



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

Checklist for the Auditor

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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



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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				



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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)**



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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:	
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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?			



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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			



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		Result			
Questionnaire	Maximum achievable points	Points	%	Remarks of the auditor	
2.5.5! E.C.	Are there established and suitable measures available to handle a CCP that is out of control?	5			
3.	Good Manufacturing Practices	20	0	0,00%	
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			
3.18	Pest Control	5	0	0,00%	
3.18.1! E.C.	Is there a pest control system implemented?	5			



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		Result			Remarks of the auditor
Questionnaire	Maximum achievable points	Points	%		
4	Cleaning Schedule, Time & Temperature, Contamination Risk, Product Analysis	30	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			
4.10	Product Analysis	20	0	0,00%	
4.10.1	Are the analyses relevant for food safety performed in a laboratory?	5			
4.10.2	How are the testing procedures validated with the external lab? Please check a recent comparative report.	5			
4.10.3	Is the final product release system working effectively?	5			



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Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
4.10.4	Does the factory have a system for the management of product complaints?	5			
5	Product Packing, Storage & Transportation	40	0	0,00%	
5.1	Product Packing	15	0	0,00%	
5.1.1	Is the filling area of non-aseptic goods segregated from other processing areas?	5			
5.1.2	Does the filling area contain all the necessary facilities to ensure the hygiene standards, appropriate to a filling area, can be provided?	5			
5.1.3	How are packaging materials inspected, tested and stored to ensure they remain undamaged, clean and uncontaminated?	5			
5.1.4 DOC <input type="checkbox"/>	After filling are all containers individually labelled in accordance with appropriate industry and legal requirements? Please provide copy of typical label.		YES	NO	



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Questionnaire		Maximum achievable points	Result		Remarks of the auditor
			Points	%	
5.2	Storage & Transportation	25	0	0,00%	
5.2.1	Is it ensured that only "foodstuffs only" vehicles are used for bulk transportation?	5			
5.2.2	Is it ensured that the loading temperature is in accordance with the product specification?	5			
5.2.3	Are temperatures of product deliveries maintained & monitored during transportation correctly?	5			
5.2.4	Are all checks carried out on delivery vehicles prior to loading?	5			
5.2.5	Are copies of cleaning certificates accepted?	5			



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		Result			
Questionnaire	Maximum achievable points	Points	%	Remarks of the auditor	
6	General Traceability, Allergen Risk	15	0	0,00%	
6.1	General Traceability	15	0	0,00%	
6.1.1	Is there a system to check and verify traceability from the sources of raw materials and packaging through the production process to the shipment of the finished product?	5			
6.1.2	Is the traceability ensured when rework of the product is performed?	5			
6.1.3	Is the traceability ensured when part of the product is produced at another location?	5			
6.1.4	How long are the traceability records maintained?				
7	Control of Nonconforming Products	5	0	0,00%	
7.1	Product Recall	5	0	0,00%	
7.1.1	Does the plant have a procedure for product recall?	5			



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Possible Comments by the Company

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

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?		



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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>