Purpose
To ensure ingredient suppliers are aware of The Coca-Cola Company requirements for quality and food safety. These requirements support the Coca-Cola supplier authorization process, including facility audits, and are in addition to the general supplier requirements defined in Supplier Requirements – General (SU-RQ-005), relevant category requirements and specifications.

Scope
Apply to ingredient suppliers to The Coca-Cola Company.

Requirements

Management System
Establish, document, implement, maintain and continually improve the quality and food safety management system in accordance with the requirements of The Coca-Cola Company that covers products supplied to the Coca-Cola system. Appoint a designated person to ensure the management system is effectively implemented and maintained, and performance is reported to senior management.

Management System Policy
Maintain a policy that demonstrates its commitment to producing quality products that are safe and meets specifications issued by The Coca-Cola Company. The policy is communicated to and understood by personnel.

Planning

Risk Assessment
Use a risk assessment process to determine quality control points and food safety risks (based on the HACCP seven-principle, twelve-step model described in the Annex to Codex Alimentarius General Principles of Food Hygiene CAC/RCP 1-1969), which allows any identified risks to be reduced to an acceptable level or eliminated.

The process must cover Good Agricultural Practices or Good Manufacturing Practices (as applicable) and support the food safety system.
Specified Requirements

General
Meet the specified requirements defined by The Coca-Cola Company, and any specific additional local needs. Refer to SU-RQ-005 for General Supplier Requirements (required for authorization purposes), category requirements; specifications and other relevant documents.

Food Safety
Obtain certification to one of the GFSI-recognized food safety management schemes (refer to www.mygfsi.com).

NOTE: New ingredient suppliers must gain certification to a GFSI recognized scheme within maximum 12 months after they gain conditional authorization from The Coca-Cola Company. A detailed plan to reach compliance must be available.

Laws and Regulations
Implement a process to ensure compliance with applicable regulatory requirements relative to where the ingredients are manufactured as well as delivered.

Objectives
Define and measure its quality and food safety objectives in accordance with the quality and food safety policy and the requirements of this document.

Facilities and Equipment Design
Design facilities and equipment to manufacture, handle or store materials (ingredients, intermediate and finished products, as well as auxiliary materials, processing aids and packaging materials) that are suitable for their intended use.

Maintain facilities and equipment to preclude potential contamination or exposure as a result of outside elements, odorous substances, pests, hazardous materials, and microbial contaminants.

Validate the capability of new or changed equipment, new technology, or changes to processes.

Outsourcing
Ensure full control of manufacturing, food safety and quality over any outsourced processes.
Change Control Management Process
Document and implement a change control management process that ensures changes that impact product quality and food safety are reviewed, verified and approved before implementation. Maintain records of the changes.

Notify The Coca-Cola Company when any changes occur to the following:
- Manufacturing process (outside of normal operating conditions)
- Manufacturing location
- Packaging
- Product formula/specifications
- Company/facility ownership
- Equipment related to a critical control point, or has a substantial impact on the quality of the product
- Raw material supply changes
- Ingredients
  - Status in the certification to a GFSI-recognized scheme
  - Allergen status or impact to allergen status
  - Product contact materials (in particular processing aids)

Incident Management and Crisis Resolution
Implement a program to manage unplanned events, potential emergencies or disasters. Conduct a post-incident review to prevent recurrence and to improve processes to mitigate the consequences of such incidents.

Effectively manage issues that will or potentially will impact the quality, food safety or supply of materials to the Coca-Cola system to minimize disruption to the Coca-Cola system. Communicate any issues that could result in a recall or withdrawal to the Coca-Cola system immediately.

Implementation and Operation

Purchased Materials
Implement a program to approve and monitor the suppliers of purchased materials that includes the following:

- Written specifications for purchased materials.
• A procedure to ensure materials/services purchased from their approved suppliers meet the established specifications.
• A system to prevent the use of purchased materials that do not meet specifications.

**Design**

**Plan and control** the design and development of product where applicable, including inputs, outputs, review, verification and validation.

**Process Monitoring and Control**

**General**

**Clearly define** the process used to convert raw materials into finished product. This must include the identification of inputs, outputs, and control points and critical control points (including monitoring frequencies, accept/reject criteria and responsibilities) for each process.

**Monitor** processes to ensure that they are operating properly and are under control, for example: use of monitoring and recording devices, use of statistical process control tools, etc.

**Good Manufacturing Practices (GMP)**

**Plant** personnel, visitors and outside contractors must comply with the GMP requirements as set forth by applicable regulations. Refer to Codex General Principles of Food Hygiene (CAC/RCP 1) as a minimum (for those suppliers who are not yet certified to a GFSI recognised scheme).

**Good Laboratory Practices (GLP)**

**Plant** or contract laboratories and laboratory personnel must implement GLP principals.

The laboratory must use published, recognized and validated testing methods. Where published test methods are not available, **validate** internally developed methods for their intended use, consistent with GLP requirements. The laboratory design, equipment and processes must ensure test results are consistent, **repeatable** and reliable.

**Pest Control**

Ensure a documented pest control program is in place to effectively prevent activity in the facility and/or surrounding area. **Use** trained plant personnel or an approved
external contractor. Ensure pest control activities are performed using certified operators or personnel with equivalent training.

Use of insecticides, fungicides or rodenticides must be in accordance with current applicable regulations of the location in which products are produced as well as the regulations of the destination to which products may be delivered. Technical supplements from the pest control supplier may specify other requirements.

**Housekeeping and Sanitation Controls**
Document a sanitation program that ensures the cleanliness of the handling equipment and the facility.

Also ensure ingredients, packaging, in-process components and finished goods storage areas, shipping trailers, cars and containers are clean and pest-free.

Only cleaning chemicals approved for use in food manufacturing facilities are permitted for the specific purpose intended. Include programs for managing facility housekeeping in the supplier’s plant sanitation controls. Ensure a system for verifying and documenting the effectiveness of the sanitation program is in place.

**Weight/Fill Controls**
Ensure a weight/fill control program is compliant with applicable regulations. Establish operating limits and quality monitoring procedures to achieve net content tolerances documented in the specifications or purchase contract.

**Food Allergen and Sensitivity Control**
Label and declare allergen and sensitivities-containing products shipped to The Coca-Cola Company (including samples for product development), using the template provided by The Coca-Cola Company to confirm the allergens, sensitivities or both present. Refer to Allergen and Sensitivities Control (SU-RQ-110), and form (SU-FM-110).

**Foreign and Extraneous Material Control**
Ensure controls, procedures and equipment are in place to prevent foreign and extraneous material from entering their products. Examples include the use of metal detectors, magnets, screens and filtration systems. Suppliers must demonstrate there is no economic adulteration of ingredients.

**Chemical Residue and Contamination Control**
Document controls for the storage, handling, and use of chemicals. Use internationally recognized agronomic practices/Good Agricultural Practices (GAPs).

**Traceability**
Implement a system to trace the history of a specific lot through lot records (forward and backward traceability). This includes identification of materials (including any
rework added), processing conditions, test results, primary packaging (packaging in product contact) and customers to whom the lot was distributed.

**Identify each lot uniquely.** Validate the traceability process periodically through a mock recall system to verify effectiveness and the results used to improve the process.

**Finished Goods**

Deliver ingredients using containers (including bulk containers) suitable for foodstuff contact as per The Coca-Cola Company specifications.

Supply ingredients in suitable packaging with all product openings closed securely using suitable Supplier Identifiable Tamper-Evident Seals (SITE). Tamper-evident packaging must be stored in a secure location.

**Palletize** the finished product unless otherwise specified. Ensure the pallets are made of suitable material and are clean, dry and free from contaminants. Do not use untreated wooden pallets.

It is preferred that wooden pallets be treated with heat and not with chemicals such as fungicides, pesticides, or wood preservatives, which could contaminate the packaging material or finished goods.

Where local regulatory authorities require the chemical treatment of wooden pallets, ensure the pallets do not contaminate package materials during shipment and storage. If pallets are chemically treated, declare the treatment to the Coca-Cola system. The following restrictions apply:

- No use of chlorinated or brominated phenolic compounds;
- No use of halogenated phenols;
- Conformity with applicable heavy metal regulations

**Transportation**

Implement processes to ensure transportation conditions do not affect the product and to prevent the shipment of nonconforming products.

Inspect transportation vehicles for structural integrity, cleanliness, odors and suitability prior to loading.

Dedicate tankers for foodstuffs. Ensure documentation showing the previous products shipped and tanker cleaning is available.
Ensure the trailer/container/tanker is sealed with a unique tamper evident seal and a system put in place for the unique number to be recorded on the shipping document and made available on receipt.

**Calibration Controls**

**Identify** critical processing and testing equipment and design and implement a calibration program for that equipment that ensures the accuracy and validity of results. The program must include procedures for monitoring the performance of processing and testing equipment to ensure that equipment continues to perform between calibrations.

**Training**

Ensure that personnel (including permanent, contract and temporary employees) working for or on behalf of the supplier are competent on the basis of appropriate education, training, skills and experience for the tasks assigned to them.

**Documentation**

The quality and food safety management system must be documented to ensure compliance with The Coca-Cola Company policies, programs, specifications, and regulatory requirements as defined in this document, SU-RQ-005, SU-RQ-110 and category requirements. Establish, implement and maintain documented procedures to define the controls needed to ensure documents are current.

**Records**

Establish, document and maintain records to provide evidence of conformity to requirements and of the effective operation of the management system.

Establish, implement and maintain documented procedures to define the controls needed for the identification, storage, protection, retrieval, retention and disposal of records. This applies to both electronic and paper records.

**Communication**

Ensure effective communication within its organization with regard to the quality and food safety management requirements.

**Scientific and Regulatory Affairs**

For new ingredients or upon request, provide complete and accurate documents that include the following:

- Qualification Packet for New Ingredients (includes, but is not limited to, religious certifications, certificates of legality, certificates of origin, customs classifications):
- Ingredient Composition Information (includes sources of calories);
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• Vitamin Composition Information for added vitamins;
• Nutritional Information sheet (provided upon request);
• Material Safety Data Sheet List (MSDS) with hazardous component declaration;
• European Union non-GMO statement (required for Europe and Middle East; based on EU genetically modified organisms directives).
  • Global Food Allergen and Sensitivity Template (SU-FM-110)
  • Certificate of Analysis/Certificate of Conformance
  • Suppliers product specification or product data sheet

Security

Supply Chain Security
Keep a written security policy under the management of a designated individual who can satisfactorily demonstrate compliance to the policy.

Acknowledge and comply with requirements pertaining to The Coca-Cola Company’s intellectual property ownership rights.

Manufacturing and storage areas must be secure with no unauthorized personnel allowed.

Information
Secure access to information under their control that pertains to the Coca-Cola system.

Performance Assessment

Internal Audit
Document and implement an internal audit program that includes the following:
  a) A schedule based on risk, status and importance, that covers all aspects of the quality and food safety management program
  b) Audit procedures and reporting requirements
  c) Linkage to corrective action (Improvement) and management review (Management Review)
  d) Auditors must be independent of the area being audited.
Handling of Nonconformities

Segregate and identify nonconforming material (i.e. ingredient, packaging, intermediate material, finished good etc.) by a suitable means to ensure the prevention of its use in production and/or dispatch.

Implement procedures for rework, disposal and/or change of final use of the nonconforming materials, and maintain records for full traceability.

Where nonconformities are identified, take corrective action to mitigate their impact (see “Improvement” below).

Improvement

Document and implement an improvement program that addresses corrective, preventive and improvement actions. The improvement program must address the root cause of any nonconformance. Inputs must be from internally generated data (non-conformities, internal audit results) and external data (customer complaints, customer satisfaction surveys, external audit results).

Management Review

Records of management reviews must demonstrate the following aspects have been covered:

- Results of audits;
- Feedback from customers, stakeholders, etc.;
- Status of preventive and corrective actions;
- Follow-up actions from previous management reviews;
- Changing circumstances, including developments in legal and other requirements, related to the supplier’s aspects and associated risks;
- Recommendations for improvement;
- Data and information on the supplier’s performance;
- Results of the evaluation of compliance with legal and other requirements; and
- A review of the quality and food safety policy.
Records of reviews will also include actions:

- Improve the effectiveness of the management system;
- Improve supplier performance;
- Ensure resources are available to improve the management system and its processes.

Definitions

**Auxiliary Material:** Materials used in manufacturing processes, storage and product delivery that come into intentional contact with equipment, packaging, or surfaces, or unintentional contact with raw materials, intermediate or finished products. Examples: cleaning and sanitizing agents, container cleaning agents (including bottle washer additives), lubricants, solvents, glues, date code ink, etc.

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

**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.

**GFSI:** Global Food Safety Initiative – for more information, visit [www.mygfsi.com](http://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.

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

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

**Lot Record:** A collection of records/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).

**Mock Recall (or Simulated Product Recovery):** A simulated recall of the manufactured product or item, including the tracing of manufacturing records, shipping records and a full reconciliation of quantities received, manufactured, stored, destroyed and shipped.

**Nonconforming Product:** Product, packaging material or ingredient that fails to meet specification or regulatory requirements.

**Processing Aid:** Materials added or coming into intentional contact with the processing of raw materials, intermediate and finished products to fulfill a technological purpose relating to processing or treatment, but which do not perform a technological function in the final product. Examples: water treatment chemicals, water and sugar treatment materials, packaging gases, ozone, anti-foaming agent.

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

**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.

**References**

Codex Alimentarius General Principles of Food Hygiene (CAC/RCP 1-1969)  

Global Food Allergen and Sensitivity Template SU-FM-110  
General Supplier Requirements SU-RQ-005

Supplier Food Allergen and Sensitivity Control SU-RQ-110  
Global Food Safety Imititative (GFSI) [www.mygfsi.com](http://www.mygfsi.com)
## Revision History

<table>
<thead>
<tr>
<th>Revision Date</th>
<th>Summary of Change</th>
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<tbody>
<tr>
<td>14-Jun-2013</td>
<td>Redesigned SU-RQ-010 to align with international standards;</td>
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<tr>
<td></td>
<td>Changed scope from ingredients, packaging and ICE to ingredients other sectors defined in SU-RQ-020 and SU-RQ-030 respectively</td>
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<tr>
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<td>Changed “shall” to “must” throughout document</td>
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<td>Minor wording changes to improve clarity</td>
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<tr>
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<td>Updated reference table</td>
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<td>Updated definitions – deleting packaging (to SU-RQ-020) and general definitions (to SU-RQ-005) and non-used items; added auxiliary materials and processing aids; Good Agricultural Practices (GAP's)</td>
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<tr>
<td>18-Nov-2011</td>
<td>New KORE document, based on original Supplier Expectations Brochure</td>
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