

OWN BRANDS SUPPLIER AUDIT PROGRAM REQUIREMENTS – SUPPLIER COPY	APPROVAL Group V.P. of Food Safety & Quality Assurance Jerry Noland	DATE ISSUED July 18, 2023	
	ISSUED BY Director, QA, Retail & Own Brands Marlowe Dias	SUPERSEDES January 10, 2023	
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I. PURPOSE

1. To provide Quality Assurance (QA) audit requirements to all Suppliers supplying Own Brands (OB) products. Brands which include, but are not limited to: O Organics, Signature Farms, Signature Select, Signature Care, Signature Reserve, Signature Seasons, Signature Café, Lucerne, Deli Counter, Refreshes, Open Nature, Waterfront Bistro, Primo Taglio, readymeals, and Value Corner.

II. RESPONSIBILITY

1. **OB Food Safety Quality Assurance (OB FSQA)**
 - 1.1. Develops and maintains the policy. OB FSQA will assure the safety, quality, and integrity of OB products by actively auditing and overseeing a third-party audit program to assure Suppliers are in full compliance to this policy.
2. **OB Suppliers**
 - 2.1. Responsible for remaining in compliance with the requirements and providing audit reports including corrective actions

III. DEFINITIONS

1. **Raw Agricultural Commodity (RAC)**
 - 1.1. Means “raw agricultural commodity” as defined in section 201(r) of the Federal Food, Drug, and Cosmetic Act.
2. **High Risk Own Branded Produce**
 - 2.1. **Fresh Produce and Value Added Packaged Fresh Produce:**
 - 2.1.1. High risk items include: Sprouts, Berries, Cilantro, Parsley, Basil, Iceberg Lettuce, Romaine Lettuce, Leaf Lettuce, Butter Lettuce, Baby Leaf Lettuce, Escarole, Endive, Spring Mix, Spinach, Cabbage, Kale, Arugula, Chard, Green Onions, Tomatoes, Cantaloupes, Watermelons, Chili Peppers and Mangos. This includes value-added packaged products (e.g., ready-to-eat, ready-to-use) containing any of the covered items as an ingredient.
 - 2.1.2. Other produce items that are cut and/or considered to be washed and ready-to-eat
3. **International Suppliers**
 - 3.1. Any facility located outside of United States.
4. **GFSI**
 - 4.1. Global Food Safety Initiative

IV. PROCEDURES OR REQUIREMENTS

1. **Ongoing Audit Requirements Overview**
 - 1.1. After the initial Own Brands certification audit, Suppliers are required to have each facility audited annually to Albertsons Companies OB standards. The required standard/third-party auditing firm depends upon the type of products produced. Acceptability of the audit will be determined by the OB FSQA Manager.
 - 1.2. The Supplier shall submit completed audit reports with completed corrective actions. Documents must be made available for review within 24 hours of request.

- 1.3. Albertsons Companies, Inc. reserves the right to request additional supplier records and facility inspections as necessary.
 - 1.4. Audits which do not meet the minimum scoring requirements may be required to undergo a re-certification audit by OB FSQA. Full audit reports must be submitted in these situations in which an additional audit is required to maintain their certification.
 - 1.5. Suppliers will be responsible for all audit costs.
- 2. Social Accountability Audits**
- 2.1. All international suppliers, except those on the Exempt Countries list, are required to have an annual third-party Social Accountability audit or assessment completed at their site by an accredited certification body. Albertsons Own Brands accepts the following third-party Social Accountability audits and assessments to satisfy this requirement. Findings from the social accountability audit requires closed and verified corrective actions from the auditing body to meet this requirement. Note - Exempt Countries list is subject to change by Albertsons Companies.
 - 2.1.1. *Exempt Countries: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Iceland, Ireland, Italy, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States.*
 - 2.2. **Accepted Social Accountability Audits:**
 - 2.2.1. amfori Business Social Compliance Initiative (BSCI)
 - 2.2.2. Sedex Members Ethical Trade Audit (SMETA)
 - 2.2.3. Social Accountability International (SA8000)
 - 2.2.4. Intertek Workplace Conditions Assessment
 - 2.2.5. UL Responsible Sourcing Workplace Assessment Report (RSWA)
 - 2.3. **For Produce Suppliers, the following is also accepted:**
 - 2.3.1. Equitable Food Initiative (EFI)
 - 2.3.2. Fair Trade USA Agricultural Production Standard (FT USA APS)
 - 2.4. **For Seafood Suppliers, the following is also accepted:**
 - 2.4.1. Best Aquaculture Practices (BAP)
 - 2.4.2. Fair Trade USA Capture Fisheries Standard (FT USA CFS)
- 3. Human and Animal and Food-Contact Packaging Manufacturing Facilities**
- 3.1. All food and food-contact packaging manufacturing facilities must have an annual third-party audit confirming certification to any of the food safety schemes recognized by the Global Food Safety Initiative (GFSI). Note: food-contact packaging products refer to those for retail sale (cutlery, containers, foil, plastic wrap, plates, cups, plastic bags, straws, etc.)
 - 3.1.1. Refer to the www.mygfsi.com website for a current listing of acceptable GFSI food safety audit schemes.
 - 3.2. **Acceptable minimum audit scores for listed schemes are:**
 - 3.2.1. BRC (British Retail Consortium) – minimum grade ‘B’
 - 3.2.2. SQF (Safe Quality Foods) – minimum rating ‘G-Good’ or score of 86%
 - 3.2.3. FSSC 22000 (Food Safety Systems Certification) – receive certificate
 - 3.2.4. IFS (International Food Standard) – minimum grade ‘B’
 - 3.2.5. GRMS (Global Red Meat Standard) – minimum Level II rating
 - 3.2.6. BAP (Best Aquaculture Practice) Seafood Processing Standard – receive certificate

- 3.3. All seafood shall be yellow-or green-rated by Monterey Bay Aquarium Seafood Watch, in accordance with Albertsons' Sustainability Policy. Refer to the link for 'Sustainability' policy <https://www.albertsons.com/our-company/social-responsibility/>
- 3.4. All Alcoholic Beverage Facilities (Wine, Spirits, Malt Beverages):
- 3.4.1. Annual third-party audit to any food safety schemes recognized by the Global Food Safety Initiative (GFSI) is preferred.
- 3.4.2. All facilities require an annual third-party cGMP Audit confirming compliance to cGMP (Current Good Manufacturing Practice) as defined under CFR Part 117 Subpart B.
- 4. Produce**
- 4.1. All growers/fields/farms/ranches/greenhouses for Produce must have an annual third-party Good Agricultural Practices (GAP) certificate.
- 4.2. All packing houses, coolers and processing facilities for Produce must have an annual third-party audit confirming certification to any of the food safety schemes recognized by the Global Food Safety Initiative (GFSI).
- 4.3. Sprouts require a GAP certificate, a GFSI certificate, and additional requirements outlined in 21 CFR § 112 Subpart M.
- 4.4. Acceptable minimum audit scores for listed schemes are:
- 4.4.1. PrimusGFS –minimum score of 90%
- 4.4.2. Canada GAP –minimum score of 85%
- 4.4.3. Global GAP –minimum scores 100% to major musts, 95% to minor musts
- 4.4.4. Asia GAP -minimum scores 100% to major musts, 95% to minor musts
- 4.4.5. Harmonized GAP Plus+ -receive certificate 5
- 4.5. Leafy greens handlers and shippers located in CA or AZ must be certified as a Leafy Greens Marketing Agreement (LGMA) member.
- 4.6. Handlers and shippers located outside of CA or AZ must have programs in place that demonstrate compliance to the LGMA Food Safety Metrics.
- 5. Shell Eggs –Animal Welfare Requirements**
- 5.1. In addition to a GFSI audit:
- 5.1.1. All battery-cage shell egg suppliers are required to comply with UEP (United Egg Producers) Humane Treatment guidelines, or Egg Farmers of Canada Humane Treatment guidelines, as detailed in the Animal Care Program. Third-party verification must be provided.
- 5.1.2. All shell eggs that are not from caged operations (Cage Free, Free Range, Pasture Raised, etc.), suppliers are required to be audited and certified annually by Humane Farm Animal Care (HFAC), before business is awarded, and annually thereafter. American Humane is acceptable alternative but must be confirmed by Albertson's prior to business award.
- 6. Meat and Poultry –Animal Welfare Requirements**
- 6.1. All meat slaughter facilities (Beef, Pork, Veal, Lamb) are required to be audited annually under a NAMI (North American Meat Institute) audit scheme.
- 6.2. All turkey slaughter facilities are required to be audited annually by the National Turkey Federation (NTF)
- 6.3. All chicken slaughter facilities are required to be audited annually by the National Chicken Council (NCC)

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7. General Merchandise

7.1. For all manufacturers of general merchandise (items regulated by the Consumer Products Safety Commission) it is strongly recommended that an ISO 9001 audit be performed. Minimum requirements also include, but are not limited to, a verification letter confirming that a pest control program, a product testing program, and a product traceability system is established and functioning at the facility.

8. FDA Dietary Supplements, Medical Devices, Over-the-Counter Drugs, Cosmetics

8.1. All products as defined by the Federal Food, Drug, and Cosmetic Act, in addition items that come in contact with food or skin, must have an annual third-party facility cGMP audit or applicable audit for the product category. The initial certification audit and annual audit compliance requirements apply to both bulk manufacturer and final packaging manufacturer.

8.1.1. Note – food-contact packaging for retail sales must meet the GFSI audit requirements listed in section 3.2 above.

8.2. Acceptable minimum audit scores for below schemes are:

8.2.1. Dietary Supplements

8.2.1.1. UL cGMP21 CFR 111 – minimum risk level of “Limited Risk” (89.99)

8.2.1.2. NSF 455-2 – minimum score of B

8.2.2. Medical Devices

8.2.2.1. Intertek cGMP Medical Device – minimum performance rating of “Medium Performance” (71)

8.2.2.2. UL cGMP Medical Device -21 CFR 820 – minimum grade of “Green” (80)

8.2.3. Over-the-Counter Drugs

8.2.3.1. UL cGMP 21 CFR 211 – minimum risk level of “Limited Risk” (89.99)

8.2.3.2. NSF 455-4 - minimum score of B

8.2.4. Cosmetics

8.2.4.1. UL ISO 22716 - minimum grade of “Green” (80)

8.2.4.2. NSF 455-3 - minimum score of B

V. REFERENCES

1. Global Food Safety Initiative:
 - 1.1. <https://www.mygfsi.com>
2. USDA Agricultural Marketing Service (AMS) GAP&GHP:
 - 2.1. <https://www.ams.usda.gov/services/auditing/gap-ghp>
3. California Leafy Greens Marketing Agreement (CA LGMA) Resources
 - 3.1. <https://lgmatech.com/resources/>
4. Arizona Leafy Greens Marketing Agreement (AZ LGMA) Resources
 - 4.1. <https://www.arizonaleafygreens.org/guidelines>
5. The North American Meat Institute
 - 5.1. <https://www.meatinstitute.org/>
6. National Turkey Federation
 - 6.1. <https://www.eatturkey.org/>
7. National Chicken Council
 - 7.1. <https://www.nationalchickencouncil.org/>
8. UL
 - 8.1. <https://www.ul.com/services/auditing-and-inspection>

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- 9. NSF
 - 9.1. <https://www.nsf.org/testing>
- 10. Intertek Medical Devices Auditing and Certification Services
 - 10.1. <https://www.intertek.com/assurance/medical>

VI. ALBERTSONS COMPANIES, INC. SUPPLIER AUDIT REQUIREMENTS SUMMARYTABLE:

Table 1 Supplier / Product Categories	Third-Party Audits												
	Social Accountability	UEP Humane Treatment Guidelines	Humane Farm Animal Care (Preferred) or American Humane	GFSI	GAP Audit	ISO 9001	BAP	GRMS	Pest Control & Traceability	cGMP	NAMI	NTF	NCC
International Suppliers	X												
Food Manufacturing Facilities				X			X	X					
Alcoholic Beverage										X			
Shell Eggs Battery Cage		X		X (Packer)					X				
Shell Eggs Not from Caged-Operations			X	X (Packer)					X				
Meat Slaughterhouse (Beef, Pork, Veal, Lamb)											X		
Turkey Slaughterhouse												X	
Chicken Slaughterhouse													X
Produce Farm, Ranch				X	X								
Produce Coolers, Packing Sheds & Processing facilities				X									
FDA Dietary Supplements, Medical Devices, Over-the- Counter Drugs, Cosmetics										X			
General Merchandise						X			X				



FOOD SAFETY & QUALITY ASSURANCE PROCEDURE

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Food-Contact Packaging for Retail Sale				X										
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