Unilever Supplier Qualification System (USQS)

PI Supplier Information Pack – SQA Audit

July 2013
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Introduction
In order to meet the requirements of Unilever’s Supplier Quality Approval Programme, you are requested to complete a Quality Management System (QMS) audit conducted by an external (third party) audit company.

The request for the QMS audit arises from an assessment, made by Unilever’s technical experts, of the potential quality risks associated with the use of the material supplied for the manufacture of Unilever’s branded products. It does not replace the further need, should it be required, to conduct a technical audit of your site by qualified Unilever personnel at a later date.

It is now Unilever’s global protocol, in accordance with accepted industry best practices, to require a QMS audit of your site, or an equivalent certification, according to the following frequency:

- For High Risk materials – every 12 months
- For Medium Risk materials – every 24 months

Please note this audit must be conducted to one of the standards shown in Appendix 1.

It will be essential that the factory site/s are operating under normal production conditions at the time of the audit and full site access is given to the Audit Company. Further guidance around the Quality Audit can be found in Appendix 2 of this document.

**Note:** If you believe you already have in place an audit or certificate to the Standards listed in Appendix 1 of this document, then please either upload a copy of this certificate into your USQS Entry online or send the Audit report to Unilever-Audits@achilles.com
Booking Your Quality Audit

Step 1. Selecting your Audit House
As part of the request to undertake an audit of the production site(s) used to supply the purchased goods or services to Unilever, you are requested to select from one of the recognised Audit Companies for Quality Audits. In order to make your Audit Company selection as straightforward as possible Unilever have chosen to work closely with 3 audit providers in each Country. The list of recognised Audit Companies for Quality Audits follows (the list will vary depending on country/region of the audit):

<table>
<thead>
<tr>
<th>Country of Audit</th>
<th>Audit Company</th>
<th>Contact Person</th>
<th>Contact Email</th>
<th>Contact Telephone</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

In order to make the process as simple for you as possible, Achilles would like to distribute your contact details to the three audit companies listed above so that they can contact you directly to discuss audit. You have the following options:

- If you are happy to allow Achilles to distribute your contact details, please confirm your consent by selecting YES in the email and returning to Achilles.
  
  Achilles will then distribute your contact details to the Audit Companies shown above and they will be in contact.

- If you would not like Achilles to distribute your details, please confirm this by selecting NO in the email and returning to Achilles.
  
  If you do not wish for Achilles to share your contact details, please contact one, or all, of the three Audit Companies shown above to arrange an Audit.

Prior agreement to use an alternative Audit Company must be obtained in written confirmation from Unilever. Please contact Achilles in the first instance, by return email.

Once you have chosen which Audit Company you wish to work with, please inform Achilles by responding to this email. Please complete this step as soon as you have made your choice.
Step 2. Confirming your audit date with your chosen Audit Company

Once you have confirmed your chosen Audit Company to Achilles, Achilles will update this information in the Achilles system. It is now the responsibility of you and the selected Audit Provider to organise payment for the audit and confirm a date that the audit will take place. Once this date has been confirmed, the Audit House will use the Achilles system to feed the date back.

SQA Compliance Checklist

Can you now check you have completed the necessary Steps:

- Have you given Achilles permission to share your contact details? ............. □
- Have you selected your Audit Company? ..................................................... □
- Have you advised Achilles of which Audit Company you wish to use? ........ □
- Have you agreed an Audit Date with your chosen Audit Company? ........... □
- If you have one of the accepted Audit Standards in place, have you:
  - Uploaded your Certificate into your USQS Account? ............................. □
  OR
  - Sent your Certificate or Audit Report to Unilever-audits@achilles.com? .... □
Further Support

If you require further support during any of this process you can contact your local Achilles Hub using one of the numbers listed below, alternatively you can email Achilles on:

Unilever-SQS@achilles.com

<table>
<thead>
<tr>
<th>Hub</th>
<th>Regional Coverage</th>
<th>Contact Telephone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bratislava</td>
<td>Europe &amp; Africa</td>
<td>+ 421 (2) 2 09 92469</td>
</tr>
<tr>
<td>India</td>
<td>Indian Sub-Continent / Middle East</td>
<td>+91 (0)22 32947073</td>
</tr>
<tr>
<td>Hong Kong</td>
<td>South East Asia / Australia / New Zealand</td>
<td>+852 3616 6732</td>
</tr>
<tr>
<td>Chile</td>
<td>Central &amp; South America</td>
<td>+56 2 585 9662</td>
</tr>
<tr>
<td>Columbia</td>
<td>North America</td>
<td>+ 1 954 604-6041</td>
</tr>
</tbody>
</table>

Appendix 1 – Accepted External Audit Protocols

1.0 Purpose

The document is published to provide the list of audit protocols which are accepted by Unilever for Supplier Quality Approval (SQA).

2.0 Introduction

Unilever Supplier Quality Approval (SQA) is a process for assuring compliance of suppliers to basic Good Manufacturing Practices (GMP) and Consumer Safety standards.

Supplier in the context of this standard is identified as any third party supplying materials and services within Unilever supply chain from product manufacturing to store shelf which directly or indirectly impact Unilever products.

Suppliers must be approved through SQA process before any goods or services can be purchased from them for any operation which impact Unilever products.

Supplier of High or Medium risk material must be approved based on certification or audit report from an external standard which is listed in Accepted Audit Protocols.

Supplier of Low risk material must complete and pass Supplier Self Assessment (SSA).

The audit for suppliers of high and medium risk material must be conducted by an audit house that has license to perform audit from the organization who owns the respective audit protocol.
The audit house must be registered to national accreditation body under International Accreditation Forum for the country where audit is performed.

3.0 Note on UQP-34 Unilever Global Supplier Audit Standard

In 2012, there was audit protocol which was developed internally by Unilever named as “UQP-34 Unilever Global Supplier Audit Standard”.

The audit protocol was applicable until Dec 2012. From 1st January 2013, suppliers need to be certified / audited against other standards which are available in the list of Accepted Audit Protocol.

Suppliers that have been approved in 2012 against UQP-34 Unilever Global Supplier Audit Standard will remain approved according to Unilever audit frequency.

4.0 Type of Supplier

Each type of supplier has different set of accepted audit protocol which are suitable for their operation.

Suppliers are classified as:

- Manufacturer of Raw Material Food
- Manufacturer of Raw Material Home and Personal Care (HPC)
- Manufacturer of Packaging Material Food
- Manufacturer of Packaging Material HPC
- Third Party Manufacturing (3PM) for Food
- Third Party Manufacturing (3PM) for HPC
- Third Party Logistic for Warehouse
- Agent / Trader / Distributor / Broker

<table>
<thead>
<tr>
<th>SQA Audit Protocols - Full list</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Manufacture of Raw Material Foods</strong></td>
</tr>
<tr>
<td>BRC Global Standard For Food Safety, v6</td>
</tr>
<tr>
<td>IFS Food v6</td>
</tr>
<tr>
<td>SQF code</td>
</tr>
</tbody>
</table>
### Manufacture of Raw Material HPC
- **Global Red Meat standard v4.1**
- **NSF Supplier Assurance Food Processing Facility Audit**
- **Grocery Manufacturers Association Supplier Audits for Food Excellence (GMA SAFE)**
- **Global Aquaculture Alliance BAP Issue 2 (GAA Seafood Processing Standard)**
- **Global Good Agriculture Practice IFA scheme V4**
- **Canada GAP**
- **Primus GFS v1.6**

### Manufacture Pack. Material Foods
- **European Federation for Cosmetic Ingredients (EFFCI) – GMP for cosmetic ingredients**
- **IFS HPC version 1**
  - The Pharma standards Q7a (Pharma GMP's) and Q9 (Pharma HACCP) in combination with ISO 9001
  - **BRC consumer goods V3**
  - **NSF Supplier Assurance Chemical Audit**
  - **USP Verified - United States Pharmacopoeia Pharmaceutical Ingredient Verified**
  - **IPEA Excipient GMP Compliance**

### Manufacture Pack. Material HPC
- **FSSC 22000**
- **ISO 22000+ PAS 223:2011**
- **BRC IoP v4**
  - **IFS Pacsecure**
  - **BS EN 15593:2008 (Packaging. Management of hygiene in the production of packaging for foodstuffs) in combination with ISO 9001**
  - **Grocery Manufacturers Association Supplier Audits for Food Excellence (GMA SAFE)**
  - **NSF Supplier Assurance Food Packaging, Food Related Items and Personal Care Audit.**
  - **SQF code**

### 3PM Food
- **BRC IoP v4**
- **IFS Pacsecure**
  - **ISO 15378 : Primary Packaging Material for Medicinal Product**

### SQF code
- **Manufacturing Pack Material HPC**
  - **BRC Global Standard For Food Safety, v6**
  - **IFS Food v6**
  - **SQF code**
  - **Global Red Meat standard v4.1**
  - **NSF Supplier Assurance Food Processing Facility Audit**
  - **Grocery Manufacturers Association Supplier Audits for Food Excellence (GMA SAFE)**
<table>
<thead>
<tr>
<th>Audit Protocol</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>3PM HPC</td>
<td>Global Aquaculture Alliance BAP Issue 2 (GAA Seafood Processing Standard)</td>
</tr>
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<td></td>
<td>Global Good Agriculture Practice IFA scheme V4</td>
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<td></td>
<td>Canada GAP</td>
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<td></td>
<td>Primus GFS v1.6</td>
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<tr>
<td>3P Logistic</td>
<td>BRC consumer goods V3</td>
</tr>
<tr>
<td></td>
<td>IFS HPC version 1</td>
</tr>
<tr>
<td></td>
<td>ISO 22716: 2007 - Cosmetics - Good Manufacturing Practices (GMP)</td>
</tr>
<tr>
<td></td>
<td>European Federation for Cosmetic Ingredients (EFFCI) – GMP for cosmetic ingredients</td>
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<td>The Pharma standards Q7a (Pharma GMP’s) and Q9 (Pharma HACCP) in combination with ISO 9001</td>
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<td>NSF Supplier Assurance Chemical Audit</td>
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<tr>
<td></td>
<td>USP Verified - United States Pharmacopeia Pharmaceutical Ingredient Verified</td>
</tr>
</tbody>
</table>

The audit generally will cover areas as below, however it will vary depend on which audit protocol is used:

- Corporate policy / principles
- Corporate structure
- Management review
- Risk management / HACCP
- Documentation requirements
- Record keeping
- Human resources management
- Training
- Contract review
- Product specifications
- Traceability
- Internal audits
- Product release
- Management of non-conforming products
- Management of complaints
- Management of incidents, product withdrawal / recall.
- Corrective actions and improvement.
Appendix 2 – Audit Guidance

The audit request is made on behalf of Unilever to the Audit Client in line with Unilever’s Supplier Quality Approval (SQA) programme.

Terminology and Standards

1.1 Audit Client

The Audit Client is a supplier to Unilever i.e. supplying goods or services to any of the Unilever entities or affiliates.

The Audit Client commissions the audit(s) for all production sites, currently supplying goods and services to Unilever, under the Audit Client’s control and as requested by Unilever.

The Audit Client agrees to commission the audit from an audit company, licensed to conduct audits to one of Unilever’s recognised standards. This company must be recognised by Unilever as a competent auditing body.

The Audit Client confirms his consent to share the Audit Report within 5 working days of receipt. This report should be submitted to Achilles (otto.alexander@achilles.com) for Unilever reference.

1.2 Unilever

Unilever shall be referred to in the Audit Report as “customer”.

The data contained in such reports must be confined to Unilever’s Supplier Quality Approval information only and must be free of information confidential to the Audit Client and Unilever relationships, such as any reference to commercial terms (prices, volumes) and free of any descriptions of materials or services provided etc.

In case of a violation of this provision, the Audit Client is requested not to share the report with other customers.

1.3 Audit Scope

All production sites that currently supply goods and services to Unilever are in scope for audit.

2. Basic information to be provided to you

The Audit Company should provide you with basic information on the audit criteria and process. These include:

- Audit scope
- Audit plan
- List of documentation to be accessible on the day of the audit
- List of key people required to be available