



SUPPLIER AUDITS: STRATEGIES & TOOLS FOR BETTER RESULTS



KTL INTRODUCTION

- Food safety, EHS & quality consulting firm based in Madison, WI & Atlanta, GA
- Food safety services include:
 - Auditing & assessments, including **second-party supplier audits**
 - Food safety management system (FSMS) development & implementation
 - GFSI certification support (FSSC 22000, SQF, BRCGS, IFS)
 - Regulatory compliance assistance (FDA FSMA, USDA, HACCP)
- Data management solutions
- Training (FSPCA lead instructors)
- Tailored solutions to address compliance & certification requirements
- Focus on building strong, long-term client partnerships



STRATEGIES TO IMPROVE SUPPLIER MANAGEMENT

- Integrate standardized tools and data management practices to improve program efficiency and streamline audit management
- Improve direct and effective communication with suppliers
 - Time is valuable
 - Relevant documentation/records
- Involve cross-functional teams



- Leverage a second party to conduct onsite supplier audits
- Centralize and analyze supplier audit data
- Focus on hazard/risk analysis

SUPPLIER APPROVAL: RISKS AND CHALLENGES

- Standard operating procedures (SOPs) **developed** vs. SOPs **implemented**
- Monitoring records appropriate, completed, verified
- Many suppliers will not share regulatory inspection data externally but will share and discuss onsite
- Visual observation of onsite activities gives a better understanding of the state of the management system



SECOND-PARTY SUPPLIER AUDITS



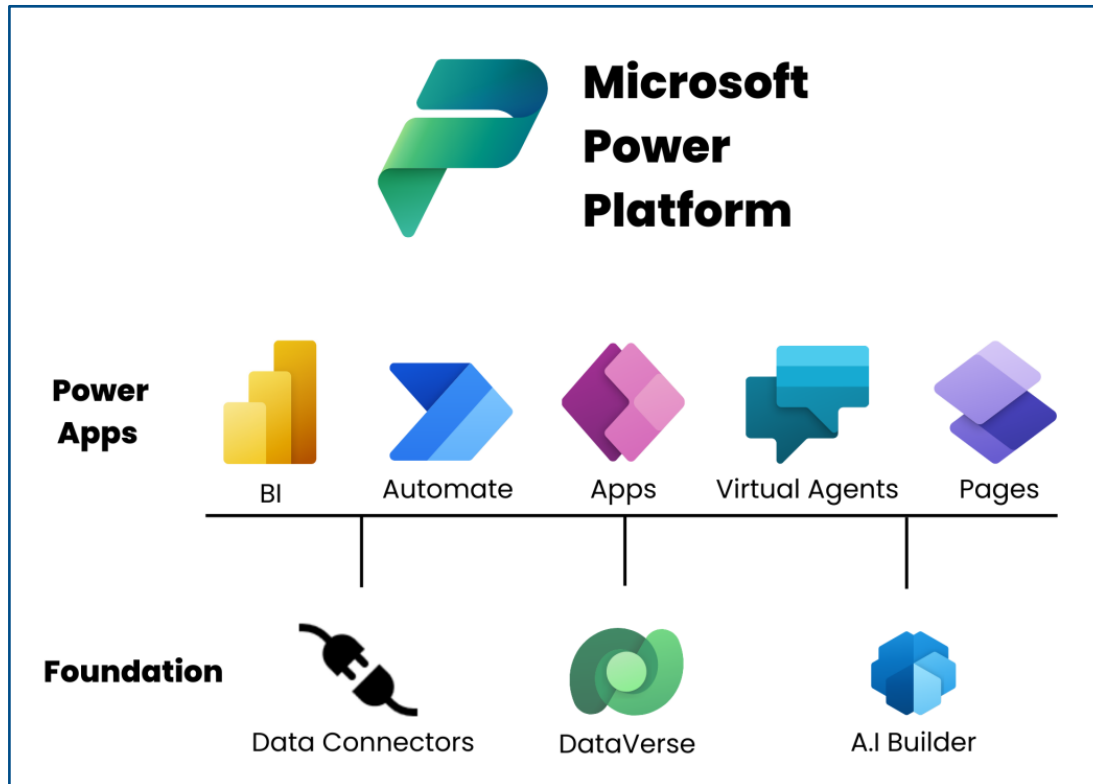
TOP FINDINGS: KTL SUPPLIER AUDITS



- Insufficient cleaning and quality inspection before area/equipment release
- Noncompliance with good manufacturing practices (GMP) requirements
- Inadequate process validation
- Improper handling and storage of materials
- Noncompliance with visitor requirements
- Poor facility maintenance and cleaning
- Lack of validation of corrective actions taken
- Poor environmental monitoring
- Lack of pest control mitigation when issues arise



INTEGRATE IT TOOLS: MICROSOFT POWER PLATFORM[®]



- Low-cost, in-house platform supported by most IT departments
- Familiar Microsoft tools
- Webpages, documents, data, dashboards in one platform
- Easy to integrate existing data
- User-customized with web browser

SUPPLIER MANAGEMENT SYSTEM COMPONENTS

Effectively manage program implementation and supplier performance and help ensure high-quality, safe, and consistent products

- Centralized supplier inventory
- Supplier risk assessment/evaluation tool
- Supplier documents and records management
- Supplier approval workflow
- Supplier audits

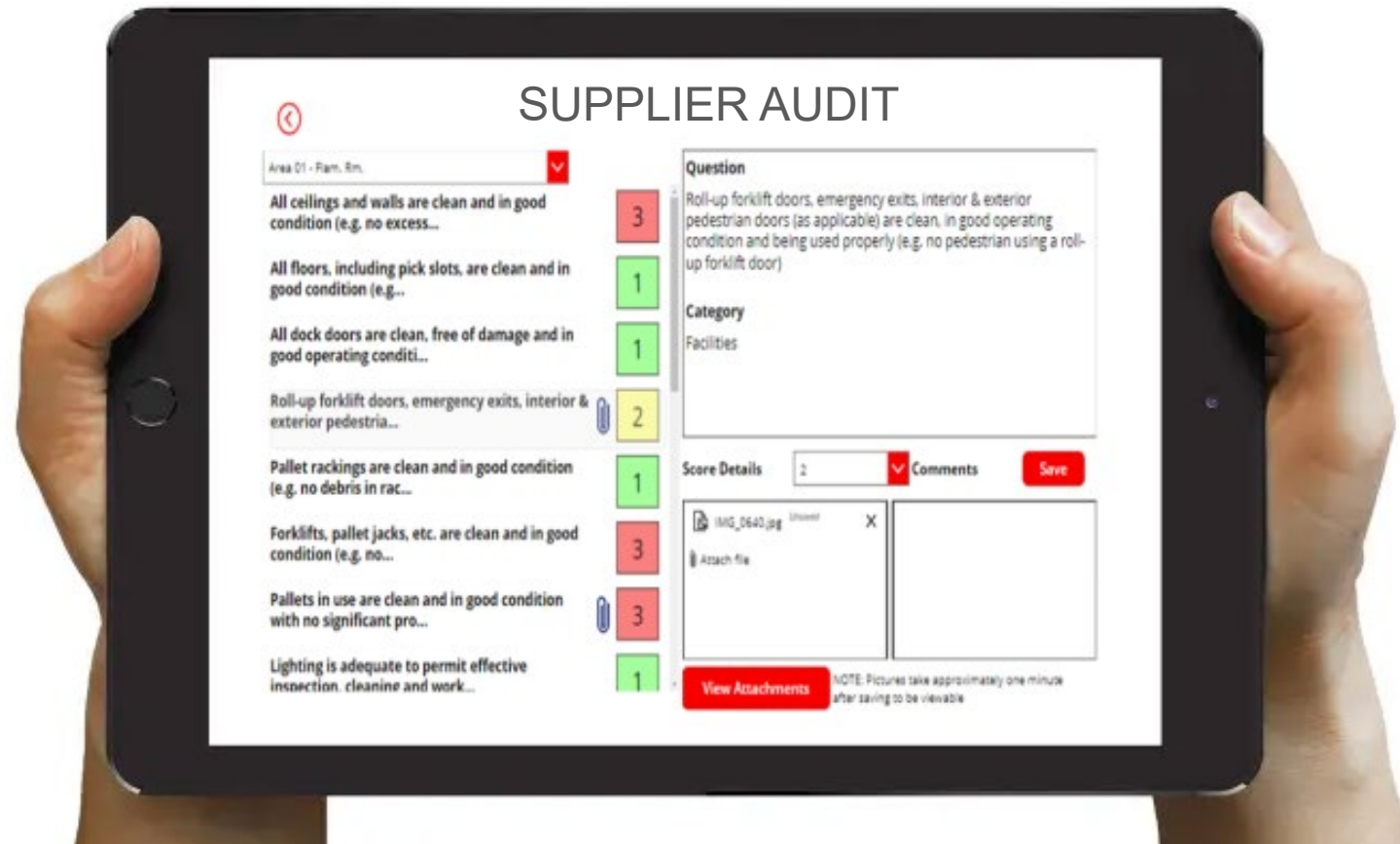
The screenshot displays two main components of the Supplier Management System interface. The top component is a 'General Information' form with fields for Supplier Name, HQ Address, Contact Name, Email, Cell/Phone, Risk Level, Vendor Type, Approved Vendor Questionnaire, Food Safety Complaints, and Country of Origin. The bottom component is a 'Vendor Database' table with columns for Company Name, HQ Address, Country of Origin, Contact Name, Email, and Cell/Phone. The table lists various suppliers such as Forefront Global Logistics, KTL, Lineage Logistics PFS, LLC, Matrix Sciences, McCloud Pest Solutions, McCook Cold Storage, Merieux NutriSciences (MXNS), Prostar Staffing, QVest Sanitation, and Waste Management.

Company Name	HQ Address	Country of Origin	Contact Name	Email	Cell/Phone
Forefront Global Logistics	1100 Landmeier Rd, Elk Grove Village, IL 60007	Domestic or Exempt	Daniel Shirazi	dshirazi@forefrontlog.com	630-673-0125
KTL	199 East Badger Road, Suite 200, Madison, Wisconsin 53713	Domestic or Exempt	Roberto Bellavia	rbellavia@kestrellevate.com	773-491-1411
Lineage Logistics PFS, LLC	7035 W 65th St, Chicago, IL 60638	Domestic or Exempt	Eric Chesser	Echesser@lineagelogistics.com	773-268-3400
Matrix Sciences	1061 Feehanville Dr, Mt Prospect, IL 60056	Domestic or Exempt	Rich Ramilosa	MPCS@matrixsciences.com	847-272-8700
McCloud Pest Solutions	150 Peabody Place, Memphis, TN 38103	Domestic or Exempt	Patrick Evans	admin@mccloudservices.com	800-332-7805
McCook Cold Storage	8801 W 50th St, McCook, IL 60525	Domestic or Exempt	Matthew Stokwisz	mstok@mccookcold.com	70838725851001
Merieux NutriSciences (MXNS)	401 N Michigan Ave # 1400, Chicago, IL 60611	Domestic or Exempt	Mercy Rungi	getresults-sw@mxns.com	877-331-0866
Prostar Staffing	3908 25th Ave, Schiller Park, IL 60176	Domestic or Exempt	David Narug	dnarug@promanstaffing.com	630-433-7241
QVest Sanitation	205 SE 2nd St, Guyton, OK 73942	Domestic or Exempt	Drew Mowen	dsmowen@questsanitation.com	
Waste Management	4612 W Lake St, Melrose Park, IL 60160	Domestic or Exempt	Ryan Huisman	Rhuisman2@wm.com	866-570-4702



KEY FEATURES

- Mobile forms
- No programming
- Track requirements & tasks
- Send/receive email notification
- Upload & manage documents, data & records
- Real-time, interactive dashboards



SUPPLIER AUDIT TOOL

- Create custom audit templates and questions for each audit
- Add new suppliers/locations
- Capture and verify supplier compliance
- Evaluate supplier risks
- Track audit progress

Facility Level Risk Level Evaluation

Supplier Information:

Supplier	Facility Name	Facility Address	Date Approved	Corporate Address Line	Evaluation Type
			4/23/2025		New

Product Description: Notes

New Facility Risk Level Evaluation - Page 1 Page 2 Page 3 Information Sources

Inherent Risk Level Select the business type and associated risk level description for the facility using the appropriate Supplier Business Type matrix. These values will be used to adjust the Inherent Risk Score.

* Supplier Business Type * Inherent Risk Level Description

Risk Score Issue Calculator Using public information and information from the Supplier, select the appropriate choices for the criteria within the form below. If the criteria is not applicable or the information is not found, select the corresponding values.

Product on the FDA Food Traceability List and confirmed by Supplier if needed Product has been subject to a lawsuit within last 10 years

Listeria Plan for any post-lethality Ready to Eat (RTE) n

FDA Audits with Official Action Indicated within last 5

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Supplier Details - Launch Product Issues Launch Supplier Documents

Contact Information:

Sales Contact Name Sales Contact Email
The Risk Sales@broadbooks.com
QA Contact Name QA Contact Email
Brian Wood Brian@broadbooks.com

Save Supplier Information

Facilities: Select a facility from the list below to view details and manage evaluations.

Approved Approved Approved

Facility Information:

Product Description Facility Address
The Risk 1512 Saddle St - Westboro, MA 01581

(2024) 3rd Party Audit Date Date of Desk Audit Verification
Thu, Sep 12, 2024

Date of Next Verification Facility Type
Mon, Sep 13, 2027 Warehouse

(2024) 2nd Party Visit Date Risk Issue Score
1.5

Inherent Risk Level Adjusted Risk Level
5 4

Communications

View Evaluations New Evaluation

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Scores and Levels have been calculated based on your responses. If you need to make changes, close this pop-up and modify the evaluation. Use the 'Save' button to save your progress if you wish to continue working on the Risk Evaluation later. When you are ready to finalize the evaluation, click the 'Proceed to Finalize' button.

Adjusting Risk Level If the above Risk Issue Score requires an adjustment to the Risk Level, apply the adjustment and record the Adjusted Risk Level below. Complete the FDA Risk-Based Mitigation Activities on the facility for the Adjusted Risk Level.

Adjusted Risk Level Notes

4

Save

Set Score / Finalize Evaluation



BENEFITS

- Simplify management of suppliers & related compliance requirements
- Easily organize & retrieve records & documents
- Monitor supplier performance & ensure continual improvement
- Leverage existing Microsoft platform
 - System, information & data are yours
 - Lower cost than many third-party software tools
- Create IT department buy-in with minimal support needed





CONTACT US

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