

Company	SGF site nbr	Audit date	Place

Auditor	Country



SGF-Audit Checklist - Trader, Broker

Audit chapters

- | | |
|---|---|
| 1 - General Information | 6 - Product transport |
| 2 - Quality System | 7 - HACCP (Hazard Analyses and Critical Control Points) |
| 3 - Product responsibility | 8 - Traceability |
| 4 - Product blending, rework, repacking | 9 - Audit closure |
| 5 - Product storage | |

Legend

- 5 points:** SGF requirements are met completely.
- 4 points:** SGF requirements are met but improvements are recommended.
- 2 points:** SGF requirements are not met because fulfilled only to a small extent.
- 1 point:** SGF requirements are not met due to critical deviations.
- 0 points:** SGF requirements are not met at all.
- na:** not applicable
- Remark:** 3 points may not be given!
- EC:** Exclusion criteria

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		Yes / No / n.a.	Scoring	Comment (obligatory if score < 5)
1.				
	Remark:			
1.1.	SGF contact data, functions in the company			
1.2.	Existence of shares in other companies and/or existence of any subsidiaries?			
1.3.	Number of employees			
1.4.	Organisational chart			
1.5.	Percentage of juice activities compared to the over-all activities of the audited company			
1.6.	Does the company has any third party certification?			

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1.7.	ISO22000	Yes/No		
1.8.	IFS	Yes/No		
1.9.	BRC	Yes/No		
1.10.	organic certification	Yes/No		
1.11.	Kosher	Yes/No		
1.12.	Halal	Yes/No		
1.13.	Rainforest Alliance	Yes/No		
1.14.	Fairtrade	Yes/No		

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1.15.	other certification, if yes which one?	Yes/No		
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2.	Quality System			
2.1.	Does the company works following a quality manual to assure food safety?	Yes/No	0 - 1 - 2 - 4 - 5	
2.2. EC	Purchase of goods: Is there a clear differentiation possible between IRMA approved suppliers and other suppliers?	Yes/No/n.a.	0 - 5	
2.3.	With which frequency the status of IRMA approval of suppliers is checked?		0 - 1 - 2 - 4 - 5	
2.4.	Is it clearly indicated to the customer if any goods are non-system goods?	YES/No/n.a.	0 - 1 - 2 - 4 - 5	
2.5.	Where applicable, in case that one part of a blend is not system good, is the whole blend considered as non-system good by the company?	Yes/No/n.a.	0 - 1 - 2 - 4 - 5	

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2.6. EC	Is there a documented procedure to assure that authenticity analyses are carried out for non-system goods?	Yes/No/n.a.	0 - 5	
2.7.	Is it assured that conformity analyses of non-system goods have a sufficient scope?	Yes/No/n.a.	0 - 1 - 2 - 4 - 5	
2.8.	Is it assured that conformity analyses of non-system goods are interpreted correctly?	Yes/No/n.a.	0 - 1 - 2 - 4 - 5	
2.9.	Is a procedure defined in case conformity analyses are not satisfying? (Treatment of non-conform products)	YES/No/n.a.	0 - 1 - 2 - 4 - 5	
2.10.	Is the correct application of defined procedures tested regularly, e.g. through an internal audit?	Yes/No/n.a.	0 - 1 - 2 - 4 - 5	
2.11.	In case that failures or potential of improvements have been identified, is it assured that corrective actions are followed up correctly? (Continuous improvement)	Yes/No	0 - 1 - 2 - 4 - 5	
2.12.	When was the last revision or update of procedures?		0 - 1 - 2 - 4 - 5	
2.13.	Does the company have an allergen policy?	Yes/No	0 - 5	
2.14.	Is it assured that for all products counter samples are stored at least for 12 month, but minimum until the best before date?	Yes/No	0 - 1 - 2 - 4 - 5	

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3.	Product responsibility			
3.1.	Is the company owner of handled products (all products or partially)?	Yes/No		
3.2.	Is the company legally responsible for the quality delivered (all products or partially)?	Yes/No		

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4.	Product blending, rework, repacking			
4.1.	Does the company order at third parties services to blend and/or to rework products and/or to repack? After answering: If answer is "No", contiune with question 5.1. (skip 4.2 to 4.5.)	Yes/No		
4.2. EC	Is it assured that the product is not substituted or falsified during operation? (Authenticity)? After answering: If all service providers have SGF certification, contiune with question 5.1. (skip 4.3 to 4.5.)	Yes/No	0 - 5	
4.3.	Is it assured that good safety and hygiene conditions are applied during operation? After answering: If all service providers have valid SGF certification or certification of a food safety management system according to a GFSI (Global Food Safety Initiative) recognised certification scheme or to DIN EN ISO 22000, continue with question 5.1. (skip questions 4.4 and 4.5.)	Yes/No	0 - 1 - 2 - 4 - 5	
4.4.	Do you assure that goods are stored safely by the service provider? (e.g. temperature control)	Yes/No/n.a.	0 - 5	

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4.5.	Do you assure that goods are handled and stored secured by the service provider? (Food defense)	Yes/No/n.a.	0 - 5	
5.	Product storage			
5.1.	Does the company order at third parties to store products? If answer is "No", continue with question 6.1.	Yes/No		
5.2. E.C.	Do you assure that the product is not substituted or falsified during storage? (Authenticity) After answering: If all storage providers have valid SGF certification continue with question 6.1. (skip questions 5.3 and 5.4.)	Yes/No	0 - 5	
5.3.	Do you assure that goods are stored safely? (e.g. temperature control, hygiene condition) After answering: If all service providers have valid SGF certification or certification of a food safety management system according to a GFSI (Global Food Safety Initiative) recognised certification scheme or to DIN EN ISO 22000, continue with question 6.1. (skip question 5.4.)	Yes/No	0 - 5	

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5.4	Do you assure that goods are stored secured? (Food defense)	Yes/No	0 - 5	
6.	Product transport			
6.1.	Does the company order third parties to transport products? After answering: If answer is "No", go to 7.1.	Yes/No		
6.2.	Do you assure that goods are transported safely? (e.g. temperature control)	Yes/No	0 - 5	
6.3.	In case of bulk transport, do you assure that tanks and containers are cleaned adequately?	Yes/No/n.a.	0 - 5	
7.	HACCP (Hazard Analyses and Critical Control Points)			
7.1.	Has the company an implemented HACCP?	Yes/No	0 - 5	

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7.2.	Does the HACCP cover all relevant aspects?	Yes/No/n.a.	0 - 1 - 2 - 4 - 5	
8.	Traceability			
8.1.	Starting from a batch delivered to a customer, is it possible to identify corresponding batch(es) on supplier side?	Yes/No	0 - 5	
8.2. EC	Is it possible to identify the fruit/vegetable processor for any purchase of non-system goods?	Yes/No/n.a.	0 - 5	
8.3.	Starting from a batch delivered to a customer, could it be checked if the corresponding batch unit from the supplier has been split up and another part thereof was delivered as separate batch to the same or any other customer, or if it is still in storage?	Yes/No/n.a.	0 - 5	
8.4.	Starting from a purchased batch on supplier side, is it possible to identify corresponding batch(es) on customer(s) side?	Yes/No	0 - 5	

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8.5.	Does the company carry out recall exercises? (Mock recall)	Yes/No	0 - 1 - 2 - 4 - 5	
8.6.	Is there a full traceability of all products used in a blend or assemblage of packing units?	Yes/No/n.a.	0 - 5	
8.7.	Does the company ask the supplier about participation at FRAPP (Fruit Risk Assessment Programme for Pesticides, supervised by SGF)?	Yes/No	0 - 5	

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9	Audit closure
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Company representative	Function
Remarks by company	
Date	Signature

Auditor	
Remarks by company	
Date	Signature