SGF IRMA Audit Checklist Standard

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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!

☐ Yes, recognized: Certificate and non-conformity information available and acceptable

No. (E.C.) = exclusion criterion	Questions	**Yes / No / not applicable**	**Score**	**Auditor's remarks**
2	**Information about the Quality Management**			
	DOC_OP_009_V4			
2.1	**Quality Management System**			
2.1.1	Do you have a certified food safety management system (apart from SGF)?			
2.1.1.1	Is the certification valid and recognized by SGF?			
2.1.1.2	Is the last audit report of the recognized certification available for the SGF auditor?			
2.1.1.3	Are all non-conformities of the certificate according 2.1.1.1 solved or in an acceptable state of solving?			
2.1.2	Is there a documented procedure for the release of your finished product?			
2.1.3	Who is responsible for the release of finished products?			
2.1.4	Are responsible persons for product release of finished goods qualified and have authority to block a product?			
3.	**Food Safety**			
3.1	**HACCP**			
3.1.1	Do you have a competent HACCP team?			
3.1.2 (E.C.)	Does the scope of HACCP cover all relevant production and service processes?			

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3.1.3	Was there a complete HACCP review done in the last 12 months (considering new raw materials, new/modified products or processes, changes in production conditions, etc.)?			
3.1.4	Is a complete descriptive flow chart of production processes available?			
3.1.5 (E.C.)	Did the HACCP hazard analysis take account of all biological, chemical & physical hazards (including risks of allergens)?			
3.1.6	Was hazard determination carried out correctly?			
3.1.7 (E.C.)	Have critical limits been set for all the critical control points (CCPs) and/or operational prerequisite programmes (o-PRP)?			
3.1.8	Is monitoring of CCPs and/or o-PRPs registered continuously?			
3.1.9	Do you have established measures to handle CCPs and o-PRPs relevant to out-of-control food safety?			
3.1.10 (E.C.)	For pasteurization/sterilisation, do you have established relevant programmes (time, flow, temperature, pressure, etc.) that have been validated to produce a microbiologically stable product?			
3.2	**Management of good manufacturing practice**			
3.2.1	Are good manufacturing practices described in the quality manual?			
3.2.2	Are records available?			
3.2.3	Are the affected employees (including seasonal workers) trained successfully?			
3.2.4 (E.C.)	Are all the measuring and manufacturing devices that have a significant role in product safety and quality calibrated (records, calibration certificates/stamps)?			
3.3	**Hazard-related policies and programmes**			
3.3.1	Are policies implemented and applied for glass, wood, hard plastic ?			
3.3.2	Is an allergen policy implemented and applied?			

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Company:	Country Code:	SGF site number:	Date of audit:

3.3.3	Do you have a recall procedure?			
3.3.4	Is a food defense policy implemented and applied?			
3.4.	**Further important aspects relevant to hygiene**			
3.4.1 (E.C.)	~~Is existing equipment clean?~~ Does the process take place in clean and acceptable hygienic condition?			
3.4.2	Do you have cleaning schedules and procedures for the equipment used?			
3.4.3	Is the process flow from intake to dispatch designed the way to prevent the contamination of raw material, packaging, intermediate/semi-processed and finished products?			
3.4.4	Do you evaluate the effectiveness of cleaning?			
3.4.5	Do you have cleaning schedules, procedures and records for the production area?			
3.4.6	Do you have cleaning schedules, procedures and records for the outside surroundings?			
3.4.7	Cleanliness of production area			
3.4.8	Cleanliness of surroudings			
3.4.9	Is a pest control system implemented?			
4	**TRACEABILITY (of a batch delivered to a customer)**			
4.1	Is it possible to trace the batch identification for the delivery to the customer?			
4.2	Is it possible to trace the control of the used transport unit?			
4.3	Is it possible to trace applied measure(s) to secure the transport, e.g. seal number?			
4.4	Is it possible to trace date and, where relevant, time of loading?			

SGF IRMA Audit Checklist Standard

Company: | **Country Code:** | **SGF site number:** | **Date of audit:**

4.5	Is it possible to trace the release of the delivered batch?			
4.6	Is it possible to trace in-house and external storage of the finished product?			
4.7	Is it possible to trace date and, where relevant, time of filling (e.g. drums, flexi container, etc.)?			
4.8	Is it possible to trace the identification of primary packaging?			
4.9	Is it possible to trace the declaration of conformity for primary packaging?			
4.10	Is it possible to trace the date of production?			
4.11	Can production flow be identified?			
4.12	Is it possible to trace production conditions applied?			
4.13	Is it possible to trace cleaning records for the equipment used?			
4.14	Do records checked in 4.13 indicate that cleaning was appropriate?			
4.15	Is it possible to trace last maintenance of the processing equipment used?			
4.16	Is it possible to trace volumes and batch identification of processed products?			
4.17	Is it possible to trace volumes and batch identification of added rework products?			
4.18	Is it possible to trace correct registration of control points?			
4.19	Is it possible to trace used additives?			
4.20	Is it possible to trace the evidence of food grade specification for additives used?			
4.21	Is it possible to trace the receipt of raw material used for production?			

SGF IRMA Audit Checklist Standard

Company: | **Country Code:** | **SGF site number:** | **Date of audit:**

4.22	Is it possible to trace inward inspection of raw materials?			
4.23	Was traceability data of chapter 4 (questions 4.1 to 4.22) presented within four hours?			
4.24	Do traceability records allow a mass balance as far as possible with the applied production design?			
5	Purchasing			
5.1	Do you have a suitable approval procedure for all product suppliers taking into account quality requirements? (e.g. valid SGF certificate, own audits performed, other certificates or evidences, self-auditing questionnaire)			
5.2 (E.C.)	Does the purchase procedure for semi-finished goods comply with SGF system rules?			
5.3	Do you have a food fraud vulnerability assessment for purchased products other than semi-finished fruit/vegetable products?			
5.4	~~Have you delivered data to the FRAPP programme during the past 12 months?~~ Is it possible to provide the full FRAPP documentation for 3 fruit suppliers chosen by SGF? (selected based on last harvest)			
6	Fruit and Vegetable Acceptance			
6.1	Do you have a GMP-compliant inspection procedure that is applied to all incoming fruits and vegetables?			
7	Washing Fruits and Vegetables			
7.1	Are incoming fruits and vegetables washed?			
7.2	If raw materials are not washed, is there a plausible explanation?			

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7.3	Are any chemicals (e.g. chlorine, surfactants, detergents etc.) added to the wash water?			
7.4	Is the level of added chemicals controlled at appropriate intervals?			
7.5	Is there a final washing step (equivalent to potable water quality) prior to further processing?			
7.6	Is the quality of the final fruit and vegetable cleaning water monitored?			
7.7	If there are spray nozzles, do they function correctly?			
8	Fruit and Vegetable Sorting			
8.1	Are there appropriate sorting processes/equipment to remove unsuitable fruit or vegetable and foreign matter?			
8.2	Are any instructions available regarding the removal of unsuitable fruit/vegetables (rotten, other species/cultivars)?			
9	Product Analysis			
9.1	Are analyses performed relevant for food safety?			
9.2	Are own testing procedures validated?			

10	AIJN CoBC			
10.1 (E.C.)	Did you see any deviation from the AIJN Code of Business Conduct (e.g. child labour, violence, discrimination, environmental pollution, etc..)			
11	Further observations			
11.1	Where any other significant observations made during the audit?			