

# SQE+ AUDIT MATRIX - 2020

Tier	Ingredient Categories <i>(List is not all inclusive - refer to the Raw Material Tier Assignment list for details)</i>	Qualification Process <i>(new)</i>	Accepted Audits & Certifications <i>(ongoing)</i>	Target Freq.* <i>(years)</i>
1	<b>Dairy Products (dried powders, exc lactose), Treated Nuts and Seeds, Cocoa Chocolate Confectionery, Dried Fruit (raisins / sultanas), Extruded Cereal Products</b> RTE Meats, RTE Cheese, RTE raw fruits and vegetables., RTE Seafood	Mondelez SQE+ Audit, GFSI Certification and report	Mondelez SQE+ GFSI certifications and report	1-2
2	Coconut, <u>Treated</u> Herbs/Spices/Seasoning, Treated Tea & Tea Products; Treated Egg & Egg Products; <b>Dairy Products (other than dried powders &amp; AMF)</b> , Yeast (Non baking) Enzymes, Cultures, Vegetable Products (pH>3.5), <b>Other Fruit &amp; Fruit Products pH&gt;4, natural gums &amp; thickeners (e.g gum arabic), Talc Heat treated</b>	Mondelez SQE+ Audit, (remote may apply) GFSI Certification and report	GFSI Certification and report, <b>SQE+ maybe required</b>	2-3
3	Retorted & Aseptic Products including seafood (Low Acid Canned Foods), Sugar Confectionery; Yeast (Non baking) Enzymes, Cultures, dried fruits <i>(other than raisins/sultanas)</i> ; flavorings, <b>gelatin, natural colours</b>	Mondelez SQE+ Audit, GFSI Certification and report	GFSI Certification and report	3
4	Grain & Grain Products**, Emulsifiers; Prepared Sauces/Spreads/Condiments, Coffee & Coffee Products, Bread & Bakery Products <i>(excluding extruded cereal products)</i> ; Salt Sugars** & Sweeteners (Lactose); Starter Media/Culture; Fats & Oils <i>(inc AMF)</i> ; Food Additives; Raw Meat & Raw Meat Products, Food Chemicals Hydrocolloids & Gums, <u>Untreated</u> herbs/Spices/Seasoning; Direct Contact Packaging Material (See packaging Audit matrix, Labeled and Unlabeled, Non-Contact Packaging Material Labeled); Chemicals-Distillation, Crystallization, Extraction, <b>Talc non-heat treated</b> , Cheese for processing, Liquid / Frozen Egg products, Yeast For baking/Further processing, Fruit Products pH<4; Vegetable Products pH<3.5  Tier 4 materials subject of sensitivity/ CoA verification due to its composition should be managed accordingly through the HACCP Validation at a Plant level and further validated with Food Safety	GFSI Certification and report (risk assessment may require SQE+ audit on some suppliers, remote may apply)	GFSI Certification and report	3
5	Raw Milk & Cream, <sup>3</sup> Nationally Branded Confections; Green Coffee Beans; Raw Cocoa, Compressed Gases; Raw Grains; Raw Nuts/Seeds/Coconut; Alcoholic Substances (Spirits, Liquors); Cream, Liquid Whey and Liquid Milk (Bulk Only), Sodium Hydroxide, Raw Agricultural Vegetables, Gum Base,	Audits may be required as result of a risk assessment by BU or Plant using the material. A Risk assessment or Audit must be on file for all approvals going forward.		4

\*Frequency can change based on Supplier Prioritisation

\*\*Known material groups of extraneous matter risk to be audited

# SUPPLIER PRIORITIZATION FOR FOOD SAFETY

## HAZARD (TIER) x EXPOSURE x SUPPLIER PERFORMANCE

<b>TIERING</b>	<b>Tiering</b> Material based on Micro sensitivity and/or based on Performance (RFT/P1 QN)
<b>EXPOSURE</b>	<b>Exposure</b> material usage without kill step, has there been a previous onsite assessment & validation of lethal process, priority site based on procurement – sole supplier / stability, volumes, number of materials & plants. Trusted supplier with proven history, heavily regulated site / country, approval request that impacts food safety programs
<b>PERFORMANCE</b>	<b>Performance</b> input based on previous audit - food safety key drivers, past year’s food safety performance (QN’s, pathogen isolations, special situations), outstanding food safety related CAPA - response/timing agreement, commitment/compliance to CAPA timeline, onsite verification required to close CAPA, or specific requests from auditing based on other food safety hazards
<p>✓ Based on the above, Auditing plan the Food Safety <b>Audit Schedule</b></p>	
<p>✓ Auditing Team generate an Audit schedule defining: <b>Who is going, Where, To look at What</b></p>	

## SUPPLIER PRIORITIZATION FOR FOOD SAFETY

HAZARD-TIERING X EXPOSURE  
X SUPPLIER PERFORMANCE

- ✓ **Tiering Tier 1** material based Micro sensitive and/or based on Performance (RFT/P1 QN)
- ✓ **Exposure** material usage without kill step, has there been a previous onsite assessment & validation of lethal process, priority site based on procurement – sole supplier / stability, volumes, number of materials & plants. Trusted supplier with proven history, heavily regulated site / country, approval request that impacts food safety programs
- ✓ **Performance** input based on previous audit - food safety key drivers, past year's food safety performance (QN's, pathogen isolations, special situations), outstanding food safety related CAPA - response/timing agreement, commitment/compliance to CAPA timeline, onsite verification required to close CAPA, or specific requests from auditing based on other food safety hazards
- ✓ Based on the above each year audit plan the food safety **Audit Schedule**
- ✓ Auditing Team generate an Audit schedule defining:
  - ✓ **Who is going**
  - ✓ **Where**
  - ✓ **To look at what**