

Appendix 4-3-6

Registration Conditions and Control Inspection Points of Manufacturers of Imported Unroasted Coffee Beans and Cocoa Beans

Registration number:

Enterprise name:

Address:

Date of filling in:

Notes:

1. According to the *Regulations of the People's Republic of China on the Registration and Administration of Overseas Manufacturers of Imported Food* (Decree No. 248 of the General Administration of Customs of China), overseas manufacturers of unroasted coffee beans and cocoa beans applying for registration in China shall establish an effective management and protection system of food safety and hygiene to ensure that food exported to China comply with relevant Chinese laws and regulations and national food safety standards, and meet relevant inspection and quarantine requirements agreed between the General Administration of Customs of China and the competent authority of the country (region) where the manufacturers are located. The table is for the overseas competent authorities of imported unroasted coffee beans and

cocoa beans to carry out official inspections on manufacturers of unroasted coffee beans and cocoa beans based on the listed main conditions, bases and inspection focuses. At the same time, overseas manufacturers of unroasted coffee beans and cocoa beans fill in and submit supporting materials based on the listed main conditions and bases, and carry out self-examination against the inspection focuses for self-assessment before applying for registration.

2. Overseas competent authorities and overseas manufacturers of unroasted coffee beans and cocoa beans shall make the conformity determination based on the actual inspection situation.

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

Item	Conditions and bases	Filling in Requirements and Supporting Materials	Focus of examination	Conformity determination	Remarks
1. Enterprise Overview					
1.1. Enterprise Overview	<p>1. Articles 5, 6, 7 and 8 of the <i>Regulations of the People's Republic of China on the Registration and Administration of Overseas Manufacturers of Imported Food</i> (Decree No. 248 of the General Administration of Customs of China).</p> <p>2. <i>Protocol on Inspection and Quarantine of Unroasted Coffee Beans and Cocoa Beans to Be Exported to China</i> signed by and between the competent authority of the Applicant State and the General Administration of Customs of China.</p>	<p>1.1.1 Fill in 1. Basic Information Form for Overseas Manufacturers of Imported Unroasted Coffee Beans and Cocoa Beans. 1.1.2 Provide the production and operation information in past two years (or information since the establishment of the enterprise in case of establishment for less than two years), including the production capacity, annual actual output (by variety), and export volume (if any, by variety and country).</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 unroasted coffee beans and cocoa beans to be exported to China shall conform to the product range stipulated in relevant agreements, protocols and memoranda on inspection and quarantine of unroasted coffee beans and cocoa beans to be exported to China.</p>	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
1.2 Management system	<p>1. Articles 5, 6, 7 and 8 of the <i>Regulations of the People's Republic of China on the Registration and Administration of Overseas Manufacturers of Imported</i></p>	<p>1.2 Provide management system documents covering but not limited to plant quarantine, prevention and control, food safety management, personnel management, use of chemicals,</p>	<p>The enterprise shall establish and effectively implement management system documents covering but not limited to the plant quarantine, prevention and control, food safety</p>	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	<p><i>Food</i> (Decree No. 248 of the General Administration of Customs of China).</p> <p>2. <i>Protocol on Inspection and Quarantine of Unroasted Coffee Beans and Cocoa Beans to Be Exported to China</i> signed by and between the competent authority of the Applicant State and the General Administration of Customs of China.</p>	<p>acceptance of raw materials, warehouse management, finished product export inspection, recall of nonconforming products, and traceability management.</p>	<p>management, personnel management, use of chemicals, acceptance of raw materials, warehouse management, finished product export inspection, recall of nonconforming products, and traceability management.</p>		
1.3 Management organization	<p>1. Articles 5, 6, 7 and 8 of the <i>Regulations of the People's Republic of China on the Registration and Administration of Overseas Manufacturers of Imported Food</i> (Decree No. 248 of the General Administration of Customs of China).</p> <p>2. <i>Protocol on Inspection and Quarantine of Edible Grains to Be Exported to China</i> signed by and between the competent authority of the Applicant State and the General Administration of Customs of China.</p>	<p>1.3 Provide information on the staffing of the enterprise's management organization and the staffing of departments or positions related to phytosanitation and food safety management.</p>	<p>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.</p>	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
2. Enterprise Location and Workshop Layout					

2.1 Site selection and plant environment	1. Articles 3.1 and 3.2 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	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 the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	2.2 Provide a workshop plan, indicating people flow, material flow, water flow, processing flow and different cleaning areas.	1. The area and height of the workshop shall be adapted to production capacity and equipment placement and meet the process flow and safety and health requirements of the processed products, so as to avoid cross contamination. 2. Doors and windows can be opened in the workshop, and access to the outside world shall be protected against insects, rodents, birds, bats and other flying animals.	<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 the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	3.1 Provide a list of main equipment and facilities and design processing capacity.	1. The enterprise should be equipped with production equipment suitable for the production and processing	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

			capacity.		
3.2 Storage facility	1. Article 10 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	3.2 Please describe the temperature control requirements and monitoring methods if there is cold storage. (where applicable)	1. The storage facilities can meet the basic requirements for product storage as well as the requirements for insect prevention, 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. <i>National Standard of the People's Republic of China - Standards for Drinking Water Quality</i> (GB5749-2006). 2. Article 5.1.1 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	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 and the latest 2 inspection reports. 4.1.3 Provide boiler additives used in the production of steam in	1. The production water monitoring plan shall cover all water outlets in the plant. 2. Whether the items and methods meet the requirements of the Standards for Drinking Water Quality (GB5749). 3. Hygiene control procedures shall be formulated and implemented for the 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 requirements of food production and processing.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> N/A	

		direct contact with food, and explain whether they meet the requirements of food production and processing.			
5. Raw and Auxiliary Materials and Packaging Materials					
5.1 Acceptance and control of raw and auxiliary materials	1. Article 7 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	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 at least 2 years.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
5.2 Source of raw materials	1. Table 1 of the <i>National Food Safety Standard - Limits of Pathogenic Bacteria in Foods</i> (GB29921-2013). 2. <i>National Food Safety Standard - Standard for the Use of Food Additives</i>	5.2.1 Provide the latest test report of the compliance of products with Chinese national food safety standards. (where applicable) 5.2.1 Provide materials to prove that the raw materials of enterprises should come from	1. The raw materials used shall comply with Chinese laws and regulations, national food safety standards and the requirements of relevant agreements, protocols and memoranda on the inspection	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> N/A	

	<p>(GB2760-2014).</p> <p>3. <i>National Food Safety Standard - Maximum Levels of Mycotoxins in Foods</i> (GB 2761-2017).</p> <p>4. <i>National Food Safety Standard - Maximum Levels of Contaminants in Foods</i> (GB2762-2017).</p> <p>5. <i>National Food Safety Standard - Maximum Residue Limits for Pesticides in Food</i> (GB 2763-2021).</p>	<p>areas free of quarantine pests of concern to China, and the raw material suppliers should have the qualifications that meet the local requirements.</p>	<p>and quarantine of unroasted coffee beans and cocoa beans exported to China.</p> <p>2. Whether the enterprise establishes conformity assessment of raw materials and implements traceability management of purchased raw materials in accordance with the agreements.</p>		
5.3 Food additives (where applicable)	<p>1. Article 7.3 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).</p> <p>2. <i>National Food Safety Standard - Standard for the Use of Food Additives</i> (GB2760-2014).</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>	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> N/A	
5.4 Packaging materials	<p>1. Article 8.5 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).</p> <p>2. Relevant bilateral inspection and quarantine agreements, memorandums and protocols</p>	<p>5.5.1 Provide proof that the inner and outer packaging materials are suitable for product packaging.</p> <p>5.5.2 Provide label styles for finished products to be exported to China.</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 requirements of bilateral inspection and quarantine</p>	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

			agreements, memorandums and protocols.		
6. Production and Processing Control					
6.1 Establishment and operation of HACCP system (if applicable)	2. <i>Hazard Analysis and Critical Control Point (HACCP) System - General Requirements for Food Processing Plant</i> (GB/T 27341-2009)	6.1.1 Provide the production and processing flow chart, hazard analysis worksheet and HACCP plan of all products to be exported to China. 6.1.2 Provide sample tables of CCP monitoring records, correction records and verification records.	1. Biological, physical and chemical hazards should be analyzed and effectively controlled in the HACCP plan. 2. The production process flow should be reasonable to avoid cross-contamination. 3. The setting of CCPs should be scientific and feasible; corrective and verification measures should be appropriate.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> N/A	
6.2 Mycotoxin control	1. <i>National Food Safety Standard - Maximum Levels of Mycotoxins in Foods</i> (GB 2761-2017).	6.2 Provide sampling inspection reports of the compliance of mycotoxins in manufactured, processed and stored products with Chinese national food safety standards.	1. Whether the system of the processing plant for controlling mycotoxins in manufactured, processed and stored products is reasonable. 2. The test results shall comply with Chinese national food safety standards.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
6.3 Use of food additives and nutritional fortification substances	1. Article 7.3 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013). 2. <i>National Food Safety</i>	6.3 Provide production and processing processes, product monitoring plans, and monitoring results.	1. The test results shall comply with Chinese national food safety standards.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> N/A	

(where applicable)	<p><i>Standard - Standard for the Use of Food Additives</i> (GB2760-2014).</p> <p>3. <i>National Food Safety Standard - Standard for the Use of Nutritional Fortification Substances in Foods</i> (GB14880-2012).</p>				
7. Cleaning and Disinfection					
7.1 Cleaning and disinfection	1. Article 8.2.1 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	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 the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	8.1 Briefly describe the requirements of chemical use and storage.	1. The chemical management system is reasonable and can effectively prevent contamination of products by the chemicals used.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> N/A	
8.2 Physical contamination management	1. Article 8.4 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	8.2 Provide a management system to prevent physical contamination and related processing records.	1. A management system shall be established to prevent contamination caused by foreign bodies, possible sources and routes of contamination shall be analyzed, and corresponding control plans and	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

			<p>procedures shall be developed.</p> <p>2. The risk of contamination of food by foreign bodies such as glass, metal and plastic shall be minimized by taking measures such as equipment maintenance, hygiene management, site management, management of outsiders and supervision of the processing process.</p> <p>3. Effective measures, for example, the installation of screens, traps, magnets and metal detectors, shall be taken to reduce the risk of contamination of food by metals or other foreign bodies.</p>		
8.3 Control of damage by insects and rats	1. Article 6.4 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	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. The impact of damage caused by insects (such as mosquitoes and flies) and rats on production safety and hygiene shall be avoided.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
8.4 Waste management	1. Article 6.5 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	8.4 Provide a waste management system and related processing records.	1. Edible product containers and waste storage containers in the workshop shall be clearly marked and distinguished.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

			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 the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	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 warehouse-out management	1. Articles 11 and 14.1 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	9.2 Provide warehouse-in and warehouse-out management of products.	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 the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	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 records.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

10.2 Personnel training	1. Article 12 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	10.2 Provide annual training plans, contents, assessments and records for employees.	1. The training shall cover the inspection and quarantine memoranda, agreements and protocols of unroasted coffee beans and cocoa beans exported to China, Chinese regulations and standards, etc.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
10.3 Requirements of management personnel	1. Article 13.3 of the <i>National Food Safety Standard - General Hygienic Regulation for Food Production</i> (GB14881-2013).	10.3 Provide records of the training by management personnel on relevant provisions of phytosanitation and food safety laws and regulations in the country/region where the exported products are located and in China, and conduct on-site random inspection and Q&A when necessary.	1. The production and management personnel of the enterprise shall have professional ability suitable for the posts, and shall be familiar with relevant provisions of phytosanitation and food safety laws and regulations in the country/region where they are located and in China, as well as the requirements of the <i>Protocol on Unroasted Coffee Beans and Cocoa Beans Exported to China</i> signed by and between the two sides and this standard. 2. Have qualifications and abilities suitable for their jobs.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
11. Self-inspection and Self-control					
11. Finished product inspection	1. Article 9 of the <i>National Food Safety Standard - General Hygienic Regulation for Food</i>	11.1 Provide items, indicators, methods and frequency of finished product inspection.	1. The enterprise shall carry out plant quarantine, food safety and other tests on the products,	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	<p><i>Production</i> (GB14881-2013).</p> <p>2. <i>National Food Safety Standard - Standard for the Use of Food Additives</i> (GB2760-2014).</p> <p>3. <i>National Food Safety Standard - Maximum Levels of Mycotoxins in Foods</i> (GB 2761-2017).</p> <p>4. <i>National Food Safety Standard - Maximum Levels of Contaminants in Foods</i> (GB2762-2017).</p> <p>5. <i>National Food Safety Standard - Maximum Residue Limits for Pesticides in Food</i> (GB 2763-2021).</p>	<p>11.2 If the enterprise has its own laboratory, please submit the laboratory capability and qualification certificates; if the enterprise entrusts a third-party laboratory, please provide the qualification certificates of the entrusted laboratory.</p>	<p>ensuring that the results of tests meet the requirements of Chinese regulatory authorities. The test records shall be kept for at least 2 years.</p> <p>2. The enterprise shall have the capability of plant quarantine and food safety inspection and testing of products, or entrust an institution with relevant qualifications to carry out inspection and testing.</p>		
12. Pest Control					
12.1 Prevention and control of quarantine pests concerned by China	<p>Memoranda, agreements and protocols on the inspection and quarantine of unroasted coffee beans and cocoa beans exported to China.</p>	<p>12.1 The enterprise shall submit the list of quarantine pests of concern to China, as well as the monitoring system and monitoring results.</p>	<p>1. The enterprise shall take effective measures during production and storage to prevent products from being infected by pests, monitor the quarantine pests of concerned by China, and keep the monitoring records for at least 2 years.</p>	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
12.2	<p>Memoranda, agreements and</p>	<p>12.2 The enterprise shall submit</p>	<p>1. The enterprise shall be</p>	<input type="checkbox"/> Conforming	

Identification of pests	protocols on the inspection and quarantine of unroasted coffee beans and cocoa beans exported to China.	the records of pests found during production and storage, as well as the records of identification by commissioned professional institutions.	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 at least 2 years.	<input type="checkbox"/> Non-conforming	
12.3 Pest control	Memoranda, agreements and protocols on the inspection and quarantine of unroasted coffee beans and cocoa beans exported to China.	12.3 The enterprise shall submit 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	
12.4 Fumigation treatment (if necessary)	Memoranda, agreements and protocols on the inspection and quarantine of unroasted coffee beans and cocoa beans exported to China.		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	
13. Declaration					
13.1 Declaration by enterprise	1. Articles 8 and 9 of the <i>Regulations of the People's Republic of China on the</i>		1. It shall be signed by the legal person and stamped with official seal of the enterprise.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	<i>Registration and Administration of Overseas Manufacturers of Imported Food</i> (Decree No. 248 of General Administration of Customs of China).				
13.2 Confirmation by competent authority	1. Articles 8 and 9 of the <i>Regulations of the People's Republic of China on the Registration and Administration of Overseas Manufacturers of Imported Food</i> (Decree No. 248 of General Administration of Customs of China).		1. It shall be signed by an officer of the competent authority and stamped with the seal of the competent authority.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	