

Appendix5-2-3

## Conditions and Key Points of Control Inspection for Registration of Overseas Manufacturers of Imported Edible Grains

Registration No.:

Enterprise Name:

Address:

Date of Filling:

Notes:

1. According to the Regulations on the Registration Administration of Overseas Manufacturers of Imported Food (Decree No.248 of the General Administration of Customs), the sanitary conditions of overseas manufacturers of edible grains applying for registration in China shall conform to Chinese laws, regulations, standards and norms, and the requirements of the protocol on inspection and quarantine of edible grains to be exported to China. This form is for the foreign edible grains to conduct official inspection on edible grains production enterprises according to the listed main conditions and basis and against the inspection points. At the same time, edible grains production enterprises shall fill in and

submit information to support the application form according to the listed main conditions and basis, and can also conduct self-inspection against the inspection points for self-evaluation before applying for registration.

2. Foreign competent authorities and foreign edible grains 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.

4. "Edible Grains" refer to the seed or root crop, or tuber products of cultivated plants such as cereals and potatoes, mainly including the edible products of grass seeds after rough processing, such as rice, *Avena sativa*, and *sorghum bicolor*, and also including the edible *Fagopyrum esculentum* of seeds of *Polygonaceae* after rough processing.

Items	Conditions and bases	Filling requirements and supporting materials	Key points for review	Conformity determination	Remarks
<b>1. Enterprise Overview</b>					
1.1. Enterprise Overview	1. Articles 5, 6, 7, and 8 of the Provisions of the People's	1.1.1 Fill out the: 1. form of basic information of overseas	1. Enterprises should truthfully fill in the information. The basic	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	<p>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 Edible Grains Exported to China signed by the competent authority of the applicant country and the General Administration of Customs.</p>	<p>production enterprises of imported edible grains 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>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 grains to be exported to China for consumption shall comply with the scope of products specified in the relevant agreements, protocols, memorandums, etc. for inspection and quarantine of grains to be exported to China.</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 Administration of Customs)</p> <p>2. Protocol on Inspection and Quarantine of Edible Grains Exported to China signed by the competent authority of the applicant country and the</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 unqualified products, traceability management, etc.</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 inspection of the finished product for export purposes, recall of nonconforming products, and traceability management.</p>	<p><input type="checkbox"/> Conforming</p> <p><input type="checkbox"/> Non-conforming</p>	

	General Administration of Customs.				
1.3 Management organization	<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 Edible Grains Exported to China signed by the competent authority of the applicant country and the General Administration of Customs.</p>	<p>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.</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>	<p><input type="checkbox"/> Conforming</p> <p><input type="checkbox"/> Non-conforming</p>	
<b>2. Enterprise Location and Workshop Layout</b>					
2.1 Site Selection and Plant Environment	<p>1. Articles 3.1 and 3.2 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)</p>	<p>2.1.1 Provide a plant plan, indicating the names of different operation areas.</p> <p>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</p>	<p>1. The plant layout meets the needs of production and processing.</p> <p>2. There is no pollution source around the plant.</p>	<p><input type="checkbox"/> Conforming</p> <p><input type="checkbox"/> Non-conforming</p>	

		residential areas).			
2.2 Workshop Layout	1. Article 4.1 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881) 2. Article 4 in the National Food Safety Standard—Grains (GB 2715)	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	
<b>3. Facility and Equipment</b>					
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) 2. Article 4 in the National	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	

	Food Safety Standard—Grains (GB 2715)				
<b>4. Water/Ice/Steam</b>					
4.1 Water/ice/steam for production and processing (if applicable)	<p>1. National Food Safety Standard—Standard for Drinking Water Quality (GB 5749)</p> <p>2. Articles 5.1.1 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)</p>	<p>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)</p> <p>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.</p> <p>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.</p>	<p>1. The production water monitoring plan shall cover all water outlets in the plant.</p> <p>2. Whether the projects and methods conform to the requirements of the National Food Safety Standards for Drinking Water Quality (GB 5749)</p> <p>3. Hygiene control procedures shall be formulated and implemented for the secondary water supply facilities, and appropriate food protection measures shall be in place.</p> <p>4. Boiler additives used in the production of steam in direct contact with food shall meet the requirements of food production and processing.</p>	<p><input type="checkbox"/> Conforming</p> <p><input type="checkbox"/> Non-conforming</p> <p><input type="checkbox"/> NA</p>	
<b>5. Raw and Auxiliary Materials and Packaging Materials</b>					

<p>5.1 Acceptance and control of raw materials and excipients</p>	<p>1. Article 7 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881) 2. National Food Safety Standard—Grains (GB 2715)</p>	<p>5.1 Provide acceptance measures for raw materials and additives, including acceptance standards and methods.</p>	<p>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.</p>	<p><input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming</p>	
<p>5.2 Source of Raw Materials</p>	<p>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 Standard - Limit of Mycotoxins in Foods (GB 2761) 4. National Food Safety Standard - Limit of Contaminants in Foods (GB 2762) 5. National Food Safety</p>	<p>5.2.1 Provide the test report on the latest product conforming to China's national food safety standards. (If applicable) 5.2.1 Provide materials to demonstrate that the raw materials purchased for the enterprise's production shall come from any area without the reporting of quarantine pests under close supervision of the Chinese government, and raw material suppliers shall have the</p>	<p>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 edible grains exported to China 2. Whether the enterprise has established raw material conformity assessment and implemented traceability</p>	<p><input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming</p>	

	Standard - Maximum Residue Limits for Pesticides in Food (GB 2763) 6. National Food Safety Standard—Grains (GB 2715)	qualification required by the local regulations.	management for the purchased raw materials in accordance with the requirements of the agreement.		
5.3 Food additives (if applicable)	1. Article 7.3 of National Food Safety Standards General Hygienic Regulation for Food Production (GB 14881) 2. National Food Safety Standards - Standard for the Use of Food Additives (GB 2760)	5.3 List of food additives used in production and processing (including the name, purpose and added amount, etc.).	1. The food additives used in the production conform to China's regulations on the use of food additives.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	
5.4 Packaging Materials	1. Article 8.5 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881) 2. Relevant bilateral inspection and quarantine agreements, memorandums and protocols	5.4.1 Provide proof that the inner and outer packaging materials are suitable for product packaging. 5.4.2 Provide label styles for finished products to be exported to China.	1. Packaging materials do not affect food safety and product characteristics under specific storage and use conditions. 2. Packaging labels shall meet the requirements of bilateral inspection and quarantine agreements, memorandums, and protocols.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
<b>6 Production and Processing Control</b>					
6.1 Establishment	1. National Food Safety Standards General Hygienic	6.1.1 Provide the production and processing flow chart, hazard	1. Biological, physical and chemical hazards should be	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	



and Operation of HACCP System	Regulation for Food Production (GB 14881-2013) 2. Hazard Analysis and Critical Control Point (HACCP) System - General Requirements for Food Processing Plant (GB/T 27341).	analysis worksheet, and HACCP schedule of all products to be exported to China. 6.1.2 Provide sample tables of CCP monitoring records, correction records, and verification records.	analyzed and effectively controlled in the HACCP program. 2. The production process flow should be reasonable to avoid cross contamination. 3. The setting of CCPs should be scientific and feasible, and corrective and verification measures should be appropriate.	<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 <input type="checkbox"/> NA	
6.3 Use of food additives and nutritional fortification substances (if applicable)	1. Article 7.3 of National Food Safety Standards 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	6.3 Provide the manufacturing process, product monitoring plan, and monitoring results.	1. The test results shall conform to China's national food safety standards.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	

	14880) 4. Article 3.6 in the National Food Safety Standard—Grains (GB 2715)				
<b>7. Cleaning and Disinfection</b>					
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	
<b>8. Control of Chemicals, Waste and Damage by Insects and Rats</b>					
8.1 Control of Chemicals	1. Article 8.3 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	8.1 Briefly describe the chemical use 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 physical contamination	1. Article 8.4 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881)	8.2 Provide the management system to prevent physical contamination and relevant treatment records.	1. A management system for preventing foreign matter 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	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

			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 - General Hygienic Regulation for Food Production (GB 14881)	8.4 Provide waste management system and relevant disposal records.	1. Edible product containers and waste storage containers in the workshop shall be clearly marked and distinguished. 2. Waste should be stored separately and disposed of in time to avoid pollution to production.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
<b>9. Product Traceability</b>					

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	
<b>10. Personnel Management and Training</b>					
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 records.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
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 edible grains 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 protocol of edible grain export to China and the requirements of this specification signed by both parties. 2. Have qualifications and capabilities suitable for their work.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
<b>11. Self-inspection and Self-control</b>					
11. Finished Product Inspection	1. Article 9 of National Food Safety Standards - General Hygienic Regulation for Food Production (GB 14881) 2. National Food Safety Standard—Grains (GB 2715) 3. National Food Safety Standards - Standard for the Use of Food Additives (GB 2760) 4. National Food Safety Standard - Limit of Mycotoxins in Foods (GB 2761) 5. National Food Safety Standard	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 qualification certificates; if the enterprise entrusts a third-party laboratory, please provide the qualification certificates of the entrusted laboratory.	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 2 years. 2. The enterprise shall be capable of inspecting and testing the phytosanitary and food safety or may entrust a qualified institution	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	

	- Limit of Contaminants in Foods (GB 2762) 6. National Food Safety Standard - Maximum Residue Limits for Pesticides in Food (GB 2763)		with such inspection and testing.		
<b>12 Pest Control</b>					
12.1 Prevention and control of quarantine pests of concern to China	Memorandums, agreements, and protocols of inspection and quarantine of edible grains exported to China	12.1 Provide the list of quarantine pests of concern to China and the monitoring system and records.	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.	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming <input type="checkbox"/> NA	
12.2 Identification of Pests	Memorandums, agreements, and protocols of inspection and quarantine of edible grains 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 edible grains 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 edible grains 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	
<b>13. Statement</b>					
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. 248 of the General Administration of Customs)		1. Signature of legal person and company seal	<input type="checkbox"/> Conforming <input type="checkbox"/> Non-conforming	
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	