



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) P2	<input type="checkbox"/>	7 - 17
⇒ Summary Corrective Actions	<input type="checkbox"/>	18 - 19
⇒ Possible Comments by the Company	<input type="checkbox"/>	20
⇒ CoC Code of Conduct Checklist	<input type="checkbox"/>	21 - 22
⇒ Final Approval (access for SGF only)	<input type="checkbox"/>	
Further	<input type="checkbox"/>	
enclosures	<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 Heineremann
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
(for increased food safety, in particular in the fruit juice industry)

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	3.13	Equipment & Maintenance	4.10	Product Analysis
2.1	Quality Management System	3.14	Calibration, Control of measurement and Monitoring Devices	5	Product Packing, Storage & Transportation
2.2	Quality Manual	3.15	Waste / Waste Disposal	5.1	Product Packing
2.3	Quality management Representative	3.16	Sanitary Facilities	5.2	Storage & Transportation
2.4	Documentation of Quality, Hygiene, relevant Processes & Work Flows	3.17	Personnel Hygiene	6	General Traceability, Allergen Risk
2.5	HACCP	3.18	Pest Control	6.1	General Traceability
2.6	Training Programs	4	Cleaning Schedule, Time & Temperature, Contamination Risk, Product Analysis	7	Control of Nonconforming Products
2.7	Audits	4.1	Cleaning Schedules	7.1	Product Recall
2.8	Purchasing	4.2	Process / Temperature / Time Control		
3	Good Manufacturing Practices	4.3	Control of Product Contamination		
3.1	Premises, Grounds, Location	4.4	Control of Product Contamination: Fruit Acceptance		
3.2	Layout / Product Flow	4.5	Control of Product Contamination: Fruit Washing		
3.3	Production Facilities: Building – Production Area	4.6	Control of Product Contamination: Fruit Sorting		
3.4	Production Facilities: Walls	4.7	Control of Product Contamination: Fruit Extraction		
3.5	Production Facilities: Floors	4.8	Control of Product Contamination: Pipelines/Hoses		
3.6	Production Facilities: Ceilings	4.9	Control of Product Contamination: Contamination – Maintenance		
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				



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	Flow chart existing - made available to customers. DOC <input type="checkbox"/> 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: _____

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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	20	0	0,00%	Remarks
2.5.	HACCP	20	0	0,00%	
2.5.2! E.C.	Has the HACCP hazard analysis taken into consideration microbiological, chemical & physical hazards?	5			
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			



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SGF Factory ID: _____

Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
3.	Good Manufacturing Practices	135	0	0,00%	
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: _____

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SGF Factory ID: _____

Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
3.15	Waste / Waste Disposal	10	0	0,00%	
3.15.1	Are appropriate waste disposal facilities available? Lids with labels?	5			
3.15.2	Do the Lids have labels?	5			
3.16	Sanitary Facilities	30	0	0,00%	
3.16.1	Are there designated areas where smoking, eating and drinking are allowed?	5			
3.16.2	Are changing rooms provided for workers, staff, visitors or contractors for changing into working clothes before production area?	5			
3.16.3	Are there toilets and suitable washing facilities, including sanitary agents, disposable towels and hand dryers provided?	5			
3.16.4	Is there a direct access to production rooms from these facilities?	5			
3.16.5	Are there visible "Wash Hands" instructions available before entering the production areas?	5			



Company: _____

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SGF Factory ID: _____

Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
3.16.6	Are there visible rules to prohibit smoking, eating and drinking in the production area?	5			
3.17	Personnel Hygiene	50	0	0,00%	
3.17.1	Are there instructions on how to be suitably dressed to enter the production areas (aprons, head coverings, gloves etc.)?	5			
3.17.2	Are working clothes available?		YES	NO	
3.17.3	If yes, are they removed after visiting high risk area?	5			
3.17.4	Is there a specially designated changing room before entering the high risk area?	5			
3.17.5	Is protective clothing laundered effectively on a regular basis and what is the condition?	5			



Company: _____

Country Code: _____

SGF Factory ID: _____

Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
3.17.6	Are aprons, head coverings, gloves being used and what is the condition?	5			
3.17.7	Are there instructions to remove loose items when entering the production areas e.g. jewellery, rings, watches, pens etc.?	5			
3.17.8	Must all skin defects e.g. cuts, boils, grazes be covered by moisture-proof plasters before entering the production areas?	5			
3.17.9	Are plasters with a metalized strip used for easier detection in the product?	5			
3.17.10	How are people controlled and excluded from the processing areas, suffering from infectious diseases (jaundice, diarrhoea, vomiting, fever, sore throat, discharges from ears, nose and eyes)?	5			



Company: _____

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Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
3.17.11	Is it ensured that workers handling the product have short clean finger nails?	5			
3.18	Pest Control	20	0	0,00%	
3.18.1! E.C.	Is there a pest control system implemented?	5			
3.18.2	Are there records available about pest control AND pest prevention?	5			
3.18.3	Are traps for rodents, insects and all other relevant pests in place? Please check the map indicating the location of all traps and insecticutors.	5			
3.18.4	Is vegetation allowed to grow near the production areas that could provide cover for pests?	5			



Company: _____

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SGF Factory ID: _____

Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
4	Cleaning Schedule, Time & Temperature, Contamination Risk, Product Analysis	110	0	0,00%	
4.1	Cleaning Schedules	35	0	0,00%	
4.1.1	Do you have cleaning schedules, procedures and records for EXTERIOR SURROUNDINGS	5			
4.1.2	Do you have cleaning schedules, procedures and records for the BUILDING (EXTERNAL)?	5			
4.1.3	Do you have cleaning schedules, procedures and records for the following? BUILDING (INTERNAL)	5			
4.1.4! E.C.	Do you have cleaning schedules, procedures and records for the EQUIPMENT?	5			
4.1.5	How do you evaluate the effectiveness of cleaning and disinfection agents eg against Alicyclobacillus spores?	5			
4.1.6	Are there specifications available for all cleaning agents used?	5			
4.1.7	Is there secure and separate storage for chemicals and detergents?	5			



Company: _____

Country Code: _____

SGF Factory ID: _____

Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
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			
4.3	Control of Product Contamination	10	0	0,00%	
4.3.1	Are filters and sieves inspected regularly and records maintained?	5			
4.3.2	Is there a wood & glass elimination policy?	5			
4.3.3	Where is the fruit for processing coming from (e.g. packing houses, orchards, etc.)?				
4.4	Control of Product Contamination: Fruit Acceptance	10	0	0,00%	
4.4.1	Is there a procedure in place to ensure traceability of the incoming fruit and is it applied effectively?	5			
4.4.2	Is there an inspection procedure for all incoming fruit deliveries and is it applied effectively?	5			



Company: _____

Country Code: _____

SGF Factory ID: _____

Date of audit: _____

			Result		Remarks of the auditor
Questionnaire	Maximum achievable points	Points	%		
4.5	Control of Product Contamination: Fruit Washing	15	0	0,00%	
4.5.1	Does the wash water contain any added chemicals (e.g. Chlorine, tensides etc.)?				
4.5.2	How is the level of added chemicals controlled?	5			
4.5.3	Is there a final washing step (equivalent to potable water quality) prior to further processing?	5			
4.5.4	How is the quality of the final fruit cleaning water monitored?	5			



Company: _____

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SGF Factory ID: _____

Date of audit: _____

Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
4.6	Control of Product Contamination: Fruit Sorting	10	0	0,00%	
4.6.1	Are there appropriate sorting processes/equipment to remove unsuitable fruit and foreign matter?	5			
4.6.2	Are there instructions available regarding the removal of unsuitable fruit?	5			
4.7	Control of Product Contamination: Fruit Extraction	10	0	0,00%	
4.7.1	Are the following systems such as sieves/filters, mixing tanks, keg filling equipment etc. closed systems?	5			
4.7.2	Are they all protected against foreign matter contamination from the environment?	5			
4.8	Control of Product Contamination: Pipelines/Hoses	5	0	0,00%	
4.8.1	Are pipelines and hoses clearly marked according to the products to be conveyed?	5			



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Country Code: _____

SGF Factory ID: _____

Date of audit: _____

		Result			
Questionnaire		Maximum achievable points	Points	%	Remarks of the auditor
4.9	Control of Product Contamination: Contamination – Maintenance	10	0	0,00%	
4.9.1	Is there a system of planned maintenance in place covering all items of equipment which are critical to product safety, legality and quality?	5			
4.9.2	Are all oils and lubricants, that could come into contact with the product, food-grade?	5			



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Possible Comments by the Company

A large rectangular box with a black border, intended for the company to provide comments. The box is currently empty.

Name / Signature of SGF contact person in the company

Name / Signature of SGF/IRMA auditor



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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.</p> <p>If not, explain why:</p>	<p>YES</p>	<p>NO</p>