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APPENDIX A: REFERENCES

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1 General Requirements and Expectations

Suppliers are required to comply with all regulations applicable to their product and operations as well as additional requirements outlined in this document. Failure to comply with these requirements can result in penalties up to and including termination of approved Supplier status.

Suppliers may not sub-contract the manufacture of Albertsons Companies products without prior written approval from Own Brands Food Safety Quality Assurance (FSQA).

Each Supplier is required to have a Quality System documented and implemented. Corresponding documents and records relating to product produced for Own Brands are to be maintained for one year past the shelf-life of dated products, unless otherwise specified, and must be made available to Own Brands FSQA upon request.

All Food, Non-Food and Food Contact Material production facilities must have documented Good Manufacturing Practices (cGMP’s) and Pest Control Programs.

2 Minimum Audit Requirements

To be considered as a potential Supplier for Own Brands, the following minimum annual audit requirements must first be met. For detailed requirements refer to Quality Assurance Audit & Supplier Program Requirements – Supplier Copy.

A. Minimum Third-Party Audit Requirements by Product Category

Refer to the applicable category below for required submissions. The complete audit report, corrective actions and certificate must be available for review by Own Brands FSQA upon request.

1. Human and Animal Food, Food-Contact Packaging Materials
   a. Global Food Safety Initiative (GFSI) certification
   b. Annual Animal Welfare Audit for Shell Eggs, Meat and Poultry harvest facilities

2. Non-Food Regulated by the Consumer Products Safety Commission
   a. ISO 9001 certification.
   b. Documented pest control program
   c. Product testing program
   d. Product traceability system

3. All Other Non-Food (including OTC drugs, supplements, cosmetics, medical devices, items that come in contact with skin, etc.) and Alcohol Products (distilled spirits, wine, and malt beverages).
   a. Annual third-party facility cGMP audit

B. Additional Requirements for International Suppliers

1. An annual third-party audit report of Social Accountability or Code of Conduct from an approved firm, is required.
2. The complete audit report, corrective actions and certificate must be available for review.

3 New Supplier Certification Approval Process and QA Follow Up Audits

A. Certification Audits

Own Brands FSQA may require a Certification Audit of all new Suppliers or new facilities of existing Suppliers to be performed either by a third-party auditing firm or by Own Brands FSQA.

1. All Suppliers previously approved as an Albertsons supplier through Supervalu will be granted continuous approval status under the combined company.
2. Audits must take place before any products are provided to Albertsons Companies for retail sale, including production in new or different facilities of previously approved Suppliers. Manufacturing of product shall not be relocated to a non-approved facility location without Albertsons Companies prior approval including a Certification Audit. Suppliers shall notify Own Brands Sourcing team member and request a facility Certification Audit for a new facility. Existing suppliers shall notify Albertsons Companies if previously approved facilities are no longer operating. Failure to properly inform Albertsons Companies of a change in manufacturing facility location may result in immediate suspension.
3. Suppliers must demonstrate that they have a satisfactory Food Safety and Quality System.
4. Albertsons Companies may require a Certification Audit for line extensions or label claims.
5. Suppliers will be responsible for Certification Audits costs. Contact your Sourcing Representative for applicable audit fees.

B. Follow-up Process Validation Audit and/or Re-Certification Audits
   1. Own Brands FSQA may require a Process Validation Audit or Re-Certification Audit to be performed annually either by a third-party auditing firm or by Own Brands FSQA in the event of the following:
      a. Recall
      b. Regulatory violation, including an FDA 483, warning letter, import ban, USDA enforcement action
      c. An early warning quality or specification compliance issue that is not effectively resolved
      d. Quality withdrawals
      e. Non-compliance with the Supplier Quality Requirements Policy
      f. Prior Own Brands FSQA audit conducted over 1 year or more
   2. Any supplier involved in an event described above shall demonstrate annual compliance with the corrective actions and continuous improvement actions. Additionally, the supplier will be required to conduct increased product testing and provide results to FSQA team.
   3. If a Supplier has not produced an Own Brands product for a year or more, the Supplier status is considered inactive. If the Supplier wishes to be considered for recertification, they must contact their Own Brands Sourcing representative to discuss audit arrangements. Upon direction from Sourcing, a recertification audit may be required by Own Brands FSQA. If the facility is approved, it will be regarded as a new Supplier and subject to the rules outlined in this document.
   4. Suppliers will be responsible for all audit costs.

C. Posting of Audit Results to SpecSafe
   1. The complete audit report, including noted deficiencies, corrective actions and certificate (if applicable) must be posted to SpecSafe (see Section 7A).
   2. Posting must be done within 14 days of receipt of the final audit report via a plant audit task.

4 Water and Air Quality

All plants must have validated, verified and documented water and air monitoring programs in place.

A. Water In food, for the processing of food, food-contact surfaces, food-packaging materials, or for employee sanitary facilities.
   The water supply must be adequate for the operations intended and must be derived from an adequate source. Water must be tested annually for potability (micro, chemical, heavy metals, etc.) and pose no risk of contamination. Municipal water reports alone will not suffice, as they may not accurately reflect the condition of delivery lines within an operation. Special circumstances, such as the use of well water, may require more frequent water testing. Albertsons requires that hot, potable water be available for hand washing.

B. Cooling Systems
   Manufacturers must be able to demonstrate the water used for indirect cooling does not pose a health risk.

C. Backflow Prevention
   1. Backflow prevention systems must be in place anywhere there is a risk.
   2. Systems must be tested annually, and results documented.

D. On-site Water Treatment
   Water treatment records must be maintained.

E. Air Usage in Product or in Product Contact
   Air used in the manufacturing process for food or food contact packaging must be treated by filtering and/or ultraviolet light exposure.

5 Microbiological Control Systems

A. Programs
   1. All Suppliers must establish validated, verified, and documented microbiological testing and control programs to ensure the safety of products for human or animal use or consumption, and to meet the requirements set forth in Own Brands product specifications. See Pathogen Testing Guidelines and Own Brands Supplier Poultry Pathogen Reduction Requirements

   1. A validated environmental testing program must be included.
2. Ingredient safety must be evaluated, and appropriate testing programs established. Testing may be by active sampling or by certificate of analysis. If COA’s are used, a system must be in place to verify their validity.
3. If pathogenic testing is conducted on finished product or food contact surfaces, suppliers must have a documented test and hold procedure in place to ensure that no product being tested enters the Albertsons Companies supply chain. Product must be held and controlled at the Supplier’s site pending negative results.

B. Testing
1. Microbiological testing may be conducted in-house or by accredited third-party labs (preferred).
2. All methodologies used must be from an approved source such as: FDA BAM, United States Pharmacopeia or European Pharmacopeia and recognized for the product. Methods developed for a product may be used if they have been specifically validated for the product. Laboratories are to be compliant with current GLP’s.

6 Food Allergen Control Programs

All plants using or storing allergens must have validated, verified, and documented allergen control and testing programs. Allergen and Food Intolerance Guidelines

7 Document Exchange and Specification Compliance

A. SpecSafe
1. All Suppliers are required to register and maintain an account with SpecSafe, a secure web-based supplier compliance and specification program.
2. Registration on SpecSafe must be completed prior to first production.
3. Suppliers are required to create and maintain their plant profiles and key contacts for each facility that supplies Albertsons Companies with an Own Brands product.
4. Suppliers must maintain up-to-date finished product specification information.
5. SpecSafe will issue specific product or plant tasks via the system. Suppliers are required to take the necessary actions to respond and complete each task.
6. Albertsons Companies utilizes SpecSafe to manage:
   - Supplier communication
   - Supplier information & contacts
   - Product specifications
   - Plant audit records and certificates
   - Product test data, certificates, and affidavits
   - Quality incident resolution
   - Supplier access to Own Brands policies and procedures

B. Specifications
All Suppliers are required to ensure that product information in the SpecSafe is current and accurate.
1. An approved product specification must be on file in SpecSafe prior to first production.
2. A supplier needs ID and passcode from Albertsons Sourcing to get an access to SpecSafe.
3. All plants must have written packaging and label specifications and documented label checks for packaging materials.
4. All completed specifications must contain acceptance and fail criteria for microbiological, chemical, physical and sensory attributes using accurate and repeatable testing methodologies. See General Specifications

8 Facility Compliance

A. Process Controls
1. All plants must have validated, verified and documented quality testing programs in place to ensure compliance with Own Brands specifications.
2. Process control systems must be in place to ensure conformance to specifications.
3. Validated, verified and documented equipment calibration and verification programs must be in place.

B. Raw Materials
1. Transportation: Trucks, railcars, tankers or similar transportation carriers must be inspected prior to unloading and inspections must be documented.
2. First-in-First-out rotation of raw materials should be in place.
3. **Raw Material Evaluations**: Programs must ensure that raw materials conform with specifications in order to ensure that finished products will conform to specifications.

4. Where incoming raw material testing program is not applicable or not applied, a certificate of analysis receipt and review must be in place. This program must be based on a validated risk assessment for both quality and food safety of the product.

**C. Net Content Control**
1. Statistical Process Control methodologies must be used to ensure product net weights conform to requirements
2. Validated, verified and documented calibration and verification programs must be in place for all scales and checkweighers.
3. Suppliers who are cited for net weight violations are subject to implementation of requirements above NIST Handbook 133 requirements.
4. For more details see [Net Weight Requirements](#) and [Fill Level Policy](#)

**D. Rework**
A detailed written procedure for the handling, use and addition of rework must be in place to ensure compliance to specifications, product integrity, product safety and traceability.

**E. Foreign Material and Product Safety Devices**
Product Safety Devices must be installed as needed throughout the process to prevent contamination from foreign materials. Examples of product safety devices are Metal Detectors, X-Ray, Magnets, Sifters, Screens, Filters, Strainers, and Rock Traps.
1. A foreign material device (Metal Detector or X-Ray) must be used after product has been packaged in the primary (food contact) packaging on all food lines except where not practical. In such cases, alternate means must be implemented, e.g. magnets or in-line metal detectors just prior to packaging.
2. Foreign material devices must have a proper rejection device, e.g. belt stops, air-jet, rejection arm.
3. Foreign material devices must be verified at a minimum frequency at start-up, hourly, and end of run with certified test pieces for Ferrous (iron), Non-Ferrous (non-iron), and Stainless Steel.
4. Foreign material devices must be calibrated by a 3rd party at a frequency appropriate to ensure proper device functioning and that products meet Albertsons specifications.
5. All foreign material device verifications, findings, and corrective actions must be documented.
6. Effective hairnet restraints are to be worn in all food, food related and drug production areas. Employees are expected to maintain a high level of hygiene and hygienic practices.

**F. Product Hold Procedures**
Detailed Hold Procedures must be on file to address ingredients, packaging materials or finished products that do not conform to specifications. Procedures are to include the following requirements:
1. A system for easy identification of product that is on Hold. This may include colored tags or signs. Information on the tags/signs should include the item on Hold, the code date or lot number, quantity placed on Hold, and the date the Hold was generated.
2. A process for approving and controlling disposition of product on Hold.
3. A log of all Holds including:
   - Date
   - Unique identifier
   - Products involved
   - Item counts
   - Reason
   - Person approving disposition
   - Disposition
   - Person responsible for the disposition
   - Date of disposition
4. A designated Hold area that is clearly marked and controlled. Employees must demonstrate understanding that products in this area are not to be used.

**G. Pest Control**
Albertsons requires that all facilities have a documented, fully functional pest control program in place that is designed to prevent the entry of pest and to eradicate any pests that might gain access into a facility.
1. A manufacturing facility must establish a documented pest control program. The foundation for the program may be conducted in-house or through an established pest control provider. Whichever method is chosen, specific requirements exist for a sound program. They include the following:
a. A strategy for preventing pest infestations must be established. Building design, grounds surrounding the plant and raw material receiving procedures are key areas to focus upon.

b. A map of all pest control devices must be drawn. Pest control devices may include exterior rodent bait stations, interior rodent traps (Ketch-all, Tin Cats and glue boards), flying insect killers (insectocutors and vectors) and pheromone traps. Rodent control devices must be numbered. Rodent bait stations must be anchored to the ground, spaced appropriately and not used inside a facility.

c. Frequency and extent of service as well as responsibilities of key plant personnel must be documented. **Weekly checks of interior rodent control stations are mandatory.**

d. A copy of all Pest Control Operators’ licenses, specimen labels and records of service must be kept on file.

e. In-house insecticides must be stored appropriately.

f. For facilities utilizing a pest control provider, a member of management must sign a service report before the pest control technician leaves the plant. Any corrective actions recommended by a pest control provider to prevent infestation by pests must be acted upon and documented in a timely manner.

H. Distribution

1. All products shipped to Albertsons Companies must comply with practices associated with the legacy Albertsons, legacy Safeway, and non-Albertsons/Safeway distribution centers. Each distribution center may have different standards and practices and Suppliers should contact their Procurement Representative for specifics. See **Distribution Center Temperature Policy.**

2. For rejected goods bearing an Own Brands trademark, suppliers shall follow the terms and conditions set forth in the Continuing Commodity Guarantee.

I. Product and Process Changes

Processing changes that could affect specification compliance or shelf life require prior approval:

1. Approval
   a. Products shall not be changed in any manner without Albertsons Companies prior approval, which will be granted or denied in accordance with the **Product Change Approval Requirements. Submit the Product Change Request Notification Form** to your Quality Representative.
   b. Manufacturing of product shall not be re-located to a non-approved facility location without Albertsons Companies prior approval including a Certification Audit. See section 3 (A).

2. Non-Compliance
   a. Any Own Brands product that is changed without authorization or that is non-compliant in any manner with applicable specifications, is subject (without limiting other damages that may be available) to rejection and/or withdrawal from Albertsons Companies stores at the Supplier’s sole expense.
   b. Suppliers that fail to comply with the Product Change Approval Requirements are subject to de-certification.

9 Labeling and Coding of Consumer Units and Master Containers

A. Date Coding

See detailed requirements in **Own Brands Product Dating and Coding.**

B. Kosher Labeling

1. Use of any Kosher symbol requires prior approval from Own Brands FSQA and Product Development.

2. If a Kosher symbol is used, a letter from the certifying agency must be on file clearly stating the name of all Own Brands items covered by the certification and the time period covered by the certification. Note that for certain agencies (Circle U, Circle K, KOF-K), specific contractual formalities apply. Signatures for kosher private label agreements should be coordinated through Own Brands Quality Assurance.

3. The use of a plain “K” is not permitted.

C. Organic Labeling

Lucerne Foods Inc. is certified as an Organic Trader. This certification will allow the use of a single Certifying Entity logo for labeling purposes. Copies of the Trader Certificate and Organic Summary are available upon request.

1. All organic products must meet USDA definitions for 100% Organic, Organic, or Made with Organic Ingredients.

2. Each plant must have a compliance program that has been approved by a USDA-approved agency.

3. Prior to first production, all Suppliers must submit a copy of their organic certification and a product summary listing by brand name all the items they produce for Own Brands.

4. Suppliers must maintain up-to-date organic certificates.
5. Only an Albertsons Companies approved Organic Certification logo can be printed on the label.
6. Suppliers shall provide organic integrity documents upon request. Suppliers shall maintain forward and backward traceability documents. Each title transfer document shall bear the O Organics product UPC and the lot code/date code or product tracking system code.

D. Gluten-Free Labeling
All Suppliers who manufacture “Gluten-Free”-labeled products are required to comply with the Own Brands Gluten Free Policy.

E. Marketing and Health-related Claims
All other marketing and health-related claims must be substantiated by competent and reliable evidence. Supplier will be required to provide this evidence upon request.

F. Allergen-Free Facility Labeling
1. Use of any “made in or manufactured in an allergen (food allergen source) free facility” claim requires prior approval from Own Brands FSQA.
2. The manufacturing facility shall demonstrate Own Brands compliance to this policy. Initial verification may include an on-site certification audit of proposed facility or re-certification audit of previously approved facility, to be performed by Own Brands FSQA and at supplier’s expense.
3. The manufacturing facility shall have a well-defined and fully implemented Food Safety Program, including an Allergen Control Program to ensure no amount of the named food allergen source is present in the product, whether through intentional or inadvertent means. Irrespective of facility protocol to not receive, produce, pack, hold or ship an allergen called out in the Allergen-Free Facility label claim, the expectation is for the facility to implement a validation process of proving consistent absence of source allergen within the plant and product.
4. The manufacturing facility shall incorporate and conduct an annual third-party verification audit to support the Allergen-Free Facility label claim and assess the effectiveness of facility programs objectively. Audit results, report and corrective action shall be shared with Own Brands FSQA to demonstrate on-going compliance. Example of an acceptable third-party audit: Guelph Food Technology Center – Allergen Audit with Nut Free Addendum or Merieux NutriSciences – Allergen Verification Assessment Tool.
5. The manufacturing facility is required to notify Own Brands FSQA any changes to the production systems, food safety systems, and allergen control program which can no longer substantiate the Allergen-Free Facility label claim.
6. Failure to comply may result in immediate product termination, disposal of existing packaging and supplier de-certification.

NOTE: It is prohibited to use a "made in or manufactured in a (allergen name source) free facility" claim in conjunction with a "may contain (naming the same allergen)" statement on the same product.

G. Country of Origin Labelling (COOL)
All Suppliers are required to comply with Country of Origin labeling regulations and the Own Brands Product Dating and Coding requirements.

H. Label Control & Destruction
In the event a supplier is unable to provide suitable documentation to support a label claim or trademark, all label inventory in the possession of the supplier, printer, or elsewhere must be destroyed and an affidavit of destruction provided.
C. Certificates of Analysis (COAs)
   1. Own Brands FSQA may require finished product test results for Own Brands products. See Third-Party Product Testing Requirements For Own Brands Products.
   2. This requirement will be based on product risk and attributes such as quality, functionality, safety, performance, packaging, environmental or other claims.
   3. Third-party testing may be required at the Supplier’s expense.
   4. COAs are to be uploaded to SpecSafe (see Section 7 Document Exchange and Specification Compliance)
   5. Product specific testing requirements:
      a. Own Brands Imported Fin Fish suppliers must comply with the requirements outlined in our policy Imported Packaged Fin Fish Testing Requirements.
      b. Own Brands Shrimp suppliers must comply with testing requirements contained in the specifications. Shrimp Inspection and Test Requirements
      c. Own Brands Imported Extra Virgin Olive Oil suppliers must comply with the requirements outlined in our policy Imported Extra Virgin Olive Oil Testing Requirements.

11 CONSUMER COMPLAINTS

A. Albertsons Companies Customer Support Center
   1. Weekly Reports of all consumer feedback will be provided to each Supplier for comments received the prior week.
   2. An Early Warning report will be issued to the Supplier when three complaints have been received within 21 days for:
      a. The same SKU (UPC), and
      b. The same type of complaint (e.g. wood, bloating, etc.)
   3. Samples obtained from consumers will be provided to the Supplier for investigation (e.g. foreign material).

B. Suppliers
   1. Weekly Reports are to be reviewed to determine plant-controllable complaints such as foreign material, missing components, early spoilage, missing/incorrect codes, defective packaging, etc.
   2. Suppliers are required to maintain up to date e-mail contacts for the distribution of weekly consumer comments.
   3. An Issue Resolution Form must be completed for:
      a. All foreign material findings or illness/injury comments
      b. Actionable complaint responses from the Weekly or Early Warning Report (submit to QA.OwnBrands@safeway.com)

12 RECALLS, WITHDRAWALS, AND CONSUMER ADVISORY

A. Traceability
   1. All facilities must have programs in place to ensure the traceability of raw materials, reworked product, food contact packaging and finished product
   2. All incoming raw material lot numbers should be identified on the Bill of Lading

B. Recalls, Withdrawals, and Consumer Advisory
   1. A documented Recall/Withdrawal Procedure must be in place and the finished product lot numbers shall be identified on the Bill of Lading
   2. In the event of a product defect requiring withdrawal or recall, the Supplier shall contact an Own Brands FSQA Manager to discuss the appropriate action to take and the representative will assist you in determining which of the recall entities to contact via the contact method outlined in the Own Brands Recall/Withdrawal Process and Contact Tree. Each entity is aligned with specific distribution centers and banner stores. Each has a different recall/withdrawal center and execution process. Be prepared to complete a separate recall/withdrawal template as required. If your Own Brands FSQA Manager is not available, the Supplier may contact the recall entity directly.
   3. In the event of a Consumer Advisory alert from a regulatory body, suppliers shall notify Own Brands FSQA and take the appropriate product action.
   4. Recalls requiring public notification/press release must be reviewed and approved by Own Brands prior to distribution
C. Mock Recalls
   1. Suppliers are required to perform three mock recalls per year:
      a. Finished product
      b. Ingredients
      c. Food contact packaging
   2. Results must be documented including:
      a. Start Time and Finish Time
      b. Percent of product accounted
      c. Corrective action to address discrepancies if:
         - 100% +/- 2% is not accounted for within three hours
         - If more or less than 100%, reason for discrepancy
   3. Notification to Own Brands FSQA is not required when conducting a mock recall. Documentation must be on file for each mock recall and made available upon request.

13 Regulatory Activity

A. FDA Bioterrorism Registration
   1. Suppliers need to ensure that all facilities that provide product to Albertsons Companies have registered with the FDA and have a current FDA bioterrorism registration number. This does not apply to USDA-inspected facilities. To ensure compliance, Supplier will provide evidence of registration upon request.

B. FFDCA and FSMA
   1. Suppliers shall comply with all applicable requirements of the Federal Food, Drug & Cosmetic Act (21 U.S.C § 301 et seq.) including requirements of the FDA Food Safety Modernization Act (FSMA)

C. Licensing and Registration
   1. Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the Supplier’s responsibility to be familiar with the laws and regulation in every state in which their product will be sold. Suppliers will be asked to submit proof of registration upon request. Unless otherwise directed, Suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.

D. Import Requirements and Foreign Supplier Verification Program
   1. Suppliers importing products will be required to comply with additional food product and inspection requirements in order to ensure product complies with all regulatory requirements for the retail markets in which the product will be sold.
   2. Foreign Suppliers importing food products under FDA’s Foreign Supplier Verification Program (FSVP) must comply with the regulation (21 CFR Part 1 Subpart L) and by acceptance of the Continuing Commodity Guaranty or Purchase Order, contractually agree to be responsible for FSVP verification activities. Suppliers shall have written procedures to ensure only approved foreign suppliers are used. Albertsons Companies will not serve as FSVP Importer declared to CBP (Customs and Border Protection) during customs entrance filing except as agreed to in writing (per CCG Section XIII.C). Suppliers will be required to demonstrate verification activities per manufacturing facility and product category. Suppliers shall provide supporting documentation within 24 hours upon request. Own Brands FSQA will assess supplier’s FSVP compliance at the time new business award and annually thereafter. Suppliers shall notify Own Brands FSQA should an Own Brands item be selected for an FDA compliance audit.

E. Regulatory Visits or Violations
   1. If a facility producing Own Brands products is given corrective actions or is shut down by a State or Federal regulatory agency, the Supplier must inform their Own Brands FSQA Manager immediately. A copy of the regulatory visit document (e.g. Form 483, Import ban) or Notice of Violation must be provided or made readily available to Own Brands FSQA.
   2. Own Brands FSQA may require documentation that such corrective actions have been completed to the satisfaction of the regulatory agency or may require an on-site audit at Supplier’s expense prior to authorizing resumption of production for Albertsons Companies.
A. Links
1. Albertsons Supplier Site: http://suppliers.safeway.com/
2. U.S. Good Manufacturing Practices (cGMPs): www.access.gpo.gov/nara/cfr/waisidx_00/21cfrv2_00.html
5. Guidance on Inspections of Firms Producing Good Products Susceptible to Contamination with Allergenic Ingredients http://www.fda.gov/ICECI/Inspections/InspectionGuides/ucm074944.htm

B. Documents
1. Quality Assurance Audit & Supplier Program Requirements – Supplier Copy
2. Allergen and Food Intolerance Guidelines
3. Net Weight Requirements
4. Fill Level Policy
5. Supplier Shipping and Receiving Temperature Requirements Policy
6. Product Change Approval Requirements
7. Product Change Request Notification Form
8. Own Brands Product Dating and Coding
9. Own Brands Gluten Free Policy
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16. General Specifications
17. Imported Extra Virgin Olive Oil Testing Requirements
18. Own Brands Supplier Poultry Pathogen Reduction Requirements
19. Distribution Center Temperature Policy