OWN BRANDS SUPPLIER QUALITY REQUIREMENTS	APPROVAL V.P. of Food Safety & Quality Assurance Jerry Noland	DATE ISSUED 3/9/2023	
	APPROVAL Director, QA, Retail & Own Brands Marlowe Dias	SUPERSEDES September 10th, 2020	
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CHANGE LOG:

DATE	SECTION	CHANGE	REASON	CHANGED BY
4/21/15	ALL	Implementation of Own Brands Requirements	Combined company	Marlowe Dias
9/9/15	ALL	Reflected company name change to Albertsons Companies	Change in company name	Marlowe Dias
11/17/16	9	Included new document on Shrimp Testing	Provide further guidance	Marlowe Dias
7/18/17	2A	Clarified minimum audit requirement	Clarification	Marlowe Dias
12/6/17	9	Added link to SOP 8020.1850	Provide additional guidance	Marlowe Dias
11/29/18	7A, 7B, and Appendix A	Updated links to SpecConnect	Change in URL	Brad Olson
01/31/20	3D, 5A, 7A, 7H.2, 8E, 9C.4	Added document link to SOP 8020.1810,Allergen-Free Facility Labeling requirement; SpecSafe, FSVP, Clarified distribution requirement	Provide additional guidance Change in supplier compliance program (SpecConnect to Spec Safe)	Marlowe Dias
9/10/20	8B5, 8G1g and h	Clarified requirements for shell egg producers (farm) regardless of the number of laying hens Clarified requirements for facility conditions and Rodent Indexing	Clarification on 21 CFR part 118 and Pest Control requirement	Minyoung Cha
3/9/2023	All	Review and clarification of all sections, fixed broken links	Clarification	Jared Willbergh

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 products 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*

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. 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 re-located 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.
2. Suppliers must demonstrate that they have a satisfactory Food Safety and Quality System.
3. Albertsons Companies may require a Certification Audit for line extensions or label claims.
4. 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. Not meeting the minimum 3rd party audit requirements
    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.

4 SPECRIGHT

A. Specright

1. All Suppliers are required to register and maintain an account with Specright, a secure web-based supplier compliance and specification program. The URL for supplier login is *https://albertsonsownbrands.force.com/supplier/s* for questions contact: specs.notify@albertsons.com.
2. Registration must be completed prior to first production.
3. Suppliers are required to create and maintain their facility profiles and key contacts for each facility that supplies Albertsons Companies with an Own Brands product.
4. To maintain in good standing, suppliers are required to provide their annual 3rd party audit reports (e.g. GFSI, Social Accountability, Animal Welfare) and any corrective actions for noted deficiencies.
5. Suppliers must maintain up-to-date finished product and packaging specification information.
    a. An approved product specification must be on file in Specright prior to first production.
    b. 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*
6. Specright will issue specific supplier, facility and product compliance requests. Suppliers are required to take the necessary actions to fully comply.
7. Albertsons Companies utilizes Specright to manage:
    - Supplier communication
    - Supplier information & contacts, including key recall contacts
    - Product specifications, including nutritional, ingredients, label claims
    - 3rd party audit reports, certificates and corrective actions
    - Product test data, certificates, and affidavits
    - Product Safety and quality incident resolution

5 MICROBIOLOGICAL CONTROL SYSTEM

All suppliers must have safe and effective sanitation programs in place. Suppliers must have a comprehensive, multifaceted microbiological control program including strict sanitation and environmental monitoring,

A. Environmental Monitoring

1. Facility must have a risk assessment covering all potential pathogens.
2. Facility must identify and validate the number and location of sampling sites adequate to the size of the facility.
3. The timing and frequency of sampling and testing must be appropriate to determine if controls are effective.
4. Environmental monitoring results must be tracked and trended.
5. The program must include specific requirements for immediate response, investigation and corrective actions in the event of positive test results.
6. Records must be available for review and kept up to 12 months past shelf life of product or longer as required by federal regulations.
7. Facility must establish a robust environmental monitoring and sanitation program and model continuous improvement to detect and mitigate food safety risks.

B. Programs

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.*

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 product 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. Finished product must be held and controlled at the Supplier's site pending negative results.

C. Testing

1. Microbiological testing may be conducted by an accredited third-party lab (preferred) or in-house.
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.

D. Raw Poultry

1. All raw poultry suppliers must meet the USDA Performance Standards Salmonella Verification Program standards. See *Own Brands Supplier Poultry Pathogen Reduction Requirements.*

6 FOOD ALLERGEN CONTROL PROGRAMS

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

1. Suppliers are expected to have an effective allergen program and address elements described in the Allergen and Food Intolerance Minimum Supplier Requirements: *Allergen and Food Intolerance Guidelines*

7 FACILITY COMPLIANCE

A. Process Controls

1. All facilities 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 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 must be in place.
3. **Raw Material Evaluations:** Programs must ensure that raw materials 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 programs must be in place for all scales and checkweighers.
3. Suppliers who are cited for net contents violations must provide OB FSQA with documented CAPA (corrective action preventive action) plans in addition to supporting documents as needed to demonstrate full compliance with all applicable regulations.
4. For more details see *Net Weight Requirements* and *Fill Level Policy*

D. Rework

1. 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.
2. Defined time limits for storage of product to be reworked must be in place. Time limits must be product specific and based on a risk assessment.
3. Suppliers must define maximum rework quantity allowed.

E. Foreign Material Detection and Prevention

Foreign Material Detection Devices must be installed when identified through a risk assessment. Examples include Metal Detectors, X-Ray, Magnets, Sifters, Screens, Filters, Strainers, and Rock Traps.

1. If a foreign material detection device is deemed necessary, it must be used after product has been packaged in the primary (food contact) packaging. If placement after packaging is not possible, 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. Rejected products must be kept secure.
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, investigations, and corrective actions must be documented.
6. Hair restraints and beard covers, where applicable, shall be used in areas where product is exposed. Employees are expected to maintain a high level of hygiene and hygienic practices.

F. Water and Air Quality Testing

1. Water used as cleaning, as well as ingredients must be from an adequate source and suitable for its intended use and meet all applicable regulations.
2. 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.
3. Manufacturers must be able to demonstrate the water used for indirect cooling does not pose a health risk.
4. Backflow prevention systems must be in place anywhere there is a risk.
5. Systems must be tested annually, and results documented.
6. Water treatment records must be maintained.
7. Air used in the manufacturing process for food or food contact packaging must be treated by filtering and/or ultraviolet light exposure.
8. Suppliers must conduct a risk assessment for ambient and compressed air to determine if air is a potential source of contamination.
9. If air has been deemed as a source of contamination, an adequate microbiological testing program must be in place.

G. 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 identification of product that is on Hold. 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. Employees must demonstrate understanding that products on hold are not to be used.
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

H. Pest Control

Albertsons requires that all facilities have a documented pest control program in place that is designed to prevent and eradicate pests.

1. Pest Control may be conducted in-house or through a 3rd party pest control provider. The Pest Control Program must include the following:
   a. A strategy for preventing pest infestations must be established.
   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 of pest activity monitoring must be based on a risk assessment. Pest activity must be trended and reviewed for effectiveness.
   d. Extent of service as well as responsibilities of key plant personnel must be documented.
   e. A copy of all Pest Control Operators' licenses, specimen labels and records of service must be kept on file.
   f. In-house insecticides must be stored appropriately.
   g. 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. All external doors, windows, or other openings must be close-fitting or otherwise pest-proofed to protect food from pests and from being exposed to environmental conditions such as warm weather and rain.
   i. Pest Control Requirements for Shell Egg Suppliers can be found in the following document: *Own Brands General Shell Egg Supplier Requirements*.

I. Distribution

1. All products shipped to Albertsons Companies must comply with practices associated with Albertsons, 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.
3. Suppliers producing human or animal foods, must have documented programs consistent with the FDA Sanitary Transportation Rule (21 CFR, Part 1, Subpart O)

J. Product and Process Changes

Products provided by Own Brand suppliers must comply strictly with agreed-upon specifications. Such products shall not be changed in any manner without Own Brands prior approval. Contact your Own Brands Product Manager if changes are needed.

1. Approval
   a. 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 to rejection and/or withdrawal from Albertsons Companies stores at the Supplier's sole expense.
   b. Suppliers that fail to comply are subject to de-certification.

8 LABELING AND CODING OF CONSUMER UNITS AND MASTER CONTAINERS

A. Product Date Coding and Supplier Tracking Number Coding

1. See detailed requirements in *Own Brands Product Dating and Coding.*
2. See detailed requirement in *Supplier Tracking Number Program*

B. Kosher Labeling

1. Use of any Kosher symbol requires prior approval from Own Brands Product Manager 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 facility must secure organic certification via an accredited USDA certified organic body.
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. These documents shall be uploaded into Specright for OB Regulatory review, and annually thereafter.
4. Suppliers must maintain annual organic status and remain in good standing.
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 distribution traceability documents. Each distribution document shall bear the O Organics product UPC, quantity and lot code/date code.

D. Gluten-Free Labeling

All Suppliers who manufacture "Gluten-Free or Free From Gluten"-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 Labeling (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 adequate 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.

9 FINISHED PRODUCT TESTING

A. General Finished Product Testing

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. Test results are to be uploaded to Specright (see Section 7 Document Exchange and Specification Compliance)
5. Product specific testing requirements:
   a. Own Brands Shrimp suppliers must comply with testing requirements contained in the specifications. *Shrimp Inspection and Test Requirements*
   b. Own Brands Extra Virgin Olive Oil suppliers must comply with the requirements outlined in our policy *Extra Virgin Olive Oil Testing Requirements.*
   c. Own Brands organic suppliers must comply with the requirements outlined in our policy *O Organics Pesticide Testing Program Requirements*

B. Shelf-Life Criteria

1. Suppliers are required to have established objective shelf-life failure criteria.
2. Suppliers must provide initial validation of stated stability/shelf-life for all new products to OB Product Development.
3. Continued monitoring of stability/shelf-life performance is required.
   Suppliers are required to notify Own Brands FSQA in the event of significant shelf-life failures.

C. Retention Samples

1. A Product Retention sample program shall be implemented as supported by the shelf life of the product.

D. Evaluation Samples

1. For some new products, or for quality or specification compliance issues, Suppliers may be required to provide samples for evaluation by Own Brands FSQA.
2. The cost of samples and shipment will be the responsibility of the Supplier.

10 CONSUMER COMPLAINTS

A. Albertsons Companies Customer Support Center

1. Weekly Reports of all consumer feedback will be provided via e-mail by the Call Center for all comments received the prior week.
2. An OB FSQA Manager may issue a non-conformance when three complaints have been received for:
   The same SKU (UPC), and The same type of complaint (e.g. off flavor, missing component, early spoilage, foreign material, etc.)
3. Non-conformance will require a root cause investigation and corrective action response to eliminate quality defect.
4. Samples obtained from consumers may 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 provide a global e-mail account and maintain up to date e-mail contacts for the distribution of weekly consumer comments.
3. An *Issue Resolution Form* must be submitted within 10 business days to qa.ownbrands@albertsons.com for:
   a. Customer Complaints categorized as: complaint, foreign material, illness/injury, packaging.
   b. Complaint data shall be trended, analyzed and used to implement ongoing improvements.
   c. Supplier may be required to provide a written response to a customer.

11 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
3. Suppliers producing human or animal foods, must have documented programs consistent with the FDA Traceability Rule (21 CFR Part 1, Subpart J)

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 1-623-869-5101 to initiate and email qa.ownbrands@albertsons.com. An Own Brands FSQA Manager will discuss the appropriate action to take and 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.
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. Supplier is responsible for issuing a Public Warning Notification for any Own Brands products requiring a notice. Draft shall be provided to Albertsons FSQA prior to issuance to general public and regulatory body. Draft content will be reviewed by Legal Counsel, FSQA, and Public Affairs. Content modifications may be required. Final document to be shared with Albertsons Companies.

C. Mock Recalls

1. Suppliers are required to perform annual mock recalls, covering the following items:
   a. Finished product
   b. Ingredients
   c. Food contact packaging
2. Program must include the following:
   a. Start Time and Finish Time
   b. Percent of product accounted for within a specified time frame
3. Corrective action to address discrepancies must be implemented.
4. 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

D. Post Recall or Withdrawal Expectations

1. Suppliers are required to conduct immediate actions to assess and correct the issue(s) contributing to the recall or withdrawal.
2. Suppliers must conduct a robust root cause analysis and implement sustainable corrective actions. The written root cause and corrective action statement shall be submitted to OB FSQA for review. Documentation, including photos, may be required to substantiate corrective actions.
3. Due to the recall severity and cause a supplier may be placed on Probation or Decertified as determined by Own Brands FSQA.
4. It is the supplier's responsibility to ensure their product is in compliance with all applicable state or federal regulations. Product recalls are regulated by different federal agencies (FDA, USDA, CPSC) and these agencies have specific post recall requirements.
5. Supplier shall provide updates on Regulatory Agency interactions and comply with Albertsons request for documentation.
6. Depending on the recall root cause, the following activities may be conducted on behalf of OB FSQA:

   a) Review of Recalling Firm's Root Cause and Corrective Action Plan (CAPA) *this requirement is mandatory for all recall events
   b) Facility re-certification facility audit (On-site or Virtual)

c) Review of supplier's documented programs to prevent issue from recurrence (examples include: Food Safety Plan, HACCP Plan, Allergen Program, Environmental Monitoring Program, GMP Employee Training, Microbiological Monitoring)
d) Review verification checks and monitoring activities to support Corrective Action Plan (examples may include environmental monitoring data, third-party analysis, label control
e) Periodic reviews with supplier to determine sustainability of corrective actions

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. Full disclosure 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.

APPENDIX A: REFERENCES

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
3. FDA Defect Action Levels: http://www.fda.gov/Food/GuidanceRegulation/GuidanceDocumentsRegulatoryInformation/SanitationTransportation/ucm056174.htm
4. U.S. Organic Information: http://www.ams.usda.gov/AMSv1.0/nop
5. Guidance on Inspections of Firms Producing Good Products Susceptible to Contamination with Allergenic Ingredients: Federal Register :: Guidance on Inspections of Firms Producing Food Products Susceptible to Contamination With Allergenic Ingredients; Availability
6. Specright: https://albertsonsownbrands.force.com/supplier/s
7. Global Food Safety Initiative (GFSI) http://www.mygfsi.com/
8. Own Brands Quality Assurance Recall and Withdrawal Contact Tree: http://suppliers.safeway.com/pdf/product_recall_process.pdf
9. Albertsons Code Date Guarantee Policy to Distribution and Retail http://Suppliers.safeway.com/usa/pdf/8020_3200minshelflife_distcenter.pdf
10. Prevention of Salmonella Enteritidis in Shell Eggs During Production, Storage, and Transportation https://www.fda.gov/media/82653/download

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. *Own Brands Product Dating and Coding*
6. *Own Brands Gluten Free Policy*
7. *Shrimp Inspection and Test Requirements*
8. *Issue Resolution Form*
9. *Own Brands Recall/Withdrawal Process and Contact Tree*
10. *Third-Party Product Testing Requirements for Own Brands Products*
11. *Pathogen Testing Guidelines*
12. *General Specifications*
13. *Extra Virgin Olive Oil Testing Requirements.*
14. *Own Brands Supplier Poultry Pathogen Reduction Requirements*
15. *Distribution Center Temperature Policy*
18. *Own Brands General Shell Egg Supplier Requirements*.
19. *O Organics Pesticide Testing Program Requirements*
20. *Country of Origin labeling regulations*
21. *Supplier Tracking Number Program*