



Company: Country Code: SGF Factory ID: Date of audit:

Checklist for the Auditor

Content	done	page
⇒ Overview / Audit Elements		2 - 3
⇒ General Information	<input type="checkbox"/>	4 - 6
⇒ ACS (Audit Checklist STANDARD) P 1 - 3	<input type="checkbox"/>	7 - 19
⇒ Summary Corrective Actions	<input type="checkbox"/>	20 - 21
⇒ Possible Comments by the Company	<input type="checkbox"/>	22
⇒ CoC Code of Conduct Checklist	<input type="checkbox"/>	23 - 24
⇒ Final Approval (access for SGF only)	<input type="checkbox"/>	
Further enclosures	<input type="checkbox"/>	
	<input type="checkbox"/>	

SGF Code ACS

For the correctness of information

Name of the SGF/IRMA Auditor	Name of the SGF/IRMA Representative
Signature SGF/IRMA Auditor	Stamp + Signature SGF/IRMA Representative

Written by:	Dr. Wilhelm Rieth	Changed by:	Markus Jungen	Checked by:	Dr. Susanne Koswig	Approved by:	Alexandra Heinermann
Date:	08.01.2013	Date:	10.01.2017	Date:	10.01.2017	Date:	16.01.2017

General information have to be filled in once into red-framed fields → information is automatically filled in on every following page



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Overview SGF/IRMA Audit Checklist Standard on basis of the SGF-GMP Self Assessment Questionnaire <i>(for increased food safety, in particular in the fruit juice industry)</i>		
General information for Parts 1, 2 and 3		
1 Company Information	1.3 Certification	1.6 Social / Ethical standards
1.1 Product Range	1.4 Technical Information	
1.2 Number of Employees	1.5 Company brochure + website	
Part 1 / 3	Part 2 / 3	Part 3 / 3
2 Information about the Quality Management 2.1 Quality Management System 2.2 Quality Manual 2.3 Quality management Representative 2.4 Documentation of Quality, Hygiene, relevant Processes & Work Flows 2.5 HACCP 2.6 Training Programs 2.7 Audits 2.8 Purchasing 3 Good Manufacturing Practices 3.1 Premises, Grounds, Location 3.2 Layout / Product Flow 3.3 Production Facilities: Building – Production Area 3.4 Production Facilities: Walls 3.5 Production Facilities: Floors 3.6 Production Facilities: Ceilings 3.7 Production Facilities: Drainage 3.8 Production Facilities: Windows 3.9 Production Facilities: Doors 3.10 Production Facilities: Lighting 3.11 Production Facilities: Ventilation 3.12 Production Facilities: Water Supply	3.13 Equipment & Maintenance 3.14 Calibration, Control of measurement and Monitoring Devices 3.15 Waste / Waste Disposal 3.16 Sanitary Facilities 3.17 Personnel Hygiene 3.18 Pest Control 4 Cleaning Schedule, Time & Temperature, Contamination Risk, Product Analysis 4.1 Cleaning Schedules 4.2 Process / Temperature / Time Control 4.3 Control of Product Contamination 4.4 Control of Product Contamination: Fruit Acceptance 4.5 Control of Product Contamination:Fruit Washing 4.6 Control of Product Contamination: Fruit Sorting 4.7 Control of Product Contamination: Fruit Extraction 4.8 Control of Product Contamination: Pipelines/Hoses 4.9 Control of Product Contamination: Contamination – Maintenance	4.10 Product Analysis 5 Product Packing, Storage & Transportation 5.1 Product Packing 5.2 Storage & Transportation 6 General Traceability, Allergen Risk 6.1 General Traceability 7 Control of Nonconforming Products 7.1 Product Recall



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Audit Elements

This checklist complements the regular SGF/IRMA plant inspections which include:

- Hygiene and GMP
- Sampling and Analytical examination of samples taken
 - Based on authenticity criteria of the Code of Practice for Fruit Juices and Nectars
 - Safety parameters like heavy metals, pesticide residues and mycotoxins
- Traceability checks
- Labelling control of semi finished goods based on the Code of Labelling (CoL)
- Control of Social and Economic Sustainability based on the Code of Conduct (CoC)



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

General Information

1.1	Product Range		
1.1.1	Fruit / Product range		
Fruit		Major fruit	Minor fruit

1.2	Number of employees	
1.2.1		
Number of Employees:		



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

General Information

1.4	Technical Information	YES	NO	Remarks
1.4.1 DOC <input type="checkbox"/>	Flow chart existing - made available to customers. Please provide copy.			
1.4.2	If yes, is it made available to customers			
1.4.3	Extraction systems			
1.4.4	Evaporation systems			
1.4.5	Tank capacities (total volume)			Capacity: _____
1.4.6	Ambient temperature tanks			if yes capacity <40% or > 40% of total tank capacity
1.4.7	Sterile tanks			if yes capacity <40% or > 40% of total tank capacity
1.4.8	Cooling tanks			if yes capacity <40% or > 40% of total tank capacity
1.4.9	Deep frozen storage			if yes capacity <40% or > 40% of total tank capacity

1.5	Company brochure + website	YES	NO	Remarks
1.5.1	Existing - please provide details			

1.6	Social/ethical standards	YES	NO	Remarks
1.6.1	Is there a social accountability statement and policy (apart from SGF-CoC) in place?			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
5 Points	The requirements are completely fulfilled				
4 Points	The requirements are mostly fulfilled → only small non-critical deviations from standard				
2 Points	The requirements are mostly not fulfilled → there are deviations from standard				
1 Point	The requirements are fulfilled only in very small instances → there are significant failures and major deviations from standard				
0 Points	The requirements are not fulfilled at all				
na	in case question cannot be valued				
Remarks:	Not allowed to give 3 points!				
2	Information about the Quality Management	130	0	0,00%	Remarks
2.1	Quality Management System	0	0		
2.1.1	If there is no certified system in place, is one planned?		YES	NO	
2.1.2	Which Standard?				
2.1.3	When will it be fully implemented?				



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

		Result			
Questionnaire	Maximum achievable points	Points	%	Remarks of the auditor	
2.2	Quality Manual	30	0	0,00%	
2.2.1	Does a quality manual exist?	5			
2.2.2	Is the quality manual up to date?	5			
2.2.3	Is it available to all staff and customers?	5			
2.2.4	Does the quality policy include responsibility to the hygiene?	5			
2.2.5	Is there an effective document control procedure in place?	5			
2.2.6	At what frequency is the HACCP system audited to ensure its continued effectiveness?	5			



Company: _____

Country Code: _____

SGF Factory ID: _____

Date of audit: _____

		Result			
Questionnaire	Maximum achievable points	Points	%	Remarks of the auditor	
2.3	Quality Management Representative	10	0	0,00%	
2.3.1	Whom does the quality manager report to?	5			
2.3.2	Is there an organisation chart available? If yes, please check.	5			
2.4	Documentation of Quality, Hygiene, relevant Processes & Work Flows	30	0	0,00%	
2.4.1	Is your quality management system fully documented?	5			
2.4.2	Are specifications available for all raw materials, semi-finished products and finished products?	5			
2.4.3	Are specifications available for packaging materials suitable for foodstuff?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
2.4.4	Are there cleaning schedules available?	5			
2.4.5	Is there a documented procedure for the release of your finished product?	5			
2.4.6	Who is responsible for final product release?	5			
2.5.	HACCP	30	0	0,00%	
2.5.1.	Does the HACCP system cover all aspects of the manufacturing process?	5			
2.5.2! E.C.	Has the HACCP hazard analysis taken into consideration microbiological, chemical & physical hazards?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

		Result			
Questionnaire	Maximum achievable points	Points	%	Remarks of the auditor	
2.5.3! E.C.	Have critical limits been set for all the Critical Control Points (CCPs)	5			
2.5.4! E.C.	Are the CCPs registered continuously?	5			
2.5.5! E.C.	Are there established and suitable measures available to handle a CCP that is out of control?	5			
2.5.6 DOC <input type="checkbox"/>	Does the process flow diagramme (see question 1.4.1) indicate location and nature of all the CCPs? If CCPs are not in the flow diagram, please provide them separately.	5			
2.6	Training Programs	10	0	0,00%	
2.6.1	Are training programs in place for all employees?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
2.6.2	Are workers trained and skilled on the job? (Training control, tests, verification?)	5			
2.7	Audits	5	0	0,00%	
2.7.1	Are there schedules for internal audits and resp. records available?	5			
2.8	Purchasing	10	0	0,00%	
2.8.1	Do you have a supplier selection procedure? (Self-auditing questionnaire, certificates according to IFS, BRC, HACCP, Global GAP)	5			
2.8.2	Is there a special procedure in place to monitor any outsourced production, e.g. production carried out at other locations? SGF member? Monitoring of sub-supplier?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

		Result			
Questionnaire		Maximum achievable points	Points	%	Remarks of the auditor
2.9	Final Quality Management System Evaluation	5	0	0,00%	
2.9.1	Is an effective working quality management system in place?	5			
3.	Good Manufacturing Practices	125	0	0,00%	
3.1	Premises, Grounds, Location	5	0	0,00%	
3.1.1	Does the internal design and layout of the processing plant permit good food hygiene practices and protection against cross contamination of the product?	5			
3.2	Layout / Product flow	20	0	0,00%	
3.2.1	Does the design of the process flow, from intake to dispatch, prevent the contamination of raw material, packaging, intermediate/semi-processed and finished products?	5			
3.2.2	Is there a segregation between high and low risk operations to minimise the risk of product cross contamination?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

		Result			
Questionnaire		Maximum achievable points	Points	%	Remarks of the auditor
3.2.3	Is there a segregation between filling Units?	5			
3.2.4	Is the cleaning / washing facility for crates, utensils, trays etc. completely segregated from other production activities?	5			
3.3	Production facilities: Building - Production Area	5	0	0,00%	
3.3.1	Does production take place within closed buildings?	5			
3.4	Production Facilities: Walls	10	0	0,00%	
3.4.1	Are walls designed, finished & maintained to prevent the accumulation of dirt and the reduction of condensation and mould growth?	5			
3.4.2	Are the junctions between the walls and the floor sloped to facilitate cleaning and avoid mould growth?				



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

		Result			
Questionnaire		Maximum achievable points	Points	%	Remarks of the auditor
3.4.3	Are there openings in the walls/ceilings through which animals, insects and birds could enter the production area?	5			
3.5	Production Facilities: Floors	15	0	0,00%	
3.5.1	Are floors made of alkali and acid resistant material?	5			
3.5.2	Do the floors have sufficient slope to avoid water stagnation?	5			
3.5.3	What is the condition of the floors?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

		Result			
Questionnaire	Maximum achievable points	Points	%	Remarks of the auditor	
3.6	Production Facilities: Ceilings	5	0	0,00%	
3.6.1	Are ceilings designed, constructed, finished and maintained so as to prevent the accumulation of dirt, the reduction of condensation and mould growth and to facilitate easy cleaning and what is the condition?	5			
3.7	Production Facilities: Drainage	5	0	0,00%	
3.7.1	Are the drains cleaned and maintained regularly and what is the condition?	5			
3.8	Production Facilities: Windows	10	0	0,00%	
3.8.1	Are fly screens in place on all openable windows?	5			
3.8.2	Are all glass windows either shatter-proof or protected against breakage in other ways?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
3.9	Production Facilities: Doors	5	0	0,00%	
3.9.1	Are all access points into the production areas protected against birds, rodents and flying insects?	5			
3.10	Production Facilities: Lighting	5	0	0,00%	
3.10.1	Are all glass bulbs, strip lights and electric fly killer units protected by shatter-proof plastic diffusers or sleeve covers?	5			
3.11	Production Facilities: Ventilation	10	0	0,00%	
3.11.1	Does adequate natural and/or artificial ventilation exist in all areas?	5			
3.11.2	Are ventilation systems installed so that filters and other components which require cleaning or replacement are easy accessible?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
3.12	Production Facilities: Water Supply	10	0	0,00%	
3.12.1	Is all water, coming into contact with the product, potable (including steam, ice and condensate)?	5			
3.12.2	Provide details of the frequency and nature of all tests performed on the process waters.	5			
3.13	Equipment & Maintenance	5	0	0,00%	
3.13.1! E.C.	Cleanliness of existing equipment	5			
3.14	Calibration, Control of measurement and Monitoring Devices	10	0	0,00%	
3.14.1! E.C.	Does the plant identify the measurements critical to food safety and the measuring and monitoring devices required to assure product safety?	5			
3.14.2! E.C.	Are all the measuring and manufacturing devices that have a significant role in product safety and quality calibrated (records, calibration certificates/stamps)?	5			



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

		Result			
Questionnaire	Maximum achievable points	Points	%	Remarks of the auditor	
3.18	Pest Control	5	0	0,00%	
3.18.1! E.C.	Is there a pest control system implemented?	5			
4	Cleaning Schedule, Time & Temperature, Contamination Risk, Product Analysis	10	0	0,00%	
4.1	Cleaning Schedules	5	0	0,00%	
4.1.4! E.C.	Do you have cleaning schedules, procedures and records for the EQUIPMENT?	5			
4.2	Process / Temperature/ Time Control	5	0	0,00%	
4.2.1! E.C.	Do you have established time and temperature programmes that have been shown to produce a microbiologically stable product? With regards to: e.g. pH of product/brix/levels and types of microorganisms in your final products. Please check relevant documentation.	5			



Company: _____ **Country Code:** _____ **SGF Factory ID:** _____ **Date of audit:** _____

Possible Comments by the Company

Possible Comments by the Company

Name / Signature of SGF contact person in the company

Name / Signature of SGF/IRMA auditor



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

CoC / Code of Conduct Checklist

Chapter	Principle	Control points	Status/Remarks	
I. Social and Economic Sustainability - Child labour	Child labour shall not be permitted. A Child is defined as a person aged less than 14 years even if the local minimum is lower. (ILO Convention 138 and its accompanying Recommendation 146 on child labour as well as ILO Convention 182 and its accompanying Convention 190 on the worst form of child labour.	I.1.1. Is there any child labour or under aged person observed during the audit in the plant? YES/NO	YES	NO
		If yes, please comment:		
II. Environmental Sustainability - Waste water treatment	Suppliers shall identify any negative environmental impacts of their activities, such as water pollution. The use of water as well as release of wastewater shall be properly managed in order to preserve surrounding water sources.	II.1.1. Is there any waste water treatment in the plant? YES / NO	YES	NO
		If yes, please comment:		
		II.1.2. What was improved/ renewed in the last 5 years?		



Company: _____ Country Code: _____ SGF Factory ID: _____ Date of audit: _____

Chapter	Principle	Control points	Status/Remarks	
III. Fruit Risk Assessment Programme for Pesticides (FRAPP)	<p>This question refers to the documentation about applied pesticides sent to SGF since the last audit. The documentation can concern the last harvest season or the current one. For example, during the audit 2017, processing IRMA members should prove that they have provided FRAPP documentation for the season 2016 or for 2017. As companies sometimes send some documentation which is not adapted to the FRAPP objectives (e.g. pesticide recommendations, pesticides allowed in the region/country or analyse results), the company should show the last "FRAPP Confirmation" to the auditor. This document shows that SGF has already approved the documentation sent.</p> <p>If the company did not deliver FRAPP documentation since the last audit, they should shortly explain why, in order that SGF can try to help the company in the future.</p>	<p>III.1.1. Did your company deliver FRAPP documentation to SGF? If not, explain why. If not, explain why:</p>	<p>YES</p>	<p>NO</p>