

Appendix5-2-6

Conditions and Key Points of Control Inspection for Registration of Overseas Production Enterprises of Imported Nuts and Seeds Food

Registration No.:

Enterprise Name:

Address:

Date of Filling:

Notes:

1. In accordance with the Provisions of the People's Republic of China on the Administration of Registration of Overseas Imported Food Production Enterprises (Decree No. 248 of the General Administration of Customs), the overseas nuts and seeds food production enterprises applying for registration with China shall establish effective food safety and hygiene management and protection system to ensure that the food exported to China complies with the relevant laws and regulations of China and the national food safety standards, and meets the relevant inspection and quarantine requirements agreed upon by the General Administration of Customs and the competent authorities of the countries (regions) where they are located. This form is for the official inspection of nuts and seeds food production enterprises by overseas competent

officials of imported nuts and seeds food according to the listed main conditions and basis against the review points; At the same time, the overseas nut and seed production enterprises shall fill in and submit supporting materials according to the listed main conditions and basis, and carry out self - inspection against the key points of review for self - assessment before the enterprise applies for registration.

2. Foreign competent authorities and foreign nuts and seeds food production enterprises must make a truthful judgment of conformity according to the actual situation of the control inspection.

3. The submitted materials shall be truly filled out in Chinese or English. The Appendix shall be numbered, and their numbers and contents shall accurately correspond to the item numbers and contents in the column of "Filling Requirements and Supporting Materials". The list of supporting materials shall be attached.

Nuts refer to the kernels of woody plants with hard shells, including walnuts, chestnuts, apricots, almond cores, pecans, pistachios, Torreya, Hawaiian nuts, and pine seeds, etc. Seeds refer to the kernels of plants such as melon, fruit, and vegetables, including watermelon seeds and pumpkin seeds, etc. Nuts and seeds food is processed foods with nuts, seeds, or their kernels as the main raw materials.

Items	Conditions and bases	Filling requirements and supporting materials	Key points for review	Conformity determination	Remarks
1. Enterprise Overview					

1.1. Enterprise Overview	<p>1. Articles 5, 6, 7, and 8 of the Provisions of the People's Republic of China on the Administration of Registration of Overseas Imported Food Production Enterprises (Decree No. 248 of the General Administration of Customs)</p> <p>2. Protocol on Inspection and Quarantine of Nuts and Seeds food to Be Exported to China signed by and between the competent authority of the applicant state and the General Administration of Customs</p>	<p>1.1.1 Fill out the: 1. form of basic information of overseas production enterprises of imported nuts and seeds food. 1.1.2An enterprise shall provide the production and operation information in the past 2 years (or information since the establishment of the enterprise in case of establishment for less than 2 years), including the production capacity, annual actual output (by variety), export volume (if any, by variety and country), etc.</p>	<p>1. Enterprises should truthfully fill in the information. The basic information should be consistent with that submitted by the competent authority of the exporting country and with the actual production and processing.</p> <p>2. The nuts and seeds food to be exported to China shall conform to the product scope stipulated in relevant agreements, protocols, and memorandums on inspection and quarantine of the nuts and seeds food to be exported to China.</p>	<p><input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming</p>	
1.2Management system	<p>1. Articles 5, 6, 7, and 8 of the Provisions of the People's Republic of China on the Administration of Registration of Overseas Imported Food Production Enterprises (Decree No. 248 of the General</p>	<p>1.2Enterprises shall provide management system documents in terms of phytosanitary prevention and control, food safety management, personnel management, chemical use, raw material acceptance, storage management, finished product export inspection, recall of</p>	<p>The enterprise shall establish and effectively implement management procedure documents covering but not limited to the phytosanitary prevention and control, food safety management, personnel management, use of chemicals, acceptance of raw materials, warehouse management, an</p>	<p><input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming</p>	

	Administration of Customs) 2. Protocol on Inspection and Quarantine of Nuts and Seeds food to Be Exported to China signed by and between the competent authority of the applicant state and the General Administration of Customs	unqualified products, traceability management, etc.	inspection of the finished product for export purposes, recall of nonconforming products, and traceability management.		
1.3 Management organization	1. Articles 5, 6, 7, and 8 of the Provisions of the People's Republic of China on the Administration of Registration of Overseas Imported Food Production Enterprises (Decree No. 248 of the General Administration of Customs) 2. Protocol on Inspection and Quarantine of Edible Grains Exported to China signed by the competent authority of the applicant country and the General Administration of	1.3 Provide the information on the personnel assigned by the enterprise management organization and the departments or posts related to phytosanitary and food safety management.	The enterprise shall set up a department or post responsible for the management of plant health and food safety, and shall have management personnel with the background of these professions.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	Customs.				
2. Enterprise Location and Workshop Layout					
2.1 Site Selection and Plant Environment	1. Articles 3.1 and 3.2 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	2.1.1 Provide a plant plan, indicating the names of different operation areas. 2.1.2 Provide pictures of the environment of the area where the plant is located, indicating the ambient information (urban, suburban, industrial, agricultural, and residential areas).	1. The plant layout meets the needs of production and processing. 2. There is no pollution source around the plant.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
2.2 Workshop Layout	1. Article 4.1 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	2.2 Provide a workshop plan, indicating people flow, material flow, water flow, processing flow, and different cleaning areas.	1. The workshop shall be adapted to the production capacity and the arrangement of the equipment in terms of its area and height, conform to the technological process and safety and hygiene requirements of the processed products, and prevent cross contamination. 2. Openable doors and windows in the workshop and access to the outside shall be provided with facilities for preventing insects, rats, birds, and bats.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
3. Facility and Equipment					

3.1 Production and Processing Equipment	1. Article 5.2.1 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	3.1 Provide a list of main equipment and facilities and design processing capacity.	1. The enterprise should be equipped with production and processing equipment suitable for the production capacity.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
3.2 Storage Facility	1. Article 10 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	3.2 Please describe the temperature control requirements and monitoring methods if there is a cold storage. (If applicable)	1. Storage facilities shall meet the basic requirements for product storage as well as the requirements for preventing insects, temperature control, and humidity control.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
4. Water/Ice/Steam					
4.1 Water/ice/steam for production and processing (if applicable)	1. National Food Safety Standard—Standard for Drinking Water Quality (GB 5749) 2. Articles 5.1.1 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	4.1.1 Provide photos of self-provided water sources or secondary water supply facilities and explain whether there are food protection measures such as assigning specific persons for management and locking. (if applicable) 4.1.2 Provide a monitoring plan for water used in production and processing and ice/steam (where applicable) in direct contact with food, including bacteriological inspection items, methods, frequency, records, inspection results.	1. The production water monitoring plan shall cover all water outlets in the plant. 2. Whether the projects and methods conform to the requirements of the National Food Safety Standards for Drinking Water Quality (GB 5749) 3. Hygiene control procedures shall be formulated and implemented for the secondary water supply facilities, and appropriate food protection measures shall be in place. 4. Boiler additives used in the production of steam in direct contact with food shall meet the	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	

		4.1.3 Provide boiler additives used in the production of steam in direct contact with food and explain whether they meet the requirements of food production and processing.	requirements of food production and processing.		
5. Raw and Auxiliary Materials and Packaging Materials					
5.1 Acceptance and control of raw materials and excipients	1. Article 7 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	5.1 Provide acceptance measures for raw materials and additives, including acceptance standards and methods.	1. Acceptance standards for raw materials and additives, and their compliance with the requirements of Chinese laws and standards. 2. Before the raw materials are allowed to enter, the enterprise shall check the plant quarantine and plant safety of the raw materials, or take necessary pest control measures to ensure that the raw materials meet the requirements of work safety, and establish the records of acceptance and pest control, which shall be kept for no less than 2 years.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
5.2 Source of Raw Materials	1. National Food Safety Standard—Limit of Pathogens in Food Products (GB 29921) 2. National Food Safety Standards - Standard for the Use of Food Additives (GB 2760) 3. National Food Safety	5.2.1 Provide the test report on the latest product conforming to China's national food safety standards. (If applicable) 5.2.2 Provide materials to demonstrate that the raw materials purchased for the enterprise's production shall come from any area without the reporting of	1. The raw materials used shall meet the requirements stipulated in Chinese laws and regulations, national food safety standards, relevant agreements, protocols, and memorandums on inspection and quarantine, and other provisions of the nuts and seeds food exported to china.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	<p>Standard - Limit of Mycotoxins in Foods (GB 2761)</p> <p>4. National Food Safety Standard - Limit of Contaminants in Foods (GB 2762)</p> <p>5. National Food Safety Standard - Maximum Residue Limits for Pesticides in Food (GB 2763)</p> <p>6. National Food Safety Standard—Nuts and Seeds Food (GB 19300)</p>	<p>quarantine pests under close supervision of the Chinese government, and raw material suppliers shall have the qualification required by the local regulations.</p>	<p>2. Whether the enterprise has established raw material conformity assessment and implemented traceability management for the purchased raw materials in accordance with the requirements of the agreement.</p>		
5.3 Food additives (if applicable)	<p>1. Article 7.3 of National Food Safety Standards General Hygienic Regulation for Food Production (GB 14881)</p> <p>2. National Food Safety Standards - Standard for the Use of Food Additives (GB 2760)</p>	<p>5.3 List of food additives used in production and processing (including the name, purpose and added amount, etc.).</p>	<p>1. The food additives used in the production conform to China's regulations on the use of food additives.</p>	<p><input type="checkbox"/> Conforming</p> <p><input type="checkbox"/> Non-conforming</p> <p><input type="checkbox"/> NA</p>	
5.4 Packaging Materials	<p>1. Article 8.5 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)</p>	<p>5.4.1 Provide proof that the inner and outer packaging materials are suitable for product packaging.</p> <p>5.4.2 Provide label styles for finished products to be exported to</p>	<p>1. Packaging materials do not affect food safety and product characteristics under specific storage and use conditions.</p> <p>2. Packaging labels shall meet the</p>	<p><input type="checkbox"/> Conforming</p> <p><input type="checkbox"/> Non-conforming</p>	

	2. Relevant bilateral inspection and quarantine agreements, memorandums and protocols	China.	requirements of bilateral inspection and quarantine agreements, memorandums, and protocols.		
6 Production and Processing Control					
6.1 Operation and establishment of food safety and hygiene control system	1. National Food Safety Standards General Hygienic Regulation for Food Production (GB 14881) 2. Hazard Analysis and Critical Control Point (HACCP) System - General Requirements for Food Processing Plant (GB/T 27341).	6.1.1 Provide the manufacturing process flow, indicate the critical control points (CCP) and the hazard control measures being taken. 6.1.2 If the HACCP system is adopted, provide hazard analysis worksheet and HACCP Schedule, CCP monitoring record, deviation correction record, and verification record sample sheet (if applicable).	1. The production and processing technology and flows and major relevant process parameters of the enterprise shall be scientific and standardized to ensure product safety. Moreover, special hazard control measures shall be taken, or critical control points (CCP) shall be set, for any and all processes crucial to controlling safety risk.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	
6.2 Mycotoxins control	1. National Food Safety Standard - Limit of Mycotoxins in Foods (GB 2761)	6.2 Provide the sampling inspection report that the mycotoxins in the products produced, processed, and stored meet the national food safety standards of China.	1. Whether the control system of mycotoxins in the products after production and processing and of the stored products is reasonable in the processing plant. 2. The test results shall conform to China's national food safety standards.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
6.3 Use of food additives and	1. Article 7.3 of National Food Safety Standards	6.3 Provide the manufacturing process, product monitoring plan,	1. The test results shall conform to China's national food safety	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

nutritional fortification substances (if applicable)	General Hygienic Regulation for Food Production (GB 14881) 2. National Food Safety Standards - Standard for the Use of Food Additives (GB 2760) 3. National Food Safety Standard for the Use of Nutritional Fortification Substances in Foods (GB 14880)	and monitoring results.	standards.	<input type="checkbox"/> NA	
7. Cleaning and Disinfection					
7.1 Cleaning and Disinfection	1. Article 8.2.1 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	7.1 Provide cleaning and disinfection measures, including cleaning and disinfection methods and frequency, and verification of cleaning and disinfection effects.	1. Cleaning and disinfection measures should be able to eliminate cross contamination and meet hygiene requirements.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
8. Control of Chemicals, Waste and Damage by Insects and Rats					
8.1 Control of Chemicals	1. Article 8.3 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	8.1 Brief description of chemical collecting and storage requirements	1. The chemical management system is reasonable and can effectively prevent the chemicals used from contaminating the products.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	
8.2 Management of	1. Article 8.4 of National Food Safety Standards -	8.2 Provide the management system to prevent physical contamination	1. A management system for preventing foreign matter	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

physical contamination	General Hygienic Regulation for Food Production (GB 14881)	and relevant treatment records.	contamination shall be established to analyze possible pollution sources and pollution routes and corresponding control plans and control procedures shall be developed. 2. Measures such as equipment maintenance, hygiene management, on-site management, migrant management, and processing supervision shall be taken to the greatest extent to reduce the risk of food contamination by foreign matters such as glass, metal, and plastic. 3. Effective measures such as setting screens, collectors, magnets, and metal detectors shall be taken to reduce the risk of food contamination by metals or other foreign matters.		
8.3 Control of Damage by Insects and Rats	1. Article 6.4 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	8.3 Provide control methods and layout plans for damage by insects. If the control is undertaken by a third party, provide the qualification of the third party.	1. Insect and rat pests such as mosquitoes and flies shall be avoided to affect production safety and health.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
8.4 Waste Management	1. Article 6.5 of National Food Safety Standards -	8.4 Provide waste management system and relevant disposal	1. Edible product containers and waste storage containers in the	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	General Hygienic Regulation for Food Production (GB 14881)	records.	workshop shall be clearly marked and distinguished. 2. Waste should be stored separately and disposed of in time to avoid pollution to production.		
9. Product Traceability					
9.1 Traceability and Recall	1. Article 11 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	9.1. Describe the product traceability procedure in a brief manner and take the batch number of a batch of finished products as an example to illustrate how to trace raw materials from finished products.	1. Traceability procedures should be established to realize the two-way traceability of the whole chain from raw materials, production, and processing processes to finished products.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
9.2 Warehouse - in and out management	1. Article 11 and 14.1 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	9.2 Provide product warehouse-in and warehouse-out management.	1 Products shall be inspected before entering the warehouse, and the records of incoming inspection, storage, and delivery shall be well maintained and kept for at least 2 years.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
10. Personnel Management and Training					
10.1 Personnel Health and Hygiene Management	1. Article 6.3 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	10.1 Provide pre-employment health management and medical examination requirements for employees.	1. Employees should have a medical examination and prove that they are suitable for working in food processing enterprises before employment. 2. Employees shall have regular physical examinations and keep	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

			records.		
10.2 Personnel Training	1. Article 12 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	10.2 Provide annual training plans, contents, assessments and records for employees.	1. The training shall cover inspection and quarantine memorandums, agreements and protocols, Chinese regulations and standards of the nuts and seeds food exported to China	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
10.3 Requirements for management personnel	1. Article 13.3 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	10.3 Provide the training records of management personnel on the relevant provisions of the laws and regulations on phytosanitary and food safety of the country/region where the exported products are located and of China and conduct on-site sampling inspection and Q&A when necessary.	1. The business competence of the production and management personnel of the enterprise shall be adapted to the post requirements, familiar with the relevant provisions of phytosanitary and food safety laws and regulations in the country/region where it is located and China, and the requirements of the protocol and the Specification of the nuts and seeds food exported to China concluded by the two sides. 2. Have qualifications and capabilities suitable for their work.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
11. Self-inspection and Self-control					
	1. Article 9 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881) 2. National Food Safety	11.1 Provide items, indicators, methods and frequency of finished product inspection. 11.2 If the enterprise has its own laboratory, please submit the laboratory capability and	1. The enterprise shall carry out plant quarantine, food safety, and other tests on the products, ensuring that the results of tests meet the requirements of China. The test records shall be kept for no less than	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

11. Finished Product Inspection	<p>Standard—Nuts and Seeds Food (GB 19300-2014)</p> <p>3. National Food Safety Standards - Standard for the Use of Food Additives (GB 2760)</p> <p>4. National Food Safety Standard - Limit of Mycotoxins in Foods (GB 2761)</p> <p>5. National Food Safety Standard - Limit of Contaminants in Foods (GB 2762)</p> <p>6. National Food Safety Standard - Maximum Residue Limits for Pesticides in Food (GB 2763)</p>	<p>qualification certificates; if the enterprise entrusts a third-party laboratory, please provide the qualification certificates of the entrusted laboratory.</p>	<p>2 years.</p> <p>2. The enterprise shall be capable of inspecting and testing the phytosanitary and food safety or may entrust a qualified institution with such inspection and testing.</p>		
12 Pest Control					
12.1 Prevention and control of quarantine pests of concern to China	<p>Memorandums, agreements, and protocols of inspection and quarantine of nuts and seeds food exported to China</p>	<p>12.1 Provide the list of quarantine pests of concern to China and the monitoring system and records.</p>	<p>1. The enterprise shall take effective measures during production and storage to prevent products from being infected by harmful organisms, monitor the quarantine pests of concern to China, and keep the monitoring records for at least 2 years.</p>	<p><input type="checkbox"/> Conforming</p> <p><input type="checkbox"/> Non-conforming</p> <p><input type="checkbox"/> NA</p>	

12.2 Identification of Pests	Memorandums, agreements, and protocols of inspection and quarantine of nuts and seeds food exported to China	12.2 Provide the records of pests found during production and storage as well as the records of identification made by entrusted professional institutions.	1. The enterprise shall be capable of identifying pests found during the processing of production and storage or entrust a professional organization with the identification, and establish work records, which shall be kept for no less than 2years.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	
12.3 Pest control	Memorandums, agreements, and protocols of inspection and quarantine of nuts and seeds food exported to China	12.3 Provide the records of implementation of pest control measures in production and storage areas.	1. The enterprise shall implement pest control measures in production and storage areas on a regular basis or when necessary. Relevant control measures shall be documented, and the records shall be kept for at least 2 years.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	
12.4 Fumigation treatment (if necessary)	Memorandums, agreements, and protocols of inspection and quarantine of nuts and seeds food exported to China	12.4 Provide the fumigation treatment method as well as the qualification of the fumigation institution and personnel.	1. Fumigation treatment method shall meet the requirements of China, and the institution and personnel conducting fumigation shall have relevant qualifications or conditions.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	
13. Statement					
13.1 Declaration by Enterprise	1. Articles 8 and 9 of the Provisions of the People's Republic of China on the Administration of Registration of Overseas Imported Food Production Enterprises (Decree No.		1. Signature of legal person and company seal	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	248 of the General Administration of Customs)				
13.2 Confirmation by Competent Authority	1. Articles 8 and 9 of the Provisions of the People's Republic of China on the Administration of Registration of Overseas Imported Food Production Enterprises (Decree No. 248 of the General Administration of Customs)		1. Signature of principal and seal of competent authority	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	