

# Unilever Responsible Sourcing Programme

## Audit Requirements

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### Responsible Partner Policy

Launched in 2022, the Unilever Responsible Partner Policy (RPP) replaces our Responsible Sourcing Policy (RSP) which was introduced in 2014 and refreshed in 2017. The RPP is the policy document defining the requirements of our Responsible Sourcing Programme.

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### Responsible Sourcing Programme

All suppliers regardless of size, type or risk, are required to go through initial and then re-registration on an annual basis in the Unilever Supplier Qualification System (USQS) database. The registration consists of three elements:

1. **Declaration** – made by suppliers confirming that they have read the RPP and commit that they have their own codes, policies, procedures and practices in place to ensure that they can meet or exceed the Mandatory Requirements contained in the RPP's Fundamental Principles.
  2. **Self-Assessment Questionnaire (SAQ)** – suppliers are asked to complete an SAQ providing further information about the supplier's business and relationship with Unilever.
  3. **Audit** – a risk analysis will be performed based on the responses provided in the SAQ and audits by a third-party auditor may be required for certain types of suppliers.
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### Audit verification – based on risk

Unilever uses two types of audits based on the type of product or service delivered by the supplier. In general:

- Suppliers handling or supplying raw materials and finished goods: will need to register their sites and all sites meeting certain criteria will be required to conduct an on-site social compliance audit. Handling of materials or finished goods includes; Collaborative Manufacturing sites, warehouse and logistics providers. Unilever accepts the following on-site audit (see note\* below for agricultural suppliers):
  - [SEDEX SMETA \(4 Pillar\) audit](#)
- Suppliers providing equipment or services to Unilever: suppliers meeting certain criteria will be required to conduct a remote/desk-top social

compliance assessment. Unilever recognises the following for remote/desk-top assessments:

- [EcoVadis Sustainability Assessment](#)

The SEDEX SMETA (4-pillar) audit is an industry leading audit methodology commonly used within the industry for social/ethical audits. Unilever's own audit standard the 'Understanding Responsible Sourcing Audit' (URSA) was retired at the end of 2022; from 2023, Unilever will only accept the use of SMETA audits. For any new on-site audits, suppliers must use the SMETA (4-pillar) audit and it must be conducted by one of the currently approved audit companies (see list below). EcoVadis is also regarded as an industry leader in remote/desk-top audits.

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### Audit owner

Suppliers are expected to cover the cost of the audit and as the owner of the audit may use the output of the audit for the requirements of any of their other customers without any further approval from Unilever. The transactional and financial relationship is between the supplier and the audit company; however, Unilever must have access to the full audit report and supporting documentation from the audit, and the auditor must upload the results to Unilever's USQS system. Please note: SMETA audits will require some conversion for upload to our USQS system, for which audit companies may charge separately.

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### Audit validity and remediation

Audits have a validity of 1, 2 or 3 years based on the outcome of the audit, with a new audit required prior to the expiry of the previous validity period. Any non-conformances found during an initial on-site audit must be remediated by the supplier and closed out through a follow-up audit conducted within 90 days of the initial audit. **Please take the potential need for a follow-up audit into account when contracting the services of an audit company.** Any serious non-conformances found – identified by Unilever as 'Key Incidents' – will require a corrective action plan to be submitted to Unilever via USQS within 7 days from the date of the initial audit.

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### Audit upload and updates

Both audit companies and suppliers have responsibilities to input and update the USQS system to provide Unilever with the outcome of the audit. Audit companies need to upload audit documentation and the outcome of the initial and follow-up audits, while suppliers are required to input corrective actions against each non-conformance identified; both within specified timeframes.



Further details can be found on [www.unilever.com](http://www.unilever.com) at [www.unilever.com/responsible-partner-policy](http://www.unilever.com/responsible-partner-policy) and on our [Supplier Centre](#). For questions, please contact our Help Desk at: [USQS.helpdesk1@unilever.com](mailto:USQS.helpdesk1@unilever.com)

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**Unilever has made a commitment to only source from suppliers who are compliant with the requirements of the RPP.**

**Please note: Unilever will check compliance with the RPP every time we create new vendors or initiate new Purchase Orders in our procurement systems. Failure to maintain your compliance to the requirements of our Responsible Sourcing Programme may risk our ability to do business with you.**

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#### **Approved Audit Companies (in alphabetical order):**

- Bureau Veritas (BV)
- Control Union (CU)
- Det Norske Veritas (DNV GL)
- Elevate
- Intertek
- Partner Africa - for use in Africa only
- SGS
- Social Compliance Service Asia Ltd. (SCSA) – for use in Asia only

N.B. This list is valid as of December 2022 and subject to change

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#### **\*Note for Agricultural raw material suppliers**

Agricultural raw material suppliers who conform to the requirements of Unilever's Sustainable Agriculture Code (2017) and the 2017 Sustainable Agriculture Code Scheme Rules, are also considered compliant to the RSP requirements while their certification according to these rules is valid and current. Such suppliers can submit their current and valid certification in place of the audit requirements in USQS. For details, please read about [Protecting biodiversity and regenerating Nature](#) on our website or our [Sustainable Agriculture Code](#).

