



Clause 1 - Management Commitment - Global Standard Food Safety, Issue 9 Audit

1 Feb 2023 / Mike Johnson

Complete

| | | | | | |
|-----------------------|---------------|---------------|----------|---------|---|
| Score | 88.89% | Flagged items | 5 | Actions | 3 |
| Site conducted | | | | | Unanswered |
| Conducted on | | | | | 01.02.2023 07:30 PST |
| Prepared by | | | | | Mike Johnson |
| Location | | | | | 9920 Lake Forest Dr, Lake Forest, CA 92630, USA (33.6299915, -117.7306439) |

Flagged items & Actions

5 flagged, 3 actions

Flagged items

5 flagged, 3 actions

1.1 Senior management commitment and continual improvement / 1.1 Senior management commitment and continual improvement / 1.1.1 The site shall have a documented policy which states the site's intention to meet its obligation to produce safe, legal and authentic products to the specified quality, and its responsibility to its customers. This shall:

• **be communicated to all staff**

Does not conform

Complete | Assignee SafetyCulture Staff | Priority Low | Due 15.02.2023 16:10 PST | Created by SafetyCulture Staff

Communicate with staff

Share updates to all staff regarding product quality

1.1 Senior management commitment and continual improvement / 1.1 Senior management commitment and continual improvement / 1.1.2 The site's senior management shall define and maintain a clear plan for the development and continuing improvement of a food safety and quality culture. The plan shall include measures needed to achieve a positive culture change. This shall include:

• **feedback from employees**

Does not conform

Emphasize the importance of getting insights from the employees

1.1 Senior management commitment and continual improvement / 1.1 Senior management commitment and continual improvement / 1.1.6 The company shall have a confidential reporting system to enable staff to report concerns relating to product safety, authenticity, legality and quality.

The mechanism (e.g. the relevant telephone number) for reporting concerns shall be clearly communicated to staff.

Does not conform

To Do | Assignee SafetyCulture Staff | Priority Low | Due 15.02.2023 16:16 PST | Created by SafetyCulture Staff

create a document

Create a templated document that includes this information

1.1 Senior management commitment and continual improvement / 1.1 Senior management commitment and continual improvement / 1.1.11 Participation

Relevant departmental managers or their deputies shall be available as required during the audit.

Does not conform

1.2 Organisational structure, responsibilities and management authority / 1.2.1

The company shall have an organisation chart demonstrating the management structure of the company. The responsibilities for the management of activities which ensure food safety, authenticity, legality and quality shall be clearly allocated and understood by the managers responsible. It shall be clearly documented who deputises in

Does not conform

the absence of the responsible person.

The organization chart is not updated

To Do | Assignee SafetyCulture Staff | Priority Low | Due 15.02.2023 16:23 PST | Created by SafetyCulture Staff

Make a new organization chart

Make a new organization chart to reflect the updated structure of the business.

Other actions

0 actions

1.1 Senior management commitment and continual improvement

4 flagged, 2 actions, 90.24%

1.1 Senior management commitment and continual improvement

4 flagged, 2 actions, 90.24%

Fundamental SOI - The site's senior management shall demonstrate that they are fully committed to the implementation of the requirements of the Global Standard Food Safety and to processes which facilitate continual improvement of food safety, quality management, and the site's food safety and quality culture.

1.1.1 The site shall have a documented policy which states the site's intention to meet its obligation to produce safe, legal and authentic products to the specified quality, and its responsibility to its customers. This shall:

1 flagged, 1 action, 66.67%

• be signed by the person with overall responsibility for the site

Conforms

• include commitment to continuously improve the site's food safety and quality culture.

Conforms

• be communicated to all staff

Does not conform

Complete | Assignee SafetyCulture Staff | Priority Low | Due 15.02.2023 16:10 PST | Created by SafetyCulture Staff

Communicate with staff

Share updates to all staff regarding product quality

1.1.2 The site's senior management shall define and maintain a clear plan for the development and continuing improvement of a food safety and quality culture. The plan shall include measures needed to achieve a positive culture change. This shall include:

1 flagged, 88.89%

defined activities involving all sections of the site that have an impact on product safety. As a minimum, these activities shall be designed around:

Conforms

• clear and open communication on product safety

Conforms

• training

Conforms

• feedback from employees

Does not conform

Emphasize the importance of getting insights from the employees

• the behaviours required to maintain and improve product

Conforms

safety processes

| | |
|---|------------|
| • performance measurement of activities related to the safety, authenticity, legality and quality of products | Conforms |
| • an action plan indicating how the activities will be undertaken and measured, and the intended timescales | Conforms |
| • a review of the effectiveness of completed activities. | Conforms |
| Has the plan been reviewed within the last year? | Yes |
| When was it reviewed last? | 01.12.2022 |
| 1.1.3 The site's senior management shall ensure that clear objectives are defined to maintain and improve the safety, authenticity, legality and quality of products manufactured, in accordance with the food safety and quality policy and this Standard. Are these objectives | 100% |
| documented and include targets or clear measures of success? | Conforms |
| clearly communicated to all staff? | Conforms |
| monitored and results reported at least quarterly to site senior management and all staff? | Conforms |
| 1.1.4 Management review meetings attended by the site's senior management shall be undertaken at appropriate planned intervals, annually at a minimum, to review the site performance against the Standard and objectives set in clause 1.1.3. The review process shall include the evaluation of: | 100% |
| • previous management review action plans and timeframes | Conforms |
| • the results of internal, second-party and/or third-party audits | Conforms |
| • any objectives that have not been met, to understand the underlying reasons. This information shall be used when setting future objectives and to facilitate continual improvement | Conforms |
| • any customer complaints and the results of any customer feedback | Conforms |
| • any incidents (including both recalls and withdrawals), | Conforms |

corrective actions, out-of-specification results and non-conforming materials

• the effectiveness of the systems for HACCP, food defence and authenticity, and the food safety and quality culture plan

Conforms

• resource requirements.

Conforms

Have the records of the meeting been documented and used to revise the objectives, thereby encouraging continual improvement?

Yes

Have the decisions and actions agreed within the review process shall be effectively communicated to appropriate staff, and actions implemented within agreed timescales?

Yes

1.1.5 Monthly senior management meetings

100%

The site shall have a demonstrable meeting programme which enables food safety, authenticity, legality and quality issues to be brought to the attention of senior management. Have these meetings occurred at least monthly.

Yes

1.1.6 The company shall have a confidential reporting system to enable staff to report concerns relating to product safety, authenticity, legality and quality.

1 flagged, 1 action, 66.67%

Does the company conform?

Conforms

The mechanism (e.g. the relevant telephone number) for reporting concerns shall be clearly communicated to staff.

Does not conform

To Do | Assignee SafetyCulture Staff | Priority Low | Due 15.02.2023 16:16 PST | Created by SafetyCulture Staff

create a document

Create a templated document that includes this information

The company's senior management shall have a process for assessing any concerns raised. Records of the assessment and, where appropriate, actions taken, shall be documented.

Conforms

1.1.7

100%

1.1.7 The company's senior management shall provide the human and financial resources required to produce safe, authentic, legal products to the specified quality and in compliance with the requirements of this Standard.

Conforms

1.1.8 The company's senior management shall

100%

have a system in place to ensure that the site is kept informed of and reviews:

| | |
|--|-------------------|
| • scientific and technical developments | Conforms |
| • industry codes of practice | Conforms |
| • new risks to authenticity of raw materials | Conforms |
| • all relevant legislation in the country where the product will be sold (where known). | Conforms |
| 1.1.9 BRCGS Standard | 100% |
| 1.1.9 The site shall have a genuine, original hard copy or electronic version of the current Standard available and be aware of any changes to the Standard or protocol that are published on the BRCGS website. | Conforms |
| 1.1.10 Certification | 100% |
| 1.1.10 Where the site is certificated to the Standard, it shall ensure that announced or blended announced recertification audits occur on or before the audit due date indicated on the certificate. | Conforms |
| 1.1.11 Participation | 1 flagged, 66.67% |
| The most senior production or operations manager on site shall participate in the opening and closing meetings of the audit for certification to the Standard. | Conforms |
| Relevant departmental managers or their deputies shall be available as required during the audit. | Does not conform |
| A member of the senior management team on site shall be available during the audit for a discussion on effective implementation of the food safety and quality culture plan. | Conforms |
| 1.1.12 Senior management NC's | 100% |
| The site's senior management shall ensure that the root causes of any non-conformities against the Standard identified at the previous audit have been effectively addressed to prevent recurrence. | Conforms |
| 1.1.13 BRCGS Logo | 100% |
| The BRCGS logo and references to certification status shall be used only in accordance with the conditions of use detailed in | Conforms |

the audit protocol section (Part III, section 6.7) of the Standard.

1.1.14

100%

Where required by legislation, the site shall maintain appropriate registrations with the relevant authorities.

Conforms

1.2 Organisational structure, responsibilities and management authority

1 flagged, 1 action, 75%

Fundamental SOI The company shall have a clear organisational structure and lines of communication to enable effective management of product safety, legality and quality.

1.2.1

1 flagged, 1 action, 0%

The company shall have an organisation chart demonstrating the management structure of the company. The responsibilities for the management of activities which ensure food safety, authenticity, legality and quality shall be clearly allocated and understood by the managers responsible. It shall be clearly documented who deputises in the absence of the responsible person.

Does not conform

The organization chart is not updated

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Make a new organization chart

Make a new organization chart to reflect the updated structure of the business.

1.2.2

100%

The site's senior management shall ensure that all staff are aware of their responsibilities and demonstrate that work is carried out in accordance with documented site policies, procedures, work instructions and existing practices for activities undertaken. All staff shall have access to relevant documentation.

Conforms

1.2.3

100%

Staff shall be aware of the need to report any risks or any evidence of unsafe or out-of-specification product, equipment, packaging or raw materials, to a designated manager to enable the resolution of issues requiring immediate action.

Conforms

1.2.4

100%

If the site does not have the appropriate in-house knowledge of food safety, authenticity, legality or quality, external expertise (e.g. food safety consultants) may be used; however, the day-to-day management of the food safety systems shall remain the responsibility of the company.

Conforms

Sign Off

Name of auditor

A handwritten signature in black ink, appearing to be 'MJ' with a flourish.

Mike Johnson
08.02.2023 16:24 PST
