualification evaluations.

Review and Revision

This SOP should be reviewed annually or as required to ensure compliance with updated regulations and organizational requirements.

Appendix

- Pre-qualification Checklist Form
- Document Submission Template
- Contact List for Verification Authorities