Rise Baking Company

Supplier Requirements Manual

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Dear Supplier:

Rise Baking Company (also referred to as “Rise Baking” in this document) operates a structured approval and performance management process for Suppliers of materials as part of the Quality Management System.

It is a condition of doing business with Rise Baking Company that an authorized representative of the material Supplier read, understand, and accept these general requirements by signing the acknowledgement at the end of this document and returning it to the appropriate Rise Baking Company contact.

These requirements are general and are minimum expectations for supply. Any necessary local and regional variations due to national legislation, regional standards, and local operational requirements must be agreed upon by the material Supplier and Rise Baking Company purchasing as part of any supply contract.

Additionally, Rise Baking Company expects all Suppliers shall have a Quality and Food Safety manual established that identifies the processes essential to the production of safe, quality products. The Quality system and all parts within shall be reviewed, authorized, and dated by an appropriate Senior Manager. All staff must be trained and held to the standards therein.

Note: The scope of this document includes all Suppliers of raw materials, packaging materials, traders, agents, brokers, co-manufacturers, and re-packers. The following Rise Baking Company business units are included within the scope of this document: Rise Baking Company LLC, Rise Baking Canada Ltd, Brill Inc, South Coast Baking Company, New French Bakery, and Best Maid Cookie Company, Table Talk Pies and Pita Bread Factory.

Table of Content

Introduction	2
Legal Compliance	4
TraceGains	4
Supplier Manufacturing Site Approval % Surveillance	5
Supplier Change Management	6
Supplier Pre-Requisites	6
Supplier Approval and FSVP	
Recall Program	
Allergen Management	
Complaint Management System	
Business Continuity	
Material Specifications	9
Packaging and Transportation of Goods	9
Packaging of Materials	
Transport of Materials	
Batch and Lot Coding	
Receiving Goods and Additional Considerations	12
Shelf-Life Expectancy	
Inspection	
Intermediate Bulk Containers	
Bulk Tankers and Rail Cars	
Delivery Documentation	
Required Certifications	13
Kosher	
Roundtable for Sustainable Palm Oil	
Animal Welfare	
Emergency and Incident Reporting	14
Confidentiality	14
Supplier Code of Conduct	14
Acknowledgement and Signature	15
Appendix	16

1. Legal Compliance

1.1. All Suppliers must meet the requirements of the respective food regulations of the country of origin in which they produce and sell products to Rise Baking Company (also referred to as "Rise Baking"). Rise Baking shall only approve Suppliers of materials that meet these requirements and those requirements of countries to which Rise Baking produces and/or exports goods.
This will be demonstrated by the following as a minimum:

- Allergen Statement
- Nutritional Statement
- Safety Data Sheets
- Country of Origin
- Product Claims
- Product Descriptions
- Labeling
- Letter of Guarantee

1.2. **Supplier must inform Rise Baking within 24 hours of adverse findings** by local agencies and authorities that can impact the integrity of product or brand. This includes, but is not limited to, food agencies, health and safety related issues and environmental aspects. Please notify:

- SupplierQuality@risebakingcompany.com – SQM
- CustomerConcerns@risebakingcompany.com – QA
- K.Thew@risebakingcompany.com and A.Saxton@risebakingcompany - Procurement

2. TraceGains

2.1. Rise Baking has chosen TraceGains as our Supplier management tool to communicate compliance requirements and non-conformance reporting. As such, the Supplier is expected to participate within the TraceGains system for ongoing compliance requests. Refusal/failure to participate reflects negatively in the Supplier's scorecard used to determine future business opportunities. It is the responsibility of the Supplier to notify the SQM Team of the appropriate contacts to receive and manage TraceGains requests.

- *Document Management* - the Supplier must provide all required documents requested in TraceGains. Supplier shall complete online forms where applicable.
- *CAR Management* – the Supplier will receive Corrective Action Reports from TraceGains on behalf of Rise Baking. Responses are required in accordance with level of severity and shall be documented within the TraceGains system directly or via the online form provided ONLY. Monetary claims may be submitted by Rise Baking and shall be accepted and reviewed by the Supplier at minimum within the shelf life of the material received.
    - FYI-level CARs – Supplier is notified of an incident/concern, but no official investigation and response is required. However, Rise Baking does expect improvement, and the complaint will be escalated to require investigation and corrective action if it persists.

        - Medium-level CARs – Supplier is notified of a new incident requiring action. Medium-level CARs are not urgent, but investigations are due for completion within 14 days.
        - High-level CARs – These incidents are urgent and require immediate response from the Supplier.
    - *Non-conforming Product Disposition* – Suppliers must provide disposition decisions and complete pickup within 45 days of receiving incident notification. If instructions are not received within this 45-day period, Rise reserves the right to destroy the affected product or return it to the Supplier at the Supplier's expense. All costs associated with disposal or shipment of non-conforming product are the Supplier's responsibility.

3. Supplier Manufacturing Site Approval and Surveillance

3.1. *All Suppliers nominated for supply of raw materials and packaging must be evaluated and approved by Rise Baking's Supplier Quality Management (SQM) Team.*

3.2. All new manufacturing sites shall hold a certification to one of the following GFSI recognized Food Safety Schemes. Minimum scores and/or grades may apply.
    - BRC Global Standard for Food Safety
    - FSSC 22000 Food Safety Systems
    - Safe Quality Food (SQF)
    - International Food Standard (IFS)
    - Other standards, if GFSI recognized (e.g., Canada GAP, Primus GFS, Global G.A.P.)

3.3. Any suspension of GFSI certification or unsatisfactory performance can result in immediate probation or suspension of the Supplier's partnership with Rise Baking.
    - Supplier will receive notification of their change in status, next steps and requirements for reinstatement of approval

3.4. The approval process for new Supplier facilities will include as a minimum:
    - Verification of GFSI recognized certification and last non-conformance report. The material being supplied is required to be within scope of the GFSI audit.
    - If a Supplier does not hold a current GFSI audit, additional documentation will be required, and an onsite/desk audit may be required.
    - Review of GFSI compliant programs. If not GFSI certified, then HACCP and GMP programs will be reviewed.
    - Satisfactory completion of a Supplier quality questionnaire and review of associated documentation listed in Appendix 1. Documents may be reviewed on site or offsite, but review must be done prior to approval.
    - Determined Supplier risk considering the information received and the material risk categorization to decide if audit is necessary and if approval is feasible.
    - Signed copy of these Supplier Requirements
    - Adherence to Rise Baking's Supplier Code of Conduct or comparable policy
    - Any other quality related requirements including receipt and verification of records to address identified food safety and food fraud risks.

3.5. Where a physical audit of the manufacturing facility is required, this will be conducted by a designated qualified Rise Baking employee.
    - Audits will also include packing and warehouse premises if these are different from the main manufacturing site.

- In the case of adverse audit findings, the Supplier must document planned corrective and preventive actions with clear deadlines and ownership. The Supplier must inform Rise Baking of an action plan within the timeline requested after the official audit report is communicated.
- Closures of non-conformities must be timely with evidence submitted by the Supplier to validate completion of the corrective action. Evidence may include:
    - Updated Procedures
    - Training Records
    - Maintenance Records
    - Capex Submissions
    - Photographs

*Audit Acceptance: Rise Baking reserves the right to visit the Supplier manufacturing site to perform an onsite audit with prior notice. There may be occasions where the Rise Baking representative is accompanied by a customer representative during an audit.

3.6. All Suppliers are subject to ongoing surveillance and periodic performance reviews. The Supplier Quality Team regularly tracks audit performance, document compliance, and non-compliance reporting and responses.

3.7. Supplier Surveillance reports are regularly shared internally with stakeholders and can influence business decisions and future opportunities for the supplier with Rise Baking.

4. Supplier Change Management

4.1. Materials must only be supplied from approved manufacturing sites. If additional sites are needed, they must be set up and approved prior to materials being shipped. Suppliers are *not* to change facilities without prior approval.

- Written approval of acceptance of the following proposed changes including specification must be granted by Rise Baking:
    - Compositional, process conditions or technology changes to an approved product.
    - Changes to the geographical origin of ingredients and raw materials used in processing.
    - Significant change in the documented chain of custody/supply chain mapping.
    - Significant change to the configuration of the approved manufacturing site including new buildings and infrastructure or upgrades.
    - Changes to the allergen status of the manufacturing environment.
    - Changes to the use of surrounding lands or premises may have an impact on manufacturing conditions.
    - Any change in grade or scope of certifications (Food Safety, Integrity, Identity Preservation, Sustainability, etc.) within 7 days of notification by awarding body.

5. Supplier Pre-Requisites - The following applies to all approved material Suppliers.

5.1. *Supplier Approval and FSVP*

- An established system for the evaluation of potential material Suppliers shall be in place and conform to the minimum requirements set forth by FDA and/or the specific GFSI certification of your facility.
- Supplier approval and ongoing surveillance shall be risk-based and fully documented. Review of such processes shall be conducted annually.
- Verification of the required food safety standards is required and shall be documented.
- **If/When foreign sources of materials are used, the FDA's requirements under the Foreign Supplier Verification Program (FSVP) shall be enforced by the Supplier of such materials**. Rise Baking expects…
    - The Supplier is listed as the FSVP Importer of Record (IOR)
    - The Supplier confirms the following information is filed electronically with U.S. Customers and Border Protection:
        - Name of FSVP Importer
        - Electronic email address of said importer
        - A unique facility identifier recognized as acceptable by the FDA
    - The Supplier is knowledgeable of FSVP and can provide a statement to confirm their responsibility.
- If/When Rise Baking is identified as the FSVP IOR, the FDA's requirements under Foreign Supplier Verification Program code shall be enforced.
    - Rise Baking Company requires the completion of the Foreign Supplier Verification Form for all foreign manufacturing sites.
    - Rise Baking Company requires all Suppliers to disclose/identify the FSVP Importer of Record (IOR) for all materials from foreign manufacturing locations.
    - When Rise Baking is identified as the FSVP IOR we will require FSVP level approval for the manufacturing site and therefore:
        - Distributors/Brokers acting as liaison shall cooperate with the needs of our program and facilitate communications as needed.
        - If/When FSVP needs are not met, the manufacturer is subject to refusal of supply or Rise Baking will require the company acting as liaison is deemed the FSVP IOR assuming FSVP responsibilities.

5.2. *Recall Program* is established and includes:

- An identified and established Recall/Withdrawal Team
- A mandated system traceability testing performed at least ANNUALLY
- An efficacy target of 100%
- The ability to conduct and complete a forward and backward traceability exercise WITHIN 4 HOURS is preferred. (including primary food contact packaging)

5.3. *Allergen Management*: The appropriate management of allergens within the supply chain is vital to the production of safe food products. All approved Suppliers must be able to provide Rise Baking Company detailed knowledge and risk assessments of the potential for allergen contamination within their supply chain. This must include risk arising from:

- Agricultural/field management practices
- Storage of agricultural materials
- Transport of agricultural materials
- Storage of allergens within a processing facility*
- Handling of allergens on common processing lines*
- Storage of processed materials
- Transport of processed materials
- Processing aids

*Such allergens must be openly disclosed to Rise Baking. Refer: Appendix 2 List of Notifiable Allergens.

5.4. A *Complaint Management System* capable of:

- Investigation using root cause analysis tools
- Providing initial investigation findings including root cause analysis and a full list of planned corrective and preventive actions to Rise Baking within the requested timeline from notification. This time frame may vary depending on Rise Baking complaint severity level. Such requirements will be communicated to the Supplier at the time of complaint notification.
- Complaints relating to foreign material must be investigated immediately and findings and corrective actions forwarded to Rise Baking within the requested timeline from notification.

5.5. *Business Continuity Plans* to assure on-going supply to Rise Baking in the event of an incident at the supplying facility or in the industry, including but not limited to:

- Major equipment failure or key service disruption
- Events such as fire and/or natural disasters (examples including storm and wind damage, ice/snow, and floods).
- Interruptions to the supply chain.
- Political/civil unrest; and
- Workforce engagement, including strikes.
- Pandemic

5.6. *Material Storage*

- Prior to delivery, products must be stored in a clean, dry area, well-ventilated and away from direct sunlight, away from odorous and harmful chemicals or materials and maintained free from infestation of any kind.
- Storage areas must be secured and well maintained. Walls, floors, ceiling and drains of the site must be well constructed, weatherproof, clean and in good repair and maintained under the appropriate temperature requirements where applicable.
- All shelves and racks need to be at a certain distance (12-18 inches) from walls to allow for cleaning. Shelving and racks need to be cleaned on a regular basis and maintain good housekeeping. Any product found to be infested or damaged must be clearly labelled, segregated, and stored in a quarantined area. The surrounding area and shelving must be thoroughly checked for further infestation.
- Products requiring conditioned storage must be stored under conditions specified by the manufacturer of the products.

- Frozen ingredients must be stored under conditions approved by the respective Health Regulations in the Country or State where produced and delivered, at temperatures of at least -18°C/0ºF or below.

6. Material Specifications

6.1. All raw materials, food packaging materials, and finished product must be provided by the Supplier to Rise Baking to the formula and specifications set forth in the Supply Agreement.
- Copies of the completed and signed material specifications must be maintained by both Rise Baking and the Supplier.

6.2. Supplier must ensure conformance to all aspects of the material specification at the point of receipt by Rise Baking and for the nominated shelf life of the material.

6.3. The Supplier must not make alterations to the material specification without written notification to Rise Baking as detailed in the Change Management section of this document. Material specifications must be cooperatively reviewed once every three years unless there is a specific requirement for earlier review.

7. Packaging and Transportation of Goods

7.1. Packaging of Materials
- Where possible, packaging in direct contact with product and ingredients must be of contrasting color, to be clearly distinguishable.
- Packaging must be tamper evident and/or tamper proof where practical.
- Cartons used for packaging ingredients must be fiberboard of such quality as to prevent damage to contents. Sealing of cartons must be by gluing or by adhesive tape ensuring all internal contents are properly tucked inside and not exposed or stuck to closure. Rise Baking must approve alternative methods. Suppliers must accept responsibility for ensuring that packaging materials and adhesives are thoroughly assessed for potential tainting of contents.
- Drum lids must be firmly in place and well secured with adequate seals.
- Any bungs used are to be new, clean and fitted correctly, preventing them from falling into the drum. Drums must be free of rust, flaking paint, and other sources of foreign material.
- Multi-walled bags must be heat or glue sealed. Wire fasteners, staples, plastic, or metal clips are not permitted. Rise Baking must approve alternative methods. These will be included in specific product specifications.
- Polyethylene bags used for packaging must be new, dry, and free from foreign odors, contamination, or infestation. The structure of the material, including gauge, must be determined based on carriage and storage trials.
- Polyethylene bags must avoid using wire staples, rubber bands, zip ties, twist ties, binder twine or any other type of loose closure. Rise Baking must approve alternative methods; heat sealing is the preferred method. These will be included in specific product specifications.
- Any information displayed on the delivery packaging must be visible on receipt before the material is discharged from the delivery vehicle.

- This information will include as a minimum the requirements listed in Appendix 3 – Consignment Labelling Requirements. Further labelling requirements for any Packaging and Material are referenced in the material specification under Labelling Requirements.
- Inks or branding materials used for labelling purposes must be non-soluble, non-odorous, and non-toxic and must not contact the contents of the package. Handwritten lot codes, use of mark overs, over labelling and correction tape (white out) are not allowed. Any specific requirements for branding will be stated in individual specifications.
- Rise Baking item number should be printed on packages whenever possible.

- Packaging specifications must be complete, including glues used. Composite packaging materials (like multi-wall bags) must detail the materials/weights used per material type.

7.2. Transport of Materials

- All vehicles used in the handling and movement of the product must be fit for purpose.
- Delivery vehicles and shipping containers must be clean, hygienic, free from odors, free from residues from previous loads, free from pests and evidence of pests, in good repair, safe and legal for operation on roads and private facilities.
- Where loads are consolidated, all materials must be compatible. Unprocessed products such as meats and vegetables, and/or materials of strong odor or materials that present a foreign matter risk are not permitted.
- Where product is transported using air freight or couriers, every effort must be made to ensure the integrity of the product while being transported.
- The load must be adequately protected and secured to prevent tampering, damage, or deterioration during transit.
- Temperature and humidity controls must be appropriate to the conditions specified and maintain the integrity of the product while being transported.
- Temperature and humidity records of product while in transport must be made available by the carrier upon request by Rise Baking.
- Internal lights in trailers must be operational and protected by shatterproof coverings to prevent possible contamination of the product.
- All products must be loaded onto vehicles with sufficient care and protection to avoid damage during transit. Damaged, soiled, or infested containers will not be accepted.
- *Pallet Requirements*
    - Pallets must be in good condition, dry, clean, and free from any evidence of previous loads.
        - Pallets must be free from rodents and rodent/bird droppings.
        - Pallets must be free from all infestations such as, but not limited, to cockroaches, spiders, and termites.
    - Pallets must be GMA Grade A, equivalent, or meet contract standards.

- The surface of each pallet should be covered with a clean pallet liner/slip sheet before building the load.
- Pallet loads must have a top cover/shroud. And, where loads are built using multiple pallet layers, a clean pallet liner/slip sheet must be placed between layers.
- The maximum net weight of a loaded single height pallet must not exceed 2,755 lbs (1,250 kg) unless specifically approved by Rise Baking.
- The pallet load must be stabilized by using shrink-wrapping, stretch wrapping, strapping, or palletizing adhesive.

- *Transport Security*
  - The use of open topped or flat-bed trailers is not permitted.
  - Rigid walled vehicles must be able to be secured with all access points fitted with locking mechanisms and security tag points.
  - Trailers and vehicles must be secured to prevent unauthorized access.
  - For all full truck load (FTL) consignments, all openings (doors, inspection ports, hatches, etc.) must be sealed with a uniquely numbered, tamper evident, resistant seal and the seal number(s) annotated on the accompanying documentation.
  - For less than full truck load (LTL) consignments and multi-stop loads, all access points must, as a minimum, be secured by a lock or seals (in case of seals, they should be issued by the vendor and appear on the original bill of loading).
  - Where there is any evidence of tampering, damage to seals, or broken seals, deliveries may be rejected by Rise Baking.

7.3. Batch and Lot Coding

- All products must have a batch or lot code printed on each package.
- The batch or lot code cannot exceed 10 characters
- The maximum number of batches or lot codes per pallet must not exceed one (1).
- Whereby agreement, more than one (1) batch or lot number is permitted on a given pallet, the pallet must be clearly identified with color contrasted notices on two adjacent faces stating the batch or lot numbers to be found on the pallet and the number of items for each. The oldest batch should be on top of the pallet.
- Accompanying documentation must identify each batch or lot number within a consignment and the number of unit packs per batch or lot number.
- There shall be no more than 3 lot codes per product within the same shipment. Prior notice is required when the Supplier exceeds this limit.
- Shelf-Life Expectancy:
  - Unless otherwise specified, product should have the shelf-life expiry date printed on each package.
  - The shelf-life expiration dates must be documented for each batch in a delivery and included on the delivery documents.
  - Only product with at least 65% of the shelf life remaining will be accepted, unless agreed in writing by Rise Baking.

8. Receiving Goods and Additional Considerations

8.1. Shelf-Life Expectancy

- Unless otherwise specified, product should have the shelf-life expiry date printed on each package.
- The shelf-life expiration dates must be documented for each batch in a delivery and included on the delivery documents.
- Only product with at least 65% of the shelf life remaining will be accepted, unless agreed in writing by Rise Baking.

8.2. Inspection

- Deliveries will be subject to inspection and approval upon arrival.
- Rise Baking reserves the right to reject any delivery as a result of these inspections.

8.3. Intermediate Bulk Containers (IBCs):

- IBC's must be in good condition, clean and free from any evidence of previous loads.
- All IBC totes must be lined with food grade liners that protect the integrity of the contents from contamination.
- All liners must be single use; cleaning and reusing liners is not permitted.
- Where there is a need to clean the IBC, it must be with food grade cleaning materials that will not interact with or taint the intended content.
- Cleaning records must be available on request.

8.4. Bulk Tankers and Rail Cars

- Bulk tankers supplying Rise Baking sites must be dedicated "FOR FOODSTUFFS ONLY".
- Tankers delivering product must have no visible evidence of damage to the integrity of the internal surfaces and for jacketed and insulated tanks to the external skin.
- For bulk tankers, transport providers must be able to provide, to Rise Baking, documentation of the products transported and certificates for the cleaning and sanitation.
- All bulk tanker hatches, and fitments must be tamper evident. Outlet nozzles must be secured with a tamper evident seal. All hoses and fittings must be free from dirt and debris and maintained in a hygienic condition.
- Delivery documentation must include the load seal number(s).
- Fats and oils must be delivered on road tankers that are registered and operated to the applicable codes of practice.
- Tankers used for bulk consignments using pneumatic transfer technology must comply to the Rise Baking specified delivery flow rate and pressure, and Rise Baking's safety procedures must be complied with, e.g. Atex on flour deliveries.
- The product must be loaded and unloaded with sufficient care and protection to prevent contamination of the product and environment.

8.5. Delivery Documentation

- All consignments must be accompanied by documentation that includes as a minimum the requirements listed in Appendix 3 – Delivery Labelling Requirements.
- Where identified in material specifications, chain of custody/material integrity documentation must be provided prior to delivery.

- CoA's and CoC's are required for all materials (excluding non-food contact packaging) shipped to Rise Baking, unless otherwise agreed upon.
    - Pre-delivery samples may be requested by the receiving site for testing ahead of the scheduled delivery date. CoA's must accompany all samples.
- CoA's must include the following information:
    - Material Description and Unique Part Number (list on all delivery documents)
    - Purchase Order Number
    - Batch/Lot Number of product tested
    - Name and address of the manufacturing sites of the product
    - The name and address of the Rise Baking site
    - Specific test results for those Chemical, Physical, Microbiological, Radiological and Allergen tests required in the Material Specification, including limits according to the agreed specification (as applicable)
    - Clearly identify the testing method(s) used by name and standard.
    - Where applicable, any deviations, additions, or exclusions from the nominated test method
    - A description of the sample analyzed
    - The unique identifying code of the sample
    - The date of the analyses
    - For primary/food contact packaging materials, a CoC must be provided to Rise Baking for each shipment.
- Deliveries with incomplete or missing CoA's or CoC's or other documentation will be considered non-conforming and subject to potential rejection by Rise Baking.

9. Required Certifications

9.1. *Kosher* – Rise Baking maintains the majority of its facilities and subsequent finished goods as kosher certified. Therefore, incoming raw materials must be kosher certified. Raw material Suppliers shall maintain and provide proof of kosher certification upon request. All incoming raw materials shall be inspected and must contain the appropriate kosher symbol on packaging.

9.2. *Roundtable for Sustainable Palm Oil (RSPO)* – All Suppliers sourcing oil-based products for Rise Baking containing palm oil shall be RSPO certified and provide such proof of this certification upon entering such agreement with Rise Baking. The Supplier shall maintain a valid certification throughout its partnership with Rise Baking and include certification number on shipping documents. If this certification is interrupted, it is the duty of the Supplier to notify Rise Baking immediately.

9.3. Rain Forest Alliance (RFA)-All Suppliers sourcing cocoa or cocoa based products for Rise Baking, shall be RFA certified as required. Appropriate contracts must be in place to verity the certification status. If any interruptions to the certification arise, it is the duty of the Supplier to notify Rise Baking immediately.

9.4. Animal Welfare - Where products are animal-derived manufacturing sites must have a valid animal welfare program in place. Proof of this program in the form of a certification and/or membership will be required and submitted to Rise Baking for verification.

9.5. Other Product Claims – Proof of product claims such as Halal, Vegan, GMO-Free, and Organic shall be requested and maintained. If/when these claims are interrupted and/or no longer valid, the Supplier is required to Rise Baking immediately as stated in the Change Management section in this document.

10. Emergency and Incident Reporting

10.1. In the event of any product safety incident by the Supplier that may result in a product recall, or which could adversely impact Rise Baking Company brands or operations, the Supplier MUST immediately contact Rise Baking Supplier Quality, Procurement, and Quality.
- SupplierQuality@risebakingcompany.com – SQM
- CustomerConcerns@risebakingcompany.com – QA
- K.Thew@risebakingcompany.com and A.Saxton@risebakingcompany - Procurement

10.2. The procedure and the Rise Baking Company names, departments and contact details will be communicated to the Supplier by Rise Baking Procurement as part of the Supplier agreement.

10.3. These will be appropriate for the business location, country of operation and regional offices.

10.4. If the Supplier is contacted on any issue by the media that relates to Rise Baking, the Supplier must immediately inform Rise Baking for the approval of any communication. All communications by the Supplier on behalf of Rise Baking must be approved prior.

11. Confidentiality

11.1. Terms and conditions of business are strictly confidential between the Supplier and Rise Baking Company.

11.2. Information on Rise Baking products or processes must not be communicated to any other party.

11.3. The Supplier must sign the appropriate confidentiality agreement as a prerequisite to doing business with Rise Baking.

12. Supplier Code of Conduct

12.1. Supplier must have established ethical standards and work conditions that meet the demands of our global partners.

12.2. Supplier shall review and ensure their compliance to the Rise Baking Company Code of Conduct.

Acknowledgement and Agreement Statement

We acknowledge receipt of a Rise Baking Company's Supplier Requirements. This document will be retained in original format until it is updated as deemed appropriate or necessary by Rise Baking Company. Any disputes for the terms of this document are communicated via an Addendum to this document.

Supplier/Company Name *Specify division, if applicable	
Supplier Locations Represented	
Representative Name	
Representative Title/Position	
Representative Email Address or Phone	
Date	

Appendix 1: Required and Requested Documentation for Supplier Approval and Monitoring

Supplier Documentation	
Additional documentation and records may be required to adequately assess risk and/or verify supply-chain applied controls.	
GFSI or Third-Party Food Safety Audit Certification	*Required for the final location of processing/packing/repacking. Non-food contact Suppliers may be exempt from this requirement. Audit report including non-conformances is required for non-GFSI suppliers*
Rise Baking Supplier Requirements Manual	*Signature required by the Supplier*
Rise Baking Code of Conduct	*Signature required or provide equivalent document*
Supplier Questionnaire	*Required for non-GFSI suppliers*
FDA/CFIA Compliance Documentation	*Documentation to confirm compliance to existing and upcoming regulatory requirements*
Letter of Continuing Guarantee	*Required for all Suppliers*
Product Traceability/Recall Procedure	*Required for non-GFSI Suppliers*
Lot Code Breakdown Explanation	*Required for all Suppliers*
FDA/CFIA Registration	*Required for all raw material Suppliers*
Heavy Metals/Toxin Statement	*Required for food contact packaging Suppliers*
FSVP Letter/Questionnaire	*Corresponding letter/questionnaire required for foreign Suppliers*
RSPO Certification	*For applicable palm oil, palm kernel oil, and palm-containing material Suppliers and Distributors only*
Process Flow Diagram	*CCPs should be identified on flow chart & CCP control plan Required for non-GFSI suppliers*
Food Safety and/or HACCP Plan	*Including preventive controls identification (e.g. allergen, supply-chain, process/CCP, sanitation preventive controls)*
Mock Recall Summary Report and/or Requested Traceability Test	*Required for non-GFSI Suppliers*
Allergen Management Process	*Required for non-GFSI Suppliers*
Animal Welfare Certification/Statement	*Suppliers producing animal-derived products (ex. egg, milk, etc.) must have a written Animal Welfare Program and provide passing Animal Welfare audit certification from: PAACO, National Chicken Council, American Humane Association or United Egg Producers.*
COAs or COCs	*Certificate of Analysis or Certificate of Conformance (containing chemical, physical, microbiological, radiological analyses as applicable)*
Shelf-Life Information	*Shelf-life verification testing or migration testing for direct food contact Suppliers*
Country of Origin	*Component-level country of origin breakdown of supplied materials*
Testing and Monitoring Records	*Where required to adequately assess supplier and item risk or to verify supply-chain applied controls (e.g. pesticide monitoring records, identity verification certificates, environmental monitoring testing trends)*

Appendix 2: List of Notifiable Allergens

- Eggs and products thereof
- Fish and products thereof
- Milk [and products thereof (including lactose)]
- Peanuts and products thereof
- Shellfish, crustacean, mollusks and products thereof
- Sesame Seeds and products thereof
- Soybeans and products thereof
- Tree nuts [Almonds (Amygdalus communis L.), Hazelnuts (Corylus avellana), Walnuts (Juglans regia), Cashews (Anacardium occidentale), Pecan nuts (Carya illinoiesis (Wangenh.) K. Koch), Brazil nuts (Bertholletia excelsa), Pistachio nuts (Pistacia vera), Macadamia nuts and Queensland nuts (Macadamia ternifolia), and products thereof]
- Wheat [Cereal containing gluten (i.e. wheat, rye, barley, oats, spelt, kamut or their hybridized strains) and products thereof]
- Sensitizing Agents
- FD&C Yellow No.5
- Sulphur dioxide and sulfites at concentrations > 10 mg/kg or > 10 mg/l or >10parts per million expressed as SO2
- Color additives made from cochineal extract and carmine

Appendix 3: Delivery Labeling Requirements

	Requirements	Individual packaging unit (e.g. bag, carton, pail, drum, film)	Pallet Label	Delivery Docket
1	Supplier's name (*)	√	√	√
2	Supplier's address (*)			√
3	Full name of ingredient (or standard name of material) including Brand Integrity detail and specific product compositional claims (e.g. low fat)	√	√	√
4	Date of manufacture	√	√	√
5	Batch or lot number	√	√	√
6	Product shelf life	√		√
7	Correct unit of measure as stated in the purchase order	√	√	√
8	Correct net quantity per unit (e.g. bag, pail, carton, drum etc.)	√	√	√
9	Correct total net quantity per consignment as stated in the purchase order			√
10	Country of origin	√		√
11	Rise Baking Company product/stock number, where agreed with Rise Baking Company	√	√	√
12	Supplier item/part code			√
13	Appropriate hazard signs and special storage and handling instructions	√	√	
14	Storage conditions	√		√
15	Rise Baking Company purchase order number			√
16	Correct delivery docket number - same as quoted on invoice			√
17	Delivery address			√
18	Number of pallets per consignment (as applicable)			√
19	Number of items per pallet (as applicable)			√

20	Allergen Label	√	√	
21	Packaging Material Recyclability	√		

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Version 2	Added TraceGains section and updated other sections to match current policies	Approved By: T. Blair Approval Date: 3/13/2026
Version 3	Added Non-conforming Product Disposition to section 2.1	Approved By: T. Blair Approval Date: 11/10/2026