

This document ensures ingredient suppliers are aware of The Coca-Cola Company (TCCC) requirements for quality and food safety. These requirements support the TCCC supplier authorization process, including facility audits, and are to be followed in addition to the general supplier requirements defined in Supplier Requirements- General (SU-RQ-005).

This document applies to ingredient suppliers of The Coca-Cola Company.

Requirements

Management

- 1 Meet all requirements in this document, along with TCCC Supplier Requirements – General (SU-RQ-005) (and any category-specific documents), agreed specifications, and other agreed TCCC processes.
 - 1.1 Demonstrate that current TCCC specifications and requirements are adhered to and accessible when needed.
- 2 Design, implement and maintain a quality management system equivalent to ISO 9001.
 - 2.1 Ensure that management commitment and critical resources are provided to support the quality management system.
- 3 Obtain certification to one of the Global Food Safety Initiative (GFSI)-recognized food safety management schemes, including full implementation of food fraud and food defense programs.
 - While the content of the quality and food safety management systems are not listed in this document, all the requirements therein apply. Any noncompliance with these requirements may be raised during any on-site visit from TCCC.
 - 3.1 If not yet GFSI certified, suppliers must, at a minimum, have implemented a HACCP program based on the Codex Alimentarius prior to any supply and for limited authorization.
 - 3.2 Notify the TCCC operational unit (OU) and/or Commercial Product Supply (CPS) of any changes of status in GFSI certification.
- 4 For agricultural ingredients, ensure that the primary source materials comply with regulatory requirements for both the country of origin and country of use.
- 5 Notify the Coca-Cola Bottling Plant or CPS plant receiving the materials, as well as the OU/CPS contacts, on changes/incidents with potential impact to quality, food safety, and security.
 - 5.1 Provide the following documentation/declarations as requested by TCCC contact:
 - Genetically modified organisms (GMO) statement, where applicable and based on European Union directives and other countries that may require GMO declaration.
 - Allergen status and updates to status changes, using the Global Food Allergen and Sensitivity Template (SU-FM-110).
 - Supplier documentation related to ingredient shelf-life.

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- Other documents required by local regulation, such as certificates of legality, certificates of origin, or customs classifications.
 - Other declaration documents, such as religious certifications and organic certification.
- 6** Implement good laboratory practices (GLP) for any on site laboratory, including:
- validated methods
 - trained analysts and
 - calibrated and verified equipment.
- 7** Suppliers that outsource testing must have a process to select the laboratory to ensure that the results are accurate, reliable and reproducible.
- 7.1** Where requested by the TCCC OU/CPS, use only TCCC-approved laboratories for testing.

Operational

- 8** Demonstrate that materials supplied to the Coca-Cola system comply with purchased material specifications.
- 9** Implement a system to detect and prevent contamination (physical, chemical, biological or odor).
- 9.1** For metal contamination, implement the use of sieves, magnets, metal detection or x-ray to effectively prevent contamination
- Note that it is not required to use all four (sieves, magnets, metal detectors and x-rays). Rather, use what is needed from this to manage the risk of contamination from metal.
- 9.2** For agricultural residues, chemical and microbiological contamination control:
- 9.2.1** Use only local regulatory-approved chemical and processing aids.
- 9.2.1.1** For processing aids, meet any additional standards set by the local TCCC OU.
- 9.2.2** Develop and implement a process to prevent chemical residues or contaminants that may exceed the regulatory level or impact food safety by carrying over to finished ingredients.
- 9.2.3** For organic-certified ingredients, meet applicable regulations and organic scheme requirements (USDA, JAS, etc.). The proven record of the allowable synthetic fertilizers, herbicides and pesticides that are applied and analyzed must be available upon request.
- 10** Provide a Certificate of Conformance (COC)/certificate of analysis (COA) for each batch/lot against agreed testing parameters and frequency, as defined by the local OU.
- 10.1** At a minimum, provide an annual COA that includes all parameters listed in TCCC specifications.
- 11** Retain samples of products provided to TCCC for an agreed-upon duration.

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- 12 When TCCC requests a sample to be sent for analysis at TCCC's authorized laboratories (pre-shipment, co-shipment or a set-frequency pre-shipment sample, and/or an annual):
 - 12.1 Ensure that the sample represents the batch/blend or lot intended to be shipped to TCCC.
 - 12.2 Provide a certificate of analysis with each sample.
- 13 Implement an effective traceability program.
 - 13.1 Be able to trace 100% of stock within 24 hours where required by TCCC or the customer.
 - Note that many OUs require full traceability within three hours to meet specific customer needs.
 - 13.2 Provide two-way traceability ("one step forward and one step back") in the supply chain.
- 14 Ensure ingredient primary package (including flexible bulk container) is
 - fit for purpose,
 - suitable for use in the food industry,
 - proven by documentation, and
 - protected and secured.
- 15 Establish a weight/fill control program that ensures compliance with applicable regulations and TCCC specifications, contract agreements, or purchase orders.
- 16 For pallets used to transport finished materials, ensure the pallets are made of suitable material and are clean, dry and free from contaminants.
 - 16.1 Do not use untreated wooden pallets. Heat treatment is the preferred method.
 - 16.2 Where local regulatory authorities require the chemical treatment of wooden pallets, ensure that the pallets do not contaminate package materials during shipment and storage.
 - 16.2.1 If pallets are chemically treated, declare the treatment to TCCC.
 - 16.2.2 The following restrictions apply:
 - 16.2.2.1 Do not use halogenated phenols.
 - 16.2.2.2 Conform with applicable heavy metal regulations.
- 17 Develop and implement a security program for the facility, including warehouse, distribution center, and transportation.
 - 17.1 Use supplier-identifiable (e.g. electronic, unique numbering, logo or trademark) tamper-evident seals (SITES) for individual packages, containers and bulk containers/transport.
 - 17.2 Ensure controlled access and security of SITES.

Sustainable Agriculture Requirements for Suppliers of Agricultural Ingredients

- 18 Suppliers of ingredients of agricultural origins (e.g. ingredients with a farm supply base; see Definitions) must meet the additional requirements below to ensure adherence to the company's Principles for Sustainable Agriculture (PSA).
- 19 For suppliers of Level 1 (Global Priority) ingredients (see Definitions), ensure that compliance with the PSA (or working to achieve compliance) occurs within an achievable timeframe.
 - 19.1 Suppliers of all other agricultural ingredients must establish continuous improvement towards meeting the PSA.
- 20 Ensure that suppliers of Level 1 ingredients obtain certification.
 - TCCC has approved a limited set of global third-party standards that align with the expectations of PSA. This list of recognized sustainability standards is listed in the Definitions.
- 21 Where farm activities are not owned or operated by supplier, ensure PSA expectations are cascaded, and validate they are adhered through a supplier-defined due diligence process to demonstrate that the farm base adheres to the principles for sustainable agriculture.

Sustainable Agriculture Program Design

- 22 Establish and implement a documented program for sustainable agriculture of farm supply base.
 - 22.1 Ensure that the program is aligned with TCCC expectations and requirements for sustainable agriculture, which are outlined in the following principles:
 - Principles for Sustainable Agriculture (PSA)
 - For dairy processors and suppliers of dairy ingredients: Animal Health & Welfare Principles (AH & WP)
 - 22.2 Update internal governance requirements and processes to address any gaps compared to PSA and AH & WP and to drive continuous improvement internally and through your supply base.
 - 22.3 Create a time bound plan to achieve compliance against these TCCC principles and ensure management commitment is in place.
 - 22.4 Ensure that traceability is in place, from processing facilities to farm level, for all sources of raw material. Test traceability through annual exercises. Where direct traceability is challenging due to the use of packing houses or aggregators, ensure that there is traceability at least from a group level or by geographical region.

Governance at Farm Supply Base

- 23 Implement and maintain a due diligence process for the oversight and governance of the farm supply base, to ensure compliance with sustainable agriculture principles and requirements throughout the supply chain (farms, intermediate processors, and/or collection centers, transportation services).

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- 23.1** Communicate sustainable principles and requirements to supplying farms (directly or via direct supplier) and intermediate processors, as well as to other relevant internal and external stakeholders.
- 23.2** Implement (unless prohibited by law) and/or request supplying intermediate processors to implement farm assessment programs at supplying farms via internal, second- or third-party assessors to identify risks and verify
 - Compliance with local laws and regulations.
 - Adherence to sustainable agriculture requirements.
- 23.3** Implement timebound action plans and key performance indicators (KPIs) within the supply base to track and achieve compliance with requirements.
- 23.4** Mitigate risks from any observed nonconformance against the sustainable agriculture requirements within the supply base.

Certification

- 24** Where certification against a third-party Sustainable Agriculture standard is required by the supplier, ensure that it is obtained from an accredited third-party certification body.
 - 24.1** Implement a due diligence process to verify that certifications are valid and renewed in a timely manner.

Capability Building

- 25** Implement a process to identify capability gaps at supplying farmers related to sustainable agricultural principles, and implement effective farmer support and/or employee training and awareness programs.

Communication

- 26** Implement communication processes to inform TCCC of critical risks that could have an impact on TCCC supply chain and brand reputation.
- 27** Report to TCCC Procurement the percent of volumes supplied to TCCC that are compliant with PSA and AH & WP, as requested by TCCC buyers.

Transportation (Both Domestic and International)

- 28** Communicate type(s) of transportation that will be used to deliver the ingredients to TCCC's purchaser, OU Technical, and the receiving facilities. This includes aviation, ship, land, and above/underground pipeline transports.
 - 28.1** Use dedicated tankers for foodstuff, that will not have a sensory impact on ingredients delivered to TCCC.
- 29** Implement an effective cleaning and sanitation program for storage and transportation vessels.
 - 29.1** Provide tanker-cleaning records, prior-load materials, and cleaning procedure information to the receiving facilities as requested.

29.2 If specifically requested by TCCC operating units or purchaser, only use Company-approved wash and/or transfer stations.

Flexible Tanker

30 Demonstrate effective implementation of container selection.

30.1 Ensure a procedure or program is in place for cleaning, inspecting, maintaining and prior loading of the metal shipping container used to hold the flexible tanker.

30.1.1 If the entire shipping container or a part of the container (e.g. wood floor) is made of wood, do not use the chemical treated wood as described in the Pallet section in this document.

30.1.1.1 Exceptions and mitigating controls require approval from the local OU.

30.2 Conduct a risk assessment to determine if partial or full coverage of a container liner is needed.

30.2.1 The assessment must include sensitivity of ingredients and other factors that may impact quality and safety of the ingredient.

30.2.2 TCCC operating unit's Technical and purchaser must agree upon the use of the liner and include it in the contract.

30.3 Ensure both primary package (plastic bag) and the liner material are suitable for use in the food industry.

30.3.1 Provide the following:

- A certificate of Food Law Compliance for the food contact materials for each country of use, or equivalent if requested by TCCC.
- Material compatibility test results that include migration and product taste compatibility, and other testing if it's required by regulations.

30.3.2 Do not reuse primary package materials.

References

Global Food Allergen and Sensitivity Template	SU-FM-110
Supplier Requirements—General	SU-RQ-005
Supplier Food Allergen and Sensitivity Control	SU-RQ-110
Principles for Sustainable Agriculture (PSA)	https://www.coca-colacompany.com/policies-and-practices
Animal Health & Welfare Principles	https://www.coca-colacompany.com/policies-and-practices/animal-health-and-welfare-guiding-principles

Definitions

Agricultural Ingredients: Ingredients of agricultural origin with a farm supply base, including but not limited to juice, tea, coffee, dairy, nutritive sweeteners, herbals, pulses, grains, soy, and nuts.

Distributor: A facility that holds finished goods stock but does not open the primary package.

Finished Product: Product, equipment, packaging material or ingredient created by a supplier's manufacturing process for use by the Coca-Cola system.

Food Allergen: Foods or food constituents known to produce allergic reactions to an "at risk" portion of the population.

Foreign Material: Any material which is not natural to the product, such as metal, wood, glass, plastic, rock, paper or cloth.

Foreign Material: Any undesirable material that is a natural portion of the product, such as stems, leaves and seeds.

GFSI: Global Food Safety Initiative – for more information, visit www.mygfsi.com.

Good Agricultural Practice (GAP): The Food and Agricultural Organization of the United Nations (FAO) uses Good Agricultural Practices as a collection of principles to apply for on-farm production and post-production processes, resulting in safe and healthy food and non-food agricultural products, while taking into account economic, social and environmental sustainability.

Good Laboratory Practice (GLP): Embodies a set of principles that provides a framework in which laboratory tests are planned, performed, monitored, recorded, reported and archived. These tests are undertaken to generate data so the hazards and risks to users, consumers and third parties (including the environment) of exposure to pharmaceuticals, agrochemicals, cosmetics, food and feed additives and contaminants, novel foods and biocides. GLP helps assure regulatory authorities that the data submitted is a true reflection of the results obtained during the testing and can therefore be relied upon when making risk/safety assessments.

Good Manufacturing Practice (GMP): Relates to the manufacturing, processing, and storing of food materials that assure the food materials are safe for human consumption and have been prepared, packed and stored under sanitary conditions. This includes the prevention of any type of contamination. Good Manufacturing Practice requires correctly designed and constructed buildings and equipment, adequate training of personnel to produce quality food materials, and properly maintained plant conditions.

Hazard Analysis Critical Control Point (HACCP): a broadly recognized preventive and systematic approach for the identification, evaluation, and control of food safety hazards.

Level 1 (Global Priority) Agricultural Ingredients: Cane sugar, beet sugar, high fructose corn syrup, stevia, paper & pulp, orange, lemon, apple, mango, grape, coffee, tea, and soybean.

Lot Record: A collection of records or data that identifies a complete history of a lot. This includes procurement, manufacturing, test, and shipping information to enable traceability (another term for batch record).

Lot: A defined quantity of a product (another term for batch).

Other agricultural ingredients: All other agricultural ingredients beyond Level 1.

Principles for Sustainable Agriculture application: Principles for Sustainable Agriculture (PSA), as a universal set of principles for sustainable agriculture practices, are the benchmark for all agricultural ingredients the system procures. However, the system recognizes that not all supply chains are on the same level of performance to meet these principles and seeks continuous improving.

Principles for Sustainable Agriculture compliance: For global priority ingredients, the system requires compliance against the PSA through TCCC-approved third-party standards, as outlined in the PSA Implementation Framework.

Regulatory Authority: Any duly authorized agent or employee of any government agency empowered to enforce laws.

Supplier: The facility that is the last step in the supply chain that transform the nature of the material (not intended to apply to transfer stations, distributors or agents and brokers).

Tamper-Evident Seal: Seals or sealing mechanisms that are unique to the supplier and are non-toxic and designed to readily show any violation or attempted violation of the integrity of the seal or a change in status of the package or object on which they are placed; such as containers or valves. For suppliers, seals should be unique and identifiable to that specific supplier. The design and strength of the seals used depend on specific use of the seal and the risk inherent with inadvertent damage or violation of the seal's integrity: for example, plants bulk-shipping Company products should select stronger high-tensile strength numbered seals for protection.

TCCC-approved sustainability standards: TCCC has approved a limited set of global third-party standards, as aligned with expectations outlined in the PSA:

- Universal Crops (cane sugar, beet sugar, fruit, soy): SAI Farm Sustainability Assessment (Bronze or better)
- Cane sugar: ISCC+, RedCert, Bonsucro, VIVE Claim
- Beet sugar: VIVE Claim
- Fruits, Vegetables: GlobalGAP + GRASP (in limited regulatory contexts); GlobalGAP + FSA Add-on
- Soybean: Roundtable Sustainable Soy (RTRS)
- Coffee, Tea: Rainforest Alliance (Farm Assurance), Fairtrade International
- High Fructose Corn Syrup (Corn): RedCert, Field to Market (audited), ISCC+
- Pulp and paper: Program for Forest Certification (PEFC); Forest Stewardship Council (FSC)

Other sustainable agriculture standards (i.e. crop-specific or regional standards) have been successfully benchmarked against SAI FSA (bronze or better) and approved by TCCC. A full list of standards with corresponding geographies may be found on the SAI FSA website (<https://saipatform.org/fsa/>).

Revision History

Revision Date	Summary of Change
11-Feb-2021	Added sustainable agriculture requirements for supplier of agricultural ingredients to comply with Principles of Sustainable Agriculture Governance Framework
31-Jan-2019	Published as a result of the 2017 Technical Governance review and optimization of the Coca-Cola operational requirements. Evaluated and reformatted the content against the lean governance model. Ensured language is more concise and eliminated redundancies against global consensus standards.