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UNITED SAFETY AGENTS

# FSVP

## COMPLIANCE PLAN

ZIBA NUT CORPORATION

*Name of FSVP Importer*

QINGCHENG JIAHUI FOOD CO., LTD.

*Name of Foreign Supplier*

SHELLED PUMPKIN SEEKS | BULK

*Name of Product*

MARCH 05, 2021

*Date of Initial Verification / Reverification*

MARCH 06, 2022

*Date of FSVP Plan Expiration*

VERIFICAITON COMPLETE | APPROVED

*Status of Review*

No. 01

*Version*

*– Confidential –*

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# NOTICE *of* REDACTION




**This FSVP Plan has been partially redacted and is intended for review purposes only. All food safety documents are subject to change without notice, may contain non-binding recommendations, and should be considered uncontrolled.**

**Any documents provided by a foreign supplier are considered to be the property of that foreign supplier and may contain information which is privileged, confidential, and protected. Any reproduction, distribution or other use of these documents without the consent of the foreign supplier is prohibited.**

**Please contact United Safety Agents with any questions or concerns.**

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Supplier: QingCheng Jiahui Food Co., Ltd.

Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC)

Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## UNITED STATES CODE *of* FEDERAL REGULATIONS

*The following are or may be applicable to this product/supplier, FSVP Importer should confirm & comply independently.*

- ☒ **101.** §101.1–101.108. Food Labeling.
- ☐ **106.** §106.1–106.160. Infant Formula Requirements Pertaining to Current Good Manufacturing Practice, Quality Control Procedures, Quality Factors, Records and Reports, & Notifications.
- ☐ **110.** §110.3–110.110. Current Good Manufacturing Practice in Manufacturing, Packing, or Holding Human Food.
- ☐ **111.** §111.1–111.610. Current Good Manufacturing Practice in Manufacturing, Packaging, Labeling, or Holding Operations for Dietary Supplements.
- ☐ **112.** §112.1–112.213. Standards for the Growing, Harvesting, Packing, and Holding of Produce for Human Consumption.
- ☐ **113.** §113.3–113.100. Thermally Processed Low-Acid Foods Pkged in Hermetically Sealed Containers.
- ☐ **114.** §114.3–114.100. Acidified Foods.
- ☒ **117.** §117.1–117.475. Current Good Manufacturing Practice, Hazard Analysis, and Risk-Based Preventive Controls for Human Food.
- ☐ **120.** §120.1–120.25. Hazard Analysis and Critical Control Point (HACCP) Systems.
- ☒ **121.** §121.1–121.401. Mitigation Strategies to Protect Food Against Intentional Adulteration.
- ☐ **123.** §123.3–123.28. Fish and Fishery Products.
- ☐ **129.** §129.1–129.80. Processing/Bottle Drinking Water.
- ☐ **131.** §131.3–131.206. Milk and Cream.
- ☐ **133.** §133.3–133.196. Cheeses & Related Products.
- ☐ **135.** §135.3–135.160. Frozen Desserts.
- ☐ **136.** §136.3–136.180. Bakery Products.
- ☐ **137.** §137.105–137.350. Cereal Flours.
- ☐ **139.** §139.110–139.180. Macaroni & Noodle Products.
- ☐ **145.** §145.3–145.190. Canned Fruits.
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- ☐ **150.** §150.110–150.160. Fruit Butters, Jellies, Preserves, and Related Products.
- ☐ **152.** §152.126. Fruit Pies.
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- ☐ **160.** §160.100–160.190. Eggs and Egg Products.
- ☐ **161.** §161.30–161.190. Fish and Shellfish.
- ☐ **163.** §163.5–163.155. Cacao Products.
- ☐ **164.** §164.110–164.150. Tree Nut and Peanut Products.
- ☐ **165.** §165.3–165.110. Beverages.
- ☐ **166.** §166.40–166.110. Margarine.
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- ☐ **169.** §169.3–169.182. Food Dressings and Flavorings.
- ☐ **170.** §170.3–170.285. Food Additives.
- ☐ **179.** §179.21–179.45. Irradiation in the Production, Processing and Handling of Food.
- ☐ **190.** §190.6. Dietary Supplements.
- ☐ **501.** §501.1–501.110. Animal Food Labeling.
- ☐ **507.** §507.1–507.215. Current Good Manufacturing Practice, Hazard Analysis, and Risk-Based Preventive Controls for Food for Animals.
- ☐ **570.** §570.3–570.280. Food Additives.
- ☐ **579.** §579.12–579.40. Irradiation in the Production, Processing, & Handling of Animal & Pet Food.

- *Continues.*



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Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC)

Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## 21 C.F.R. §1.500–§1.514

*The following section(s) of the FSVP regulation is/are or may be particularly relevant to this product/supplier.*

- ☒ **§1.500.** What Definitions Apply to This Subpart?
- ☒ **§1.501.** To What Foods Do the Requirements in This Subpart Apply?
- ☒ **§1.502.** What Foreign Supplier Verification Program *(FSVP)* Must I Have?
- ☒ **§1.503.** Who Must Develop My FSVP and Perform FSVP Activities?
- ☒ **§1.504.** What Hazard Analysis Must I Conduct?
- ☒ **§1.505.** What Evaluation for F. Supplier Approval & Verification Must I Conduct?
- ☒ **§1.506.** What Foreign Supplier Verification and Related Activities Must I Conduct?
- ☐ **§1.507.** What Requirements Apply When I Import Food That Cannot Be Consumed Without the Hazards Being Controlled or for Which the Hazards Are Controlled After Importation?
- ☒ **§1.508.** What Corrective Actions Must I Take Under My Foreign Supplier Verification Program?
- ☒ **§1.509.** How Must the Importer Be Identified at Entry?
- ☒ **§1.510.** How Must I Maintain Records of My FSVP?
- ☐ **§1.511.** What FSVP Must I Have If I Am Importing A Food Subject to Certain Requirements in the Dietary Supplement Current Good Manufac turing Practice Regulation?
- ☐ **§1.512.** What FSVP May I Have If I Am A Very Small Importer or I Am Importing Certain Food from Certain Small Foreign Suppliers?
- ☐ **§1.513.** What FSVP May I Have If I'm Importing Certain Food from A Country with An Officially Recognized Food Safety System?
- ☒ **§1.514.** What Are Some Consequences of Failing to Comply with the Requirements of FSVP?

## NOTES & COMMENTS

FSVP 21 CFR §1.500–§1.514

This product falls – at least in part – under the jurisdiction of the United States Food and Drug Administration (FDA), and does not qualify for an exemption in Title 21, Code of Federal Regulations, Chapter I, Sub-chapter A, Part 1, Subpart L, §1.501. As the FSVP Importer's Qualified Individual (as the term is defined in §1.503) United Safety Agents – through the actions of this FSVP Plan's identified "Agent(s)" – has performed all actions required by FSVP and has presented this FSVP Plan for the review of this product's FSVP Importer. Please refer to pages 26 through 34 for substantiation of the FSVPQI's / PCQI's qualifications and certifications.



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Supplier: QingCheng Jiahui Food Co., Ltd. Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC) Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## DESIGNATION *of* ROLES & SUMMARY *of* REVIEW

### FOREIGN SUPLLIER VERIFICATION PROGRAM IMPORTER

Company Name: Ziba Nut Corporation FDA FEI: 3016047992

Physical Address: 600 West Broadway, Suite 700 DUNS No.: 12-18-82726

City: San Diego State: California, 92101 Country: United States

Mailing Address: 600 West Broadway, Suite 700

City: San Diego State: California, 92101 Country: United States

Phone Number: +1 (619) 209-6001 Email Address: mmorshed@zibanut.com

Name *of* Representative(s): Mr. Massoud Morshed Title: Commercial Rep.

### FOREIGN SUPPLIER &/OR MANUFACTURER *as defined by §1.500*

Company Name: QingCheng Jiahui Food Co., Ltd. FDA FFR: 14201126048

Manufacturing Address: Yima Industrial Zone, Qingcheng County FDA FEI: 3013867108

City: Qingyang Province/Territory: Gansu, 745000 Country: China

Office Address: Yima Industrial Zone, Qingcheng County

City: Qingyang Province/Territory: Gansu, 745000 Country: China

Phone Number: +86-931 8866309 Email Address: 350536422@qq.com

Name *of* Representative(s): XUE QIANG Title: QA / QC

### QUALIFIED INDIVIDUAL(s) & AGENT(s)

Agent Name: Claudio Innocenti Signature: Claudio Innocenti

Title: Partner & Preventive Controls Qualified Individual. Date: Mar. 05, 2021

Agent Name: William J. Barber Signature: W. J. Barber

Title: Preventive Controls Qualified Individual. Date: Mar. 05, 2021

### SUMMARY *of* REVIEW

| **Details *of* Product(s)** | *Is foreign supplier expected to implement controls for* | | | **Comments** |
|---|---|---|---|---|
| | **Biological Hazards** | **Chemical Hazards** | **Physical Hazards** | |
| Pumpkin Seeds, Shelled.<br>Kernels.<br>Bulk. | ■ Yes ☐ No<br>☐ *Undetermined* | ■ Yes ☐ No<br>☐ *Undetermined* | ■ Yes ☐ No<br>☐ *Undetermined* | Verified & Approved.<br>—<br>See Addendum. |
| | ■ FSVP Importer | ■ FSVP Importer | ☐ FSVP Importer | |
| | ☐ Disclosure | ☐ Disclosure | ☐ Disclosure | |
| | ☐ Customer | ☐ Customer | ☐ Customer | |

**Preventive Control or Disclosure Rqd.**: Per §117, §507, §111 and/or §1.507, Notice is required when FSVP Importer or FSVP Importer's customer will be responsible for controlling hazards. *See "Hazard Analysis & Determination" section(s) and "Addendum" section for additional information.* ■ *Required* ■ *Recommended* ■ *Confirm efficacy of previously applied control(s)*

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Supplier: QingCheng Jiahui Food Co., Ltd.

Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC)

Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## REGISTER *of* SUBSTANTIATING DOCUMENTS



### HAZARD ANALYSIS

☑ *Requested* ☑ *Required* ☑ *Received* ☑ *Reviewed*

NOTES QingCheng Jiahui Food Co., Ltd.'s HACCP Plan received.
Dated: May 10, 2020.
QingCheng Jiahui Food Co., Ltd.'s Foreign Material Control Plan received.
Dated: Dec. 15, 2020.
QingCheng Jiahui Food Co., Ltd.'s Broken glass treatment procedure received.



### ON-SITE AUDIT

☑ *Requested* ☐ *Required* ☑ *Received* ☑ *Reviewed*

NOTES QingCheng Jiahui Food Co., Ltd.'s BRC Audit Report received.
Dated: Dec. 24, 2020.
Audit Grade: B
Number of MAJOR Non-conformities: 1
Number of Minor Non-conformities: 8
Previous Audit Grade: B



### SAMPLING OR TESTING RESULTS

☑ *Requested* ☑ *Required* ☑ *Received* ☑ *Reviewed*

NOTES Five (5) Certificates of Analysis received from supplier.
Dated: Dates vary, but are within 2020.
Tested for: Biological and Chemical hazards.
Note: We respectfully request that recent certificate(s) of analysis be provided for testing conducted to determine that product has been effectively processed to control for all FDA identified biological and chemical hazards (preferably by an ISO 17025-accredited laboratory).



### OTHER FOOD SAFETY RECORDS

☑ *Requested* ☑ *Required* ☑ *Received* ☑ *Reviewed*

NOTES Completed Foreign Supplier FSVP Questionnaire received.
Dated: Feb. 23, 2021.
Completed by: Johnson Xu
QingCheng Jiahui Food Co., Ltd.'s HACCP Product Marking, Recall Traceability Plan received.
Dated: Feb. 10, 2020.
QingCheng Jiahui Food Co., Ltd.'s Enviromental Monitoring procedure received.
Dated: July 04, 2018.



### PRODUCT LABELING

☑ *Requested* ☑ *Required* ☑ *Received* ☑ *Reviewed*

NOTES Product Label received. Label clearly identifies no present allergens. Labeling is in compliance with Part 403(w) of the Federal Food, Drug, and Cosmetic Act in so far as it is not misbranded with respect to the presence of food allergens. See Analysis & Determination of Allergenic Hazard(s) for details.

Note: USA's assessment of product(s) labeling is restricted to a label(s)' allergen disclosure statement and should not be interpreted to meant that the label(s) meets all requirements of the Federal Food, Drug, and Cosmetic Act (FD&C Act), the Nutrition Labeling and Education Act (NLEA), or any other applicable section of 21 CFR Part 101. USA recommends that FSVP Importer independently confirm that product label(s) is in compliance with all applicable regulations prior to import.

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Supplier: QingCheng Jiahui Food Co., Ltd.

Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC)

Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## ONGOING REQUIREMENT *for* UPDATED DOCUMENTS

21 C.F.R., §1.505, §1.506, and §1.510 require that all FSVP records be updated and maintained. Depending on USA's review and determination of the supplier's compliance history and food safety program, we request that the following food safety documents be provided accord to their individually-marked time interval.



### FACILITY FOOD SAFETY PLAN

- ☑ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☐ *other:*



### HACCP PLAN / HARPC PLAN

- ☑ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☐ *other:*



### ON-SITE AUDIT RESULTS

- ☑ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☐ *other:*



### LABORATORY TESTING RESULTS

- ☑ if positive results are returned
- ☑ if recall or import refusal occurs
- ☑ if inspection occurs
- ☑ on an annual basis
- ☐ on a per-batch/shipment basis
- ☑ Chemical ☑ Biological
- ☐ *other:*



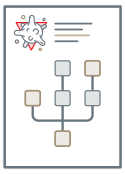

### FDA REGISTRATION

- ☑ if a change or update occurs
- ☑ bi-annual basis *(regardless of change)*




### FACILITY LICENSE

- ☐ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☑ *not applicable*



### RECALL PLAN

- ☑ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☐ *other:*



### PRODUCT LABEL

- ☑ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☐ *other:*




### QUALIFICATIONS

- ☑ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☐ *other:*



### IMPLEMENTATION RECORDS

- ☑ if recall or import refusal occurs
- ☑ if inspection occurs
- ☐ on an annual basis
- ☐ on a per-batch/shipment basis
- ☐ *other:*



### FSVP QUESTIONNAIRE

- ☑ if a change or update occurs
- ☐ annual basis *(regardless of change)*
- ☐ *other:*



### NOTES

*unitedsafetyagents.com/documents*

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Agent(s): Claudio Innocenti (PCQI. Member, USA LLC) Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## FDA COMPLIANCE ACTIONS & REGULATORY HISTORY

21 CFR part 1, subpart L, §1.505(a)(1)(iii)(A)(C), and elsewhere requires that a foreign supplier's compliance history be evaluated, including whether the foreign supplier is the subject of an FDA Warning Letter(s), Import Alert(s), or other FDA compliance action(s) related to food safety. The following constitutes the results of this evaluation.

## RESULTS *of* EVALUATION

| Date *of* Action | Description *of* Action |
|---|---|
| N/A | FDA Data Dashboard search results indicate that supplier's compliance history does not include FDA Warning Letters, Import Alerts, or other applicable compliance actions. |

Covers: QingCheng Jiahui Food Co., Ltd. FEI: 3013867108 Date: Mar. 05, 2021

*Note: Results may not be exhaustive. FSVP Importer should conduct independent inquiry.*

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## REVISION LOG *for* FSVP PLAN

| Version No. | Date *of* Change | Description *of* Revision |
|---|---|---|
| No. 01 | Mar. 05, 2021 | Product and supplier underwent initial FSVP verification. |

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## ADDENDUM

NOTE

Labeling Requirements

The Food Allergen Labeling and Consumer Protection Act (FALCPA) of 2004 requires food manufacturers to label food products that contain an ingredient that is or contains protein from a major food allergen in one of two ways.

The first option for food manufacturers is to include the name of the food source in parenthesis following the common or usual name of the major food allergen in the list of ingredients in instances when the name of the food source of the major allergen does not appear elsewhere in the ingredient statement. For example: Vanilla Waffers Ingredients: Enriched flour (wheat flour, malted barley, niacin, reduced iron, thiamin mononitrate, riboflavin, folic acid), sugar, partially hydrogenated soybean oil, and/or cottonseed oil, high fructose corn syrup, whey (milk), eggs, vanilla, natural and artificial flavoring) salt, leavening (sodium acid pyrophosphate, monocalcium phosphate), lecithin (soy), mono-and diglycerides (emulsifier)

The second option is to place the word "Contains" followed by the name of the food source from which the major food allergen is derived, immediately after or adjacent to the list of ingredients, in type size that is no smaller than the type size used for the list of ingredients. For example: Contains Wheat, Milk, Egg, and Soy

Food Allergen Labeling and Consumer Protection Act

- Nutritional information (not appliance to bulk).
- Name and place of business of the manufacturer, packer, or distributor (21 CFR 101.5).
- Quantity of contents (21 CFR 101.7).
- Statement of identity (21 CFR 101.3).
- Presence of artificial flavoring, artificial coloring, or chemical preservative ( 21 CFR 101.22).
- Ingredient statement if the product has two or more ingredients (21 CFR 101.4).
- Presence of major food allergens (21 U.S.C. 343(w)).
- Percent juice ( 21 CFR 101.30), when applicable.

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## CERTIFICATIONS & QUALIFICATIONS *of* FSVP AGENT



FSPCA
FOOD SAFETY PREVENTIVE CONTROLS ALLIANCE

CERTIFICATE OF TRAINING

is awarded to

Claudio Innocenti

in recognition for having successfully completed
the Food Safety Preventive Controls Alliance course:

FSPCA Preventive Controls for Animal Food

delivered by Lead Instructor

Charles Nolan

completed on

07/09/2020

Robert Brackett, VP and Director
Institute for Food Safety and Health

Gerald Wojtala, Executive Director
International Food Protection Training Institute

Susan M. Hays, Executive Director
Association of American Feed Control Officials

IFSH INSTITUTE FOR FOOD SAFETY AND HEALTH
ILLINOIS INSTITUTE OF TECHNOLOGY

ifpti INTERNATIONAL FOOD PROTECTION TRAINING INSTITUTE

AAFCO Association of American Feed Control Officials

Certificate # 223faa17



FSPCA
FOOD SAFETY PREVENTIVE CONTROLS ALLIANCE

CERTIFICATE OF TRAINING

is awarded to

CLAUDIO INNOCENTI

in recognition for having successfully completed
the Food Safety Preventive Controls Alliance course:

Foreign Supplier Verification Programs

delivered by Lead Instructor

Bob Bauer

completed on

09/14/2018

Robert Brackett, VP and Director
Institute for Food Safety and Health

Gerald Wojtala, Executive Director
International Food Protection Training Institute

Joseph Corby, Executive Director
Association of Food and Drug Officials

IFSH INSTITUTE FOR FOOD SAFETY AND HEALTH
ILLINOIS INSTITUTE OF TECHNOLOGY

ifpti INTERNATIONAL FOOD PROTECTION TRAINING INSTITUTE

AFDO

Certificate # d2e9c287

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in recognition for having successfully completed
the Food Safety Preventive Controls Alliance course:

FSPCA PREVENTIVE CONTROLS FOR HUMAN FOOD

delivered by Lead Instructor

Amanda Evans

completed on

07/25/2017

Robert Brackett, VP and Director
Institute for Food Safety and Health

Gerald Wojtala, Executive Director
International Food Protection Training Institute

Joseph Corby, Executive Director
Association of Food and Drug Officials

IFSH INSTITUTE FOR FOOD SAFETY AND HEALTH
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Certificate # 2d697331



FSPCA
FOOD SAFETY PREVENTIVE CONTROLS ALLIANCE

CERTIFICATE OF TRAINING

is awarded to

CLAUDIO INNOCENTI

in recognition for having successfully completed
the Food Safety Preventive Controls Alliance course:

Foreign Supplier Verification Programs

delivered by Lead Instructor

Bob Bauer

completed on

09/14/2017

Robert Brackett, VP and Director
Institute for Food Safety and Health

Gerald Wojtala, Executive Director
International Food Protection Training Institute

Joseph Corby, Executive Director
Association of Food and Drug Officials

IFSH INSTITUTE FOR FOOD SAFETY AND HEALTH
ILLINOIS INSTITUTE OF TECHNOLOGY

ifpti INTERNATIONAL FOOD PROTECTION TRAINING INSTITUTE

AFDO

Certificate # d2e9c287

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Supplier: QingCheng Jiahui Food Co., Ltd. Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC) Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## CERTIFICATIONS & QUALIFICATIONS *of* FSVP AGENT

FSPCA
FOOD SAFETY PREVENTIVE CONTROLS ALLIANCE

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the Food Safety Preventive Controls Alliance course:

Foreign Supplier Verification Programs

delivered by Lead Instructor

Bob Bauer

completed on
05/31/2018

Robert Brackett, VP and Director
Institute for Food Safety and Health

Gerald Wojtalik, Executive Director
International Food Protection Training Institute

Joseph Corby, Executive Director
Association of Food and Drug Officials

IFSH INSTITUTE FOR FOOD SAFETY AND HEALTH
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Certificate # d2e9c287

AFDO



Produce Safety
ALLIANCE

AFDO
ASSOCIATION OF FOOD & DRUG OFFICIALS
SINCE 1896

### Certificate of Training

is awarded to

**Claudio Innocent**

in recognition for having successfully completed
the Produce Safety Alliance course:

**PSA Grower Training Course**

*Delivered by PSA Lead Trainers and/or PSA Trainers*
**Cara Fraver, Laura McDermott, Yolanda Gonzalez, Lindsey Pashow**

**Class Number**
NY-180712-GR
**Grower ID Number**
50447
**Training Date and Location**
7/12/2018–7/12/2018
Voorheesville, NY

Joseph Corby
*Executive Director, AFDO*

Elizabeth A. Bihn, Ph.D.
*Produce Safety Alliance Director*

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## CERTIFICATIONS & QUALIFICATIONS *of* FSVP AGENT



FSPCA
FOOD SAFETY PREVENTIVE CONTROLS ALLIANCE

CERTIFICATE OF TRAINING

is awarded to

WILLIAM BARBER

in recognition for having successfully completed
the Food Safety Preventive Controls Alliance course:

FSPCA Preventive Controls for Human Food

delivered by Lead Instructor

Mirasol Mohal

completed on
06/05/2019

Robert Brackett, VP and Director
Institute for Food Safety and Health

Gerald Wojtala, Executive Director
International Food Protection Training Institute

Steve Mandernach, Executive Director
Association of Food and Drug Officials

IFSH INSTITUTE FOR FOOD SAFETY AND HEALTH
ILLINOIS INSTITUTE OF TECHNOLOGY

ifpti

AFDO

Certificate # ed6f0b58



FSPCA
FOOD SAFETY PREVENTIVE CONTROLS ALLIANCE

CERTIFICATE OF TRAINING

is awarded to

William Barber

in recognition for having successfully completed
the Food Safety Preventive Controls Alliance course:

Foreign Supplier Verification Programs

delivered by Lead Instructor

tina coil

completed on
06/13/2017

Robert Brackett, VP and Director
Institute for Food Safety and Health

Gerald Wojtala, Executive Director
International Food Protection Training Institute

Joseph Corby, Executive Director
Association of Food and Drug Officials

IFSH INSTITUTE FOR FOOD SAFETY AND HEALTH
ILLINOIS INSTITUTE OF TECHNOLOGY

ifpti INTERNATIONAL FOOD PROTECTION TRAINING INSTITUTE

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Certificate # 917b0241

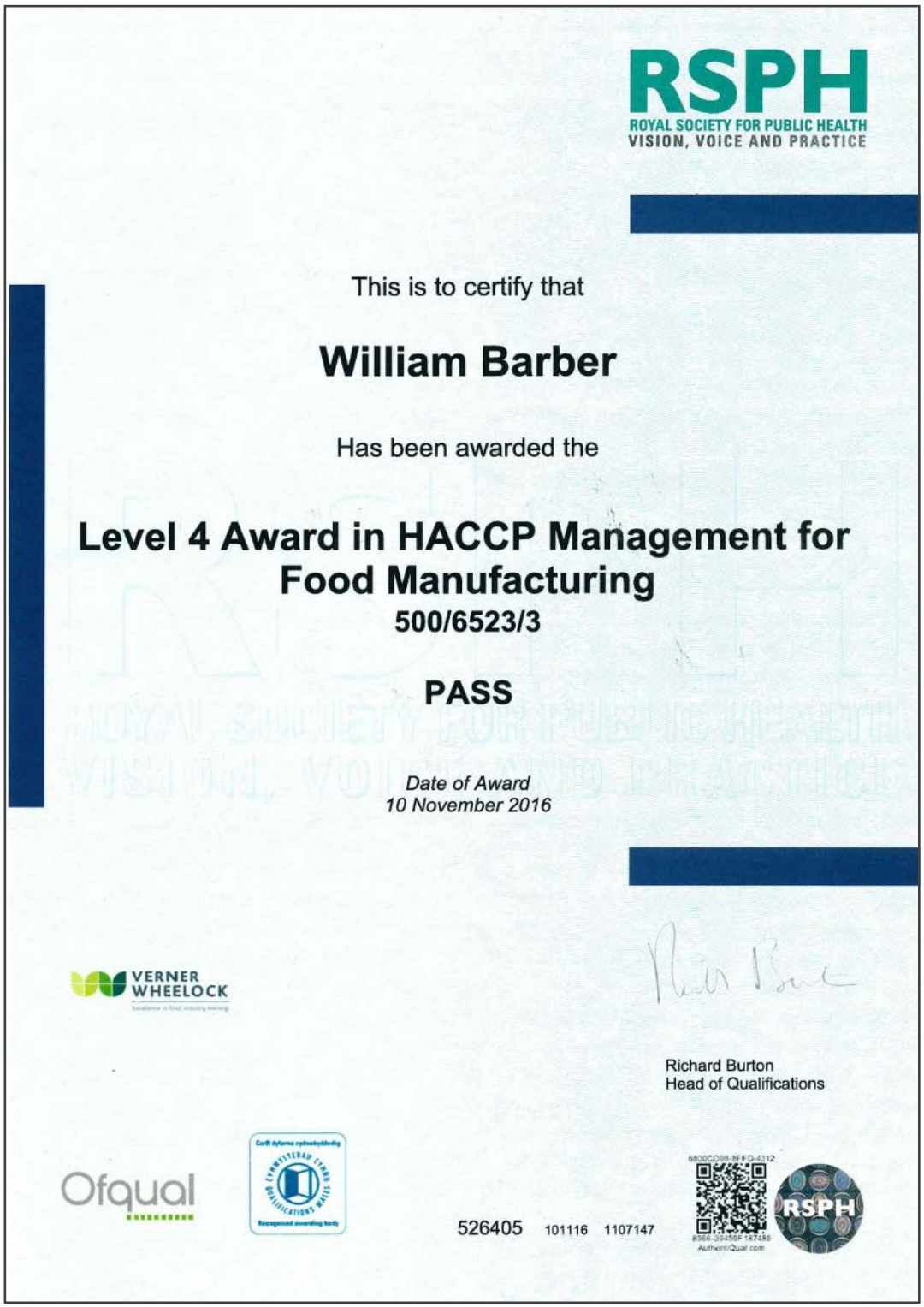
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Agent(s): Claudio Innocenti (PCQI. Member, USA LLC) Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## CERTIFICATIONS & QUALIFICATIONS *of* FSVP AGENT



RSPH
ROYAL SOCIETY FOR PUBLIC HEALTH
VISION, VOICE AND PRACTICE

This is to certify that

**William Barber**

Has been awarded the

**Level 4 Award in HACCP Management for Food Manufacturing**
**500/6523/3**

**PASS**

*Date of Award*
*10 November 2016*

VERNER WHEELOCK

Richard Burton
Head of Qualifications

Ofqual

526405 101116 1107147

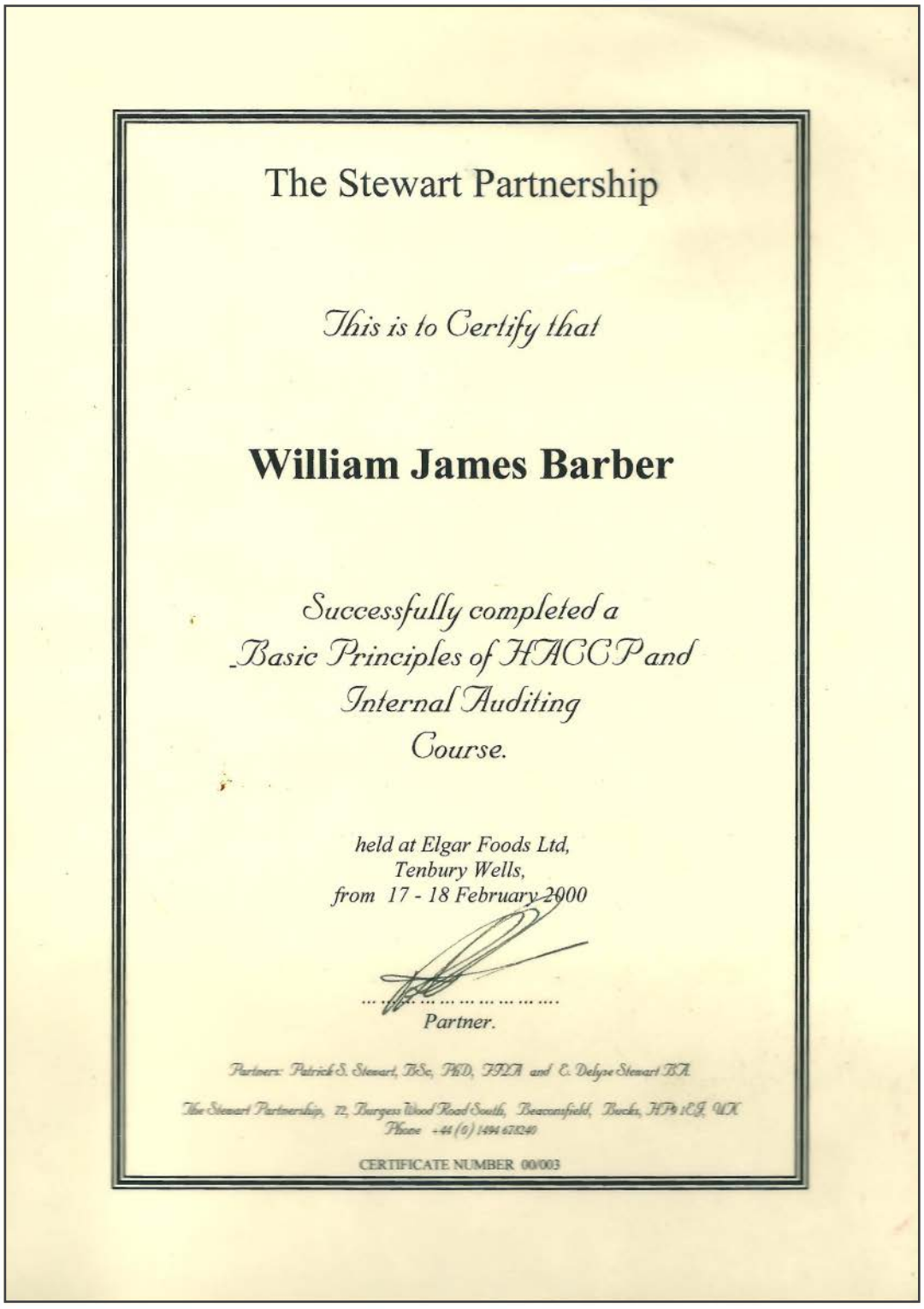
RSPH

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Supplier: QingCheng Jiahui Food Co., Ltd. Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC) Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## CERTIFICATIONS & QUALIFICATIONS *of* FSVP AGENT



The Stewart Partnership

*This is to Certify that*

**William James Barber**

*Successfully completed a Basic Principles of HACCP and Internal Auditing Course.*

*held at Elgar Foods Ltd, Tenbury Wells, from 17 - 18 February 2000*

..... *Partner.*

*Partners: Patrick S. Stewart, BSc, PhD, FIFST and C. Delyse Stewart BA*

*The Stewart Partnership, 72, Burgess Wood Road South, Beaconsfield, Bucks, HP9 1EJ, UK*
*Phone +44 (0) 1494 678240*

CERTIFICATE NUMBER 00/003

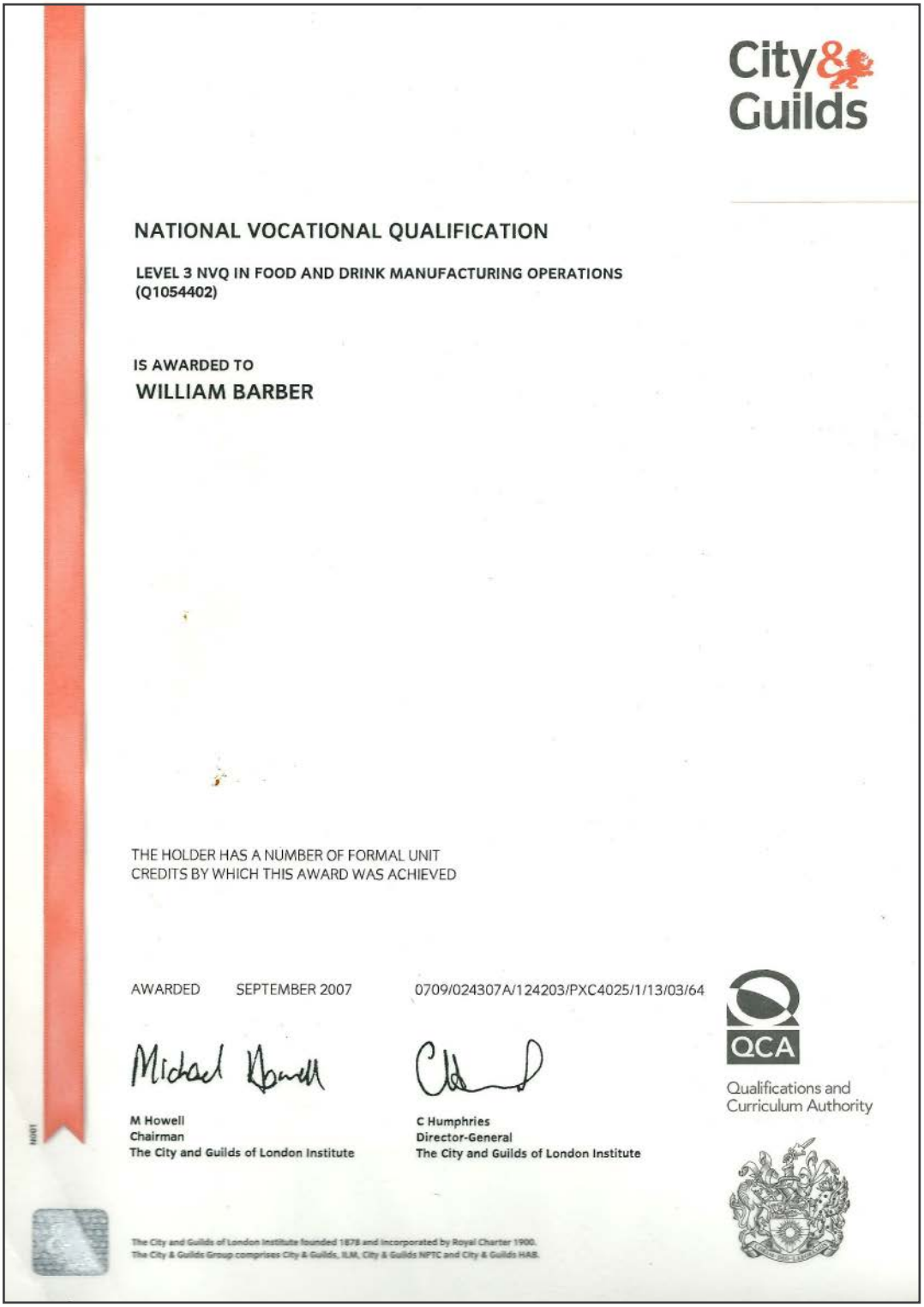
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Supplier: QingCheng Jiahui Food Co., Ltd. Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC) Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## CERTIFICATIONS & QUALIFICATIONS *of* FSVP AGENT



City & Guilds

NATIONAL VOCATIONAL QUALIFICATION

LEVEL 3 NVQ IN FOOD AND DRINK MANUFACTURING OPERATIONS
(Q1054402)

IS AWARDED TO

WILLIAM BARBER

THE HOLDER HAS A NUMBER OF FORMAL UNIT
CREDITS BY WHICH THIS AWARD WAS ACHIEVED

AWARDED SEPTEMBER 2007 0709/024307A/124203/PXC4025/1/13/03/64

M Howell
Chairman
The City and Guilds of London Institute

C Humphries
Director-General
The City and Guilds of London Institute

QCA
Qualifications and Curriculum Authority

The City and Guilds of London Institute founded 1878 and incorporated by Royal Charter 1900.
The City & Guilds Group comprises City & Guilds, ILM, City & Guilds NPTC and City & Guilds HAB.

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Supplier: QingCheng Jiahui Food Co., Ltd. Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC) Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## CERTIFICATIONS & QUALIFICATIONS *of* FSVP AGENT

City & Guilds

**CERTIFICATE OF UNIT CREDIT TOWARDS**
**NATIONAL VOCATIONAL QUALIFICATION**
**LEVEL 3 NVQ IN FOOD AND DRINK MANUFACTURING OPERATIONS**

**IS AWARDED TO**
**WILLIAM BARBER**

**WHO ATTENDED PERSHORE GROUP OF COLLEGES**

AND WAS SUCCESSFUL IN THE
FOLLOWING TEN UNITS

| | |
|---|---|
| CONTROL AND MAINTAIN QUALITY WITHIN MULTI-STAGE MANUFACTURING OPERATIONS | U1024734 |
| RESOLVE PROBLEMS IN MULTI-STAGE MANUFACTURING OPERATIONS | U1024735 |
| MAINTAIN AND IMPROVE HEALTH AND SAFETY WITHIN THE WORKPLACE | U1024736 |
| MAINTAIN AND IMPROVE HYGIENE AND PRODUCT SAFETY WITHIN THE WORKPLACE | U1024737 |
| CONTRIBUTE TO THE ACHIEVEMENT OF ORGANISATIONAL AND PERSONAL GOALS | U1028661 |
| PROVIDE INFORMATION TO SUPPORT DECISION MAKING | U1026144 |
| MONITOR AND MAINTAIN THE HANDLING AND STORAGE OF MATERIALS | U1024742 |
| IMPLEMENT QUALITY ASSURANCE SYSTEMS | U1027820 |
| DEVELOP A FOOD AND DRINK PRODUCT | U1050274 |

**CONTINUED**

AWARDED SEPTEMBER 2007 0709/024307A/124203/PXC4025/1/13/03/64

**M Howell**
**Chairman**
**The City and Guilds of London Institute**

**C Humphries**
**Director-General**
**The City and Guilds of London Institute**

RO1

The City and Guilds of London Institute founded 1878 and Incorporated by Royal Charter 1900.
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Supplier: QingCheng Jiahui Food Co., Ltd.

Product: Shelled Pumpkin Seeds | Bulk

Agent(s): Claudio Innocenti (PCQI. Member, USA LLC)

Review Start: Feb. 23, 2021 Review End: Mar. 05, 2021

## SUBSTANTIATING DOCUMENTS




**This FSVP plan is based – at least in part – on the following foreign supplier-provided food safety document(s). All substantiating documents have been reviewed and assessed by United Safety Agents LLC.**

**Note** All foreign supplier-provided document(s) are considered to be the property of that foreign supplier and may contain information which is privileged, confidential, and protected. Any reproduction, distribution or other use of these document(s) without the express written consent of the foreign supplier is prohibited. Enclosed document(s) are meant for review purposes only and are subject to change without notice. Document(s) may contain non-binding recommendations and are uncontrolled.

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# U.S. FOOD & DRUG ADMINISTRATION

FOREIGN SUPPLIER VERIFICATION PROGRAM

—

*Recertification Questionnaire Submission*

} Foreign Supplier
} **QINGCHENG JIAHUI FOOD CO.,LTD.**
} Date: 2021-02-17

---

As required by 21 C.F.R., §1.506 (a); (a)(2); (b); (c); and elsewhere, all foreign supplier verification procedures and activities are to be conducted and/or re-conducted at a frequency appropriate to the relevant procedure/activity and the corresponding hazard profile for the relevant food. Based upon United Safety Agents' *(USA)* assessment of QINGCHENG JIAHUI FOOD CO.,LTD.'s operation, an annual recertification request for updated information and food safety documents has been sent out. The following pages contain the specifics of USA's request, along with QINGCHENG JIAHUI FOOD CO.,LTD.'s corresponding responses to each inquiry. *Note: Most questions can be properly interpreted, if preceded by "Within the past 400 days;"*

## START

01) Has QINGCHENG JIAHUI FOOD CO.,LTD.'s Food Safety Plan or Program been revised in any way?

Response: **No**

02) Has QINGCHENG JIAHUI FOOD CO.,LTD.'s HACCP Plan been revised in any way?

Response: **No**

03) Has any change occurred to QINGCHENG JIAHUI FOOD CO.,LTD.'s product Ingredients?

Response: **No**

04) Has QINGCHENG JIAHUI FOOD CO.,LTD.'s Allergen Control Procedure been revised in any way?

Response: **No**

05) Has any change occurred to QINGCHENG JIAHUI FOOD CO.,LTD.'s product Labeling?

Response: **No**

06) Has QINGCHENG JIAHUI FOOD CO.,LTD.'s Onsite Audit report expired or been updated?



DOCUMENT REVIEWED AND ASSESSED BY CLAUDIO INNOCENTI (PARTNER & PCQI) ON OR ABOUT FSVP PLAN'S NOTED REVIEW START/END DATES
CONFIDENTIAL TREATMENT REQUESTED



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# U.S. FOOD & DRUG ADMINISTRATION

FOREIGN SUPPLIER VERIFICATION PROGRAM

—

*Recertification Questionnaire Submission*

} Foreign Supplier
} **QINGCHENG JIAHUI FOOD CO.,LTD.**
} Date: 2021-02-17

---

Response: **Yes**

07) Has QINGCHENG JIAHUI FOOD CO.,LTD. undergone a recall, for any reason?

Response: **No**

08) Has QINGCHENG JIAHUI FOOD CO.,LTD. been inspected by the United States Food & Drug Administration?

Response: **No**

09) Have any food items been stopped, held, or rejected by U.S. Customs, for any reason?

Response: **No**

10) Has the U.S. FDA issued QINGCHENG JIAHUI FOOD CO.,LTD. a Warning Letter in relation to its facility or product(s)?

Response: **No**

11) Does QINGCHENG JIAHUI FOOD CO.,LTD. perform laboratory analysis on its product(s)?

Response:

12) Has any batch or lot tested positive for any biological or chemical hazard?

Response: **No**

13) Has QINGCHENG JIAHUI FOOD CO.,LTD.'s conformance with FSVP, or its appendant regulations, changed in any way?

Response: **No**

14) Are QINGCHENG JIAHUI FOOD CO.,LTD.'s products considered to be “Ready To Eat” when leaving its facility?

Response: **Yes**

*14a) What hazard(s) remain uncontrolled?*

Response:

15) Would you like to share any additional information?



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# U.S. FOOD & DRUG ADMINISTRATION

FOREIGN SUPPLIER VERIFICATION PROGRAM

—

*Recertification Questionnaire Submission*

} Foreign Supplier
} **QINGCHENG JIAHUI FOOD CO.,LTD.**
} Date: 2021-02-17

---

Response: **No**

*15a) Additional information:*

Response:

---

**C E R T I F I C A T I O N**: By entering your name below, you certify that the information provided on and in connection with this form is true, accurate, and complete to the best of your knowledge. You understand that any false statements or deliberate omissions on this document – or any other document – that you provide to United Safety Agents may be grounds for disqualification from successful FSVP verification or, if discovered after FSVP approval takes place, could result in your product's FSVP approval status being revoked or terminated, and may result in your products or shipments being rejected from entry into the United States.

Certified by: **Johnson Xu**
Date of Certification: **2021-02-17**
Email Address of Respondent: **johnsonxu1@hotmail.com**

—

**END**



DOCUMENT REVIEWED AND ASSESSED BY CLAUDIO INNOCENTI (PARTNER & PCQI) ON OR ABOUT FSVP PLAN'S NOTED REVIEW START/END DATES
CONFIDENTIAL TREATMENT REQUESTED
Claudio Innocenti

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# 庆城县嘉辉食品有限公司

# QINGCHENG JIAHUI FOOD CO LTD

## HACCP 危害分析

## 与

## 关键控制点计划

## HACCP HAZARD ANALYSIS and CCPs PLAN

DOCUMENT REVIEWED AND ASSESSED BY CLAUDIO INNOCENTI (PARTNER & PCQI) ON OR ABOUT FSVP PLAN'S NOTED REVIEW START/END DATES
CONFIDENTIAL TREATMENT REQUESTED
Claudio Innocenti

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文件编号(CODE NO)：JH-HACCP-2020

文件标识：●受控　□非受控

分 发 号：

生效日期：2020 年 5 月 10 日

编　　制：薛强

审　　核：薛鸿

批　　准：

DOCUMENT REVIEWED AND ASSESSED BY CLAUDIO INNOCENTI (PARTNER & PCQI) ON OR ABOUT FSVP PLAN'S NOTED REVIEW START/END DATES
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Claudio Innocenti

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# 一，危害分析工作单

# HAZARD ANALYSIS WORKING LIST

南瓜籽原料危害分析工作单（for shine skin pumpkin seed kernels）：

厂名 PRODUCER：庆城县嘉辉食品有限公司（QINGCHENG JIAHUI）
厂址 ADD：甘肃省庆阳市庆城县驿马工业集中区（YIMA INDUSTRIAL ZONE,QINGYANG CITY,GANSU,CHINA）
销　　售(SALE FOR)：直接出口到其它国家(DIRECT EXPORT)
贮存方法（STORING METHOD)：阴凉干燥处（COOL & DRY PLACE)　　预期使用和消费者(PRODUCTION FOR CONSUMER)：初级加工产品，用于食品深加工(FOR FOOD MATERIAL AND DEEP PROCESSING)

| 加工工序 (production procedures) | | 识别本工序被引入、控制或增加的潜在危害 (recognize the potential hazard from income material) | 危害引入途径(the route of the income hazard) | 终产品中可接受水平 (the acceptable level from the final products | 危害程度评价(evaluation of hazard Level) | | | 是否显著 Remarkable or not | 控制措施选择及评估 Control measures choices and evaluation | 是否关键控制点 If CCP |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | 严重 seriousness | 可能性 possibility | 危害风险级别 Risk level of the Hazard risk | | | |
| 1，原辅 | 原料南瓜籽 (raw | 生物性危害(：致病菌、寄生虫、虫卵) Bio hazard: | 原料在采收、运输过程中污染(pollution | 此产品对微生物不做要求 No | 可忽略 Could be negligible | 不可能 impossible | 低风险 Low risk | 否 no | 不需要特殊控制 No need | 否 no |

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| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| 料、包装物验收（inspection and acceptance of the raw material） | material of shine skin pumpkin seeds) | pathogenic bacterium, parasite, worm eggs) | when harvest, transportation) | requirement for the biologic when harvest | | | | | | |
| | | 物理性危害：金属、沙砾、碎玻璃、塑编纤维等外来杂质 Physical hazard: metal, sand, broken glass, plastic fabric, and other foreign matters) | 原料采收、运输中混入 Maybe mixed into material when harvest and transportation | 合同标准 Contract standard requirements | 严重 serious | 不可能 impossible | 低风险 Low risk | 否 no | 后工序的原料分级筛选去石可剔除 Back end procedures to remove | 否 no |
| | | 化学性危害：农药残留量超标(chemical hazard; pesticide over proof | 原料种植过程中使用农药而存在残留 (pesticide residue when planting) | 符合进出口要求(meet with imp/export requirement) | 严重 serious | 偶尔 occasionlaly | 高风险 high risk | 是 yes | 只收本厂签约农户原料和有合格区域产地证明的原料。农残检测合格 Only buy from the approved suppliers | CCP1 |
| | | 过敏原 allergen：无 no | | | | | | | | |
| | 辅料水 Additive | 生物性危害 bio hazard：无 no | | | | | | | | |
| | | 物理性危害 | | | | | | | | |

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| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | water | physical hazard:<br>无 no | | | | | | | | |
| | | 化学性危害<br>chemical hazard:<br>无 no | | | | | | | | |
| | | 过敏原 allergen:<br>无 no | | | | | | | | |
| | 包装物料<br>Packing material | 生物性危害 bio hazard：致病性微生物 invasive organism | 加工、贮存中可能被污染<br>maybe pelleted when production and storing | 合同标准<br>Contract required standard | 可忽略<br>Could be neglected | 不可能<br>impossible | 低风险<br>Low risk | 否<br>No | 包装袋使用前经臭氧杀菌<br>Ozone sterilized before using | 否<br>No |
| | | 物理性危害<br>physical hazard:<br>杂质 admixture | 加工、运输中混入<br>Maybe mixed when production and transportation | 不得存在外来杂质 must not mixed with foreign matters | 中度<br>Middle level | 不可能<br>impossible | 低风险 low risk | 否<br>No | 使用前专人检查<br>Inspected before using | 否<br>No |
| | | 化学性危害<br>chemical hazard:<br>化学添加剂<br>chemical additive | 生产过程中添加 added when production | 符合进出口要求 comply with import/export requirements | 中度<br>middle level | 不可能<br>impossible | 低风险 low risk | 否<br>No | 采购产品验证、供应商提供合格证明<br>qualified Certificates | 否<br>No |

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| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | 过敏原 allergen:<br>无 no | | | | | | | | |
| 2, 原料分级筛选（去石）<br>Classification screening of the raw material(machine stoning) | | 生物性危害(bio hazard：致病性微生物 invasive organism | 加工过程中人员带入<br>(carried by workers when production | 热处理程序<br>Heat treat procedure | 可忽略<br>Could be neglected | 不可能<br>impossible | 低风险 low risk | 否<br>No | 不需要特殊控制<br>Not need | 否<br>No |
| | | 物理性危害<br>physical hazard:<br>异物(foreign matters) | 加工过程中<br>Maybe mixed when production | 合同标准<br>Contract required standard | 中度<br>middle level | 不可能<br>imipossible | 低风险 low risk | 否<br>No | 后续手选可剔除<br>Back end procedures to remove | 否<br>No |
| | | 化学性危害:<br>chemical hazard:<br>无 no | | | | | | | | |
| | | 过敏原 allergen:<br>无 no | | | | | | | | |
| 3,色选（分级）<br>Color sorter(grading) | | 生物性危害(bio hazard：致病性微生物 invasive organism | 加工过程中人员带入<br>Carried by workers when production | 热处理工艺<br>Heat treatment | 可忽略<br>could be neglected | 不可能<br>impossible | 低风险 low risk | 否<br>No | 不需要特殊控制<br>Not need | 否<br>No |
| | | 物理性危害<br>(physical hazard)： 异物<br>foreign materials | 加工过程中<br>Maybe mixed when production | 合同标准<br>With contract required standard | 可忽略<br>Could be neglected | 不可能<br>impossible | 低风险 low risk | 否 | 后续手选可剔除<br>Back end procedures to | 否 |

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| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | remove | |
| | 化学性危害 chemical hazard: 无 no | | | | | | | | |
| | 过敏原 allergen: 无 no | | | | | | | | |
| 4,手选 hand selection | 生物性危害 bio hazard：致病性微生物 invasive organism | 加工过程中人员带入 Carried in by workers when production | 热处理工艺 Heat treatment | 可忽略 Negligible | 不可能 impossible | 低风险 low risk | 否 No | 不需要特殊控制 No need | 否 No |
| | 物理性危害 physical hazard ：异物 foreign materials | 加工过程中人员带入 Carried in by workers when production | 合同标准 With contract required standard | 可忽略 negligible | 不可能 impossible | 低风险 low risk | 否 No | SSOP 控制 SSOP control | 否 No |
| | 化学性危害 chemical hazard: 无 no | | | | | | | | |
| | 过敏原 allergen: 无 no | | | | | | | | |
| 5,热处理灭菌 Heat treatment sterilization | 生物性危害(bio hazard: 无，no | | 热处理程序 Heat treat procedure | 可忽略 Could be neglected | 不可能 impossible | 低风险 low risk | 否 No | 不需要特殊控制 Not need | 是 Yes, CCP2 |



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| | 物理性危害<br>physical hazard:<br>无，no | 加工过程中<br>无，no | 合同标准<br>Contract required standard | 低度<br>low level | 不可能<br>imipossible | 低风险 low risk | 否<br>No | 后续手选可剔除<br>Back end procedures to remove | 否<br>No |
| | 化学性危害：<br>chemical hazard:<br>无 no | | | | | | | | |
| | 过敏原 allergen：<br>无 no | | | | | | | | |
| | 过敏原 allergen：<br>无 no | | | | | | | | |
| 6,X-ray 异物检测<br><br>X-RAY foreign material detection | 生物性危害 bio hazard：无 no | | | | | | | | |
| | 物理性危害<br>physical hazard:<br>无 no | 加工过程中<br>无，no | 合同标准<br>Contract required standard | 中度<br>Middle level | 不可能 | 低风险，低风险 | 否，<br>No | 后续手选可剔除<br>Back end procedures to remove | 是，<br>Yes, CCP3 |
| | 化学性危害<br>chemical hazard:<br>无，no | | 合同标准<br>With contract required standard | 中度<br>Middle level | 不可能<br>impossible | 低风险 low risk | 否，<br>No | | 否<br>No |
| | 过敏原 allergen： | | | | | | | | |

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| | 无 no | | | | | | | | |
| 7 金属探测/包装（metal detection/ packaging） | 生物性危害 bio hazard：<br>无 no | | | | | | | | |
| | 物理性危害 physical hazard：<br>无 no | 加工过程中<br>无，no | 合同标准<br>Contract required standard | 中度<br>Middle level | 不可能 | 低风险 | 否<br>No | 直接剔除最后金属异物<br>Remove metal directly | 是<br>Yes, CCP4 |
| | 化学性危害 (chemical hazard)：<br>无 no | | | | | | | | |
| | 过敏原 allergen：<br>无 | | | | | | | | |

注：严重性分为：灾难性（1）、严重（2）、中度（3）、可忽略（4）四个等级；

可能性分为：频繁（A）、可能（B）、偶尔（C）、很少（D）、不可能（E）五等级。

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# 二，HACCP PROGRAM 计划表

一、南瓜籽（仁）、无壳瓜籽（仁）HACCP 计划表(shine skin pumpkin seed kernels A/AA grade HACCP PROGRAM
厂名：庆城县嘉辉食品有限公司(QINGCHENG JIAHUI FOOD CO.,LTD.)
产品描述：南瓜籽，无壳瓜籽的生产加工(PUMPKIN SEED KERNELS PRODUCTION)
厂址：甘肃省庆阳市庆城县驿马工业集中区 (ADD:YIMA INDUSTRIAL ZONE, QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA)
销　　售：直接出口到其它国家(FOR EXPORT TO OUTSIDE COUNTRIES)
贮存方法：阴凉干燥处 (STORED IN COOL AND DRY PLACE)
预期使用和消费者：初级加工产品，用于食品深加工(PRODUCTS FOR HALF PRODUCTS AND FOR DEEP PRODUCTION)

| （1）<br>关键控制点<br>（CCP） | （2）<br>显著危害<br>Hazards | （3）<br>关键限值<br>Critical Limit(s) | 监控 Monitoring | | | | （8）<br>纠偏行动<br>Corrective Action(s) | (9)<br>验证<br>Verification | （10）<br>记录<br>Records |
|---|---|---|---|---|---|---|---|---|---|
| | | | （4）<br>什么<br>What | （5）<br>如何<br>How | （6）<br>频率<br>Frequently | （7）<br>谁<br>Who | | | |
| CCP1<br>原料验收<br>Inspection and acceptance of the raw material | 农药残留<br>(pesticide residue) | 农药残留符合GB2763 及进口国标准<br>With the BG2763 and import country’s standard | 原料产地证明、农残检测报告书<br>test reports | 审核每批原料的供应商产地声明<br>Audit of the approved supply | 每批混合后检测<br>Every lot when mixed | 原料验收员<br>Inspectors | 拒收<br>Rejected when not approval | 核对原料验收报告单上产地名称是否是我公司合同签定的基地<br>Check if raw material from approved planted origin | 1、原料进厂验收记录<br>2、与农户签定的合同<br>3、农残检测记录<br>4、异常问题纠偏记录<br>Concerned records |

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|---|---|---|---|---|---|---|---|---|---|
| CCP2<br>蒸汽灭菌<br>Heat treatment | 原料本身带有的致病菌及水分过量易滋生霉菌<br>Possible invasive organism and moldy when high moisture | 测定水分含量<br>Test moisture content | 温度和转速的设定<br>Setting the temperature and rolling speed | 监测温度和转速<br>Monitor the temperature and rolling speed | 每半小时检测一次温度和转速<br>Every half an hour | 经培训的操作人员<br>Trained operators | 1.返工<br>2.控制温度和转速<br>Re-work via adjust temperature and rolling speed | 1.查操作记录<br>2.抽样检验报告<br>Check the operation records and test reports | 1、热处理记录<br>2、检验报告<br>3、质检人员检查复核<br>Check the Records |
| CCP3<br>X射线异物检测<br>X-ray foreign material inspection and remove | 金属碎片<br>Metal detection | Fe：φ≤1.5mm,<br>Sus：φ≤2.0mm<br>Non-ferrous：φ≤2.0mm | X射线异物检测机的灵敏度<br>Sensitivity of the machine | 用标准试块验证<br>Test with standardized test block | 每一小时一次<br>1 hour | X射线探测机操作员<br>E ray machine operator | *异常情况的产品机器直接自动剔除。<br>*调查异物来源<br>Automatic remove by machine<br>Check the source | *每一小时进行一次效能测定<br>*审查每日记录<br>Check the efficiency every hour<br>Check the daily record | 1、X射线异物检测机管理记录<br>2、异常问题纠偏记录<br>3、质检人员检查复核<br>Keep all of the records For later audit |
| CCP4<br>金属探测<br>Metal detection | 金属碎片<br>Metal chips | Fe：φ≤1.5mm,<br>Sus：φ≤2.0mm | 金属探测仪的灵敏度<br>Sensitivity of the | 用标准试块验证<br>Test with | 每一小时一次<br>Every 1 hour | 金属探测器操作员<br>operator | *异常情况的产品机器直接自动剔除。<br>*调查异物来源<br>Automatic remove by machine | *每一小时进行一次效能测定<br>*审查每日记录<br>Check the efficiency every | 1、金属探测器管理记录<br>2、异常问题纠偏记录<br>3、质检人员检查核 |

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| | | | metal detector | the test block | | | Check the source | hour Check the daily record | Keep all of the records For later audit |

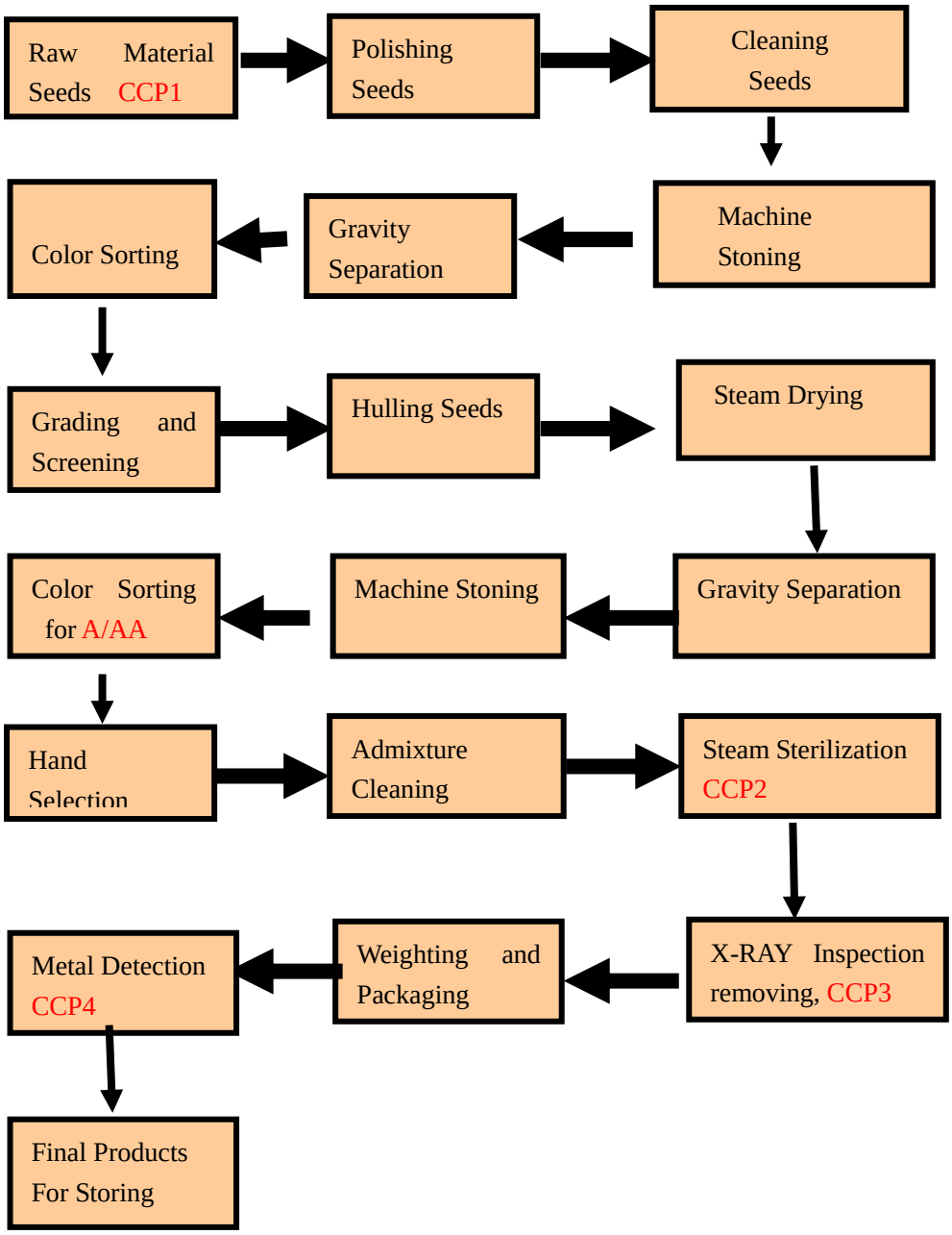
QINGCHENG JIAHUI FOOD CO.,LTD

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庆城县嘉辉食品有限公司
QINGCHENG JIAHUI FOOD CO., LTD.
ADD:YIMA INDUSTRIAL ZONE,QINGCHENG TOWN,QINGYANG CITY,GANSU,CHINA

May.10, 2020

Flow chart of pumpkin seed kernels ,shine skin A/AA grade:




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庆城县嘉辉食品有限公司
**QINGCHENG JIAHUI FOOD CO., LTD.**
ADD:YIMA TOWN,QINGYANG CITY,GANSU,CHINA
**TEL:0931-8866309, E-mail:350536422@qq.com**
**Issued by WANG CUN BING/HACCP TEAM HEAD**
**Approved by XUE HONG/CEO Dec,15th,2020**

## Food Ingredient Statement

**Issued by XUE HONG/CEO**

PRODUCT: shine skin pumpkin seed kernels, AA grade

PRODUCT CODE: 121299, ISSUED DATE: Dec.5th, 2020

PRODUCT DESCRIPTION: shine skin pumpkin seed kernels, AA grade ,cleaned , hulled, cleaned with X-ray machine, color sorter, hand selected, heat treatment sterilized, fumigated, and then packed into vacuum plastic bags and then in to cartons of 25 kgs net each with 99.95% purity, inspected every lot before shipment by CIQ with Chinese Food Regulations and no preservatives, flavorings or colorings are added at all, so this food ingredient is 100% pure of pumpkin seed kernels.

Best regards

Issued by CEO XUE HONG




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# 庆城嘉辉食品有限公司

# QINGCHENG JIAHUI FOOD CO.,LTD

**ADD: YIMA INDUSTRIAL ZONE,QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA**

**Tel:0931-8866309 E-mail:350536422@qq.com**

**Issued by WANG CUN BING/HACCP TEAM HEAD**

**Appoved by XUE HONG/CEO Dec.15th,2020**

## 异物控制计划

## Foreign Material Control Plan

1、目的

Purpose

In order to prevent potential foreign material contamination of the products through effective management or remove the foreign materials from the products through effective facility to ensure the food safety and prevent from the quality accident happening.

通过有效的管理防止潜在的异物污染产品，或通过有效的装置将含有异物的产品剔除，以确保产品安全，并预防质量事故的发生。

2、适用范围

Range of application

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this range of application of plan include the control of the potential or existed foreign material which possibly contaminate theproducts and this plan covers the relative functional departments such as production ,QC and purchasing departments.

本计划适用于所有潜在的或已存在的可能会污染到本公司产品的异物的控制；相关职能部门涉及生产部、质检部及采购部。

3、 异物描述及说明

Foreign material description

3.1异物的种类

Variety of the foreign material

3.1.1外来异物：虫子、金属、玻璃、砂石、毛发、线毛、纸壳、木屑、薄膜、纸渣、塑料等食品以外的异物。

External foreign material: insects, metal, glass, sand, hair, thread, paper, wood bits, thin film,paper residue, plastic etc.

3.1.2本身的异物

Internal foreign material

不能被客户接受的产品本身带有的异物，比如南瓜皮等。

The internal carried, but not accepted by

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customers, such as shell of pumpkin

3.2异物混入的原因

Reasons of the foreign material sneaked into

3.2.1原料处理不良带入：原料本身含有一些杂物，或加工时剔除不干净等造成的外来异物或本身异物的混入。

Mixed with raw material from internal or external but insufficient cleaning.

3.2.2加工用器具破损混入：加工用设备及器具破损或脱落造成异物的混入。如纸箱箱、薄膜的破损；灯泡、灯管破裂造成玻璃的混入；焊接维修器具有焊豆、焊渣等造成金属片的混入。

Facility damaged and mixed into: processing equipment and tools damaged or fall off and mixed into. Such as carton, thin film damage. Lamp or lamp tube burst with glass mixed into,metal pieces of Weld residue mixed into.

3.2.3加工人员的带入：人员管理不善易造成严重的异物混入，如：毛发、线绒、纽扣、钥匙、饰物、烟蒂等的混入。

Carried in by the production workers: serious foreign material sneaked because of poor staff management,such as hair,thread,fastener,key,

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accessories,and cigarette end.

3.2.4加工环境不良造成的异物混入：如苍蝇、蚊子等虫子的混入；墙壁水泥块脱落后混入；包装材料中带有异物；水质的不洁等皆可造成异物的混入而影响产品的品质。

Foreign materials sneaked because of poor production environment: insects, eg. fly, mosquito etc. and cement block fallen off from the wall. Mixed with packing material.dirty water which can affect the products quality etc.

3.3防止异物混入的措施

防止异物混入是食品加工的首要问题，具有常见性和多发性。控制异物首先要从混入的原因进行分析，并采取相应的措施进行预防。

Measures to prevent from the foreign material sneaked in.

Prevention the foreign material into is the first importance of the food processing and this is common and multiple, the first measure of the foreign material control is to find the reason and analyze and take relative measures to prevent.

3.3.1加强车间异物管理的力度

加工后剩下的废纸箱、废塑料桶、废线绳以及标签等要及

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时清理，保持车间干净整洁，防止异物掉入。

Enhance of the dynamics of the workshop management

3.3.2加强车间环境卫生的管理

Rest of the waste cartons, plastic drums,thread and labels should be removed in time,to ensure the workshop dry and clean .

车间内发现卫生隐患要及时消除，如：飞虫的捕杀、毛发的控制、破损工器具的控制、车间报表纸张的控制、车间墙上纸张的控制。

Eliminate the sanitary hidden danger in time in the workshop , such as killing the winger insects,control of the hair and damaged tools, report forms papers,and papers on the wall of the workshops.

有灯管、灯泡爆裂等事故发生时要进行区域性的彻底清理，不安全的产品一律报废。

Thorough clear of the relative area when lamp tube or bulbbroken accidenthappens, scrap all of the unsafe products

3.3.3加强对异物重要性的认识

车间要加强对异物控制的管理，并把此项列入影响产品质量的重要规程当中，全体动员，把异物的混入控制在安全

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范围之内。

Enhance the cognition of the foreign material importance and list it into the major rules which can affect the products quality, and mobilize everybody to control the foreign material sneak problem in the limit of the safe range.

4、职责obligation

4.1HACCP 小组负责潜在的异物源的评估。

HACCP group in charge of the potential foreign material source assessment

4.2质检部负责在新工艺设施、设备的设计及现有工艺设施、设备的改造、维护过程中应避免异物源的存在，及防止异物污染产品；并负责相关异物控制措施的落实。异物控制相关文件的制定及相关记录存档。

QC department in charge of the foreign material source existing and prevention from its contamination to products when new process, new design and present processing equipment improvement and maintenance, and also in charge of the implement of the measures to be taken into practice. The concerned papers and records should be on file.

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4.3生产部负责相关异物控制措施的执行。

Production department in charge of relative foreign material control measures implement.

4.4采购部配合品质部实施供应商审核；当异物源涉及供应商时确保供应商及时启动并有效落实纠正措施。

Purchasing department coop with QC department to audit the suppliers and ensure the suppliers launch effective and corrective measures when foreign material sourced from suppliers

5、异物控制及具体的管理措施

Detailed management measures of foreign material control

5.1非生产性物品管理

Non-productive material management

5.1.1.进更衣室前，自检便服上的纽扣或拉锁有无脱落或松动，对于易脱落的纽扣要及时取下。

Self-inspection of the fastener and zipper of casual clothes to prevent from fall down/loose and take down the easily fallen down before going into the locker room.

5.1.2进入车间前主动将与生产无关的物品放入更衣柜内（如：钥匙等），不准携带进入车间。

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Put the irrelative production material into locker (e.g. key etc.) and they are not permitted to be taken into workshop.

5.1.3食品、饮料等一律不准带入车间内。

Food and drinks are not permitted into workshop.

5.1.4严禁穿戴有装饰品（漂浮易脱落）的便服进车间。

It is strictly prohibited to wear casual clothes with garniture(floatingand easily fall down) into workshop

5.1.5严禁佩戴首饰（如戒指、耳环、项链等）进入车间。

Jewelry wearing (finger ring, ear rings, necklaceetc.)is strictly prohibited when going into workshop.

5.2工作人员着装管理

Staff wearing management

5.2.1工作服的要求

Work suit requirement

a、 工作服必须清洁、卫生、无异味；

Work suit should be clean,sanitary without foreign smell

b、 工作服两天清洗1次，保持清洁；

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Work suit should be washed 1 time every two days to keep clean

c、 工作服只准用粘合扣，严禁使用纽扣；

Work suit can only be used with sticker glue button, and fastener is prohibited

d、 工作服无破损、无线头；

Work suit should not be broken and no thread residue

e、 新工作服穿戴前必须先检查，去除表面的线头等。

Inspect and remove the thread residue on the surface of the new work suit before putting on.

5.2.2工作服穿戴程序

Work suit putting on procedures

A、 换鞋→换工作服→换工作裤→戴工作帽（发网）→戴口罩→工作鞋。

Change the shoes-change the work suit-change the work pants-bring work caps (hairnet)-wear mask-

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change the working shoes

B、 进行洗手消毒流程。

Operate the hand washing and sterilizing procedure.

5.2.3着装要求

Work suit wearing requirement

a、 工作帽罩住耳朵、头发，帽沿紧贴脸部（工作帽松紧带定期更换）；

Work cap cover the ear, hair and the cap brim cling the face.

b、 口罩要罩住鼻子，不准在车间内随便摘下，不准在车间内吐痰等;

Mask should mantle the nose and is not taken down randomly and spit is not permitted inside of the workshop.

c、 加工过程中便服不准外露，严禁穿工作服外出。

Casual clothes should not be exposure when production and prohibited togo out with work suit

5.3毛发控制管理

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Management of the hair control

5.3.1工作服穿戴前

自检工作服和便服上的毛发。

Self-inspection the hair on the work suit and casual clothes before putting on.

5.3.2穿戴整齐后

两人互检→照镜子自检。

Two staff inspection each other and self-inspection after wearing.

5.3.3洗手消毒后的毛发检查：由专人进行毛发粘滚。

Hair inspection after hand washing and sterilization: authorized person to stick and roll

5.3.4工作期间

a、工作中设现场品控进行抽查；

b、工作中禁止挽袖作业，防止毛发从袖口窜出；

c、现场品控检出毛发统一收集，集中进行处理。

Display Site QC spot check position ,not permitted to workwith rolling up sleeve to prevent from the hair from sleeve when working.

5.3.5毛发检查顺序

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Hair check procedure

头部→肩部→背部→前胸→双臂及腋下→腿部依次进行检查。

Head-shoulder-back-front breast-both arms-oxter-legs in turn check

5.3.6粘发用具为胶碌或有色胶带（胶带颜色与产品颜色对立）。

Hair stick tools should be the glue roll or colorful tape(tape color is opposite from the products color

5.3.7粘发用具更换

Hair tools change

加工过程中每检查10人更换1次粘发用具。

Change the hair tools when check 10 persons when production.

5.3.8工作人员理发后必须洗头，将头发渣清理干净，进车间前主动报告现场品控，并接受检查，合格后方可进入车间。

Work staff should wash head and clean the hair after haircut and report to the spot QC staff actively before going into workshop.

5.3.9男员工不可留长胡子。

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Male staff should not keep long beard

5.3.10加工人员必须勤洗头洗澡，保证冬天每周至少洗头两次，洗澡一次；夏天每周洗头三次，每天洗澡一次。

Production staff should wash head and take bath frequently and ensure wash head 2 times ,take bath one time every week in winter and wash head three times and take bath one time every week in summer.

5.4原辅操作管理

Raw material and ingredients operation management

5.4.1使用前

Before using

a、 所有原辅物料在使用前必须将外包装清理干净。

Outside packages of the overall raw material and ingredients should be clean up before using.

b、 所有分内外包装的原辅物料，外包装不准带入加工车间。

The external package should be carried into workshop if the raw material and ingredients have internal and external packages.

c、 内外包装物料分开离地放置。

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Thematerials which have internal and external packages should be kept independently

5.4.2使用时

a、使用时采用先进先出的原则

keep the rule of first-in ,first-out when using.

b、任何原辅料使用前要开口整齐；

all of the raw material opening shouldbe tidy before using .

d、 原料未使用完时要密封好，避免异物混入。

Raw material should be sealed completely to prevent from foreign material sneaked into when unused up.

5.5设备维修管理

Equipment maintenance management

5.5.1维修人员自带工具数量清点并记录于《物品出入车间记录》。

The maintenance personnel self-carry tools and count the numbers and record on the material in-out workshop records.

5.5.2车间必须准备专用的维修人员工作服，并保持工作服卫生清洁。

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Workshop should prepare the specialized maintenance personnel work suit and keep them clean and sanitary.

5.5.3非必须使用的工具禁止带入车间，车间配备专用工具箱并时刻保持工具箱的清洁卫生。注：如果班中机械设备损坏，需动用电焊机、拉结电线，或挖凿地面、更换灯管等易造成产品安全隐患较大的维修项目在正常生产中严禁进行，必须全部清理，班后实施。

The non-necessary tools is prohibited to take into workshop. Workshop outfit specialized tools box and keep it clean and sanitary constantly.

5.6玻璃制品管理

Glass-made products management

5.6.1灯管更换规范

Light tube change regulations

a、 严禁在生产加工过程中进行维修、更换灯管，须在班后无生产时方可进行。

It is prohibited to maintain,change the light tube when production and can only change without production

b、 更换程序（专业人员进行）：①废灯管卸下（现场至

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少两人操作）→放入专用灯管密封套中→送出车间外面。

②新灯管→放入专用灯管密封套→带入车间安装→检查防护罩牢靠程度→现场卫生清理。

Change procedures by specialized personnel:

Take off the crippled light tube (two personnel operate at least)-put into the specialized light tube seal catridge -send out of the workshop

5.6.2车间玻璃门窗管理

Glass doors and windows in workshop management:

a、 玻璃卫生的清理及管理落实到个人；

Glass clean and management is implemented to people

b、 门窗上的玻璃如有裂纹，当天班后组织人员更换；

When glass of the door/windows found crack, change it after work the same day.

c、 班中如有突发事件，造成玻璃破损，按重大问题处理，保证产品安全。

Treat it as significant problem to ensure the products safety when emergency and glass broken

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while production

5.6.3更衣室的镜子：定期检查并做好记录，班中如有镜子破碎，按重大异常问题进行处理。维修后车间内设备、地面、人员等卫生彻底清理消毒维修时产生的废弃物，全部放入工具箱中带出车间维修专用工具名称、数量清点放入专用工具箱中，进车间维修设备时区域性停产，现场产品全部清理维修更换下的废零件及使用的新零件数量相符。

The mirror of the locker room:

Inspect frequently and make records, treat it as significant problem when mirror broken. the residue of the workshop internal equipment, floor should be thoroughly clean up and sterilized and put into the toolbox and taken out of the workshop.

5.6.4任何玻璃器具在车间内严禁使用，特殊情况：如压力表、温度计等必须加设防护设施，进行特殊保管。

Any glass instruments is strictly prohibited to use unless special circumstances.

5.7纤维物使用管理

Fiber material use management

5.7.1破损烂裂的毛巾严禁使用。

It is strictly prohibited to use the broken and rotten towel.

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5.7.2工作服的线头、线绒，进车间前必须彻底检查、去除。3.8金属制品使用管理

The thread residue of the work suit should be inspected thoroughly and removed before going into workshop,

5.8.1原料方面

Source from the raw material

通过目视检查保证原料中没有金属的混入。

Visualcheck to ensure no metal sneaked in to the raw material

5.8.2工器具、设施方面

Instrument and facility source

a、 破损的器具严禁使用。如加工过程中发现器具有破损，须立即停止使用；

Broken instruments is prohibited to use and stop it when found broken in production

b、 器具、设备等有进行焊接的地方，使用前必须先去除表面的焊豆，确保不会掉入产品中；

Welded Instruments and equipment should be removed the weld beans to prevent from fallen down to

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products before using.

c、 定时检查机器中使用的钢丝，有异常要马上进行处理。

Check the steel wire of the machine frequently and treat it at once when any abnormal.

5.8.3设备仪器进行控制：生产时加设金属探测器进行探测监控。

Instruments to control: add the metal detector to test and supervise.

5.9纸片使用管理

Paper scarps using management

5.9.1普通员工不准带废纸进车间。

General staff are prohibited to take the paper scarps into workshop.

5.9.2对生产中用到的报表实行数量管理，不得带多余的报表进车间，并保证带入车间的报表无破损。

Quantity management/control the report forms in the production and it is not allowed to take redundant one into workshop and ensure the report forms without damage

5.9.3严禁在生产区域内填写报表，以防止纸张等破损脱落

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混入产品。

Strictly prohibited to fill the report forms in the production area to prevent the paper damage and sneak into products.

5.9.4产品包装时，纸箱与产品及包装设备必须分开，防止纸屑混入成品中。

Cartons should be kept from products and equipment to prevent from the paper scraps sneaked into products when packaging products

5.9.6严禁在车间墙上张贴纸张。

Itis strictly prohibited to stick any papers on the wall of the workshop.

5.10塑料制品管理

Plastic products management

5.10.1塑料器具经长时间使用逐渐出现老化现象，加工车间要定期检查，及时将老化的塑料器具做退库处理

Plastic facility will face aging phenomenon when long time using, so production department should check frequently and cancel stocks when finding this problem

5.10.2塑料器具轻拿轻放，严禁来回拖拉、磕碰，严禁用力敲打，防止人为造成碎塑料产生，对于已经破损、烂裂

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的塑料盘或塑料箱选出做退库处理。

Plastic facility should be handled gently and it is strictly prohibited to drag and bump and knocked with strengthand prevent from any manmade broken to pieces and cancel stocks when finding damaged, rotten or split plastic plate or box.

5.10.3新塑料器具：在生产车间外进行检查，组织专人处理毛边、毛刺及易脱落部分。

New plastic appliance: should be tested outside of workshop and arrange specialized staffto treat the rough adge, rag and caducous parts

5.10.4车间不宜使用塑料尺、硬塑料夹子等，尽量使用不锈钢器具来代替，并要远离生产区进行挂放。

It is inappropriate to use the plastic ruler, hard plastic grip in the workshop and replace with stainless steel ware and hang up far from the production area.

5.10.5定期检查日光灯防护罩，如有破损现象班后立即安排人员更换。

Test the lamp protective cover frequently and arrange to change post the shift at once when finding damaged ones.

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5.11竹木制品管理

Bamboo and wood products management

a、 工器具：严禁使用竹木质材料的器具：如木质刀把。

Appliance is strictly prohibitedsuch as the wooden knife holder

b、 卫生器具：不得使用有木质的卫生清理器具，如木质的拖把。

c、 Sanitary appliance :prohibited to use the wooden sanitary cleaning appliance ,such as the wooden mop.

5.12包装管理

Packaging material management

5.12.1包装材料进厂、

Packaging material input

a、 运输：车辆必须清洁无异物，无污染，保持干燥。

Transport: vehicle should be clean, no foreign materials, no contamination, and keep dry

b、 生产厂家：提供厂家营业执照、生产许可证、检测报告等。

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Manufactory: supply the registration certificate, production license, test reports etc.

c、 检验：①包装物料接收时要对其强度、版面、有无污染、有无异物等进行检验，合格入库，不合格退货。②内包装袋每进一批由化验人员进行检测，合格使用；不合格退货。

Inspection:1,packaging material should be inspected the hardness,layout, polluted or not, foreign matter or not and then put into stock when qualified and sales return when unqualified.

5.13包装间管理

Packaging room management

5.13.1人员管理

Staff management

a、 工作服穿戴整齐，严禁露发、身带毛发及碎纸屑等异物。

Wearing work suit tidily and prohibited to expose hair or carry with hair or split paper pieces etc.

b、 内外包装人员分开。

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Internal and external packaging staff are separated

c、 班中外来人员严禁进入包装间。

External personnel is prohibited to go into packaging room when on duty

5.13.2室内卫生

a、地面、门窗、墙壁、托盘等保持清洁无破损、无杂物、无污垢；

Interior hygiene

c、 班前、班后要对室内进行清理，保持清洁无碎屑；

Clear and keep clean without fragment when Pre and post shift.

d、 物料摆放整齐、有序；

Materials should be kept in orderliness.

e、 夏季因多雨原因造成的潮湿、发霉要及时晾晒，控制微生物的繁殖污染，保证纸箱的强度不受影响，以免纸箱破损混入产品中。

To hang out in time to control the micro-biologic breeding and polluting when Humid, moldy weather in summer to keep the cartons strength without any

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broken and sneaked into prodcucts

5.13.3包材管理

a、内、外包装材料按产品规格分开放置，挂牌标识；

Internal and external packaging material should be placed separately with specification and hang labels

b、包装材料要用垫板垫起，离地、离墙放置，严禁直接放在地面上；

Packaging material should be underlay with liftoff andfar from wall and prohibited to put on the ground..

d、 所有包装材料上加遮盖物，防止灰尘污染。

All of the packaging material should be covered to prevent from ash pollution.

5.13.4非生产性物品的管理

Nonproductive products management

a、 包装车间内严禁存放化学药品、竹木制品、玻璃制品等。

Prohibited to store chemical medicine, bamboo and wooden products,glass products in the workshop.

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b、 破损、烂裂的器械、物品严禁存放在包装车间。

Damaged appliances and materials it prohibited to store in the packaging workshop.

5.14虫害控制管理

Pest control management

5.14.1车间控制

Workshop control

a、 车间出入口、递料口、成品入库的胶帘要随时保持干净完整;

b、 The glue curtain of the passageway, pass mouth and product warehouse should be kept dry and complete.

b、 加工车间及包装车间要随时保持清洁卫生;

Production and packaging workshop should be kept clean and hygiene.

c、 员工进出车间要随手关门;

Staff should close the workshop door when pass in and out.

d、 要清除车间设备与墙壁之间的卫生死角;

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Blind angle should be cleaned during the equipment and wall of the workshop.

e、 加工车间所有的进排气口的过滤网要达到一定的密度，防止飞虫进入车间，并要定时清理。

The density of ventilation filter screen should be tight to some extent to prevent from flying pests into workshop and should be removedfrequently

5.14.2害虫捕杀

Injurious insects catch and kill control

a、 每天开启灭蝇灯捕杀害虫，并定时清理。

Turn on the fly killing lamp to catch and kill and clear regularly.

b、 请专业人员捕杀害虫，并且要在非生产时期进行。

Invite the specialized personnel to catch and kill the injurious insects when no production.

6、程序

Procedure

6.1 异物源的评估、控制

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Assessment and control for the source of the foreign matter.

6.1.1 异物源的评估

Assessment for the source of the foreign matter.

HACCP 小组具体负责异物源的评估;具体执行《危害分析程序》及《关键点判断程序》。

HACCP group in charge of the assessmentforthe source of the foreign matter and specifically execute the hazardous analysis procedure and critical point judge procedure

6.1.2 异物源的控制

Control for the source of the foreign matter

6.1.2.1 原物料的采购只能从经审核合格的供应商处进行，且现有供应商须定期审核。相关内容参见《采购控制程序》、《合格供应商名录》.

Raw material should be purchased from the qualified suppliers which should be audited regularly , see the attachment of the purchasing control procedure and list of the qualified suppliers

6.1.2.2 生产部对于可能危及产品安全、或大量连续发生的异物处在不可控状态时，应立即停止生产、向上级汇报;并由质检部人员在生产线班长/主管的协助下扣留前段时间

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可能被污染到的产品，执行《不合格品控制程序》。

The production department should stop production immediately and report to higher authority when the foreign matter is uncontrollable whichis possibly dangerous to products safety or happen largely or continuously, QC department should descend the former products which is possible contaminated under the accompanyof the production head and execute the unqualified products control procedure.

6.1.2.3 生产部、质检部负责组织、实施对可能异物源的排查。在对异物源查明，并彻底排除后，或虽一时不能确认/排除异物来源，但能经有效措施予以预防，避免污染最终成品的情况下，方能恢复正常的生产。

Production and QC department in charge of organizationand execution of the investigation of the source of the foreign matters. Production can be normally recovered when source of the foreign matter found and excluded completely, or take effective measures to prevent from pollution of the final products althoughsource of the foreign matter could not be confirmed or excluded temporarily.

6.1.2.4品质部负责按《纠正与预防措施控制程序》要求，

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组织相关部门制定纠正、预防措施;并负责措施验证。

The QC department organize the relative departments to carry out the corrective and precaution measures and take charge of the measures verification.




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# 庆城县嘉辉食品有限公司

## QINGCHENG JIAHUI FOOD CO.,LTD

**YIMA INDUSTRIAL ZONE,QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA**

## Environment Policy

1. Clean production and reduce the environmental impact ;

2. Raising awareness, energy saving and emissions reduction;

3. Prevention and treatment of combine, abide by the laws and regulations

Continuous

improvement;

4. Building a resource-conserving and environment-friendly enterprise

QINGCHENG JIAHUI FOOD CO.,LTD

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QINGCHENG JIAHUI FOOD CO.,LTD

YIMA INDUSTRIAL ZONE,QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA

# PACKING LIST

**ACCOUNTEE: JF. Braun and Sons Inc.**
**Add: 1, Atalanta Plaza, Elizabeth, NJ 07207,USA**
**INVOICE NO.P11277-001**
**PRICE TERMS: CFR NEW YORK** **DATE:JULY, 04, 2018**
**FROM TIANJIN, CHINA TO NEW YORK, USA**

<table>
<tr><th>COMMODITIES</th><th>PACKAGE</th><th>QUANTITY</th></tr>
<tr><td rowspan="2">SHINE SKIN PUMPKINSEED KERNELS,AA GRADE, NORTH-WEST CHINA ORIGIN<br><br>SHIPPING MARKS:<br><br>shelled pumpkinseed AA Northwest<br>Shine skin {Pepitas}<br>net weight:25kgs/55.115 lbs<br>gross weight:25.9kgs/57 lbs<br>JFB/NY/P11277-001<br>CHN03101/180703<br>PRODUCT OF CHINA</td><td>PACKING IN 12.5KGS X 2 VACUUM BAGS/CARTONS OF 25 KGS/ 55.115LBS NET EACH.</td><td>680 CARTONS</td></tr>
<tr><td colspan="2">TOTAL<br><br>G.W.:17,612.00KGS/38,827.00 LBS<br>N.W.:17,000.00KGS/37,478..00 LBS<br><br>THE REGISTRATION NUMBER IN FDA:14201126048</td></tr>
<tr><td colspan="3">SAY TOTAL SIX HUNDRED AND EIGHTY CARTONS ONLY.</td></tr>
</table>

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**QINGCHENG JIAHUI FOOD CO., LTD.**

**YIMA** INDUSTRIAL ZONE,QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA

Sep. 08，2020

# GMO-free Certificate

To whom it may concern:

We, Qingcheng Jiahui Food Co., Ltd hereby certify that our pumpkin seed kernels (Pepitas) AA grade is fully natural. The ingredients never contain harmful material for human consumption. Since it is made of pure shine skin pumpkin seeds and 100 percent free from Genetic Modification. all of the raw materials and final products that we used for the mentioned product in the processing are GMO FREE.

In conclusion, our product pumpkin seed kernels are fit for human consumption in the food industry.




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**QINGCHENG JIAHUI FOOD CO., LTD.**

**YIMA** INDUSTRIAL ZONE,QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA

JULY, 10， 2017

**SUPPLIER: QINGCHENG JIAHUI FOOD CO., LTD.**

**Contact – name: Johnson Xu**

**Address: Yima Industrial Zone, Qingyang City, Gansu Province, China**

**Product: Pumpkin Seeds Kernels**

## Gluten Free Statement

To: Whom it may concern

We here state that all of our major products are the pumpkin seed and kernels, and we only hull and clean with our full set of production line in our factory and we never process other products just like the wheat,rice,etc, so we state that our pumpkin seed products are free from the gluten series products completely.

Best regards

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QINGCHENG JIAHUI FOOD CO., LTD.
Add:Yima Industrial Park, Qingyang City, Gansu, China

# SPECIFICATION OF SHINE SKIN PUMPKIN SEEDS AA GRADE ,HEAT TREATED

**PRODUCT**: pumpkin seed kernels, shine skin ,North West China origin, AA grade, Heat Treated

PRODUCT CODE: 12129999, ISSUE DATE: Jan. 09, 2020

**PRODUCT DESCRIPTION**: pumpkin seeds, AA grade, heat treated, cleaned , polished ,hulled, re-cleaned with X-ray machine, color sorter, hand selected, sterilized, fumigated, and then packed into paper bags/ vacuum plastic bags of 25 kgs net each with 99.98% min. purity.

No preservatives, flavorings or colorings are added.

**SPECIFICATIONS TOLERANCE**

Moisture 7.5% Max

Purity: 99.98% min.

Color: Typical uniform AA full green color with 95% min.

Flavor and Odor Typical pumpkin seed kernels

Damaged fruit 3 % broken seeds max 3%

Free from stones, glass and metal.

For food safety, pumpkin seed kernels material and final products have to be stored in cool and dry place with 15 Centigrade Degree to avoid high temperature, high moisture condition.

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The shelf life is 18 months if unopened since production date.

**Allergens according to LEDA list**

Lactose Absent, Cocoa Absent

Glutamate Absent, Chicken Absent

Coriander Absent, Maize Absent

Pulse Absent, Beef Absent

Pork Absent, Carrot Absent

**Allergen claim**

The product is produced in an area where no other allergens are processed.

**Life style characteristics**

Dieting product: Yes Vegan product: Yes

Vegetarian product :Yes

Micro-biologic test results:

**APC < 20,000 cfu/g**
**E. Coli < 10 cfu/g**
**Salmonella Negative**
**Coliform < 10 cfu/g**
**Staphylococcus Negative**
**Yeast & Mold < 1,000 cfu/g**
**Enterobacteria < 100 cfu/g**
**Peroxide Value < 10 meq/kg**
**Free Fatty Acids<5g/100g**
**B1 < 2 ppb**
**B1+B2+G1+G2 < 4 ppb**
**Pesticide:**
**Can meet the EU and USA Food Regulations**
**Heavy Metal:**
**Cadmium < 0.6mg / kg;**
**lead < 0.2mg/kg, Arsenic ≤ 0.2 mg/kg.**

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**QINGCHENG JIAHUI FOOD CO., LTD.**
ADD:YIMA TOWN,QINGYANG CITY,GANSU,CHINA

## Food Ingredient Statement

PRODUCT: organic shine skin pumpkin seed kernels, AA grade PRODUCT CODE: 121299, ISSUE DATE: Mar.09, 2020

PRODUCT DESCRIPTION: organic shine skin pumpkin seed kernels, AA grade ,cleaned , hulled, cleaned with X-ray machine, color sorter, hand selected, heat treatment , and then packed into vacuum plastic bags and then in to cartons of 25 kgs net each with 99.95% min. purity, inspected every lot before shipment by CIQ with Chinese Food Regulations and no preservatives, flavorings or colorings are added at all, so this food ingredient is 100% pure organic pumpkin seed kernels.

Best regards




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# 庆城县嘉辉食品有限公司

# QINGCHENG JIAHUI FOOD CO LTD

## Food Defense Plan

版本 C 2020 version

TEL:0931-8866309, E-mail:350536422@qq.com

**Issued by WANG CUN BING/HACCP TEAM HEAD**

**Approved by XUE HONG/CEO** **Dec,15th,2020**

## Content

一、 Food defense team

二、 Flow chart

三、 Food defense assessment chart and control measures

四、 Safety control

五、 Implementation of food defense plan

六、 Verification and improvement of food defense plan

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# QINGCHENG JIAHUI FOOD CO LTD

## Food Defense Plan

版本 C

2020 version

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## 一、Food defense team

### 1. Team members

| Name | Position in factory | Position in team | Responsibilities | Tele. |
|---|---|---|---|---|
| Xue Qiang | Production manager | Team leader | Lead the whole operation of food defense plan. Responsible for the management of food defense system documents. | 0934-3287668 |
| Xu Li | QA manager | Team member | Check and verify the implementation of food defense plan | 0934-3287668 |
| Fan cheng gang | Engineer | Team member | Check and verify the implementation of food defense plan | 0934-3287668 |
| Xue wei | Workshop director | Team member | Check and verify the implementation of food defense plan | 0934-3287668 |
| Johnson Xu | Manager of International trade department | Team member | Check and verify the implementation of food defense plan | 0931-8866309 |



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| | | | | |
|---|---|---|---|---|
| Xue yong | Storage manager | Team member | Check and verify the implementation of food defense plan | 0934-3287668 |

## 2. Responsibilities

### 2.1 Responsibilities of team leader：

(1) Ensure that process for food defense system is established, implemented and maintained.

(2) Report to the general manager on the operation of the food defense system, including improvement requirements.

(3) External liaison on matters relating to food defense system.

### 2.2 Responsibilities of team members:

2.2.1 The general manager is responsible for the overall work of food defense management.

2.2.2 The production department is responsible for assisting other departments in defense work and external liaison, and responsible for food defense arrangement in production and storage area.

2.2.3 The storage department is responsible for the defense in shipment and acceptance.

2.2.4 Office staff is responsible for all aspects of data security, video supervision.

2.2.5 Food quality control center is responsible for food defense during inspection.

2.2.6 HR manager assists the Office to make the defense arrangement for securities,



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logistics, employee recruitment and training.

**3. Risk solution：**

If there is any risk, the team leader must immediately convene an emergency meeting with all members to discuss countermeasures. The deputy team leader shall follow up, and each member shall be assigned to work by the person directly in charge according to the specific situation. If the man-made risk caused seriously damages the interests of the company and constitutes an illegal act, the first responsible person of the company shall report it to the local Public Security Bureau(PSB) and submit to them for handling. If product defense is involved, the local health department shall be notified in time. After solving the problem, the direct responsible person shall report all the situations to the first responsible person in written form and analyze the hidden dangers of this risk.

## 二、Flow chart

**1. Flow chart of GWS pumpkinseeds. (please see attachment)**

**2. Flow chart of Shine skin pumpkinseeds. (please see attachment)**

**3. Verification of flow chart.**

Before the flow chart is determined, the food safety team shall check the practical production process item by item to prevent omissions or additions, so as to ensure the integrity and accuracy of the production process flow chart.



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### 3.1 Verification procedures

#### 3.1.1 Confirmation

（1）Confirmation content: flow chart.

（2）Confirmation frequency: before determining the flow chart.

（3）Confirming personnel: food defense team.

（4)Confirmation method: check each item on the production site according to the practical production process.

#### 3.1.2 Verification procedures

（1）proofreading of equipment names.

（2）Layout of equipments and facilities.

（3）Check item by item.

#### 3.1.3 Verification results：

Make evaluation based on field observation and determine the flow chart.

#### 3.1.4 Verification records：

（1）Including date, person involved, methods and results.

（2）Re-verify the flow chart if any change happens.

（3）Always keep records after verification.

## 三、Food defense assessment chart and control measures



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# QINGCHENG JIAHUI FOOD CO LTD

## Food Defense Plan

版本 C

2020 version

| Field | Assessment content | Weak link? | Defense measures |
|---|---|---|---|
| External security | The emergency exit doors are locked. | Yes | Emergency exit doors change to use movable lock. |
| | Vehicles of staff, visitors/guests are not distinguished by badges, decals or other forms of visual identification | Yes | Develop food defense procedures for staff, visitors and guests' vehicles. Check the label at the factory entrance. Visitors and guests are escorted in by factory staff. Other people to register and receive temporary pass. |
| Internal security | Some restricted areas do not clearly identify which employees can enter. | Yes | Assess and identify access signs for each area. Do the entry and exit registration at the workshop entrance. |
| | Local law enforcement departments (including fire departments) do not have the latest version of the factory layout/design. | Yes | Provide each department the latest version layout map. If there is updated information, update and provide in time. |
| | The factory has no security cameras (closed-circuit TV). | Yes | The factory has commissioners who make regular daily visits to the factory. |
| | Procedures for checking toilets, maintenance rooms, personal lockers and storage areas to exclude suspicious packages are not in place. | Yes | Develop procedures for checking suspicious packages. |
| Internal security | Do not regularly count the number of keys in the safety/sensitive area of the factory. | Yes | Check the key quantity of factory entrance, laboratory, warehouse, raw material warehouse and chemical warehouse every month. |
| | The heating, ventilation and air-conditioning systems are not restricted to unauthorized persons. | Yes | Formulate entry regulations for each system. Regularly look over the compressor room in 24 hours. |
| | The laboratory does not have proper procedures for controlling samples received from other companies. | Yes | Develop procedures for the laboratory to receive samples from other companies. Samples from companies not owned by the Group must be submitted. |
| Email security | Persons handling mails. | Yes | The person handling mail shall be trained, and can not disclose the company's trade secrets, and no personal |



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| | | | |
|---|---|---|---|
| | | | attacks, defamation, dissemination of illegal information, etc are allowed. |
| Process security | Introduction of dangerous reagents in the batching chamber. | Yes | A specialist shall conduct training and investigation, and non-employees shall not approach the operation. |
| | Access of visitors and customers. | Yes | Set up a special access (view through transparent glass from the outside of the workshop). Visitors and customers must be accompanied by factory management personnel and registered before entering the workshop. |
| Storage security | Raw material warehouse, inner packing material warehouse, auxiliary material warehouse, finished product warehouse. | Yes | Set up incoming and outgoing inspection records at the entrance of raw material warehouse, inner packing material warehouse, auxiliary material warehouse and finished product warehouse. Lock and record the doors of each warehouse. Check whether there is mixed with other unknown substances every month. Check inventory monthly and the packing integrity. |
| Storage security | Introduction of chemical disinfection reagents. | Yes | The chemical warehouse shall be managed by special person and marked clearly. The temporary storage room of chemicals shall be managed by health control personnel, and records of chemical receipt and use shall be registered. Lock the disinfectant and specially managed by QC. |
| Water/ ice security | Inspection of potable water and non-potable water pipes. | Yes | Monthly inspections of potable and non-potable water pipes for sabotage. |
| | Potable water company agreement. | Yes | Add in the agreement with the potable water company that inform us at the first time if there is any problem with potable water. |
| Transportation/ acceptance security | Some of the raw material transportation do not use the box car and be locked. | Yes | Indicate the license plate numbers, weight, code and other information in the raw material transport list , it will not be accepted without the vehicle list. Escort those vehicles which are not box car. |
| | When selecting the supplier for auxiliary materials, packaging materials and labels, the food defense plan of them is not taken into account. | Yes | Evaluate the food defense system of the supplier when selecting suppliers, and confirm whether the food defense system is implemented or not. |



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| | | | |
|---|---|---|---|
| | The truck driver at the dock approaches the factory. | Yes | Although the driver is registered to enter the factory, it is required to be accompanied by the loading management person in the factory. |
| Personnel security | Background check of key position operators. | Yes | Conduct detailed background checks on operators in key positions (warehouse manager, chemical manager, additive operator, electrician, machine room). |

# 四、Safety Control

## 1. Security control

1.1 The factory has security booth and fences installed around them to prevent external objects from entering the factory without permission.

1.2 The security guard must ask visitors to fill in the visitor registration form, and to show relevant documents and register. Pay special attention to any suspicious visitors, and inform the interviewees in advance, if necessary, accompanied by our staff to see the interviewees. All visitors can only be released after the interviewees sign the visitor registration form.

1.3 The driver for delivery or other things comes to our company, who must be accompanied by our staff to carry out all kinds of permitted activities. The vehicle entered into the factory must be registered and inspected by relevant personnel, including whether there are bombs, explosives and other malicious damage.

1.4 The security guard should pay attention to people and things inside and outside the factory. If there is any suspicious situation, report to the superior immediately.

1.5 Security guards go on patrol regularly, increase one more guard on duty at night to



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strengthen patrol.

1.6 The security guard is responsible for checking the incoming packages in the security booth. Only the packages without malicious damage can enter the factory. If it is a suspicious package, it shall be checked and handled with the postal department in accordance with *the provisions of the national postal office on the handling of postal materials.*

**2. Workshop safety control**

2.1 Each workshop according to the location of the workshop floor plan makes specific restricted areas mark. Only the staff of the department can enter and exit the restricted area. If other staff needs to enter and exit the restricted area, the restricted area staff can do it on their behalf. Outsiders must register and be accompanied by company personnel to enter and leave the restricted area.

2.2 Some storage areas are restricted, such as product warehouse and chemical warehouse, which should be locked. There are three keys, respectively in the production department director, workshop director and the user.

2.3 All the articles carried by people in and out the restricted area should be checked and registered, and can only be carried into the restricted area with the approval of the director of the restricted area department.

**3. Water/ice security**



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3.1 Workshop water system, drying area, water room, water tank are classified as restricted areas.

3.2 All water pipes in the workshop that may cause backflow are installed check valves to prevent backflow.

3.3 When the water is contaminated, the equipment department immediately notifies the local water supply company and asks it to solve the problem.

**4. Video monitoring security**

4.1 Video monitoring software has account and password, only monitoring personnel and senior management of the company have access to it.

4.2 Computers used for video monitoring are installed with firewalls and anti-virus software, and updated in time by professionals.

**5. Shipment (including recall) and acceptance**

5.1 Generally, we only accept the goods delivered by verified organizations, and confirm by telephone before delivery.

5.2 Unexpected incoming goods can only enter the factory after being confirmed by the supervisor or above. Non-working time delivery shall be notified in advance.

5.3 Check whether the goods conform to the delivery note when receiving. And check if there are any signs of sabotage.

5.4 The recalled goods should be stored separately and marked.



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**6. Office data security control**

6.1 All computers in the office should have a password and install anti-virus tools to ensure that every one is free from viruses.

6.2 The computer should have a password, and all the important data in the computer should be backed up by external memory and kept by lock.

6.3 Shut down the computer after use, and disconnect the power supply, to avoid the computer breakdown caused by short circuit.

6.4 When leaving one’s position, important data should not be placed on the desk to avoid loss or theft.

**7. Staff recruitment**

7.1 Recruitment advertising

On the basis of the *employment application* submitted by each dept. and approved by the director of the dept., the human resources dept. publishes the recruitment notice through local TV station, labor employment agency or other ways.

**7.2 Filling in forms**

The applicants should carry relevant files, such as health certificate, ID card, full-face bust photo with 1-inch etc, get a *job application* and truthfully fill in.

**7.3 Interview**

The personnel manager will ask questions and inquire about the detailed situation of



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the applicant. Employees who have been fired before will not be considered.

**7.4 Investigation and verification**

After the interview, the supervisor shall conduct investigation and verification of the applicant's filling and answering items and collect evidence legally. Finally confirm with the local public security dept. if the applicant has criminal or drug history.

**7.5 Decision**

After investigation and verification, if the applicant meets the requirements of the job concerned, personnel manager will inform the applicant by phone or oral ways and both sides sign labor contract and decide labor relation according to relevant laws.

**7.6 Pre-job training**

Employees should receive pre-job training courses for new employees within the designated period of time.

**7.7 On-the-job training**

New employees who are qualified in pre-job training are assigned to the dept. and receive position skill operation training. Those who fail will continue to receive training. We offer probation of one-month for new employees, during which those who pass the evaluation are formally employed. The unqualified will be dismissed (their salary shall be subject to the contract countersigned). And if there is someone with any criminal case or other violation, report to the local public security dept. immediately.



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**7.8 Staff health examination follow-up**

If an employee is found or suspected to be suffering from any disease or other serious infectious disease that may hinder the product processing sanitation, he/she must be transferred from his/her position. Organize the patients to the local health dept. for relevant examination in time, and make corresponding treatment according to the physical examination report and document.

**8. Control of employees leave**

8.1 The employee must ask for personal leave or sick leave in written form to the supervisor of the dept. Only leave after approval.

8.2 When employees of key positions, that is, positions that directly affect the product quality or personnel safety, such as workshop supervisor, machine operator, quality control personnel etc., are not on duty, the dept. manager shall instruct the relevant qualified trained person to fill in.

8.3 The dept. manager will hand over employees' written request for leave to the personnel dept., which makes record and then hands over it to the financial dept. by the end of the month. The finance dept. will calculate salary.

**9. Dismissal control**

**9.1 Management of all employees:** adhere to the principle of Education first, punishment second.



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**9.2** Employees who violate the company's rules and regulations will be treated according to *the employee reward and punishment regulations*.

**9.3 Procedures:** 1. Critical education. 2. Warning. 3. Salary reduction.

4. Dismissal.

**9.4 Critical education.**

Dept. managers shall talk with, enlighten and correct the first-time offenders, so that they know and correct their mistakes.

**9.5 Warning**

If a first-time offender makes a serious mistake, the dept. manager will give him/her a serious warning to take notice.

**9.6 Salary reduction**

After critical education and warning, those who still do not face up to the serious impact of their wrong behaviors, are treated in demotion and salary reduction punishment.

**9.7 Dismissal**

Employees who repeatedly violate *the employee reward and punishment regulations* will be dismissed. The dept. manager shall issue a *official dismissal notice* to the person who has been dismissed, stating the reason. The dismissed person shall go to the personnel dept. For departure clearance with that notice signed by dept. manager. And no hiring this employee in the future.


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## 五、Implementation of food defense plan

**1. Food defense personnel training:** food defense personnel shall be uniformly trained when the food defense system is established, and shall be trained at least twice a year thereafter.

**2. Food defense drill:** once a year.

**3. Food defense audit:** the food defense system shall be audited under the following circumstance:

1) When the system is established.

2) When there exist significant problems in the system.

3) When the leader changes.

4) Drill at least once a year

**4. Food defense system evaluation:** the food defense system shall be evaluated by the food defense team, and the evaluation results shall be kept confidential and shall not be disclosed to any third party.

**5. Product contamination risk response procedures**: refer to food safety rapid response mechanism.

**6. Seasonal planning test**

Conduct a drill at least once a quarter to verify the effectiveness of the plan. Check the entrances to be locked. Carry personal belongings into the production area to verify whether



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there is any staff under mismanagement or out of control. Check whether the records of toxic substances are kept well, etc. Finally fill in *the monthly food defense inspection form* and list the corrective measures to prevent similar situations from happening again.

**7. Evaluation and revision of food defense plan:** evaluate and revise the plan if:

1) At least once a year.

2) The process changes.

3) Changes in certain conditions such as adding new production lines, changing suppliers, outsourcing production processes, using new processes, etc.

**8. Emergency contact number.**

| Individuals, organizations and institutions | Contact number |
|---|---|
| Factory emergency contact person | 0934-3287668 |
| | |
| | |
| | |
| | |
| Sales dept. | 0931-8866309 |
| | |

## 六、Verification and improvement of food defense plan

**1. Purpose**



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To ensure the effective operation of food defense system.

**2. Application**

Suitable for the defense of pumpkin seed kernel GWS and white pumpkin seed kernel.

**3. Duty**

The food defense team is responsible for implementing the procedures.

**4. Procedures**

**4.1 Verification**

**4.1.1 Confirmation**

4.1.1.1 Confirmation to food defense evaluation and defense measures.

It is confirmed and recorded by the food defense team at least once a year.

Reconfirm the food defense evaluation when the product or process changes, or there are other situations that affect the evaluation. If necessary, the evaluation shall be revised accordingly.

When the food defense evaluation changes or there are some situations that affect the defense measures, reconfirm the measures, and revise accordingly, then keep the records well.

4.1.2.2 Confirmation of the effectiveness of food defense plan

The effectiveness of food defense plan should be verified and recorded.

Confirm before and after the implementation of the plan.



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When confirmation results show that the plan cannot meet the requirements, it shall be revised or reconfirmed.

**4.1.2 Weak link verification**

Regarding the identified weak links, the effectiveness shall be evaluated and verified after the defense measures have been taken.

**4.1.3 Comprehensive verification**

Food defense measures should be regularly practiced, eg. randomly select a link according to the content of food defense evaluation, including the non-weak links.

The food defense team should conduct a regular comprehensive verification of the defense measures implementation, which should be planned and cover all areas or links. Corrective measures shall be taken in time for non-conformance items. If necessary, revise the food defense plan. After the revision, the implementation of food defense measures should be re-verified.

**4.1.4** The food defense plan shall be re-verified and recorded accordingly.

**4.2 Improvement**

The food defense plan should be updated and improved in time to ensure its effectiveness



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# 庆城县嘉辉食品有限公司

# QINGCHENG JIAHUI FOOD CO LTD

## l Defense Plan




版本 C

2020 version



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庆城县嘉辉食品有限公司
**QINGCHENG JIAHUI FOOD CO., LTD.**
ADD:YIMA TOWN,QINGYANG CITY,GANSU,CHINA

May,11,2020

Lot Code Explanation

To whom it may concern:

Our production lot code is made under China CIQ supervision and each lot of food product should be supervised and inspected and issued a quality and weight certificate and phytosanitory certificate for export.

For example, the 6200/1300120002, in this lot code,6200/13001 is our official CIQ registered cod number, and 20 means year of 2020, and 002 means the production lot number in 2020.

Best regards

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**QINGCHENG JIAHUI FOOD CO., LTD.**

**YIMA** INDUSTRIAL ZONE,QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA

JAN, 10， 2020

**SUPPLIER: QINGCHENG JIAHUI FOOD CO., LTD.**

**Contact – name: Johnson Xu**

**Address: Yima Industrial Zone, Qingyang City, Gansu Province, China**

**Product: Pumpkin Seeds Kernels**

## Ready to Eat Statement

To: Whom it may concern

We here state that all of our major products are the pumpkin seed and kernels, and we only hull and clean and sterilize with steam heat treatment with our full set of production lines in our factory under food regulation laws, so we state that our pumpkin seed products can be ready to eat.

Best regards




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# 碎玻璃处理程序 Broken glass treatment procedure

H/JHSP/CX—20

1、目的 Aim

控制厂区内玻璃制品，以防玻璃碎片对产品造成的污染。
Control the glass product in the factory to avoid broken glass pieces to contaminate the product

2、范围 Scope

适用于本公司车间内玻璃门窗，车间内隔间、照明灯具，玻璃材质之量测工具，温度计等玻璃制品的控制及破损后的处理。
Suitable for the glasses in window and door, lighting tools, glass made gauge, thermometer

3、职责 Responsibilities

生产部负责玻璃瓶的控制、照明用具、玻璃窗的管理、维护，玻璃碎片的转移。
Production management is responsible for the control of glass bottle, management of lighting tool and transfer of glass pieces

质检部负责玻璃仪器的控制。Quality department is responsible for the control of glass instrument.

4、程序 Procedure

4.1 生产车间、更衣室、原辅料仓库等场所，所有玻璃（包括门窗、灯具、仪器仪表等）均需加防护措施，如贴防暴膜，加设纱窗、加防护罩等，其他场所根据风险分析及公司的规划确定是否加防护措施。
Production workshop, exchange room,warehuse and so on, all the glasses(including door, window s, lighting tools, instrument) shoudl be protected such as filmed, installing curtain or proective cover,

4.2 因各种原因更换或维护玻璃窗、灯具、仪器仪表等玻璃时，需注意防止碎片污染环境，必要时应停止生产，把可能污染到地方的半成品、工器具移开，结束后，应清理环境。
IBroken pieces should be noticed if need to change or repair the windows, light tubes or instrument, stop the production when it is necessary and move the possible contaminated semi-finished product or instrument to a safe place. After changing or repairing, the site should be cleaned.

4.3 车间内不允许使用任何玻璃器具。No glassware is allowed to use in the workshop

4.4 质检部取样检测时，不得使用玻璃仪器到生产现场取样，质检部玻璃仪器出现破损时应及时移离质检部。Glass instrument is not allowed to take into the site when quality inspector draws samples, the damaged instrument need to be removed out of quality department immediately.

4.5 因操作人员操作失误或玻璃破碎时，应立即清理碎片，并由质检部进行检查。If any glass is broken due to the operator's faulty operation, the broken pieces should be cleaned immediately, the quality department should inspect and cor no any lefting broken glasses

4.6 所有参与清理玻璃瓶碎片的人员，均需更换工作服、鞋或靴子后，重新洗手、消毒，确认没有沾染玻璃碎屑，才能继续生产。
All the participants to clean the broken glasses should change work uniform, shoes and reclean hand and disinfection to ensure no glass pieces adhered and can continue processing

4.7 所有玻璃制品碎片，应予当天移出厂区。All the broken glass pieces should removed out of factory the very day

4.8 当出现玻璃破裂时，应立即报告质检部，在处理结束后，经质检部确认后，才能放行。when glass is found broken, staff should report to quality department, after cleaning and confirming by the quality department, production can be continued.

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4.9 应登记生产区域的所有玻璃，并制定检查计划，记录检查结果及玻璃破裂处理结果。all the glasses should be registered, the inspection plan should be made and record the inspection result and broken glasses manage result

5、记录 Record

《玻璃检查记录》Glass inspection record

# 异物控制程序 Foreign body control procedure

H/JHSP/CX—22

1、目的 Aim

通过有效的管理防止潜在的异物污染产品，或通过有效的装置将含有异物的产品剔除，以确保产品安全，并预防质量事故的发生。Through effective management to avoid potential foreign bodies contaminate product or through effective facilities to remove the impurities to ensure the product is safe and prevent quality incidents happening.

2、适用范围 Scope

本程序适用于所有潜在的或已存在的可能会污染到本公司产品的异物的控制；相关职能部门涉及生产部、质检部及采购部。The procedure is to control the potential exsist or alreay exsisted impurities which may contaminate the product, production department, quality department and purchasing department will be related to.

3、定义 Definition

异物指在产品设计开发时没有将其列入产品的一部分却实际含有了的任何物质，甚至包括产品生产时所需要的原物料本身。如：金属、玻璃、石头，甚至原料本身所附有的物质。The foreign bodies includes the following: Metal, Glass, Stone.....

4、职责 Responsibilities

4.1HACCP 小组负责潜在的异物源的评估。 HACCP team evaluates the potential impurities.

4.2 生产部在现有工艺设施、设备的改造、维护过程中应避免异物源的存在，及防止异物污染产品；并负责相关异物控制措施的落实。Production department should avoid the exsist of the foreign bodies and avoid to contaminate the product when update or maintenance the current processing and equipment, also implement the relevant foreign body control measure.

4.3 质检部负责异物控制相关文件的制定及相关记录存档。Quality department should be responsible for making and archiving of foreign body control document

4.4 生产部负责相关异物控制措施的执行。Production department should be responsible for the implement of the foreign body control procedure

4.5 采购部配合质检部实施供应商审核；当异物源涉及供应商时确保供应商及时启动并有效落实纠正措施。The purchasing department will cooperate with quality deparment to audit the suppliers, if any foreign body comes from the suppliers, the corrective measure should be carried out.

5、程序 Procedure

5.1 异物源的评估、控制 Foreign body source evaluation and control

5.1.1 异物源的评估 Foreign body source evaluation

HACCP 小组具体负责异物源的评估；具体执行《危害分析程序》及《关键点判断程序》。HACCP team is reponsible for the evaluation of foreign body and implementing Harzard analyze procedure and Critical control point judgement procedure.

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5.1.2 异物源的控制 Foreign body source control

5.1.2.1 原物料的采购只能从经审核合格的供应商处进行，且现有供应商须定期审核。相关内容参见《采购控制程序》、《合格供应商名录》。
Raw material only can be purchased from qualified suppliers, the current suppliers should be audited termly. Relevant content please check purchasing control procedure and qualified suppliers directory.

5.1.2.2 生产部应评估现有工艺设备、设施及人员操作可能存在的异物源，并采取一定的措施来避免异物源的存在。某些本身就是异物源的设备应尽量避免使用（例如：玻璃测量仪器，木卡板等等）。
Production department should evaluate the potential foreign body source and implement relevant measure to avoid it when current processing facilities or machines needto be updated or maintenance staffs, tools themselves are foreign body source should not be used (i.e. glass made measure instrument wooden rulers

5.1.2.3 车间环境、人员卫生状况须满足 GMP 要求。The workshop environment and personal should satisfy GMP requirement.

5.1.2.4 为确保公司产品安全、有效剔除普通异物和金属异物，从源头开始控制，必须安装过滤网和专用磁铁，以防止有异物污染产品。
To ensure the safety of product and effetively remove the normal and metal foreign bodies, the source should be controled, the sieve and magnet are mandatory installed to avoid foreign bodies contaminate the product.

5.1.2.5 公司积极鼓励员工发现异物，对发现异物的员工进行奖励。
The company should encourage staff to look for foreign bodies and reward the staff who found foreign bodies.

5.1.2.6 跟进/纠正措施。Follow/Corrective measure.

5.1.2.7 当异物被发现时应进行跟进并采取纠正措施。
Issues shuold be followed and corrected when any foreign bodies found.

5.1.2.8 生产部执行“开班检查”，发现异物隐患后，及时去除。
The production department implement" working starting inspection", The foreign bodies will be removed immediately as soon as found.

5.2 厂内异物控制流程
Foreign body control procedure

5.2.1 员工在发现异物后应立即将异物及发现时的详细情况上交/汇报给当班班长。
The staff should report /hand in to the shfit leader if he finds any foreign bodies

5.2.2 当班班长根据异物性质（危害性、属偶然发生或连续发生及可能来源）作出基本判断并采取相应基本行动（如：要求属下加大相应注意力、委派专人挑拣等）后应立即汇报当班生产线班长/生产主管及品质部人员。
Shift leader should judge the material characteristic( harzard, accidental occured, continuous occured and the possible source) and react accordingly (ask the staff to keeo close eyes or assign special staff to select), then report to workshop supervisior or quality department.

5.2.3 当班生产线长/生产主管、质检部人员在接到异物及详细情况汇报后应对异物性质及行动计划共同作出进一步的判断与安排。
Workshop supervisior or quality department will make further judgement and action.

5.2.4 对于可能危及产品安全或大量连续发生的异物处在不可控状态时，应立即停止生产、向上级汇报；并由质检部人员在生产线班长/主管的协助下扣留前段时间可能被污染到的产品，执行《不合格品控制程序》。
For the product who may be contaminated by the foreign body or the continuous foreign bodies are out of control, the factory should stop production and report to company management, and isolate the probably contaminated product with the help of production shift leader/supervisior, and implement<Non-qualified product control procedures>.

5.2.5 对于不会危及产品安全或属偶然发生的异物，或虽可能危及产品安全、但经开发部人员确认处于可控状态时，可以连续生产；此时，由当班生产线班长/主管会同开发部人员确保控制措施得到有效执行。
For the foreign body which will not contaminate the product or the accidentaly occured, or the foreign body may harm the product but quality department confirm it is under control, production can be continued, the shift leader and workshop supervisior will ensure the corrective measures are implemented.

5.2.6 当班生产线班长/主管、质检部人员（对涉及维修部门的异物，须维修班长或命专人参与）负责组织、实施对可能异物源的排查。
The shift leader/workshop supervisior, quality department( for the foreign body referred to maintenance department, the department leader should attend) will organize and eliminate the possible foreign body souce.

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After finding out the foreign body source and completely eliminating it or implementing corrective measure to avoid contaminate the finished product, the production can be continued.

When necessary, quality department will organize relevant department to make corrective plan, preventive measure meanwhile verify them according to <corrective and preventive measure control procedure>

5.2.7 在对异物源查明，并彻底排除后，或虽一时不能确认/排除异物来源，但能经有效措施予以预防，避免污染最终成品的情况下，方能恢复正常的生产。

5.2.8 如有必要，质检部负责按《纠正与预防措施控制程序》要求，组织相关部门制定纠正、预防措施；并负责措施验证。

6、相关文件 Relevant document

《采购控制程序》Purchasing control procedure

《合格供应商名录》Qualified suppliers directory

《卫生标准操作规范》Hygiene standard operation criterion

《GMP 手册》GMP manual

《危害分析程序》Harzard analyze procedure

《关键点判断程序》Critical control point judgement procedure

《不合格品控制程序》Unqualified product control procedure

《纠正与预防措施控制程序》Corrective and preventive measure control procedure

《HACCP 手册》HACCP manual

7、记录 Record

《金属探测器 CCP4 监控记录》Metal detector CCP monitoring record

《X 光机 CPP3 检测记录》X ray machine CCP3 monitoring record

# 塑料控制程序 Plastic control procedure

1、目的 Aim

避免产品由于塑料的损坏带来的产品安全隐患。
To avoid the the risk of broken plastic pieces contaminating finished product.

2、主题内容和适用范围 Content and scope

本程序适用于所有破损后可能污染食品的塑料制品的清扫、 更换、检查。
Suitable for cleaning, changing and inspecting of the plastic product which may contaminate the product when broken into pieces.

3、术语

塑料制品:系指塑料制成的灯检台面、窗、门、温度计、仪表的所有塑料制品。Plastic product: plastic made inspection table, windows, doors, thermometer, instrument and so on.

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4、职责 Responsibilities

本程序由生产部负责实施。This procedure is carried out by production department

5、具体内容和工作程序 Content and procedure

5.1 清扫消毒 Cleaning and disinfection

5.1.1 有可能污染到食品的塑料制品的清扫消毒必须在周围没有食品的情况下进行。清扫消毒过程中应避免强力冲撞被清扫、消毒的塑料制品。The cleaning of plastic product which may contaminate food should be carried out without food arrounded. Avoid to collide the plastic product during cleaning and disinfection.

5.1.2 清扫、消毒完的塑料制品应由专人负责检查无损后方可投入使用。The plastic product can be put into use after inspecting and confirming no broken happend during cleaning and disinfection.

5.2 更换维修 Change and repair

5.2.1 在塑料制品损坏后，应填写记录表及维修通知单，通知维修人员进行更换。When plastic product is damged, the staff should fill the record and repair notice to ask maintenance staff to change.

5.2.2 更换时确保制品下方和周围没有食品或做好了非常严密的防护措施。Ensure no food arround the plastic product or did fully protective measure when change.

5.3 破碎后处理 The dispose after broken

5.3.1 车间内塑料制品出现爆裂，应迅速停止该区域的生产。并隔离该区域所有的产品或半成品，并做废弃处理。When the plastic product in the workshop is broken, the production should be stopped immediately, all the product and semi-finished product in the area should be isolated and disposed.

5.3.2 该生产区域由专门人员用专用工器具清理，清理完毕后工器具也做废弃处理。The staff in this production area should clean the plastic pieces with designated tools, after cleaning, the tools should be disposed.

5.3.3 该生产区域所有设备(工作台)要经过单独反复冲洗、洗刷、消毒后方可重新投入使用。All the equipment and working platform in this area should be washed and disinfected many times, then can be put into production.

5.3.4 该生产区域所有员工的工作服单独打包后，做废弃处理。All the staff work uniforms in this area should be packed and disposed.

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全部处理工作完成后由主任和设备人员审核。
All the dispose finsihed, should be audited by the workshop supervisior and the equipment operators

5.3.5 生产车间内塑料的破损需要检查原料或成品是否裸露在空间中，如果裸露做废弃处理，如果包装完好，对包装进行检查，在确认没有塑料残渣后更换包装。
The raw material or finished product should be inspected if explosed, if yes, then disposed, if well packed, then inspect the package and change packing after confirming no plastic pieces mixed in.

5.4 检查 Inspection

5.4.1 设专人根据每天对塑料进行检查是否完好并做记录。
Assign staff inspect the plastic product and record.

5.4.2 上述检查工作完成后应填写《塑料检查更换记录表》。
Fill in<plastic inspect and change record>

6、本文涉及表格 Relevant tabel

《塑料检查更换记录表》<Plastic inspect and change record>

7、相关文件 Relevant

《卫生标准控制程序(SSOP)》 SSOP

# 木制品控制程序 Wooden product control procedure

1、目的 Aim

对公司生产时使用的木制品进行控制，防止其污染产品，确保产品质量。
To control the wooden product used during production to avoid contaminate product and ensure the product quality.

2、适用范围 Scope

适用于公司所有潜在的或已存在的可能会污染到本公司产品的木制品的控制。
Suitable for the control of wooden product which may potentially or already exsited

3、职责与权限 Responsibilities

3.1 质检部负责公司管理木制品控制的策划，管理及评定。
Quality department is responsible for the making, managing and evaluating of the wooden product control procedure.

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3.2、生产部具体实施木制品的管理。The production department implements the managment of wooden product.

4、运行程序 Procedure

4.1 木制品：属外源性异物，包括木栈板、木托盘、木操作台、

Wooden product including wooden pallet, wooden platform, chair, wooden box so on, wooden product are not easily cleaned, easily getting moudy and rotted which will cause hygiene risk and bring the potentiional hardards to the product. if any wooden scraps mixed into the finished product, will make the consumers uncomfortable, unsatisfied, or may harm the consumers.

椅子、木箱等，其因不易清洗消毒，易发生霉变，腐烂现象等，使用过程会产生卫生隐患，会给产品造成潜在的不安全因素，如木屑混入产品中， 会给消费者带来不适应、 不满意，甚至可能会造成伤害。

4.2 木制品使用与控制 Wooden product usage and control

4.2.1 生产车间（包括清洗）所使用的工具、设备，应选择耐腐蚀、易清洗的材料制成，不得使用木制品；

The tools and equipment (including cleaning tools) in production workshop should coose anti corrotion and easily washed material, wooden product are not allowed

4.2.2 原料的器具，应采用塑料框，不得使用木材制品。

Raw material container should use plastic made container, wooden product are not allowed to use.

4.2.3 具有木制品包装的物料严禁进入车间。

The material with wooden material packed are not allowed to enter workshop

QINGCHENG XIAHUI FOOD CO.,LTD

2020-05-06

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# 庆城县嘉辉食品有限公司
# QINGCHENG JIAHUI FOOD CO LTD

（HACCP 产品标识，召回和质量追踪计划）

HACCP Product Marking, Recall and Quality Traceability Plan

文件编号(CODE NO.)：JH-HACCP-2020

| | |
|---|---|
| 文件标识： | ●受控　□非受控 |
| 分 发 号： | |
| 生效日期： | 2020 年 2 月 10 日 |
| 编　　制： | XUE QIANG |
| 审　　核： | XUE HONG |
| 批　　准： | XUE HONG |

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1, purpose

Through the exclusive label on each lot of products, to ensure the traceability from the raw material to final products and reduce the harm to consumers and maintain our company reputation.

2, scope

This plan apply to the products (pumpkin seed kernels, GWS pumpkin seeds, sun flower seed kernels, bitter apricot kernels which are produced by our company) labels and traceability and recall management.

3, responsibility

3.1 QC department is responsible for the inspection of the labels and management of the final products labels and lot numbers.

3.2 Production department is responsible for the execution of the regulation of the products labels

3.3 sales department are responsible for the feedback information collection and treatment from customers.

3.4 sales department is responsible for the recall procedure launch and communication with customers in time.

3.4 HACCP group is responsible for the problem reasons analysis to prevent from its happening again.

4、Procedure

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4.1 confirmation of the lot number

Including raw material lot numbers, production lot numbers and export inspection lot numbers

4.1.1 Raw material lot number: purchased in same period and planted in the same origin area or input/out of the same lot and the same kind of material can be the same one lot.

4.1.2 Production lot: the lot which is produced in the same day/same workshop/the same production line can be named the same lot number.

4.1.3 Inspection lot: the same variety of the rose products/nuts or fruits produced in the same day can be named with the same one lot number

4.1.4 same variety of the product identification code cannot be repetitive.

4.2

Identification code confirmation

4.2.1 The identification code confirmation of the raw material: the compiled rule is arrival date+ supplier's code number. If the same supplier dispatched 2 lots of raw material in one days, the supplier's code number should be added with+02, e.g.17030808+02

4.2.2 The identification code number confirmation of

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production

4.2.2.1 Semi products lot identification code confirmation: semi products can be distinguished with different team /group and production date +final products team code number(raw material 00+1(day time)/2(night time).e.g.17308+061(06+1)

4.2.2.2 Final product lot number confirmation of identification code: production date+ raw material supplier's code number, e.g.170309+08+061

4.2.2.3 External carton printed date should be the same as external bags date.

4.2.2.4 If different lot of raw materials are produced for one mixed lot, use the bigger lot number + production date as lot number can remark the rest of the raw material lot number on the production records.

4.2.3 Off-line identification code confirmation: shown with the company inspected lot serial number, normally with 3 digits in one year, e.g. 012, it means the 12$^{th}$ lot number.

4.3 identification code management

4.3.1 identification code record management

4.3.1.1 identification code of raw material lot: confirm this code on the record of the raw material purchasing and record this code, variety, quantity, source, planting site and supplier's code

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number

4.3.1.2 production lot identification code :confirm the production code on the production records and show the raw material lot code.

4.3.1.3 inspection lot identification code: confirm the code and make the fact list, which includes inspection lot code, production lot code and concerned quantity.

4.3.2, code identification management

4.3.2.1, external package lot identification

Sanitary registration code

Inspection lot code 012

Production lot code 17030908061

4.5. products traceability implement

When found disqualified products, we have to make the traceability procedure from the final products to raw materials with each link and the traceability route is: COA- inspection lot list-final products input/output records-production relative records-raw material inspection/receipt records-raw material source.

4.6 product status label

4.6.1 product label should be described with signboard or records and the status can be distinguished with qualified product,

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being processed product, disqualified product and unchecked product.

4.6.2 ingredients ,packaging material, unchecked and disqualified products should not be stored into the final products and the warehouse keeper should make status identification

4.6.3, production supervision and test should be inspected with records by QC staff, qualified product can be shifted normally to final products warehouse. Disqualified products should be signed and remarked and treated under relative procedures.

4.6.4 for-inspection product should be kept in the regulated area or tank with status identification by the relative department.

4.7 establish quality traceability and product recall plan

4.7.1 implement the HACCP plan on the basis of prior plan and control the whole process and execute the traceability with identification and traceability and regulations when necessary(carry out the correct and precautionary measures to recall the products according to products identification, lot management, inspection records and other original records.

4.7.2 final product inspection

a) HACCP group confirm the basis of harmful product and test and make assessment.

b) If assessment results show no harm, products can be passed and received.

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c) If found potential harm, under the first step of assessment, to check if the product can be used safely, then receive it and re-produce or make treatment with depreciation or demotion

d) If found potential harm and could not be used safely, the product should be destroyed.

e) If the product is not kept or used correctly by customer/consumers correctly under the instructions, we do not employ the recall process.

4.7.3 classification of the recall product

First grade: product will not be harmful for consumer's health

Second grade: possible to result in consumer's general health harm.

Third grade: possible to damage the consumer's health seriously

4.7.4 planning of the product recall

4.7.4.1 the HACCP group leader is responsible for this recall issue and recalled members should include the sales, QC, production and logistic department staff and everybody have clear responsibility and announce the contact information.

4.7.4.2 sales department make sales records and complete the customer file papers to notify the distributors and end users

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with fastest speed and methods when necessary to recall some lot of product ,and try best to reduce the caused harm.

4.7.4.3 set up the customer's complaint files and make exact records of the customer's contact information and treatment measures

4.8 recall procedure

4.8.1 when final products face complaint by customers, higher authority inspection and media reports and have to be recalled, company lab should re-test the reserved samples and even the neighboring lots of reserved samples to verify the reasons.

4.8.2 when recall plan authorized by the food safety group leader, we have to notify immediately the relative parties, including the higher authority, relative customers, media and execute the recall plan via the TV, media advertisement, and internet. Etc.

4.8.3 we should identify the total quantity of this lot of product ,selling quantity and returned quantity and customer's stock quantity and make the recall records.

4.8.4 take measures:

Making the recall plan-authorization-recall-quantity ganthering-confirmation and execution of the treatment measures-HACCP group's reason analysis-adopting corrective action-review the suitability of the recall procedure.

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4.8.5 the recalled product before destroy, changing the expected purpose, or confirmation to be used with the original and expected purpose /reworked to ensure safety ,should be kept under the QC staff's supervision.

4.8.6 HACCP group is responsible to organize the relative staff to analyze the recalled reason, take relative control measures to prevent recurrence in the future.

4.8.7 HACCP group is responsible to keep the recalled issue records.

4.8.8 HACCP group verify the effectiveness of the recall procedure (through the proof test, simulation recall and actual recall and even modify timely to review this suitability of this recall procedure.

4.9 recall's reason, scope and final results should be reported to general manager by the food safety manager

4.10 the execution of this recall procedure should verify the effectiveness of the traceability system.

4.11 record the storage life/time

The traceable records of the product (the purchased lot of the raw material, production and sales records, the lot product storage life and final product shelf life) should be kept to evaluate the recall system.

5 record

Product recall record list ,please see the attachmen

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检测
TESTING
CNAS L3788

# Analytical Report

| | | | |
|---|---|---|---|
| **Sample Code** | **502-2020-00110136** | **Report date** | **14-Dec-2020** |
| **Certificate No.** | **AR-20-SU-089149-01** | | |

**QINGCHENG JIAHUI FOOD CO.,LTD**

YIMA INDUSTRIAL ZONE,
QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA

| | |
|---|---|
| **Our reference:** | 502-2020-00110136/ AR-20-SU-089149-01 |
| **Client Sample Code:** | IRC-20-00343S-02 (6200/1300120220) |
| **Sample described as:** | Pumpkin seed kernels,shine skin Grade A |
| **Sample Packaging:** | Sealed plastic bag |
| **Sample reception date:** | 12-Dec-2020 |
| **Analysis Starting Date:** | 12-Dec-2020 |
| **Analysis Ending Date:** | 14-Dec-2020 |
| **Arrival Temperature (°C)** | 20 |
| **Sample Weight** | 500g |
| **Sample Type** | Solid |

| | | Results | Unit | LOQ | LOD |
|---|---|---|---|---|---|
| ▵# **SU30P** | Glyphosate, Glufosinate, AMPA Method: USGS Techniques and Methods 5–A10 | | | | |
| | Aminomethylphosphonic acid (AMPA) | **<LOQ** | mg/kg | 0.01 | |
| | Glufosinate | **<LOQ** | mg/kg | 0.01 | |
| | Glyphosate | **<LOQ** | mg/kg | 0.01 | |

**SIGNATURE**

Leo Chen
Authorized Signatory

**EXPLANATORY NOTE**

LOQ: Limit of Quantification
< LOQ: Below Limit of Quantification
N/A means Not applicable
▵ CNAS # DAkkS □CMA
☆ means the test is subcontracted within Eurofins group
◎ means the test is subcontracted outside Eurofins group
Sum compounds results are calculated from the results of each quantified compound as set by regulation

The sample description and information are provided by the Client. Eurofins is not responsible for verifying the accuracy, relevancy, adequacy and/or completeness of the information provided by the Client.
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END OF REPORT

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**ALEX STEWART (AGRICULTURE) CHINA LTD**
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Tel:+86 512 36872626 Email:marketing@alexstewartagriculture.com.cn


## 分析报告

Analytical Report

| | |
|---|---|
| 报告编号(Report No) | TS210101091 |
| 样品编号(Sample No) | TS210101091 |
| 委托单位(Applicant) | 庆城县嘉辉食品有限公司<br>QINGCHENG JIAHUI FOOD CO. LTD. |
| 报告单位(Client) | / |
| 样品名称(Sample Name) | organic pumpkin seed kernels,shine skin AA grade |
| 样品批号(Sample Lot No) | PO67008 |
| 样品描述(Sample Description) | 正常 Normal |
| 样品包装(Sample Packaging) | 袋装 In bag |
| 样品重量(Sample Weight) | 500g |
| 到样日期(Received Date) | 2021.01.25 |
| 报告日期(Report Date) | 2021.01.28 |

分析结果(Analytical Results)：

| 项目<br>Parameter | 方法<br>Method | 结果<br>Results | 检出限<br>LOD | 单位<br>Unit | 仪器<br>Instrument |
|---|---|---|---|---|---|
| 387 项农残 387 Pesticide residues | GB 23200.9-2016 | ND | 见附表 | mg/kg | GC-MS/MS |
| 169 项农残 169 Pesticide residues | GB/T 20770-2008 | ND | 见附表 | mg/kg | LC-MS/MS |
| 氨甲基膦酸 Aminomethyl Phosphonic Acid | ASACN-05 | ND | 0.010 | mg/kg | LC-MS/MS |
| 草铵膦 Glufosinate-ammonium | ASACN-05 | ND | 0.010 | mg/kg | LC-MS/MS |
| 草甘膦 Glyphosate | ASACN-05 | ND | 0.010 | mg/kg | LC-MS/MS |
| 2,4-滴 2,4-D | ASACN-01 | ND | 0.010 | mg/kg | LC-MS/MS |
| 矮壮素 Chlormequat | ASACN-01 | ND | 0.010 | mg/kg | LC-MS/MS |
| 甲哌鎓/助壮素 Mepiquat | ASACN-01 | ND | 0.010 | mg/kg | LC-MS/MS |
| 乙烯利 Ethephon | ASACN-01 | ND | 0.010 | mg/kg | LC-MS/MS |

注释 Annotation：

1. 未检出=ND（生物以“-”表示 Biology shown as“-”）。以上为结果，检测项目列表见下页。Above are those parameters result(s), detailed parameters refer to below page(s).

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授权签字人 Authorized Signatory
江苏安舜技术服务有限公司
ALEX STEWART(AGRICULTURE)CHINA LTD

本结果仅对来样负责 The report results only relate to the samples as received and analysed；未经本公司书面同意，不得部分的复制本报告 No partial copies of this report are allowed at any time without the written permission of the laboratory；本报告涉及到的检验工作严格适用于 ALEX STEWART 检验集团的检验条款和条件，随时索取。Alex Stewart General Terms and Conditions apply, which are available on request. ASACN-RF-244

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## 参数信息附表 Parameter addendum

| 参数 Parameter | 方法 Method | 仪器 Instrument |
|---|---|---|
| 387 项农残 Pesticide residues 387 parameters | GB 23200.9-2016 | GC-MS/MS |
| 2,4-滴丁酯 2,4-D butylate（0.010） | 丁氟消草/异丁烯氟灵 Ethalfluralin（0.010） | 杀线威 Oxamyl（0.010） |
| 氧化氯丹/氧氯丹 Oxy-chlordane（0.010） | 乙硫苯威 Ethiofencarb（0.010） | 2,4'-二氯二苯甲酮 2,4'-Dichlorobenzophenone（0.010） |
| 邻苯基苯酚/2-苯基苯酚 2-Phenylphenol（0.010） | 乙硫苯威总量 Ethiofencarb(sum)（0.010） | 乙氧氟草醚/氟硝草醚 Oxyfluorfen（0.010） |
| p,p'-滴滴滴 p,p'-DDD（0.010） | 乙硫磷 Ethion（0.010） | 3,4,5-三甲威/3,4,5-混杀威 3,4,5-Trimethacarb（0.010） |
| p,p'-滴滴伊 p,p'-DDE（0.010） | 灭线磷/灭线灵 Ethoprophos（0.010） | 4,4'-二氯二苯甲酮 4,4'-Dichlorobenzophenone（0.010） |
| 9,10-蒽醌/蒽醌 9,10-Anthraquinone（0.010） | 醚菊酯 Etofenprox（0.010） | p,p'-滴滴涕 p,p'-DDT（0.010） |
| 灭螨醌 Acequinocyl（0.010） | 土菌灵 Etridiazole（0.010） | p,p′-三氯杀螨醇 p,p'-Dicofol（0.010） |
| 乙草胺 Acetochlor（0.010） | 乙嘧硫磷 Etrimfos（0.010） | 多效唑 Paclobutrazol（0.010） |
| 苯并噻二唑/活化酯 Acibenzolar-S-methyl（0.010） | 噁唑菌酮/恶唑菌酮 Famoxadone（0.010） | 对硫磷 Parathion（0.010） |
| 苯草醚 Aclonifen（0.010） | 氯苯嘧啶醇/氯苯嘧啶磷 Fenarimol（0.010） | 甲基对硫磷 Parathion-methyl（0.010） |
| 氟丙菊酯 Acrinathrin（0.010） | 喹螨醚 Fenazaquin（0.010） | 甲基对硫磷总量 Parathion-methyl(sum)（0.010） |
| 甲草胺 Alachlor（0.010） | 腈苯唑 Fenbuconazole（0.010） | 2,2',4,5,5'-五氯联苯/PCB 101 PCB 101（0.010） |
| 艾氏剂 Aldrin（0.010） | 皮绳磷 Fenchlorphos（0.010） | 2,3',4,4',5-五氯联苯/PCB 118 PCB 118（0.010） |
| 莠灭净 Ametryne（0.010） | 皮蝇磷总量 Fenchlorphos(sum)（0.010） | 2,2',3,4,4',5'-六氯联苯/PCB 138 PCB 138（0.010） |
| 阿螨特/杀螨特 Aramite（0.010） | 皮蝇磷氧化物 Fenchlorphos-oxon（0.010） | 2,2',4,4',5,5'-六氯联苯/PCB 153 PCB 153（0.010） |
| 乙基谷硫磷/益棉磷 Azinphos-ethyl（0.010） | 芬氟次林 Fenfluthrin（0.010） | 2,2',3,4,4',5,5'-七氯联苯/PCB 180 PCB 180（0.010） |
| 保棉磷/甲基谷硫磷 Azinphos-methyl（0.010） | 杀螟硫磷 Fenitrothion（0.010） | 2,2',3,3',4,5,5',6-八氯联苯/PCB 198 PCB 198（0.010） |
| 嘧菌酯/腈嘧菌酯 Azoxystrobin（0.010） | 仲丁威 Fenobucarb（0.010） | 2,4,4′-三氯联苯/PCB 28 PCB 28（0.010） |
| 苯霜灵 Benalaxyl（0.010） | 苯氧威/苯醚威 Fenoxycarb（0.010） | 4-氯联苯/PCB 3 PCB 3（0.010） |
| 恶虫威/噁虫威 Bendiocarb（0.010） | 甲氰菊酯 Fenpropathrin（0.010） | 2,2',5,5'-四氯联苯/PCB 52 PCB 52（0.010） |
| 氟草胺/乙丁氟灵 Benfluralin（0.010） | 丁苯吗啉/粉锈啉 Fenpropimorph（0.010） | 2,3-二氯联苯/PCB 5 PCB5（0.010） |
| 呋草磺/三氮杂苯 Benfuresate（0.010） | 除螨酯/分螨酯/芬螨酯 Fenson（0.010） | 戊菌唑 Penconazole（0.010） |
| 解草酮/解草嗪 Benoxacor（0.010） | 丰索磷 Fensulfothion（0.010） | 二甲戊灵/二甲戊乐灵 Pendimethalin（0.010） |
| 灭草松/苯达松 Bentazone（0.010） | 丰索磷总量 Fensulfothion(sum)（0.010） | 五氯苯胺 Pentachloroaniline（0.010） |
| 甲羧除草醚/治草醚 Bifenox（0.010） | 丰索磷砜 Fensulfothion-sulfone（0.010） | 五氯苯甲醚 Pentachloroanisole（0.010） |
| 联苯菊酯 Bifenthrin（0.010） | 倍硫磷 Fenthion（0.010） | 五氯苯 Pentachlorobenzene（0.010） |
| 联苯 Biphenyl（0.010） | 倍硫磷总量 Fenthion(sum)（0.010） | 氯菊酯 Permethrin（0.010） |
| 芬硫磷 Phenkapton（0.010） | 倍硫磷砜 Fenthion-sulfone（0.010） | 八氯二丙醚 Bis(2,3,3,3-tetrachloropropyl) ether（0.010） |
| 联苯三唑醇/双苯三唑醇 Bitertanol（0.010） | 倍硫磷亚砜 Fenthion-sulfoxide（0.010） | 稻丰散 Phenthoate（0.010） |
| 啶酰菌胺/啶酰菌酯 Boscalid（0.010） | 氰戊菊酯 Fenvalerate（0.010） | 甲拌磷 Phorate（0.010） |
| 溴苯烯磷 Bromfenvinfos（0.010） | 氟虫腈 Fipronil（0.010） | 甲拌磷氧砜 Phorate-oxon-sulfone（0.010） |
| 乙基溴硫磷 Bromophos-ethyl（0.010） | 氟虫腈总量 Fipronil(sum)（0.010） | 甲拌磷砜 Phorate-sulfone（0.010） |
| 溴磷松/溴硫磷 Bromophos-methyl（0.010） | 甲拌磷亚砜 Phorate-sulfoxide（0.010） | 氟虫腈亚砜/氟虫腈硫化物 Fipronil-sulfide（0.010） |
| 溴螨酯 Bromopropylate（0.010） | 氟虫腈砜 Fipronil-sulfone（0.010） | 伏杀硫磷 Phosalone（0.010） |
| 辛酰溴苯腈 Bromoxynil octanoate（0.010） | 嘧螨酯 Fluacrypyrim（0.010） | 亚胺硫磷 Phosmet（0.010） |
| 糠菌唑 Bromuconazole（0.010） | 精吡氟禾草灵 Fluazifop-P-butyl（0.010） | 磷胺 Phosphamidon（0.010） |
| 糠菌唑总量 Bromuconazole(sum)（0.010） | 氟消草/氯乙氟灵 Fluchloralin（0.010） | 邻苯二甲酰亚胺 Phthalimide（0.010） |
| 乙嘧酚磺酸酯 Bupirimate（0.010） | 氟氰戊菊酯/氟氰菊酯 Flucythrinate（0.010） | 啶氧菌酯 Picoxystrobin（0.010） |
| 噻嗪酮 Buprofezin（0.010） | 咯菌腈 Fludioxonil（0.010） | 增效醚 Piperonyl butoxide（0.010） |
| 丁草胺 Butachlor（0.010） | 氟节胺 Flumetralin（0.010） | 哌草磷 Piperophos（0.010） |
| 氟丙嘧草酯/氟丙嘧草脂 Butafenacil（0.010） | 丙炔氟草胺 Flumioxazin（0.010） | 抗蚜威 Pirimicarb（0.010） |
| 仲丁灵 Butralin（0.010） | 三氟苯唑 Fluotrimazole（0.010） | 抗蚜威总量 Pirimicarb(sum)（0.010） |
| 硫线磷 Cadusafos（0.010） | 氟喹唑 Fluquinconazole（0.010） | 抗蚜威-脱甲基 Pirimicarb-desmethyl（0.010） |
| 克菌丹 Captan（0.010） | 氟硅唑/氟哇唑 Flusilazole（0.010） | 嘧啶磷/乙基嘧啶磷 Pirimiphos-ethyl（0.010） |
| 甲萘威 Carbaryl（0.010） | 氟酰胺/纹枯胺 Flutolanil（0.010） | 甲基嘧啶磷 Pirimiphos-methyl（0.010） |
| 三硫磷 Carbophenothion（0.010） | 灭菌丹 Folpet（0.010） | 咪鲜胺 Prochloraz（0.010） |
| 甲基三硫磷 Carbophenothion-methyl（0.010） | 灭菌丹总量 Folpet(sum)（0.010） | 腐霉利 Procymidone（0.010） |
| 萎锈灵 Carboxin（0.010） | 安硫磷/安果磷 Formothion（0.010） | 丙溴磷/多虫磷/多虫清 Profenofos（0.010） |
| 唑草酮/唑酮草酯 Carfentrazone-ethyl（0.010） | 噻唑磷 Fosthiazate（0.010） | 环丙氟灵 Profluralin（0.010） |
| 氯杀螨/杀螨醚 Chlorbenside（0.010） | 呋线威 Furathiocarb（0.010） | 猛杀威 Promecarb（0.010） |
| 氯丹总量 Chlordane(sum)（0.010） | 苄螨醚 Halfenprox（0.010） | 扑草净 Prometryn（0.010） |
| 虫螨腈/溴虫腈 Chlorfenapyr（0.010） | 六六六 HCH（0.010） | 霜霉威 Propamocarb（0.010） |
| 杀螨酯 Chlorfenson（0.010） | 六六六总量 HCH(sum)（0.010） | 敌稗/DCPAPropanil（0.010） |
| 毒虫畏/杀螟威 Chlorfenvinphos（0.010） | 七氯 Heptachlor（0.010） | 扑灭津 Propazine（0.010） |
| 乙酯杀螨醇 Chlorobenzilate（0.010） | 七氯总量 Heptachlor(sum)（0.010） | 苯胺灵 Propham（0.010） |

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## 参数信息附表 Parameter addendum

地茂散/氯甲氧苯/氯苯甲醚 Chloroneb（0.010）
丙酯杀螨醇 Chloropropylate（0.010）
百菌清 Chlorothalonil（0.010）
氯苯胺灵 Chlorpropham（0.010）
毒死蜱 Chlorpyrifos（0.010）
甲基毒死蜱 Chlorpyrifos-methyl（0.010）
氯硫磷 Chlorthion（0.010）
乙菌利/克氯得 Chlozolinate（0.010）
四氢酞酰亚胺 Cis-1,2,3,6-Tetrahydrophthalimide（0.010）
顺氯丹/顺式氯丹 Cis-chlordane（0.010）
顺式溴氰菊酯 Cis-deltamethrin（0.010）
顺式芬氟次林 Cis-fenfluthrin（0.010）
顺式九氯 Cis-nonachlor（0.010）
异噁草酮/广灭灵/异噁草松 Clomazone（0.010）
育畜磷 Crufomate（0.010）
苯腈磷 Cyanofenphos（0.010）
杀螟腈 Cyanophos（0.010）
草灭特/环草敌 Cycloate（0.010）
腈吡螨酯 Cyenopyrafen（0.010）
氟氯氰菊酯 Cyfluthrin（0.010）
氯氟氰菊酯 Cyhalothrin（0.010）
氯氰菊酯 Cypermethrin（0.010）
环丙唑醇/环唑醇 Cyproconazole（0.010）
嘧菌环胺/赛普洛 Cyprodinil（0.010）
敌草索/氯酞酸二甲酯 Dacthal（0.010）
滴滴涕总量 DDT(sum)（0.010）
溴氰菊酯 Deltamethrin（0.010）
甲基内吸磷/异吸硫 Demeton-S-methly（0.010）
敌草腈 Dichlobenil（0.010）
除线磷 Dichlofenthion（0.010）
敌敌畏 Dichlorvos（0.010）
氯硝胺 Dicloran（0.010）
三氯杀螨醇 Dicofol（0.010）
三氯杀螨醇总量 Dicofol(sum)（0.010）
狄氏剂 Dieldrin（0.010）
狄氏剂总量 Dieldrin(sum)（0.010）
乙霉威 Diethofencarb（0.010）
苯醚甲环唑 Difenoconazole（0.010）
吡氟酰草胺 Diflufenican（0.010）
哌草丹 Dimepiperate（0.010）
二甲草胺 Dimethachlor（0.010）
二甲吩草胺 Dimethenamid（0.010）
乐果 Dimethoate（0.010）
乐果总量 Dimethoate(sum)（0.010）
烯酰吗啉总量 Dimethomorph(sum)（0.010）
烯酰吗啉(E)Dimethomorph(E)（0.010）
烯酰吗啉(Z)Dimethomorph(Z)（0.010）
烯唑醇 Diniconazole（0.010）
烯唑醇总量 Diniconazole (sum)（0.010）
烯唑醇(Z)Diniconazole(Z)（0.010）
消螨通 Dinobuton（0.010）
敌恶磷/敌杀磷 Dioxathion（0.010）
二苯胺 Diphenylamine（0.010）
乙拌磷 Disulfoton（0.010）
乙拌磷总量 Disulfoton (sum)（0.010）
乙拌磷砜 Disulfoton-sulfone（0.010）
敌草隆 Diuron（0.010）
内环氧七氯 Heptachlor-endo-epoxide（0.010）
外环氧七氯 Heptachlor-exo-epoxide（0.010）
庚烯磷 Heptenophos（0.010）
六氯苯 Hexachlorobenzene（0.010）
己唑醇 Hexaconazole（0.010）
抑霉唑 Imazalil（0.010）
亚胺唑/酰胺唑 Imibenconazole（0.010）
碘硫磷 Iodofenphos（0.010）
异稻瘟净 Iprobenfos（0.010）
异菌脲 Iprodione（0.010）
异菌脲代谢物 Iprodione metabolite（0.010）
氯唑磷 Isazofos（0.010）
水胺硫磷 Isocarbophos（0.010）
异艾氏剂 Isodrin（0.010）
异柳磷 Isofenphos（0.010）
甲基异柳磷 Isofenphos-methyl（0.010）
异丙威 Isoprocarb（0.010）
稻瘟灵 Isoprothiolane（0.010）
异丙隆 Isoproturon（0.010）
苯氧菌酯/醚菌酯 Kresoxim-methyl（0.010）
高效氯氟氰菊酯 Lambda-cyhalothrin（0.010）
利谷隆 Linuron（0.010）
马拉氧磷 Malaoxon（0.010）
马拉硫磷 Malathion（0.010）
马拉硫磷总量 Malathion(sum)（0.010）
苯噻草胺/灭蚜磷 Mecarbam（0.010）
嘧菌胺 Mepanipyrim（0.010）
灭锈胺 Mepronil（0.010）
甲霜灵 Metalaxyl（0.010）
苯嗪草酮 Metamitron（0.010）
虫螨畏/虫螨畏 Methacrifos（0.010）
甲胺磷 Methamidophos（0.010）
杀扑磷 Methidathion（0.010）
甲硫威/灭梭威 Methiocarb（0.010）
甲硫威总量 Methiocarb(sum)（0.010）
灭梭威亚砜 Methiocarb-sulfoxide（0.010）
灭多威总量 Methomyl(sum)（0.010）
灭多威肟 Methomyl-oxime（0.010）
甲氧滴滴涕 Methoxychlor（0.010）
反式芬氟次林 Trans-fenfluthrin（0.010）
异丙甲草胺 Metolachlor（0.010）
速灭威 Metolcarb（0.010）
嗪草酮 Metribuzin（0.010）
速灭磷总量 Mevinphos(sum)（0.010）
速灭磷(E)Mevinphos(E)（0.010）
速灭磷(Z)Mevinphos(Z)（0.010）
灭蚁灵 Mirex（0.010）
久效磷 Monocrotophos（0.010）
腈菌唑 Myclobutanil（0.010）
氟菌唑总量 Triflumizole(sum)（0.010）
增效胺 N-(2-Ethylhexyl)-5-norbornene-2,3-dicarboximide（0.010）
三氯甲基吡啶 Nitrapyrin（0.010）
除草醚 Nitrofen（0.010）
酞菌酯 Nitrothal-isopropyl（0.010）
乙烯菌核利 Vinclozolin（0.010）
o,p'-滴滴滴 o,p'-DDD（0.010）
o,p'-滴滴伊 o,p'-DDE（0.010）
丙环唑 Propiconazole（0.010）
残杀威 Propoxur（0.010）
炔苯酰草胺 Propyzamide（0.010）
苄草丹 Prosulfocarb（0.010）
吡蚜酮 Pymetrozine（0.010）
定菌磷/吡菌磷 Pyrazophos（0.010）
哒螨灵 Pyridaben（0.010）
哒嗪硫磷 Pyridaphenthion（0.010）
啶斑肟 Pyrifenox（0.010）
嘧霉胺/嘧螨醚 Pyrimethanil（0.010）
吡丙醚/蚊蝇醚 Pyriproxyfen（0.010）
喹硫磷 Quinalphos（0.010）
喹氧灵/苯氧喹啉 Quinoxyfen（0.010）
五氯硝基苯 Quintozene（0.010）
五氯硝基苯总量 Quintozene(sum)（0.010）
精喹禾灵 Quizalofop-P-ethyl（0.010）
烯虫乙酯 S-hydroprene（0.010）
氟硅菊酯 Silafluofen（0.010）
西玛津 Simazine（0.010）
硅氟唑 Simeconazole（0.010）
精异丙甲草胺 S-metolachlor（0.010）
螺甲螨酯 Spiromesifen（0.010）
螺环菌胺 Spiroxamine（0.010）
治螟磷 Sulfotep（0.010）
氟胺氰菊酯 Tau-fluvalinate（0.010）
戊唑醇 Tebuconazole（0.010）
吡螨胺 Tebufenpyrad（0.010）
四氯硝基苯 Tecnazene（0.010）
七氟菊酯 Tefluthrin（0.010）
特丁硫磷 Terbufos（0.010）
杀虫畏 Tetrachlorvinphos（0.010）
氟醚唑/四氟醚唑 Tetraconazole（0.010）
三氯杀螨砜 Tetradifon（0.010）
胺菊酯 Tetramethrin（0.010）
杀螨氯硫 Tetrasul（0.010）
甲基立枯磷 Tolclofos-methyl（0.010）
三甲苯草酮 Tralkoxydim（0.010）
反氯丹 Trans-chlordane（0.010）
反式溴氰菊酯 Trans-deltamethrin（0.010）
甲基五氯苯基硫醚 Methyl-pentachlorophenyl-sulfide（0.010）
反式九氯 Trans-nonachlor（0.010）
三唑酮 Triadimefon（0.010）
三唑醇 Triadimenol（0.010）
唑蚜威 Triazamate（0.010）
三唑磷 Triazophos（0.010）
脱叶磷 Tribufos（0.010）
毒壤磷 Trichloronate（0.010）
肟菌酯 Trifloxystrobin（0.010）
氟菌唑 Triflumizole（0.010）
N-（2,4-二甲苯基）甲酰胺 N-(2,4-Dimethylphenyl)-formamide（0.010）
氟菌唑代谢物 Triflumizole metabolite（0.010）
氟乐灵 Trifluralin（0.010）
灭菌唑 Triticonazole（0.010）
烯效唑 Uniconazole（0.010）
氟草敏-脱甲基/去甲基氟草敏 Norflurazon-desmethyl（0.010）
苯酰菌胺/苯酰草胺 Zoxamide（0.010）
α-硫丹 α-Endosulfan（0.010）

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## 参数信息附表 Parameter addendum

| | | |
|---|---|---|
| 敌瘟磷 Edifenphos（0.010） | o,p'-滴滴涕 o,p'-DDT（0.010） | α-六六六 α-HCH（0.010） |
| 硫丹（总量）Endosulfan(sum)（0.010） | 2,4'-三氯杀螨醇 o,p'-Dicofol（0.010） | β-硫丹 β-Endosulfan（0.010） |
| β-六六六 β-HCH（0.010） | 呋酰胺 Ofurace（0.010） | 硫丹硫酸酯/硫丹硫酸盐 Endosulfan sulfate（0.010） |
| 异狄氏剂 Endrin（0.010） | 氧乐果/氧化乐果 Omethoate（0.010） | γ-六六六 γ-HCH（0.010） |
| 苯硫磷酯/苯硫磷 EPN（0.010） | 噁草酮/恶草酮 Oxadiazon（0.010） | δ-六六六 δ-HCH（0.010） |
| 氟环唑 Epoxiconazole（0.010） | 噁霜灵/恶霜灵 Oxadixyl（0.010） | ε-六六六 ε-HCH（0.010） |
| 吡草醚 Pyraflufen-Ethyl（0.010） | 叶菌唑 Metconazol（0.010） | 苄氯三唑醇 Diclobutrazol（0.010） |
| 环嗪酮 Hexazinone（0.010） | 呋嘧醇 Flurprimidol（0.010） | 氟噻草胺 Flufenacet（0.010） |
| 苯锈啶 Fenpropidin（0.010） | 酯菌胺 Cyprofuram（0.010） | 醚菌胺 Dimoxystrobin（0.010） |
| 三环唑 Tricyclazole（0.010） | 敌草净 Desmetryn（0.010） | 特草定 Terbacil（0.010） |
| 炔草酯 Clodinafop-Propargyl（0.010） | 拌种胺 Furmecyclox（0.010） | 特丁通 Terbumeton（0.010） |
| 特丁津 Terbuthylazine（0.010） | 氟吡酰草胺 Picolinafen（0.010） | 蔬草灭 Pentanochlor（0.010） |
| 毒草胺 Propachlor（0.010） | 仲草丹 Tiocarbazil（0.010） | 环丙嘧啶醇 Ancymidol（0.010） |
| 吡唑草胺 Metazachlor（0.010） | 扑灭通 Prometon（0.010） | 解毒喹 Cloquintocet-mexyl（0.010） |
| 西嗪草酮 Isomethiozin（0.010） | 牧草胺 Tebutam（0.010） | 四氟苯菊酯 Transfluthrin（0.010） |
| 特丁净 Terbutryn（0.010） | 草达津 Trietazine（0.010） | 去乙基莠去津 Atrazine, Desethyl-（0.010） |
| S-氰戊菊酯 Esfenvalerate（0.010） | 敌乐胺 Dinitramin（0.010） | 异丙净 Dipropetryn（0.010） |
| 参数 Parameter | 方法 Method | 仪器 Instrument |
| 169 项农残 Pesticide residues 169 parameters | GB/T 20770-2008 | LC-MS/MS |
| 萘酚 1-Naphthol（0.010） | 呋虫胺/丁诺特呋喃 Dinotefuran（0.010） | 亚砜磷总量 Oxydemeton-methyl(sum)（0.010） |
| 阿维菌素 Abamectin（0.010） | 乙拌磷亚砜/砜拌磷 Disulfoton-sulfoxide（0.010） | 戊菌隆 Pencycuron（0.010） |
| 阿维菌素 B1aAbamectin B1a（0.010） | 埃玛菌素 Emamectin（0.010） | 甜菜宁 Phenmedipham（0.010） |
| 阿维菌素 B1bAbamectin B1b（0.010） | 埃玛菌素总量 Emamectin(sum)（0.010） | 苯醚菊酯/苯醚菊脂 Phenothrin（0.010） |
| 啶虫脒 Acetamiprid（0.010） | 甲拌磷总量 Phorate(sum)（0.010） | 甲氨基阿维菌素苯甲酸盐 Emamectin benzoate（0.010） |
| 涕灭威 Aldicarb（0.010） | 乙硫苯威砜 Ethiofencarb-sulfone（0.010） | 甲拌酯 Phorate-oxon（0.010） |
| 涕灭威总量 Aldicarb(sum)（0.010） | 乙硫苯威亚砜 Ethiofencarb-sulfoxide（0.010） | 甲拌磷氧亚砜 Phorate-oxon-sulfoxide（0.010） |
| 涕灭威亚砜 aldicarb-sulfoxide（0.010） | 乙虫腈/乙虫清 Ethiprole（0.010） | 硫环磷 Phosfolan（0.010） |
| 涕灭威砜 Alidicarb-sulfone（0.010） | 乙氧呋草黄 Ethofumesate（0.010） | 辛硫磷 Phoxim（0.010） |
| 丙烯菊酯/烯丙菊酯 Allethrin（0.010） | 乙氧喹啉/促长啉 Ethoxyquin（0.010） | 丙炔菊酯/炔丙菊酯 Prallethrin（0.010） |
| 双甲脒 Amitraz（0.010） | 依杀螨/乙螨唑 Etoxazole（0.010） | 甲基氟嘧磺隆 Primisulfuron-methyl（0.010） |
| 双甲脒总量 Amitraz(sum)（0.010） | 伐灭磷/氨磺磷 Famphur（0.010） | 炔螨特 Propargite（0.010） |
| 磺草灵 Asulam（0.010） | 咪唑菌酮 Fenamidone（0.010） | 丙森锌 Propineb（0.010） |
| 莠去津/阿特拉津 Atrazine（0.010） | 苯线磷 Fenamiphos（0.010） | 氟磺隆 Prosulfuron（0.010） |
| 四唑嘧磺隆 Azimsulfuron（0.010） | 苯线磷总量 Fenamiphos (sum)（0.010） | 吡唑醚菌酯/百克敏 Pyraclostrobin（0.010） |
| 苯菌灵 Benomyl（0.010） | 苯线磷砜/克线磷砜 Fenamiphos-sulfone（0.010） | 除虫菊酯 Pyrethrins（0.010） |
| 苄嘧磺隆 Bensulfuron-methyl（0.010） | 苯线磷亚砜 Fenamiphos-sulfonxide（0.010） | 三氟甲吡醚/啶虫丙醚 Pyridalyl（0.010） |
| 联苯肼酯 Bifenazate（0.010） | 环酰菌胺 Fenhexamid（0.010） | 苄呋菊酯/苄蚊菊酯 Resmethrin（0.010） |
| 除草定 Bromacil（0.010） | 唑螨酯 Fenpyroximate（0.010） | 砜嘧磺隆 Rimsulfuron（0.010） |
| 丁酮威 Butocarboxim（0.010） | 丰索磷氧砜 Fensulfothion-Oxon-Sulfone（0.010） | 鱼藤酮 Rotenone（0.010） |
| 丁酮威总量 Butocarboxim(sum)（0.010） | 倍硫磷氧化物/氧倍硫磷 Fenthion-Oxon（0.010） | 单甲脒 Semiamitraz（0.010） |
| 丁酮威亚砜 Butocarboxim-sulfoxide（0.010） | 倍硫磷氧砜 Fenthion-oxon-sulfone（0.010） | 烯禾啶/稀禾定 Sethoxydim（0.010） |
| 丁酮砜威 Butoxycarboxim（0.010） | 倍硫磷氧亚砜 Fenthion-oxon-sulfoxide（0.010） | 硅噻菌胺 Silthiofam（0.010） |
| 多菌灵 Carbendazim（0.010） | 氟啶虫酰胺 Flonicamid（0.010） | 乙基多杀菌素 Spinetoram（0.010） |
| 多菌灵总量 Carbendazim(sum)（0.010） | 氟虫脲 Flufenoxuron（0.010） | 多杀霉素总量 Spinosad(sum)（0.010） |
| 克百威 Carbofuran（0.010） | 氟吡菌胺 Fluopicolide（0.010） | 多杀霉素 A/多杀菌素 A Spinosad A（0.010） |
| 克百威总量 Carbofuran(sum)（0.010） | 氟嘧菌酯 Fluoxastrobin（0.010） | 多杀霉素 D/多杀菌素 D Spinosad D（0.010） |
| 3-羟基克百威 Carbofuran-3-hydroxy（0.010） | 氟啶酮/氟啶草酮 Fluridone（0.010） | 螺螨酯 Spirodiclofen（0.010） |
| 3-酮基克百威 Carbofuran-3-keto（0.010） | 氟磺胺草醚 Fomesafen（0.010） | 螺虫乙酯 Spirotetramat（0.010） |
| 氯虫苯甲酰胺 Chlorantraniliprole（0.010） | 地虫硫磷 Fonofos（0.010） | 螺虫乙酯 S3 Spirotetramat-enol（0.010） |
| 灭幼脲 Chlorbenzuron（0.010） | 氯吡脲 Forchlorfenuron（0.010） | 螺虫乙酯 S1 Spirotetramat-enol-glucoside（0.010） |
| 氟啶脲 Chlorfluazuron（0.010） | 伐虫脒 Formetanate（0.010） | 螺虫乙酯 S2 Spirotetramat-keto-hydroxy（0.010） |
| 膦基聚羧酸/氯草敏 Chloridazon（0.010） | 呋霜灵 Furalaxyl（0.010） | 螺虫乙酯 S4 Spirotetramat-mono-hydroxy（0.010） |
| 氯甲硫磷 Chlorthiophos（0.010） | 氟吡甲禾灵 Haloxyfop-methyl（0.010） | 得杀草/吡喃草酮 Tepraloxydim（0.010） |
| 环虫酰肼 Chromafenozide（0.010） | 高效氟吡甲禾灵 Haloxyfop-P-methyl（0.010） | 噻菌灵 Thiabendazole（0.010） |
| 烯草酮 Clethodim（0.010） | 噻螨酮 Hexythiazox（0.010） | 5-羟基噻苯达唑 Thiabendazole-5-hydroxy（0.010） |
| 烯草酮砜 Clethodim-sulfone（0.010） | 吡虫啉 Imidacloprid（0.010） | 噻虫啉 Thiacloprid（0.010） |

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Alex Stewart Agriculture

## 参数信息附表 Parameter addendum

| | | |
|---|---|---|
| 烯草酮亚砜 Clethodim-sulfoxide（0.010） | 茚虫威 Indoxacarb（0.010） | 噻虫嗪 Thiamethoxam（0.010） |
| 四螨嗪 Clofentezine（0.010） | 碘甲磺隆 Iodosulfuron-methyl（0.010） | 噻虫嗪总量 Thiamethoxam(sum)（0.010） |
| 噻虫胺 Clothianidin（0.010） | 异马拉硫磷 Iso-malathion（0.010） | 噻吩磺隆 Thifensulfuron-methyl（0.010） |
| 蝇毒磷 Coumaphos（0.010） | 环草定 Lenacil（0.010） | 禾草丹 Thiobencarb（0.010） |
| 氰草津 Cyanazine（0.010） | 虱螨脲 Lufenuron（0.010） | 硫双威 Thiodicarb（0.010） |
| 氰霜唑 Cyazofamid（0.010） | 双苯酰草胺 Diphenamid（0.010） | 久效威砜 Thiofanox-sulfone（0.010） |
| 丁氟螨酯 Cyflumetofen（0.010） | 灭虫威砜/甲硫威砜 Methiocarb-sulfone（0.010） | 久效威亚砜 Thiofanox-sulfoxide（0.010） |
| 霜脲氰 Cymoxanil（0.010） | 灭多威 Methomyl（0.010） | 甲基硫菌灵/甲基托布津 Thiophanate-methyl（0.010） |
| 灭蝇胺 Cyromazine（0.010） | 甲氧虫酰肼 Methoxyfenozide（0.010） | 唑虫酰胺 Tolfenpyrad（0.010） |
| 甲基内吸磷砜 Demeton-S-methyl-sulfone（0.010） | 避蚊胺 N,N-Diethyl-m-toluamide（0.010） | 醚苯磺隆 Triasulfuron（0.010） |
| 脱甲基-甲酰氨基-抗蚜威 Desmethyl-formamido-pirimicarb（0.010） | 敌草胺/草萘胺 Napropamide（0.010） | 苯磺隆 Tribenuron-methyl（0.010） |
| 丁醚脲 Diafenthiuron（0.010） | 草不隆 Neburon（0.010） | 敌百虫 Trichlorfon（0.010） |
| 二嗪磷/二嗪农 Diazinon（0.010） | 烟嘧磺隆 Nicosulfuron（0.010） | 十三吗啉 Tridemorph（0.010） |
| 二嗪磷氧同系物 Diazinon-O-analog（0.010） | 烯啶虫胺 Nitenpyram（0.010） | 三氟啶磺隆 Trifloxysulfuron（0.010） |
| 二溴磷 Dibrom（0.010） | 哒草伏/氟草敏 Norflurazon（0.010） | 杀铃脲 Triflumuron（0.010） |
| 百治磷 Dicrotophos（0.010） | 氟酰脲/双苯氟脲 Novaluron（0.010） | 氟胺磺隆 Triflusulfuron-methyl（0.010） |
| 除虫脲/氟脲杀 Diflubenzuron（0.010） | 杀线威肟 Oxamyl-oxime（0.010） | 蚜灭磷/蚜灭多 Vamidothion（0.010） |
| 甲基毒虫畏 Dimethylvinphos（0.010） | 亚砜磷 Oxydemeton-methyl（0.010） | 蚜灭多砜 Vamidothion-sulfone（0.010） |
| 吡氟氯禾灵/氟吡禾灵 Haloxyfop（0.010） | 甲基对氧磷 Paraoxon-methyl（0.010） | 虫酰肼 Tebufenozide（0.010） |
| 抗倒酯 Trinexapac-ethyl（0.010） | / | / |
| 参数 Parameter | 方法 Method | 仪器 Instrument |
| 4 项农残 Pesticide residues 4 parameters | ASACN-01 | LC-MSMS |
| 2,4-滴 2,4-D（0.010） | 矮壮素 Chlormequat（0.010） | 甲哌鎓/助壮素 Mepiquat（0.010） |
| 乙烯利 Ethephon（0.010） | / | / |
| 参数 Parameter | 方法 Method | 仪器 Instrument |
| 3 项农残 Pesticide residues 3 parameters | ASACN-05 | LC-MSMS |
| 氨甲基膦酸 Aminomethyl Phosphonic Acid（0.010） | 草铵膦 Glufosinate-ammonium（0.010） | 草甘膦 Glyphosate（0.010） |

*报告结束 END*

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中国认可
检测
TESTING
CNAS L3788

# Analytical Report

| | | | |
|---|---|---|---|
| **Sample Code** | **502-2020-00110135** | **Report date** | **14-Dec-2020** |
| **Certificate No.** | **AR-20-SU-089262-01** | | |

**QINGCHENG JIAHUI FOOD CO.,LTD**

YIMA INDUSTRIAL ZONE,
QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA

| | |
|---|---|
| **Our reference:** | 502-2020-00110135/ AR-20-SU-089262-01 |
| **Client Sample Code:** | IRC-20-00343S-02 (6200/1300120220) |
| **Sample described as:** | Pumpkin seed kernels,shine skin Grade A |
| **Sample Packaging:** | Sealed plastic bag |
| **Sample reception date:** | 12-Dec-2020 |
| **Analysis Starting Date:** | 12-Dec-2020 |
| **Analysis Ending Date:** | 14-Dec-2020 |
| **Arrival Temperature (°C)** | 20 |
| **Sample Weight** | 500g |
| **Sample Type** | Solid |

| | | Results | Unit | LOQ | LOD |
|---|---|---|---|---|---|
| **# SUS27** | Pesticide Screening(GC) Method: BS EN 15662:2018 | | | | |
| | Screened pesticides | **<LOQ** | mg/kg | | |
| **# SUS28** | Pesticide Screening(LC) Method: BS EN 15662:2018 | | | | |
| | Screened pesticides | **<LOQ** | mg/kg | | |

## List of screened molecules (* = limit of quantification)

### SUS27 Pesticide Screening(GC) (LOQ* mg/kg)

- 2-Phenylphenol (0.01)
- Acetochlor (0.01)
- Aldrin (0.01)
- Ametryne (0.01)
- Aramite (0.01)
- Atrazine (0.01)
- Bifenthrin (0.01)
- Biphenyl (0.01)
- Bromopropylate (0.01)
- Butachlor (0.01)
- Captan (0.01)
- Captan/THPI (Sum calculated as Captan) ()
- Chlordane (Sum) ()
- Chlordane, alpha (0.01)
- Chlordane, gamma (0.01)
- Chlorfenapyr (0.01)
- Chlorfenvinphos (0.01)
- Chlorothalonil (0.01)
- Chlorpyrifos-methyl (0.01)
- Chlorthal-dimethyl (0.01)
- Cyanophos (0.02)
- Cyfluthrin (0.01)
- Cyhalothrin, lambda-(incl. Cyhalothrin, gamma-) (0.01)
- Cypermethrin (0.02)
- DDD, o,p'- (0.01)
- DDD, p,p'- (0.01)
- DDE, o,p'- (0.01)
- DDE, p,p'- (0.01)
- DDT (Sum) ()
- DDT, o,p'- (0.01)
- DDT, p,p'- (0.01)
- Deltamethrin (0.02)
- Dichlofluanid (0.01)
- Dichlorobenzophenone o,p' (0.01)
- Dichlorobenzophenone p,p' (0.01)
- Dichlorvos (0.01)
- Dicloran (0.01)
- Dicofol (Sum) ()
- Dicofol, o,p'- (0.01)
- Dicofol, p,p'- (0.01)
- Dieldrin (0.01)
- Dieldrin (Sum) ()
- Diphenylamine (0.01)
- Endosulfan (Sum) ()
- Endosulfan, alpha- (0.01)
- Endosulfan, beta- (0.01)
- Endosulfan, sulfat- (0.01)
- Endrin (0.01)
- EPN (0.01)
- Ethion (0.01)
- Etrimfos (0.01)
- Famoxadone (0.01)
- Fenamiphos (0.01)
- Fenitrothion (0.01)
- Fenpropathrin (0.01)
- Fenvalerate & Esfenvalerate (Sum of RS&SR Isomers) (0.01)
- Fenvalerate & Esfenvalerate( sum of RR,SS,RS,SR) ()
- Fenvalerate & Esfenvalerate(Sum of RR&SS Isomers) (0.01)
- Flucythrinate (0.01)
- Fluvalinate-tau (0.01)
- Fonofos (0.01)
- HCB (0.01)
- HCH gamma(Lindan) (0.01)
- HCH, alpha- (0.01)
- HCH, beta- (0.01)
- HCH, delta- (0.01)
- HCH, epsilon- (0.01)
- Heptachlor (0.01)
- Heptachlor (Sum) ()
- Heptachlor epoxide cis (0.01)
- Heptachlor epoxide trans (0.01)
- Heptenophos (0.01)
- Iprobenfos (0.01)
- Isazofos (0.01)
- Isocarbophos (0.01)
- Isofenphos (0.01)
- Isofenphos-methyl (0.01)
- Isoprothiolane (0.01)
- Kresoxim-methyl (0.01)
- Malaoxon (0.01)
- Malathion (Sum) ()
- Methidathion (0.01)
- Methoxychlor (0.01)
- Mevinphos (0.01)
- Mirex (0.01)
- Nitrothal-isopropyl (0.01)
- Octachlorodipropyl ether (S-421) (0.01)
- Paclobutrazol (0.01)
- Parathion (0.01)
- Parathion-methyl (0.02)
- Parathion-methyl (Sum) ()
- Pentachloroaniline (0.01)
- Permethrin (0.01)
- Phenthoate (0.01)
- Phorate (0.01)
- Pirimiphos-ethyl (0.01)
- Procymidone (0.01)
- Profenofos (0.01)
- Prometryn (0.01)
- Propanil (0.01)
- Pyrazophos (0.01)
- Pyridaphenthion (0.01)
- Pyrifenox (0.01)
- Pyrimethanil (0.01)
- Quinalphos (0.01)
- Quintozene (0.01)
- Quintozene (Sum) ()
- Tebufenpyrad (0.01)
- Tecnazene (0.01)
- Tefluthrin (0.01)
- Terbufos (0.01)
- Tetrachlorvinphos (0.01)
- Tetradifon (0.01)
- Tetrahydrophthalimide (THPI) (0.01)
- Tolylfluanid (0.01)
- Triazophos (0.01)
- Trifluralin (0.01)
- Vinclozolin (0.01)

### SUS28 Pesticide Screening(LC) (LOQ* mg/kg)

- 3-Hydroxycarbofuran (0.01)
- Abamectin (Sum) ()
- Acephate (0.01)
- Acetamiprid (0.01)
- Alachlor (0.01)
- Aldicarb (0.01)
- Aldicarb (Sum) ()
- Aldicarb-sulfone (0.01)
- Aldicarb-sulfoxide (0.01)
- Amitraz (0.01)
- Avermectin B1a (0.01)
- Avermectin B1b (0.01)
- Azinphos-methyl (0.01)
- Azoxystrobin (0.01)
- Benalaxyl including other mixtures of constituent (0.01)
- Bendiocarb (0.01)
- Benoxacor (0.01)
- Bensulfuron methyl (0.01)
- Bentazone (0.01)
- Bitertanol (0.01)
- Boscalid (0.01)
- Bupirimate (0.01)
- Buprofezin (0.01)
- Carbaryl (0.01)
- Carbendazim (0.005)
- Carbendazim/Benomyl (sum) (0.005)
- Carbofuran (0.002)
- Carbofuran (sum) ()
- Carbosulfan (0.01)
- Carfentrazone-ethyl (0.01)
- Chlorantraniliprole (0.01)
- Chlorfluazuron (0.01)
- Chlorobenzuron (0.01)
- Chlorpyrifos (-ethyl) (0.01)
- Chromafenozide (0.01)
- Clethodim (0.01)

**Eurofins Tech. Service (Suzhou) Co., Ltd**
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DAkkS Deutsche Akkreditierungsstelle D-PL-14292-01-00

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| | | | | | |
|---|---|---|---|---|---|
| ▵ Clofentezine (0.01) | ▵ Clothianidin (0.01) | ▵ Cymoxanil (0.01) | ▵ Cyproconazole (0.01) | ▵ Cyromazine (0.01) | ▵ Demeton-S-methyl (0.01) |
| ▵ Demeton-S-methyl-sulfone (0.01) | ▵ Diazinon (0.01) | ▵ Diethofencarb (0.01) | ▵ Difenoconazole (0.01) | ▵ Diflubenzuron (0.01) | ▵ Diflufenican (0.01) |
| ▵ Dimethoate (0.01) | ▵ Dimethomorph (0.01) | ▵ Diniconazole (0.01) | ▵ Dinotefuran (0.01) | ▵ Epoxiconazole (0.01) | ▵ Ethoprophos (0.01) |
| ▵ Ethoxyquin (0.01) | ▵ Etofenprox (0.01) | ▵ Fenarimol (0.01) | ▵ Fenazaquin (0.01) | ▵ Fenhexamid (0.01) | ▵ Fenobucarb (0.01) |
| ▵ Fenthion (0.01) | ▵ Fipronil (0.005) | ▵ Fipronil (sum) () | ▵ Fipronil-sulfide (0.01) | ▵ Fipronil-sulfone (0.01) | ▵ Fluazifop-P-butyl (0.01) |
| ▵ Fludioxonil (0.01) | ▵ Flusilazole (0.01) | ▵ FM-6-1 (metabolite triflumizole) (0.01) | ▵ Formetanate (0.01) | ▵ Hexaconazole (0.01) | ▵ Hexythiazox (0.01) |
| ▵ Imazalil (any ratio of constituent isomers) (0.01) | ▵ Imidacloprid (0.01) | ▵ Indoxacarb (sum, R+S isomers) (0.01) | ▵ Iprodione (0.01) | ▵ Iprovalicarb (0.01) | ▵ Isoprocarb (0.01) |
| ▵ Linuron (0.01) | ▵ Malathion (0.01) | ▵ Metalaxyl (0.01) | ▵ Methamidophos (0.01) | ▵ Methomyl (0.01) | ▵ Metolachlor (0.01) |
| ▵ Monocrotophos (0.01) | ▵ Myclobutanil (0.01) | ▵ Napropamide (0.01) | ▵ Neburon (0.01) | ▵ Omethoate (0.01) | ▵ Oxadixyl (0.01) |
| ▵ Oxydemeton-methyl (0.01) | ▵ Oxydemeton-methyl (sum) () | ▵ Paraoxon-methyl (0.01) | ▵ Penconazole (0.01) | ▵ Pendimethalin (0.01) | ▵ Phorate (Sum) () |
| ▵ Phorate-sulfone (0.01) | ▵ Phorate-sulfoxide (0.01) | ▵ Phosalone (0.01) | ▵ Phosmet (0.01) | ▵ Phoxim (0.01) | ▵ Piperonyl butoxide (0.01) |
| ▵ Pirimicarb (0.01) | ▵ Pirimiphos-methyl (0.01) | ▵ Prochloraz (0.01) | ▵ Propamocarb (Sum of propamocarb and its salts, exp (0.01) | ▵ Propargite (0.01) | ▵ Propham (0.01) |
| ▵ Propiconazole (sum of isomers) (0.01) | ▵ Propoxur (0.01) | ▵ Propyzamide (0.01) | ▵ Pyrethrins (0.01) | ▵ Pyridaben (0.01) | ▵ Pyrimethanil (0.01) |
| ▵ Pyriproxyfen (0.01) | ▵ Quinoxyfen (0.01) | ▵ Simazine (0.01) | ▵ Spiromesifen (0.01) | ▵ Tebuconazole (0.01) | ▵ Tebufenozide (0.01) |
| ▵ Tetraconazole (0.01) | ▵ Thiabendazole (0.01) | ▵ Thiacloprid (0.01) | ▵ Thiamethoxam (0.01) | ▵ Thiophanate-methyl (0.01) | ▵ Tolclofos-methyl (0.01) |
| ▵ Triadimenol (0.01) | ▵ Trichlorfon (0.01) | ▵ Tricyclazole (0.01) | ▵ Tridemorph (0.01) | ▵ Triflumizol/FM-6-1 (Sum) () | ▵ Triflumizole (0.01) |
| ▵ Zoxamide (0.01) | | | | | |

**SIGNATURE**

Leo Chen
Authorized Signatory

**EXPLANATORY NOTE**

LOQ: Limit of Quantification
< LOQ: Below Limit of Quantification
N/A means Not applicable
Sum compounds results are calculated from the results of each quantified compound as set by regulation

▵ CNAS # DAkkS □CMA
☆ means the test is subcontracted within Eurofins group
◎ means the test is subcontracted outside Eurofins group

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TESTING
CNAS L0599

# Test Report

ASH20-075770-01 Date: 14 Dec 2020

Client Name: QINGCHENGXIAN JIAHUI FOOD CO.,LTD
Client Address: YI MA INDUSTRIAL ZONE, QINGYANG CITY, GANSU, CHINA

| | |
|---|---|
| Sample Name: | SHINE SKIN PUMPKIN SEED KERNELS,AA GRADE |
| Manufacturer: | QINGCHENG JIAHUI FOOD CO.,LTD |
| Sample Batch No.: | P12167-001 |
| Production Date: | 2020/12/02 |

---

**Above information and sample(s) was/were submitted and certified by the client, SGS quoted the information with no responsibility as to the accuracy, adequacy and/or completeness.**

| | |
|---|---|
| Date of Sample Received : | 04 Dec 2020 |
| Testing Period : | 04 Dec 2020 - 14 Dec 2020 |
| Test Requested : | Selected test(s) as requested by client. |
| Test Method : | Please refer to next page(s). |
| Test Result(s) : | Please refer to next page(s). |

**Unless otherwise stated the results shown in this test report refer only to the items tested, and for clients internal use only, not to the society has the proof function. This document cannot be used for improper publicity, without prior written approval of the SGS.**

scan to see the report
ASH20-075770-01

SGS Authorized Signature

SGS-CSTC Standards Technical Services (Shanghai) Co., Ltd.



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# Test Report

ASH20-075770-01

Date: 14 Dec 2020

Sample Description :

| Specimen No. | SGS Sample ID | Description |
|---|---|---|
| 1 | ASH20-075770.001 | sample in bag |

Microbial test

**Test Result(s) :**

| Test Item(s) | Unit | Test Method(s) | Test Result(s) 001 |
|---|---|---|---|
| Salmonella | /25 g | FDA/BAM online Chapter 5 | ND |
| Mould | CFU/g | FDA/BAM online chapter 18 | <10 |
| Yeast | CFU/g | FDA/BAM online chapter 18 | <10 |
| Coliforms | CFU/g | FDA/BAM online chapter 4 | <10 |
| Aerobic Plate Count | CFU/g | FDA/BAM online Chapter 3 | 5.7x10^3 |
| Listeria spp. | /25 g | ISO 11290-1:2017 | ND |
| Escherichia Coliform | CFU/g | FDA/BAM online Chapter 4 | <10 |

Chemical test

**Test Result(s) :**

| Test Item(s) | Unit | Test Method(s) | Test Result(s) 001 | LOQ |
|---|---|---|---|---|
| Free fatty Acid | g/100 g | AOAC 940.28 | 0.32 | - |
| Peroxide value | meq/kg | AOCS Cd 8b-90(Reapproved 2017) | 2.00 | - |
| Aflatoxin $B_1$ | µg/kg | GB 5009.22-2016 III | ND | 0.30 |
| Aflatoxin $B_2$ | µg/kg | GB 5009.22-2016 III | ND | 0.20 |
| Aflatoxin $G_1$ | µg/kg | GB 5009.22-2016 III | ND | 0.30 |
| Aflatoxin $G_2$ | µg/kg | GB 5009.22-2016 III | ND | 0.20 |
| Aflatoxin($B_1$+$B_2$+$G_1$+$G_2$) | µg/kg | GB 5009.22-2016 III | ND | - |
| Moisture | g/100 g | GB 5009.3-2016 I | 7.40 | - |



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# Test Report

ASH20-075770-01

Date: 14 Dec 2020

Remark:
1.ND = Not Detected
2.LOQ = Limit of Quantitation

*** End ***



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检测
TESTING
CNAS L13193

# Analytical Report

| | | | |
|---|---|---|---|
| Sample Code | 201-2021-00002335 | Report date | 31-Jan-2021 |
| Certificate No. | AR-21-EJ-001418-01 | | |

QINGCHENG JIAHUI FOOD CO.,LTD

YIMA INDUSTRIAL ZONE,QINGCHENG COUNTY,
QINGYANG CITY,GANSU,CHINA

| | |
|---|---|
| Our reference: | 201-2021-00002335/ AR-21-EJ-001418-01 |
| Client Sample Code: | PO67008 |
| Sample described as: | Organic Pumpkinseed Kernels shine skin AA grade |
| Sample Packaging: | Plastic bag |
| Sample reception date: | 26-Jan-2021 |
| Analysis Starting Date: | 26-Jan-2021 |
| Analysis Ending Date: | 31-Jan-2021 |

| | | | |
|---|---|---|---|
| Arrival Temperature (°C) | 5.9 | Sample Weight | 500g |
| Sample Type | Solid | | |

| | | Results | Unit | LOQ | LOD |
|---|---|---|---|---|---|
| ▵ EJ01D | Moulds and Yeasts Method: ISO 21527-2: 2008 | | | | |
| | Moulds | 10 | cfu/g | | |
| | Yeast | <10 | cfu/g | | |
| ▵ EJ013 | Aerobic plate count Method: ISO 4833-1:2013 | | | | |
| | Aerobic plate count | 4500 | cfu/g | | |
| ▵ EJ015 | Escherichia coli Method: ISO 16649-2:2001 | | | | |
| | Escherichia coli | <10 | cfu/g | | |
| ▵ EJ018 | Coliforms Method: ISO 4832:2006 | | | | |
| | Coliforms | <10 | cfu/g | | |
| ▵ EJ01H | Coagulase-positive staphylococci Method: ISO 6888-1:2003 | | | | |
| | Coagulase positive staphylococci | <10 | cfu/g | | |
| ▵ EJ0A7 | Salmonella Method: ISO 6579-1:2017 | | | | |
| | Salmonella | Not Detected | /25 g | | |

SIGNATURE

Jodie Liu
Authorized Signatory

Eurofins Food Testing Service (Dalian) Co., Ltd.
5 floors, Building 1, No. 107 Guangxian Road,
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**EXPLANATORY NOTE**

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▵ CNAS
☆ means the test is subcontracted within Eurofins group
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# Audit Report

| 1.Audit Summary | | | |
|---|---|---|---|
| Company name | Qingcheng Jiahui Food Co., Ltd. | Site Code | 1609843 |
| Site name | Qingcheng Jiahui Food Co., Ltd. | | |
| Scope of audit | Gravity and Color Sorting, Grading, Shell Hulling (only for Pumpkin Kernels), Drying, Sterilization, Packing of Shelled Sunflower Kernels, Pumpkin Kernels and Watermelon Kernels into PE Bag with Carton Box or Paper Bag. | | |
| Exclusions from scope | None | | |
| Justification for exclusion | None | | |
| Audit Start Date | 2020-12-24 | Audit Finish Date | 2020-12-25 |
| Re-audit due date | 2021-12-27 | Head Office | No |

| Additional modules included | | | |
|---|---|---|---|
| Modules | Result | Scope | Exclusions from Scope |
| Choose a module | Choose an item | N/A | |
| Choose a module | Choose an item | | |

| 2. Audit Results | | | | | |
|---|---|---|---|---|---|
| Audit result | Certificated | Audit grade | B | Audit type | Announced |
| Previous audit grade | B | Previous audit date | 2019-12-25 | | |
| Certificate issue date | 2021-02-15 | Certificate expiry date | 2022-02-07 | | |

| | | |
|---|---|---|
| Number of non-conformities | Fundamental | 0 |
| | Critical | 0 |
| | Major | 1 |
| | Minor | 8 |



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## 3.Company Details

| | | | |
|---|---|---|---|
| Address | Industrial Park Yima Town, Qingcheng County, Qingyang City, Gansu Province | | |
| Country | P.R. China | Site Telephone Number | +8618193482267 |
| Commercial representative Name | Mr. Xue Qiang | Email | 290577845@qq.com |
| Technical representative Name | Mr. Xue Qiang | Email | 290577845@qq.com |

## 4.Company Profile

| | | | | | |
|---|---|---|---|---|---|
| Plant size (metres square) | <10K sq.m | No. of employees | 1-50 | No. of HACCP plans | 1-3 |

| | |
|---|---|
| Shift Pattern | 1 shift,7:30-18:30. |
| Subcontracted processes | No |
| Other certificates held | HACCP, FSMS, KOSHER, EOS/NOP Organic |
| Regions exported to | Europe<br>Asia<br>North America<br>Choose a region<br>Choose a region<br>Choose a region |
| Company registration number | 6200/13001 |
| Major changes since last BRCGS audit | No |



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## 4.Company Profile

Qingcheng Jiahui Food Co., Ltd. was founded in year of 2016 and is located at Industrial Park Yima Town Qingcheng county Qingyang City, Gansu Province, P.R. China The company has about 40 employees (26 employees in the workshops, 8 hours/1shift/6day) for the audited product and production line in the constructed site size of approx 6000 square meters with 4200 square meters workshops. 1 production workshop, 2 production lines.
The annual capacity of the company is 8,000 tons of raw materials processing, and in 2020, the company will process about 6,000 tons of raw materials.
All the products are exported abroad by this company or other trading companies.
The main sales countries and regions are the European Union, the United States and South Korea.

## 5.Product Characteristics

| | |
|---|---|
| Product categories | 05 - Fruits, vegetables and nuts<br>15 - Dried food and ingredients<br>Category<br>Category |
| Finished product safety rationale | The moisture content of the product is less than 7%, and the pumpkin seeds are sterilized by steam. Products are vacuum-packed in plastic bags. The product is kept at room temperature for 12 months. |

| | | | | | |
|---|---|---|---|---|---|
| High care | No | High risk | No | Ambient high care | No |

| | |
|---|---|
| Justification for area | The product is stored at room temperature and not ready to eat. The product is sterilized before application. According to the judgment tree of BRCGS, there are only low risk areas and product closed areas. |
| Allergens handled on site | None<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen |
| Product claims made e.g. IP, organic | Kosher, Organic |



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## 5.Product Characteristics

| | |
|---|---|
| Product recalls in last 12 Months | No |
| Products in production at the time of the audit | Pumpkin seed kernel |

## 6.Audit Duration Details

| | | | |
|---|---|---|---|
| On-site duration | 18 man hours | Duration of production facility inspection | 9 man hours |
| Reasons for deviation from typical or expected audit duration | The 18 man hours audit was completed in 2 days. | | |
| Next audit type selected | Announced | | |

## Audit Duration per day

| Audit Day | Date | Start Time | Finish time |
|---|---|---|---|
| 1 | 2020-12-24 | 7:30 | 18:00 |
| 2 | 2020-12-25 | 7:30 | 18:30 |

| | Auditor number | Name | Role |
|---|---|---|---|
| Auditor Number | 20653 | Zhongwei Wang | Lead Auditor |
| Second Auditor Number | N/A | | Please select |

## Present at audit

Note: the most senior operations manager on site should be listed first and be present at both opening & closing meetings (ref: clause 1.1.11)

| Name/Job Title | Opening Meeting | Site Inspection | Procedure Review | Closing Meeting |
|---|---|---|---|---|
| Mr. Xue / GM | X | X | | X |
| Mr.Xue / purchasing manager | X | | X | X |
| Mr. Xue / Trade Supervisor | X | | X | X |



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| | | | | |
|---|---|---|---|---|
| Wang Cunbin / Office Supervisor | X | X | X | X |
| Ms. Zhang /QC | X | X | X | X |
| Ms. Tian / QC | X | X | X | X |

| GFSI Audit History | | |
|---|---|---|
| Date | Scheme/Standard | Announced/Unannounced |
| | | |



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# Non-Conformity Summary Sheet

| Critical or Major Non Conformities Against Fundamental Requirements | | | | |
|---|---|---|---|---|
| No | Clause | Detail | Critical or Major | Ant. re-audit date |
| | | | | |
| | | | | |

| Critical | | | |
|---|---|---|---|
| No. | Clause | Detail | Ant. Re-audit date |
| | | | |
| | | | |
| | | | |



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| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| No | Clause | Detail | Correction | Proposed preventive action plan | Root cause analysis | Date reviewed | Reviewed by |
| 1 | 1.1.2 | The company has established a food safety culture promotion program. However, the plan does not describe the specific action plan and action time. | The administration office in charge to supplement the food safety culture plan, action plan and action time and supervise the execution | 1. The company will strengthen daily supervision and management and solidly promote the construction of food safety culture.<br><br>2. The company will conscientiously implement the action plan and complete all work arrangements strictly according to the action schedule. | 1. Relevant personnel do not have a thorough understanding of the clauses in the BRC standard.<br><br>2. There is no specific action plan and action time for food safety culture | 2021-01-14 | Zhongwei Wang |
| | | | | | | | |
| | | | | | | | |

| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| No | Clause | Detail | Correction | Proposed preventive action plan | Root cause analysis | Date reviewed | Reviewed by |
| 1 | 3.5.3.1 | The company did not review the transportation service provider. | The purchasing manager Xue Hong have assessed the | We will enhance to audit the transportation service | The management personnel of purchasing department did not execute the <Quality | 2021-01-14 | Zhongwei Wang |



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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | transportation service suppliers on Jan.04th, 2021 and approved the Qingyang Zhuoxuan Logistic Service Co.Ltd.as our qualified service supplier | supplier and execute the transportation contracts strictly to ensure the shipment safety | System Audit Management Project to Suppliers><br><br>2,was lack of 2. The procurement department lacks evaluation of transportation service suppliers, which leads to management loopholes and hidden risks. | | |
| 2 | 4.7.3 | In the production shop, temporary repairs using tape were found. Temporary repairs were not made in time for permanent repairs. | The Factory Manager Xue Qiang supervised the maintenance personnel ,Wang Huai Ping to re-maintain the workshop where maintained temporarily with adhesive tape, this can ensure the machinery safely running | The management personnel carefully inspected the machinery maintenance status to deal with any problem when discovery,<br><br>The maintenance personnel should not muddle through his work to prevent from any accident or loss | 1,The maintenance personnel did not operate roundly according to the <Inspection and maintenance Procedures of Processing Machinery and Facility>,and the supervision and inspection work was unfulfilled and had Paralysis of thought. | 2021-01-14 | Zhongwei Wang |
| 3 | 4.10.3.4 | During the on-site audit, standard test blocks were not put into the product stream to pass the test | Requested Operator Zhang Xiu Li to execute the <X –ray machine | The Management personnel need to enhance the supervision and | Operators did not execute the operation rules strictly and violated its procedures. | 2021-01-14 | Zhongwei Wang |



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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | when X-ray machine operators were testing the effectiveness of X-ray machine equipment. | operation procedure>and must ensure the X-ray machine normal running and effective inspection. | inspection during production, add the test frequency and records and also add the on-site test and deal with problem timely. | The on-site test work was formalized and lack of supervision. | | |
| 4 | 4.14.5 | A rat trap at the entrance to the workshop was not working properly. | Zhang Quan Hong changed a new rat trap timely on Dec.27th,2020 and prevented the rate damage | In 2021, the company will increase the inspection of rat traps and sticky paper to ensure that it is effective in killing rodents.<br><br>Specialized personnel in the company are appointed to check the anti-rat facilities regularly to ensure food safety. | management personnel did not find and change the damaged rate proof facilities timely.<br><br>Protection facilities existed risk and it was easy to produce the rat damages | 2021-01-14 | Zhongwei Wang |
| 5 | 5.6.1.1 | The company has established a test plan, but the plan does not contain a test plan for raw materials. | Tian Juan Juan in QC take charge of perfection <Raw Materials Inspection Plan> and inspect all of the raw materials with this | In the future work, the management staff will strengthen the inspector's supervision and inspection, strictly implement this plan, ensure that raw materials according to | The Inspector did not execute <the raw materials check and acceptance operation regulations><br><br>The raw material test plan was missing, which could not ensure the stored material's | 2021-01-14 | Zhongwei Wang |



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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | Plan. | the standard storage, from the source to ensure product quality. | quality | | |
| 6 | 5.6.1.3 | The company has carried on the validity verification test to the product shelf life.<br>But the samples tested were kept in a refrigerated environment.<br>But the company's products are stored at room temperature. | The QC department take charge to further normalize the samples storing in fixed area and normal temperature to ensure the samples verification and test datum effectiveness. | In the future work, the company will strengthen the supervision and inspection of sample storage, check the sample test records, strengthen the management of the sample, and.<br><br>Strictly implement sample testing to provide reliable data for product shelf life. | Inspector did not manage the samples under the <Lab inspection manual> and <test procedures of the products shelf life><br><br>The test result was found deviation because of samples storage environment change. | 2021-01-14 | Zhongwei Wang |
| 7 | 7.2.1 | At the audit site, the hair of some staff members was not fully protected by the hat. | The purchasing department bought the qualified protective hat timely on Dec.31th, 2020,and changed the old ones to prevent from the hair into products effectively. | In the future work, the company will strengthen the supervision and inspection of personal hygiene, strictly implement the "Safety and Hygiene Production Control Procedures" and "Food Protection Control Procedures", and strictly check the | The company protection hat were not conformed to requirements, and this resulted in the worker's hair exposed.<br><br>Daily supervision, inspection and corrective action are not in place. | 2021-01-14 | Zhongwei Wang |



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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | correct wearing of protective hats to ensure food safety. | | | |
| 8 | 7.4.2 | The work clothes of the field staff are hygienic, but the work clothes of some posts have pockets above the waist. | The QC department take charge to tear down the pocket from work clothes and seam the side pocket of the workers. | In the future work, the company will strengthen supervision and inspection, control the employees' clothes, resolutely prevent the work clothes above the waist pocket, effectively prevent the foreign matter in the pocket into the product, and strictly check the work clothes, hygiene, to ensure food safety. | The company work clothes were not met the requirements and exist the risk of the admixture into products.<br><br>Daily supervision and inspection and corrective actions were unfulfilled. | 2021-01-14 | Zhongwei Wang |

**Comments on non-conformities**



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None.



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# Additional Modules / Head Office Non-Conformity Summary Sheet

| Critical | | | |
|---|---|---|---|
| No | Clause | Detail | Re-audit due date |
| | | | |

| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| No | Clause | Detail | Correction | Proposed preventive action plan | Root cause analysis | Date reviewed | Reviewed by |
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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| No | Clause | Detail | Correction | Proposed preventive action plan | Root cause analysis | Date reviewed | Reviewed by |
| | | | | | | | |
| | | | | | | | |



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# Detailed Audit Report

## 1. Senior management commitment

### 1.1 Senior management commitment and continual improvement

Documented management manual JH/SC-01 was established and republished, dated 2018-08-10;

Quality and safety policy was defined and signed by GM, dated 2018-08-10;

Food safety and quality objectives were established and defined in the QM as follows:

The factory qualified rate of products is 100%. Customer complaint handling rate is 100%. The contract performance is 100%, and so on. Goals are updated annually.

The overall goal is broken down into various departments, and the achievement of each department's goal is reviewed quarterly.

The most recent review was conducted on 2020-09-30, and the targets for the third quarter of 2020 were reviewed and reported to the General Manager.

The auditee has been noted on food safety culture development requirement and development requirement was described in quality manual under management commitment.

NC:1.1.2- The company has established a food safety culture promotion program. However, the plan does not describe the specific action plan and action time.

Management review control procedure was established, which carried out once a year. The latest management review was hold by the GM on the 2020-12-18. Input of the management review meets the requirements of the standard, including follow-up of previous improvement plans, internal audits, and food protection.

Through management review, a total of 4 improvement projects were identified, delivered and followed up.

The company has formulated the system of excessive quality meeting and implemented it in accordance with the system. Quality meeting was done on monthly basis, minutes such as 2020-12-21 and etc.

The company has established a confidential reporting system, and a letter box was set in the site for confidential reporting, on site sampled several staff for confidential system, all staff understand this issue.

The senior management had provided adequate human and financial resources for HACCP System.

QC Dept. would collect information related to food safety or legality issues through internet, seminar, Clients or China government organization, and then train all the information to all staff. China CIQ also would send relevant information to the company.

The rectification of the nonconformities proposed in the last audit was followed up and checked, and the closing effect was effective.

General Manager and other key people in charge attended the opening and closing meetings for BRC certification audit.



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A genuine, original hard copy or electronic version of the current Standard available.

BRC Logos: No misuse of BRC logos on the products packing in the company.

## 1.2 Organisational structure, responsibilities and management authority

Organisation structure was detailed , including GM, HACCP team leader, Office Supervisor, Production manager, Finance manager, Purchasing manager, Trade Supervisor, etc. Each department have written job responsibilities, distributed to all relevant operators by paper. GM is defined for whole monitoring.

The special regulation for key stage staff replacement arrangement was available.

The company had established the documented staff responsibilities and sample the CCP operation staff; they were clear awarded of their responsibilities.

And the WIs for all process steps was displayed on site.

| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |
| | |

## 2 The Food Safety Plan – HACCP

An HACCP system was developed and implemented and based on many requirements, such as CAC “Hazard Analysis Critical Control Points (HACCP) System and Guidelines for its Application", CAC “general principles of food hygiene”, 21CFR part 114, heat penetration test result for recommend process schedule, and hygiene application regulation for exporting in China were taken into account.

Total 7 staffs in HACCP team included all relevant Dept. manager or supervisor; leader was VGM of headquarter Mr. Xue Qiang and about 13 years’ experience and keep better understanding of HACCP principles and their application. Mr. Xue Qiang has taken party in BRC Food issue 8 on 2019-10-17 and 18.

Prerequisite programs are clearly established, implemented and maintained by the factory.

The pre-requisite programmes are documented in the GMP, SSOP, specific for every group of product and relevant procedures as Training procedure, Purchasing procedure, and maintenance procedure. The company had established the PRP and OPRP for all items required and list in the left column.

The company's products fall into two categories.



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One is the shellless pumpkin seed and pumpkin seed products, with drying process in the processing process.

The first category is watermelon seed kernel and sunflower seed kernel products, there is no drying process in the processing process.

The description of product was described in HACCP plan.

For example: pumpkin seed products, moisture ≤7.0%;

Pb (mg/kg) of 0.2 or less;

As(mg/kg)≤0.5, aflatoxin:B1≤5ppb, and so on, Shelf life was 12 months stored in room temperature.

The products are reprocessed products that are not directly used.

Sunflower seed products: moisture ≤8.0%;

Pb (mg/kg) of 0.2 or less;

As(mg/kg)≤0.5, aflatoxin:B1≤5ppb, and so on, Shelf life was 12 months stored in room temperature.

The products are reprocessed products that are not directly used.

The intended use of the product was clear defined in HACCP plan. The intended use of products for next processor further processing.

And all vulnerable groups of each product identify in respective HACCP plan. The flow diagrams of all involving BRC audit scope products defined in HACCP plan. All aspects of the food process operation within the HACCP scope were described. Such as:

For Pumpkin kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Soften, Shell hulling, Heat treatment, Colour sorting, Steam sterilization, Hand Selection, Sterilization(when needed), Cooling, X-ray, Metal foreign body detection，Packaging.

For watermelon kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Heat treatment, Colour sorting, Hand Selection, X-ray, Metal foreign body detection, Packaging.

The flowchart is reviewed annually by the members of the HACCP team. For example, the processing process of the shellless pumpkin seeds was evaluated on August 27, 2020.

Materials and processes are subjected to hazard analysis, which includes microbial risk, material risk, chemical risk, allergen risk, intentional contamination risk, and substitution risk.

The analysis methods include the probability of risk occurrence and the severity of the hazard after risk occurrence.

Control methods for each risk are described.

The company had defined the follow CCPs in HACCP plan for Pumpkin seed kernel products and shellless pumpkin seeds.

CCP1: all raw materials must purchase from qualified supplier. Moisture ≤7%. Test each batch.

CCP2: steam sterilization: sterilization temperature 85-100℃, time 15-20 minute. Check every 2 hours.



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CCP3: X ray detecting, (ф Silicon Rubber ball≤3.0mm, ф glass ball≤2.0mm, фSus≤1.2mm or 1.0mm), Testing is done hourly.

CCP4: Metal Detection, Fe≤φ2.5mm, Non-Fe≤φ3.0mm, SUS≤φ4.0mm. Testing is done hourly.

The company had defined The follow CCPS in HACCP plan for watermelon seed kernel products and sunflower seed kernel.

CCP1: all raw materials must purchase from qualified supplier. Moisture ≤7% or 8%, test for each batch.

CCP2: X Ray Detecting, (Silicon Rubber Ball ≤3.0mm, Glass Ball ≤2.0mm, SUS ≤1.2mm or 1.0mm), Detecting once an hour.

CCp3: Metal Detection, Fe≤φ2.5mm, Non-Fe≤φ3.0mm, SUS≤φ4.0mm. Testing is done hourly.

Records of validate the critical limits of products were available.

The company had established the monitoring system and the CCP was under control, and the CL for CCP was conforming on site. The monitoring system could be able to detect loss of control of CCP.

Records associated with monitoring CCPs were complete, and reviewed by workshop supervisor and QC supervisor every day.

The corrective action plan for CCPs was defined in HACCP plan. The treating methods cases of deviation were defined. Relevant CAP records were complete. The verification procedure (H/JHSP/HACCP-2018 9) was established. The procedure included the verification for PRPs, HACCP plan, CCPs, HACCP System and finished product. Verification result was recorded by HACCP team and was communicated adequately. Relevant records were available. Sampling: latest verification on 2020-08-27.

Documentation related to HACCP was in control and updated. Management of documentation and records was effective. The company established the document and record control procedure. The company had required the HACCP plan and PRP review at least annually and the latest review was conducted on 2020-12-10.

| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |
| | |



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## 3. Food safety and quality management system

### 3.1 Food safety and quality manual

The Quality and Food Safety Manual (JH/SC-01), and relevant procedures reference to BRC food issue 8, documented procedures and work instructions were issued to relevant departments.

Four level document exist in place, 1 level of manual; 2 level of procedure and HACCP plan; 3 level specification/work instruction/rule etc; 4 level of records.

### 3.2 Document Control

Documents control procedure JH/CX-04 was established and implemented.

The documents in use are authorised and on site found they are in correct version.

And the list of document is in place. The documents are identified by unique number with titles/issue number, implementation date and version status.

Requirement on hard copy and electric form, external source was also described.

### 3.3 Record completion and maintenance

Quality records control procedure JH/CX-05 was established and implemented.

The requirement of collation, review, maintenance, storage and retrieval of records are defined in it.

The records found to be legible, in good condition and easily retrievable through onsite processing record checking and traceability test.

No customer specific requirements are available for retention of the records, and the records were kept for 3 years, which was accord with the 1 year shelf life of the product plus at least more than 12 months.

### 3.4 Internal audits

Internal audit procedure JH/CX-06 was in place, specified the frequency, planning, internal auditors and follow-up measures.

Internal audit program was updated in Jan. 2020 and defined to be done 4 times a year.

The latest internal audit was carried out on 2020-12-15, total 2 internal auditors assigned for the audit respectively and independent to their work.

The internal auditor system staff Mr. Xue Qiang, Mr. Xue Hong and Mr. Wang Cunbin have BRC issue 8 training certificate had been checked and others are inner trained. Conformity and Non conformity info. was recorded, total 2 NCs were raised, and the NC corrective action record was retained, verified by the internal auditor.

Daily processing workshop hygiene check was done by hygiene operator.

GMP check requirement was done monthly, which was done by Mr. Xue Qiang and Mr. Wang Cunbin, records were sampled for check.

### 3.5 Supplier and raw material approval and performance monitoring

#### 3.5.1 Management of suppliers of raw material and packaging

Purchasing control procedure JH/CX-07 was established, which covers the requirement for approval, knock out and assessment of new supplier and approved qualified supplier, such as through onsite audit, verification of cert., questionnaire to low risk supplier, traceability system verification on at least 3 years.

The most recent assessment was completed on 2020-01-03.



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Annual performance was done by QC dept.

Purchasing control procedure included supplier evaluation and selection control procedure was in place, continuous assessment on suppliers which provided products were defined, done and recorded. Suppliers are divided into A, B suppliers via risk assessment; at present, eligible suppliers include suppliers provided R/M and packaging, and also suppliers providing service (transportation, external lab, waste disposal) etc; at present, A-suppliers approved via supplier audit or certs (GFSI recognize) and B suppliers via questionnaire.

Total 6 approved suppliers including raw materials and packaging suppliers were in the approved supplier list. It has been evaluated that all suppliers are low risk suppliers and the evaluation date is 2020-9-15.The supplier assessment conducted at least once a year, the assessment conducted by questionnaires, certificates and type testing reports collected. The latest assessment including physical, chemical, biological, substitution or fraud was conducted and relevant records were available.

The supplier's performance evaluation is evaluated.

For example, the performance performance of the bag supplier was carried out on 2020-09-05.

Documented risk assessment of each raw material was defined in the HACCP plan.

No raw materials are purchased from agents or brokers.

### 3.5.2 Raw material and packaging acceptance, monitoring and management procedures

The company had established the raw materials, ingredient and packaging materials receive specification, the specifications included the sample plan, receive inspection item and acceptance limit, above all were based upon the risk assessment.
Raw materials, packaging materials receive and inspection was defined in special specification.
For example, the raw materials receive inspection was available.
The specifications clear defined the testing items and receiving inspection method.
And the documented sample plan established by company and local CIQ, the plan defined the detailed test items and testing frequency.
For example, the pumpkin seed in Mar. 2020 was available and acceptable.
The inner packaging materials vacuum bags inspection record in Jun. 2020 was available and acceptable.
All raw materials receive inspection sample and testing conducted by local authority laboratory.
No live animals receipt.

### 3.5.3 Management of suppliers of services

The management of suppliers of services were defined in purchasing control procedure.
The scope of service suppliers covered transport, laboratory and waste management.
All the services suppliers were with formal contract, the contract clearly define service expectations and ensure potential food safety risks associated with the service have been addressed.
For example, the transport contractor must signed the relevant statement of food safety and prevent hygiene risk.
NC:3.5.3.1- The company did not review the transportation service provider.

### 3.5.4 Management of Out sourced processing

N/A. No outsourced processing.



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## 3.6 Specifications

Exist materials inspection rule and, relevant sensory requirements and sampling plan requirements of raw materials and packaging materials were defined in them. Semi-finished products and finished products inspection procedure were also established.

The packaging materials were PE bags with carton box or paper bags. The finished products inspection procedure was also established. The seed inspection rules were included the materials and finished products specifications.

The process specification was defined in the HACCP plan. Especial requirements were defined in the sales contract. Each CCPs monitoring procedure (HACCP plan sheet) etc were posted on the wall of workshop.

These specifications would be reviewed at least every three years.

## 3.7 Corrective and preventive actions

The company had established corrective actions control procedure (JH/CX-08) to ensure investigation of the root cause of non-conformity would be performed and corrective actions would be taken.

## 3.8 Control of non-conforming product

Non-conformity product control procedure (JH/CX-09) had been implemented to control of non-conforming material, semi-finished products and final products, including rejection, acceptance by concession, or regarding for an alternative use. Decisions were approved by QC manager.

No major non-conforming products in 2020 until now.

## 3.9 Traceability

The company had established the traceability management procedure . The company's traceability system relies on paper records from the site. And the identification of the raw materials, ingredient, packaging materials, all process, semi-processed products and finished products in site was acceptable.

The Traceability Tests from Raw Material to Finished Product and Vice Versa are carried out on 2020-07-25. The quantities of raw materials and packaging materials used in this batch of finished products were traced. The traceability process focuses on material balance and traceability time.

On site, random sample the finished products pumpkin seed kernels shine skin AA batch No. 6200/1300120146.Trace to raw materials pumpkin seed lot No. 20191221, from Minqin-Jufeng;

vacuum bag lot No. 20200423/24, 720/360pieces, from Linyi Tongxiang;

Quality control records and testing records are traced.

The mass balance was acceptable, and whole traceability test accomplish within 120 minutes.

Reworking is done within the same lot only.

## 3.10 Complaint-handling

The company had a documented customer complaint control procedure (JH/CX-13) in place to handle complaints. The procedure was defined that QC Dept. investigated the root cause and replied the answer to the customer.

Complaints are summarised and reviewed at the management meetings and at the annual Management Review meetings. No major customer complaint received since last audit.



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## 3.11 Management of incidents, product withdrawal and product recall

The factory established emergency preparedness & response control procedure and product recall procedure, in order to ensure that all potential risks to the quality, Safety and co mpo are controlled. An emergency response plan was developed. On January 20, 2020, a drill for handling critical equipment anomalies was carried out.

Procedures and systems were established to respond to the novel coronavirus epidemic.

And have been approved by the local government.

The recall team and emergency contact list are established in the program.

No actual recalls or retractions will take place in 2020.

Mock recall test was done with plan, report and records kept. The mocking test was done on 2020-03-18 pumpkin seed kernel shine skin AA, batch number 6200/1300120007,

(The simulated reason for recall was that malignant plastic was found in the product), and all the relevant records were available for review.

No actual recall occurred since last audit.

| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |
| 3.5.2.3 | No receipt of live animals |
| 3.5.4 | No outsourced processes. |
| 3.11.4 | No actual recall or significant food safety incident happened until now |



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## 4. Site standards

### 4.1 External standards

Company located in Private industrial park, wall was in use, and no chemical contamination surrounded, concrete yard and the building is designed to food production with enough space provided for processing and storage.

Areas for living, office, waste handling and production are separated. Daily cleaning for external area was done by security staff and was checked on monthly basis by backup office staff.

The building fabric is maintained in good condition and monthly check is carried out.

### 4.2 Site security and food defence

Food defence plan (JH/FH-H-2018) was established and implemented. The company had established the security arrangement programme to define the control of security to prevent access of unauthorised persons to production and storage areas. The terrorism treatment was defined in crisis treatment procedure, and responsible by Admin Dept. security team. Process and storage areas were identified restricted areas. The relevant inspection records were available. The security arrangement programmes annually review report was available.

They undertake a documented assessment of the security arrangements on 2020-01-07.

On 2020-03-13, the company conducted a food protection drill on internal risks.

The results were good.

The site was registered and approved by CIQ, the registration No. was 6200/13001, and FDA registration No. 14201126048.

### 4.3 Layout, product flow and segregation

The company established the site plan and covered all items list on the standard.

The company had arranged special guard person to ask the visitor show the authorised certification of entry the site. Process and storage areas were restricted areas and regulated by workshop supervisor, visitors can enter when they were accompanying with staff who was authorized.

During the site audit the process flow could minimise the risk of food contamination.

No high-care and high risk areas in audit site.

The plant provided sufficient space for placement of equipment and storage of materials for the maintenance of sanitary operations and the production of safe food.

No temporary structure was found on audit site.

### 4.4 Building fabric, raw material handling, preparation, processing, packing and storage areas

The fabrication of the site, buildings and structure and materials of facilities are conformity with requirement, maintained in a acceptable condition

Walls were maintained to prevent the accumulation of dirt, minimise condensation and mould growth, and facilitate cleaning.

Floors are constructed and maintained very well. Floors have adequate falls.

The walls and ceilings were maintained very well during this audit.

No suspended ceilings.

Doors (both internal and external) are maintained in good condition.



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The glasses and lamps in production area were protective with covers, All areas should meet the requirements of field operation. electronic fly killers were protected with metal net. Windows for ventilation were adequately screened to prevent the ingress of pests.

No High-risk areas, so the air of the workshop was not needed to filtered.

## 4.5 Utilities – water, ice, air and other gases

Well water was used for cleaning equipment and plant. The water was tested once a year according to <GB5749-2006 Drinking water>. The latest report was available. The report No. was Qing CDC Water Test (2020) 32.which was done by Qingcheng county CDC on 2020-07-25..

Only well water was used, and the water distribution plan is available.

The air for heat treatment and cooling was filtered before used and filter inspection records were in place.

No non-potable water was used.

## 4.6 Equipment

On site, all equipment were appropriate materials, had suitable design to ensure effectively clean. New equipment purchasing was concerned the suitability. Equipment position had kept adequate space from the wall and adjacent areas as so that clear space was available to facilitate cleaning and servicing.

Equipment contact surfaces were constructed with stainless steel. The conveyor belts were suitable for food use, e.g. PU and silicon conveyor with test report No. SHAHG1719161002.

## 4.7 Maintenance

Equipment Department was responsible for equipments routine maintenance. Equipment annual maintenance plan of 2020 and maintenance were in place and implemented. Equipment maintenance records of 2020 were available. The maintenance regulations stipulate that the equipment needs to be cleaned after the maintenance, and the site inspection does not have the situation of cleaning up after the maintenance.

Inspection of cleaning effect after maintenance is carried out and recorded. The equipments were maintained properly during on-site assessment.

Big maintenance would be operated by contractors. No major breakdowns happened.

No temporary repairs.

Materials used for equipment and plant maintenance and that pose a risk by direct or indirect contact with raw materials, intermediate and finished products

Food grade grease and oil was used: Mobil SHC Cibus 150, NSF No. 141502.

On-site hygiene staffs would monitor operations during maintenance.

NC:4.7.3- In the production shop, temporary repairs using tape were found. Temporary repairs were not made in time for permanent repairs.

## 4.8 Staff facilities

Changing rooms were provided for staff, visitor or contractor and they were sited to allow personnel direct access to the production and packing areas. The changing room was clean, outdoor clothing and other



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personal items were stored separately from work wear. Shoes changing area was also in place. Hot water, liquid soap, 75% alcohol, and hand dryers were provided.

Hand washing facilities (Hot water, liquid soap, 75% alcohol, tear-resistant paper) were installed in workshop.

Toilets (nearby changing room) were adequately segregated from workshop.

Canteen was provided outside of the production workshop. It controlled by the purchasing Dept. and well controlled.

## 4.9 Chemical and physical product contamination control: raw material handling, preparation, processing, packing and storage areas

### 4.9.1 Chemical control

Documented chemical control procedure was in place
The alcohol, fumigation chemical materials were stored in a separate chemical warehouse. MSDS and relative receiving / issuing records and disinfectant preparation records were provided in the warehouse. The chemical containers (drums, bottles etc) were labelled.

### 4.9.2 Metal control

Knifes and scissors were used in production workshop, relevant dispense & recover record was in place.

No staples, paper clips or drawing pins used in open product areas.

### 4.9.3 Glass, brittle plastic, ceramics and similar materials

Glass windows in production workshop were protected with films, all lamps in production area were protective with covers, electronic fly killers were protected with metal net. All glass and brittle material were registered on a list, and the staff would check the glass and brittle materials every day.

The company established the glass, brittle plastic management procedure (JH/HACCP-01 8-10) for management incident in breakage of glass, or hard plastic including being isolated the defected products and production area.

### 4.9.4 Products packed into glass or other brittle containers

No products packed into glass or other brittle containers.

### 4.9.5 Wood

No wood used in the processing area.

### 4.9.6 Other physical contaminants

Raw material debagging rule is in place, and the detected pens were used in the workshop. The pens used at the production site are integral metal detectable pens.



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## 4.10 Foreign-body detection and removal equipment

### 4.10.1 Selection and operation of foreign-body detection and removal equipment

Foreign body control measures included metal detection/sieves/filters/X-ray machine/magnets/de-stoners/optical sorting equipment.

Procedure in place in the event of a failure of foreign-body detection and removal equipment.

### 4.10.2 Filters and sieves

Sieves (30 mesh) was used in the cooling process.

It would be checked before produce and every batch. The records were available.

### 4.10.3 Metal detectors and X-ray equipment

X-ray detector with rejection system was installed in packing workshop, standard test pieces (ABS ball 4mm, Silicon Rubber ball 4mm, glass ball 2.0mm, Sus 2.0mm) were used to challenge the X-ray machine before and production, once per hour during production.

Metal detector with belt stop system is used after packing, test pieces (Fe 2.5mm, Non-Fe 3.0mm, Sus 4.0mm) were used to challenge the metal machine before and production, once per hour during production.

Corrective and investigative actions were defined each in HACCP plans.

NC: 3.10.3.4-During the on-site audit, standard test blocks were not put into the product stream to pass the test when X-ray machine operators were testing the effectiveness of X-ray machine equipment.

### 4.10.4 Magnets

Magnets (8000GS) were used after sieving. It would be checked before produce and every batch. The records were acceptable.

### 4.10.5 Optical sorting equipment

Optical sorting equipment was used. Optical sorting equipment operation instruction is in place (H/JHSP/GC-07).

It would be checked before produce and every batch. The records were acceptable.

### 4.10.6 Container cleanliness – glass jars, cans and other rigid containers

Products were only packed in PE bags or paper box.

## 4.11 Housekeeping and hygiene

No unhygienic equipment was found in the audit site.

The production staffs were responsible of cleaning work.

The company had established cleaning and disinfecting rule defined in SSOP and special specification to ensure appropriate standards of hygiene are maintained at all times and the risk of contamination is minimised.

75% alcohol solution was used for routine disinfection of tools, utensils, and equipment, walls and floors



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(after production).

Every June to Aug, the equipment would be fumigated every month.

Separate clean and disinfection room was designed for raw materials warehouse, pre-treatment workshop and production workshop.

Visual check was carried out every day for verify the effectiveness of cleaning and disinfection, and relevant records were available for review, including utensils clean & disinfection records, the check records of workshop hygienic condition.

### 4.11.7 Cleaning in place (CIP)

N/A, There is no CIP system for canned product processing.

### 4.11.8 Environmental monitoring

Environment inspection plan was defined according to product risk assessment, Once a month on food contact surface and processing air, TPC was monitored, acceptable limits for different area was defined, and testing method based on GB 4789 was done. Specific sampling sites and limits for target bacteria are specified.

The assessment of this year's environmental plan was carried out on 2020-12-12.

## 4.12 Waste

The waste would be removed by the staff.

The waste would be moved from the factory once a day.

The seed shells were collected to be used as fuels.

Unsafe products or substandard trademarked materials would be destroyed before transferred to a third party for destruction or disposal.

The factory declared that the cartons with label would be destroyed and disposed as waste.

## 4.13 Management of surplus food and products for animal feed

The management system JH/HACCP-01 14 was established for control of surplus food and basically no surplus as the product was produced against purchasing order.
The waste such as broken shelled seed was for animal feed, it would be segregated from waste and protected from contamination during storage.

## 4.14 Pest management

No infestation and invasion of insect pests were found during on-site inspection.

Pest control procedure was included in SSOP and was carried out by external personnel trained in Pest



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skills. The company signed a service contract with the personnel, and the contract stipulated the service period, service items and service frequency, etc.

Flies, rodent, bird and spider was identified.

A control device map of the whole factory is available, including rodent trap, rodent barrier and light fly trap.

If rodent found in factory, they will check the source and any product contaminated with the rodent;

Then will take corrective action accordingly, e.g. Place more pest control devices etc.

The risk of bird invasion was taken into account.

A system has been put in place to control bird infestation, and repellent devices have been installed at the gates of raw materials warehouses. No bird nesting has been found.

The new light fly traps were initially installed on 2020-01-03, and the lamps were annually changed.

The responsible check all The pest control devices every week.

In-depth pest surveys and trend analyses are carried out annually.

The most recent pest analysis and in-depth investigation was conducted on 22 November 2020.

Completed by service personnel in cooperation with the company.

NC:4.14.5- A rat trap at the entrance to the workshop was not working properly.

## 4.15 Storage facilities

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
And all the raw materials and finished products were storage in good conditions.
All raw materials, ingredient and packaging materials, finished products were stored in normal temperature, no special storage temperature required in audit site.
No controlled atmosphere storage in site.
No outside storage.
All products were identified properly. Stock rotation of raw materials was based on FIFO. Production arranged according to order.

## 4.16 Dispatch and transport

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
P.O. number was printed on the finished product containers. Records of dispatch and receipt of goods had recorded the manufacturing date of the product and transport containers number.
The vehicles inspection records were available.
No transport temperature required during audit.
The clean requirements defined in the transport contracts, the company implement the clean inspection before loading. And the cleaning and sanitary rule included the equipment used for loading/unloading.
The transport is third-party logistics; the requirements defined in the contracts, comprised with hygiene



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control, food safety, deliver timescale and so on.

| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |
| 4.2.3 | No external storage tank, silos or intake pipes |
| 4.3.5 | No building work or temporary structures |
| 4.8.6 | No smoking in site |
| 4.9.2.2 | No staples, paper clips or drawing pins used in open product areas |
| 4.9.4 | No glass or brittle final product containers |
| 4.9.5 | No wood |
| 4.10.2.1 – 4.10.2.2 | No filters or sieves for foreign body control |
| 4.10.6.1 – 4.10.6.2 | No final product glass jars, cans or similar rigid containers |
| 4.11.7 | No CIP |
| 4.14.8 | No pest infestation |
| 4.15.3 | No temperature-controlled or refrigerated storage |
| 4.15.4 | No controlled atmosphere storage |
| 4.15.5 | No external storage, except waste materials |
| 4.16.3 | No temperature-controlled transport |



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## 5. Product control

### 5.1 Product design/development

Few new products were developed, product design was conducted by production department and communicated to client. After confirmation, the Sales Department purchase raw materials, and Purchasing staff buy packaging material. HACCP-based study was implemented in the development process.

Production trials would be implemented by Production Department, Sales Department and QC Department. The shelf life was required by clients, and exist working instruction for verification of shelf life. Shelf life of a radically new product would be required by customers, assessed by organoleptic testing.

### 5.2 Product labelling

The product label would be confirmed and checked by QC and sales Department.
The product label would be confirmed by customers, checked by sales and QC Department. The factory will provide information for help customer draw up label.
All the products were labelled, and the label was acceptable.
No product is designed to enable a claim to be made to satisfy a consumer group.
No cooking instructions.

### 5.3 Management of allergens

Allergen control procedure JH/CX-16 was established and implemented. Allergen control regulations for target countries are collected, such as allergen lists for the European Union, the United States and other places. Refer to the BRC standard; there was no allergen materials usage and storage in audit site.
The documented risk assessment was defined in procedure include all items list on the standard, and detailed latest special allergen risk assessment report was in place. E.g. latest review on 2020-01-18
The cross contamination could be prevented, and no claim is made regarding the suitability of a food for allergy or food sensitivity sufferers.
All staff receive the allergen training.
The product label does not claim to be allergen-free.

### 5.4 Product authenticity, claims and chain of custody

The control procedures for material vulnerability assessment established by the company and the channels for collecting relevant risks specified in the procedures. Relevant risk assessment on authenticity was done yearly, and the factory fetched this information from customer, government and website. The last risk assessment was conducted on 2020-01-03. The vulnerability risk of all materials is low risk.
The documented vulnerability assessment records on raw materials adulteration or substitution were available.
The company is KOSHER and organic certified.
The certificate is within the validity period.
The company conducts a simulated traceability test in the first half and second half of each year, including material balance.

### 5.5 Product packaging

PE bags and paper bags were used as inner packaging materials. Type test report and the qualified certificate of suppliers were shown for review. Packaging materials specification was implemented. The colour of the bags was different with the products.



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Inner packaging materials warehouse and outer packaging materials warehouse were established and used. The two warehouses served the whole group.

## 5.6 Product inspection and laboratory testing

### 5.6.1 Product inspection and testing

Product inspection and test plan including internal laboratory microbiological test plan were in place. The company had an in-house laboratory to undertake analyses or testing or contracted out with outside independent body to confirm product safety, legality and quality, using appropriate procedures, facilities and standards;. Relevant incoming inspection records were in place. And the laboratory did net weight, moisture, broken kernels, mouldy kernels etc for each batch of finished products.

For example, watermelon seed kernel was tested for acid value, peroxide value, lead and 2 pesticide residues on 2020-04-21.Pumpkin products were tested for more than 200 pesticide residues on 2020-11-11. All are completed by three laboratories, and the results are all qualified.

Product test results are counted and analyzed. The most recent analysis was conducted on 2020-12-12. Includes purity, moisture, impurities, and shelled particles.

The ongoing shelf life verification is carried out, e.g. pumpkin seed kernel shine skin A with production date 2020-07-10, test every 2 months.

NC:5.6.1.1- The company has established a test plan, but the plan does not contain a test plan for raw materials.

NC:5.6.1.3- The company has carried on the validity verification test to the product shelf life. But the samples tested were kept in a refrigerated environment. But the company's products are stored at room temperature.

### 5.6.2 Laboratory testing

No pathogen testing was done in the factory.
Analysis was undertaken by internal or other third party lab (CNAS certification). 2 analysts worked in laboratory and all of them were trained by local CIQ test lab on SN/T 1963-2007.The packaging materials incoming inspection was done by analysts. The laboratory could do net weight, sensory and water content test, microbiological testing.
Monitoring devices were calibrated externally every year and laboratories were trained.
The test and inspection results were reviewed to identify trends quarterly, the relative records were available.

## 5.7 Product release

The factory established release procedure of waiting-for-delivery products JH/CX-19 to ensure that finished product is not released unless all agreed procedures have been followed.
Products could be released after all test or inspection results were reviewed and confirmed to be satisfactory by QA Manager.

## 5.8 Pet Food

N/A, no pet food



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| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |
| 5.2.3 | No products designed to enable a nutritional or health claim to be made |
| 5.2.5 | No cooking instruction required |
| 5.3.3-5.3.8 | No allergens handling in site |
| 5.5.2 | No food contact liners |
| 5.6.2.1-5.6.2.2 | No Pathogen testing lab. |
| 5.8.1-5.8.3 | No pet food |

## 6. Process control

### 6.1 Control of operations

The HACCP plan had been transferred into day-to-day production control. Each CCP was properly under control during the inspection. The company had established the operation processing instructions according each equipment, all instructions verified that the processes and equipment employed were capable of producing consistently safe and legal product with the desired quality characteristics.
Process monitoring, including the usage of raw materials and packaging materials was in control and recorded.
X-ray detector with automatically rejected was tested hourly.
The company had established the commencing production management rule, and relevant checking records were available.
The drying machine was calibrated, and the condition was acceptable.
The packaging operation instruction was in place and QC on line would check the packing process when manufacturing.

### 6.2 Labelling and pack control

Relevant management rule on labelling and packing control established. The packaging material will be cleaned when the packaging is replaced. The factory checked the labelling and packaging materials before packing. Tags are also checked at the end and at work. Information such as the product date is reported on the label. Audit site, no change of production work.



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### 6.3 Quantity, weight, volume and number control

The quantity requirements of customers were defined in the contracts and the plant had specified it in the production plan and specifications, and routine checks were carried out by QC staffs. Weight is well checked by operators and also monitored by QC staff. The quantity would be checked every batch.
The quantity checking records were available during audit.
No online check weigher.

### 6.4 Calibration and control of measuring and monitoring devices

Monitoring and measuring Devices control procedure and measuring equipment list were available. Calibration identification marked on the equipment was visible on site.

Electronic scales were calibrated at least annually by competent authority. Relevant calibration certificates and calibration records were provided.

For example,

Electronic quantitative packaging scale, No. 1002001, certificate No. : 203000122., verification period: 2021-05-15.

Electric heating blast drying oven, No. 59368, Certificate No. : 200700103, Validation period to 2021-07-05.

Steam sterilization temperature controller, 1-3, certificate number 16000003-2020.

The verification period is 2021-01-02.

| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |
| 6.2.4 | No on-line vision equipment |
| 6.3.3 | No online weighing equipment |

## 7. Personnel

### 7.1 Training: raw material handling, preparation, processing, packing and storage areas

The company established HR management procedure to describe the staff training and the requirement of work experience or qualification. The company ensured all employees were properly trained, instructed and supervised and were competent in conducting their tasks.

2020 training plan about food defence, QC tools, food label, BRC/ISO22000/HACCP, etc. The



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effectiveness of the training through orally, paper exam or on-site operation.

For example: Training on allergen knowledge, packaging and labeling procedures was held on March 10, 2020.

Training on HACCP, Pest Control Requirements was conducted on 2020-03-11.

Relevant training records were available and including most items required on the left column.

The company evaluated the effectiveness of the training through examination paper, orally examination or on-site operation. Refresher training was carried out every year.

The competency of employees is evaluated annually, with the most recent conducted on 2020-11-20.

## 7.2 Personal hygiene: raw material handling, preparation, processing, packing and storage areas

The company had established personnel hygiene rule defined in H/JHSP/GMP-2017 10.5. The personal hygiene was detailed described.

Hands washing and disinfecting requirement was defined in personnel hygiene rule, staff washed their hands before commencing work, after visiting toilet, becoming soiled. There was hand washing sinks at entrances to processing areas, or appropriate areas convenient to staff for washing hands when they became soiled. Operators were aware of washing their hands prior to entering the processing areas during the audit.

OPRP required the relevant content, and on site they did well and the blue metal strip plasters were provided.

The blue metal plasters were stored in process areas, X-ray detector and usage records were available.

Personal use medicines (defined in personnel hygiene rule) were control well, in the event of disease, the staff should report to her supervisors according to requirement.

No issues regarding compliance with documented hygienic policy were seen during on-site visit.

NC：7.2.1- At the audit site, the hair of some staff members was not fully protected by the hat.

## 7.3 Medical screening

Personnel hygiene rule defined in SSOP. The person al hygiene was detailed described.

The employees would be medically examined prior to employment and yearly during employment.

Sampled 5 workers in process areas, the health certificates from Qinigheng County CDC on 2020-10-21 were available for review during audit.

## 7.4 Protective clothing: employees or visitors to production areas

The company had established personnel hygiene rule defined it. The company had provided adequate protective clothes for all employees in the processing areas. The auditor was also required to wear the visiting clothing to enter food processing areas.



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The protective clothing was sufficient and suitable designed.

Protective clothing was washed every day by internal laundry, uniforms cleaning & disinfection procedure was available.

The gloves were suitable for food use and in good condition.

NC:7.4.2- The work clothes of the field staff are hygienic, but the work clothes of some posts have pockets above the waist.

| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |
| | |
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| | |

| Template control | Food | Version | 1.0 |
|---|---|---|---|



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| 8. High-Risk, High-Care and Ambient High-Care Production Risk Zones |
|---|
| 8.1 Layout product flow and segregation in high-risk, high-care and ambient high-care zones |
| N/A, no high risk, high care or ambient high care areas. |
| 8.2 Building fabric in high-risk and high-care zones |
| N/A, no high risk, high care or ambient high care areas. |
| 8.3 Maintenance in high-risk and high-care zones |
| N/A, no high risk, high care or ambient high care areas. |
| 8.4 Staff facilities for high-risk and high-care zones |
| N/A, no high risk, high care or ambient high care areas. |
| 8.5 Housekeeping and hygiene in the high-risk high-care zones |
| N/A, no high risk, high care or ambient high care areas. |
| 8.6 Waste/Waste disposal in high risk, high care zones |
| N/A, no high risk, high care or ambient high care areas. |
| 8.7 Protective clothing in the high-risk high-care zones |
| N/A, no high risk, high care or ambient high care areas. |

| Details of non-applicable clauses with justification | |
|---|---|
| Clause/Section Ref | Justification |



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| | |
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| 8 | No high-risk, high care or ambient high-care areas |



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| 9 - Traded Products |
|---|
| **9.1 Approval and performance monitoring of manufacturers/packers of traded food products** |
| N/A |
| **9.2 Specifications** |
| N/A |
| **9.3 Product inspection and laboratory testing** |
| N/A |
| **9.4 Product legality** |
| N/A |
| **9.5 Traceability** |
| N/A |

| Module 11: Meat supply chain assurance | |
|---|---|
| **Scope** | Click or tap here to enter text. |
| **11.1 Traceability** | |
| Click or tap here to enter text. | |
| **11.2 Approval of meat supply chain** | |
| Click or tap here to enter text. | |
| **11.3 Raw material receipt and inspection** | |
| Click or tap here to enter text. | |



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| 11.4 Management of cross-contamination between species |
|---|
| Click or tap here to enter text. |
| **11.5 Product testing** |
| Click or tap here to enter text. |
| **11.6 Training** |
| Click or tap here to enter text. |

## Module 12: AOECS Gluten-free Foods

| Scope | Click or tap here to enter text. |
|---|---|
| **12.1 Senior management** | |
| Click or tap here to enter text. | |
| **12.2 Management of suppliers of raw materials and packaging** | |
| Click or tap here to enter text. | |
| **12.3 Outsourced production** | |
| Click or tap here to enter text. | |
| **12.4 Specifications** | |
| Click or tap here to enter text. | |
| **12.5 Management of gluten cross-contamination** | |



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| Click or tap here to enter text. |
| **12.6 Management of incidents, product withdrawal and product recall** |
| Click or tap here to enter text. |
| **12.7 Labelling** |
| Click or tap here to enter text. |
| **12.8 Product inspection and laboratory testing** |
| Click or tap here to enter text. |

## Module 13 FSMA Preventive Controls Preparedness Module

Version 2 July 2018

| Clause | Module item | Conforms Y/N | Comments |
|---|---|---|---|
| 13.1.1 | Handwashing areas, dressing and locker rooms, and toilet rooms must have adequate lighting. | | |
| 13.1.2 | Water distribution system must prevent backflow from, or cross-connection between, piping systems that discharge waste water or sewage. | | |
| 13.1.3 | All food contact surfaces of plant equipment and utensils used in manufacturing, processing, packing, or holding food must be corrosion resistant.<br><br>Seams on food-contact surfaces must be smoothly bonded or maintained so as | | |



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| | to minimize accumulation of food particles, dirt, and organic matter and thus minimize the opportunity for growth of microorganisms and allergen cross-contact. | | |
| 13.1.4 | Ice used in contact with food must be manufactured in accordance with Good Manufacturing Practice (GMP) requirements of 21 CFR 117. | | |
| 13.1.5 | Where defect action levels (DAL) are established for a food, quality control operations must reduce defects to the lowest level possible.<br><br>Defect levels rendering the food adulterated may not be reduced by mixing the food with another lot. | | |
| 13.1.6 | The hazard analysis must additionally identify and evaluate the following known or reasonably foreseeable hazards, which are associated with the food or facility:<br>• Economic adulterants which affect food safety<br>• Environmental pathogens where ready-to-eat (RTE) food is exposed to the environment prior to packaging and the packaged food does not receive a kill step<br>• Radiological hazards<br>• Unintentional adulterants which affect food safety | | |



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| 13.1.7 | All identified known or reasonably foreseeable hazards must be evaluated to determine “hazards requiring a preventive control” (i.e., significant hazards). | | |
| 13.1.8 | Establish one or more preventive control(s) for each identified “hazard requiring a preventive control” (i.e., significant hazard) such that the control significantly minimizes or prevents the food manufactured, processed, packed, or held by the facility from being adulterated under section 402 of the Federal Food, Drug, and Cosmetic Act or misbranded under section 403(w) of the Federal Food, Drug and Cosmetic Act. | | |
| 13.1.9 | Evaluate and update the recall and withdrawal procedure as necessary to ensure it contains procedures and responsibility for the following:<br>• Notifying consignees of how to return or dispose of recalled product<br>• Conducting effectiveness checks to verify recall is carried out<br>• Appropriate disposal (i.e., destroy, divert, repurpose) of recalled product | | |
| 13.1.10 | Establish monitoring | | |



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| | activities and a written procedure for each preventive control consistent with the requirements of BRC section 2.10. | | |
| 13.1.11 | Establish corrective action procedures when preventive controls are not implemented consistent with the requirements of BRC sections 2.11 and 3.7.<br><br>Corrective action procedures must be established and implemented when the presence of a pathogen (or indicator organism) is detected as a part of verification activities (i.e., product testing and/or environmental monitoring). | | |
| 13.1.12 | Validate all established process controls prior to implementation of the food safety plan, upon changes requiring re-validation or within 90 calendar days of the first food production.<br><br>Validate allergen, sanitation and supply-chain controls as appropriate to the nature of the hazard, control and facility. | | |
| 13.1.13 | The PCQI (or authorized designee) reviews monitoring and corrective action records within 7 days. Where an alternate timeframe exceeding 7 days is used, the PCQI must document justification.<br><br>The PCQI (or authorized designee) reviews verification records for all preventive controls (e.g., | | |



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| | calibration records, product testing, supply-chain audits) within a reasonable timeframe after the record is created. | | |
| 13.1.14 | Where product testing for a pathogen (or indicator organism) or other hazard is used as a verification activity, a scientifically valid and written testing procedure must identify the following:<br>• Sampling procedure to include method, quantity, frequency, and number of samples<br>• Analytical method<br>• Laboratory conducting analysis<br>• Corrective action procedure where pathogen is detected | | |
| 13.1.15 | Where environmental monitoring for a pathogen (or indicator organism) is used as a verification activity, a scientifically valid and written testing procedure must identify the following:<br>• Adequate number and location of sample sites<br>• Timing and frequency of sampling<br>• Analytical method<br>• Laboratory conducting analysis<br>• Corrective action procedure where pathogen is detected | | |



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| 13.1.16 | Devices used to verify preventive controls must be calibrated. | | |
| 13.1.17 | Identify a Preventive Controls Qualified Individual (PCQI) responsible for developing the food safety plan, validating preventing controls, review of records, and reanalysis of the plan.<br><br>Document the PCQI's training and qualification via job experience. | | |
| 13.1.18 | All records required by 21 CFR § 117 must include:<br>• Date and time of activity being documented<br>• Signature/ initials of individual performing activity or conducting record review<br>• Information to identify the facility (e.g., name and location)<br>• Identity of the product and lot code where applicable | | |
| 13.1.19 | The owner, operator or agent in charge of facility must sign and date the written food safety plan initially and then upon any changes following reanalysis. | | |
| 13.1.20 | All documents and records relating to the food safety plan (i.e., all records required by 21 CFR § 117) must be retained at the facility for 2 years after the record is created. Where records are stored offsite, | | |



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| | they must be retrievable within 24 hours with the exception of the food safety plan, which must remain onsite. | | |
| 13.1.21 | Where a hazard requiring a supply-chain-applied control is identified in the hazard analysis, the receiving facility must establish and implement specific supplier approval and verification activities.<br><br>Where a hazard requiring a supply-chain-applied control is identified AND the control is applied by an entity other than the receiving facility's supplier, the receiving facility is responsible for verifying implementation of the control. | | |
| 13.1.22 | Supplier approval must be documented before receiving and using raw materials and ingredients.<br><br>Verification activities must be conducted before receiving and using raw materials and ingredients on a temporary basis from unapproved suppliers. | | |
| 13.1.23 | One or more supplier verification activities (defined in § 117.410(b)) must be conducted for each supplier before using raw materials and ingredients AND periodically thereafter at an adequate frequency. | | |
| 13.2.1 | Human food by-products held for distribution as animal food must be held under conditions that will protect against contamination, including | | |



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| | the following:<br><br>- During holding, human food by-products for use as animal food must be accurately identified.<br><br>* Labeling that identifies the product by the common or usual name must be affixed to or accompany the human food by-products for use as animal food when distributed.<br><br>* Shipping containers (e.g., totes, drums, and tubs) and bulk vehicles used to distribute human food by-products for use as animal food must be examined prior to use to protect against the contamination of animal food from the container or vehicle when the facility is responsible for transporting the human food by-products for use as animal food itself or arranges with a third party to transport the human food by-products for use as animal food. | | |
| 13.3.1 | A Qualified Individual (QI) is responsible for developing the site's food defense plan, conducting a vulnerability assessment, identifying mitigation strategies, and conducting a reanalysis of the plan. The QI responsible for developing the food defense plan shall be identified on the site's organizational chart.<br><br>One or more QI's shall be responsible for implementing mitigation | | |



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| | strategies at actionable process steps. | | |
| 13.3.2 | The site shall have a written food defense plan, which includes the following:<br>• A vulnerability assessment identifying significant vulnerabilities and actionable process steps<br>• Mitigation strategies appropriate to reduce the vulnerability<br>• Procedures for food defense monitoring, corrective action and verification | | |
| 13.3.3 | A written vulnerability assessment shall be prepared for each food type manufactured, processed, packed, or held, which evaluates the following key criteria (at a minimum):<br>• Scale and severity of threat if a contaminant is added to product<br>• Degree of physical access to the product<br>• Ability of an attacker to successfully contaminate product—including consideration of an inside attacker<br>A vulnerability assessment shall be documented for | | |



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| | each food type regardless of the outcome and provide justification as to why each point, step or procedure in the operation was or was not identified as an actionable process step. | | |
| 13.3.4 | Written mitigation strategies shall be established and implemented for each actionable process step identified in the vulnerability assessment.<br><br>Justification shall be documented explaining how the strategy significantly minimizes or prevents the vulnerability. | | |
| 13.3.5 | Written monitoring procedures shall be established and implemented to include the activity and frequency for monitoring food defense mitigation strategies.<br><br>Procedures shall include recordkeeping requirements for all monitoring activities. | | |
| 13.3.6 | Written corrective action procedures shall be established and implemented when mitigation strategies are not properly implemented. The procedure shall include the following criteria:<br>• Method for identifying and correcting a lack of implementation<br>• Method for reducing the likelihood of recurrence<br>• Recordkeeping | | |



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| | requirements for corrective actions | | |
| 13.3.7 | Written verification procedures shall be established and implemented to ensure that food defense monitoring and corrective action are performed according to procedures. Verification procedures shall describe activities to verify implementation of mitigation strategies.<br><br>Verification procedures shall include:<br>• A review of monitoring and corrective action records within an appropriate timeframe (e.g., 7 days)<br>• Other verification activities as appropriate (e.g., internal audit)<br>• Method for verifying that reanalysis of the food defense plan was conducted<br>• Frequency for verification activities<br>• Recordkeeping requirements of all verification activities | | |
| 13.3.8 | Reanalysis of the food defense plan shall be documented and performed every three years or whenever<br>• A change in facility operations which creates a new significant | | |



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| | vulnerability<br>• Knowledge about a new threat applicable to the food or facility becomes known<br>• Mitigation strategies are not implemented as intended<br>• FDA requires reanalysis based on new threats or scientific evidence | | |
| 13.3.9 | All records required by 21 CFR § 121 must include:<br>• Date and time of activity being documented<br>• Signature/ initials of individual performing activity or conducting record review<br>• Information to identify the facility (e.g., name and location)<br>• Identity of the product and lot code where applicable | | |
| 13.3.10 | The owner, operator or agent in charge of facility must sign and date the written food defense plan initially and then upon any changes following reanalysis. | | |
| 13.3.11 | All documents and records relating to the food defense plan (i.e., all records required by 21 CFR § 121) must be retained at the facility for 2 years after the record is created. Where records are stored offsite, they must be retrievable | | |



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| | within 24 hours with the exception of the food defense plan, which must remain onsite. | | |
| 13.4.1 | Vehicles and transportation equipment must be maintained and stored in a sanitary condition appropriate for the intended use to prevent food from becoming unsafe during transportation. Where inspection reveals that vehicles or containers are not in a clean condition, they shall not be used.<br><br>A documented procedure shall describe cleaning and storage practices of all vehicles and transportation equipment maintained by the site whether leased or owned and as appropriate for the intended use. The procedures shall be fully implemented. Cleaning activities shall be recorded. | | |
| 13.4.2 | The site shall ensure that contracts with U.S. shippers, receivers, loaders, and carriers specify their responsibility for compliance with FSMA's Sanitary Transportation rule. Where the site acts as the shipper or receiver, it shall ensure compliance with the rule.<br><br>Responsibilities shall ensure transportation operations are conducted in a manner to prevent food from becoming unsafe during transport (i.e., apply controls) and that responsibility for compliance with the regulation is assigned to | | |



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| | competent supervisory personnel. | | |
| 13.4.3 | Where the site arranges transportation, it shall document sanitary design requirements and cleaning procedures of vehicles appropriate for the type of food to be transported. These requirements shall be communicated to the loader and carrier.<br><br>Where the site does not arrange transportation, the above provision shall be documented in the shipping service contract to ensure the shipper documents sanitary specifications of vehicles for the loader and carrier, which are appropriate for the type of food. | | |
| 13.4.4 | Contracts with loaders shall specify that the loader is responsible for following sanitary specifications provided by shipper. | | |
| 13.4.5 | Where the site receives temperature controlled product immediately following transportation, it shall conduct an assessment to determine whether the food was subject to temperature abuse. | | |
| 13.4.6 | Contracts with carriers shall specify that the carrier is responsible for the following sanitary activities where agreed to in writing with shipper.<br>• Sanitary condition of vehicles and transportation equipment<br>• Following shipper's sanitary | | |



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| | | | |
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| | specifications (including pre-cooling requirements where applicable)<br>• Recording compliance with operating temperature where critical to food safety<br>• Procedures for the use of bulk vehicles, which includes recording the previous cargo and most recent cleaning for the shipper | | |
| 13.4.7 | Contracts with carriers shall specify that the carrier implements a training program for all personnel engaged in transportation activities, which covers<br>• Awareness of potential food safety problems that may occur during food transportation<br>• Basic sanitary transportation practices to address those potential problems<br>• Responsibilities of the carrier | | |
| 13.4.8 | The site shall keep all records related to U.S. transportation operations and transportation service contracts as original or electronic records for a minimum of 12 months beyond termination of the activity or contract. Offsite records shall be retrievable within 24 hours. | NA | |



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| 13.4.9 | The recordkeeping policy shall ensure all sanitary design requirements and cleaning procedures for vehicles are maintained onsite and all offsite records are retrievable within 24 hours. | NA | |
| 13.5.1 | Personnel (permanent and temporary) who handle produce or food contact surfaces must receive additional training on the following:<br>• Principles of food hygiene and food safety<br>Produce safety standards applicable to an individual's job | NA | |
| 13.5.2 | Personnel (permanent and temporary) who conduct harvest activities (including washing and cooling) must receive additional training on the following:<br>• Recognizing produce contaminated with known or reasonably foreseeable hazards<br>• Inspecting harvest containers and equipment to ensure that they are clean, maintained and do not contaminate produce with hazards<br>• Correcting problems with harvest containers or equipment | NA | |



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| 13.5.3 | One or more supervisors or individuals responsible for the operation must have successfully completed food safety training equivalent to standardized curriculum recognized by the FDA. | NA | |
| 13.5.4 | A supervisor shall be identified with responsibility for the operation and ensuring compliance with Produce Safety regulation. This individual shall be identified on the site's organizational chart. | NA | |
| 13.5.5 | Personnel (permanent and temporary) shall avoid contact with animals or take measures such as hand washing and protective clothing to prevent contamination of produce and food contact surfaces following contact with worker animals. | NA | |
| 13.5.6 | The water distribution system supplying agricultural water used for harvest, packing, holding—and associated equipment—shall be maintained, regularly inspected and equipment properly stored to prevent the system from being a source of contamination to produce and food contact surfaces. The system shall be inspected for conditions, which could introduce known or foreseeable hazards into or onto produce.<br><br>Where testing of the water source or system inspection reveals contamination, deficiencies shall be corrected such as the repair of well caps or sanitary seals. | NA | |



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| 13.5.7 | Agricultural water treatment must be delivered and monitored at a frequency that ensures water is safe, of adequate sanitary quality, and meets the microbial quality criteria of no detectable generic Escherichia coli (E. coli) in 100mL. | NA | |
| 13.5.8 | Potable water quality standards used shall ensure the microbial quality criterion is met, which is no detectable generic E. coli in 100 mL. | NA | |
| 13.5.9 | Where agricultural water does not meet microbial quality criteria or is determined to be unsafe and not of adequate sanitary quality, water use must be discontinued along with treatment or other correction that reestablishes sanitary quality and microbial criteria.<br><br>Where water treatment is not performed, re-inspection of the entire affected agricultural water system shall be conducted followed by the identification of conditions leading to the introduction of hazards into or onto produce or food contact surfaces, correction, and verification of correction to ensure water meets microbial quality criteria. | NA | |
| 13.5.10 | Agricultural water testing may be performed by the site (or site representative) or by a third party provided representative samples of the site's water source is secured.<br><br>Aseptic water sampling must be performed. The | NA | |



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| | method of analysis for water testing is U.S. Environmental Protection Agency (EPA), ‘‘Method 1603: Escherichia coli (E. coli) in Water by Membrane Filtration Using Modified membrane-Thermotolerant Escherichia coli Agar (Modified mTEC), EPA–821–R–09–007),’’ December, 2009 or equivalent method. | | |
| 13.5.11 | During harvest, packing and holding operations (e.g., hydrocooling, washing), manage water to maintain its safety and sanitary quality and prevent contamination of produce to include establishing and following a water-change schedule for recirculated water.<br><br>Visually monitor the water quality of water used for harvest, packing, and holding activities for organic build-up (e.g., soil, plant debris).<br><br>Maintain and monitor the temperature of water used for harvest, packing, and holding activities as appropriate to the commodity and operation to minimize infiltration of pathogens into produce. | NA | |
| 13.5.12 | Dropped produce (i.e., produce that comes in contact with the ground prior to harvest) where the produce would not normally touch the ground as a part of growing and harvest (e.g., cantaloupe, almonds, etc.) shall not be distributed. | NA | |
| 13.5.13 | Sewage disposal and septic systems shall be controlled and appropriate | NA | |



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| | | | |
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| | for the site to prevent the contamination of produce and food contact surfaces. | | |
| 13.5.14 | Plumbing shall not allow backflow or cross-connection between waste and potable water lines. | NA | |
| 13.5.15 | All produce safety related records must be reviewed, dated, and signed within a reasonable timeframe after being made by the supervisor or responsible party. | NA | |
| 13.5.16 | All produce safety documents and records must be retained at the site for 2 years after the record is created.<br>Where records are stored offsite, they must be retrievable within 24 hours.<br>Records related to equipment or processes used by the site for analyses, sampling, or action plans—including the results of scientific studies, tests, and evaluations—shall be retained at the site for at least 2 years after their use is discontinued. | NA | |
| 13.5.17 | Specific additional requirements for the harvesting, packing, and holding of sprouts.<br>Establish and implement a written Environmental Monitoring plan for the testing of Listeria spp or Listeria monocytogenes.<br>The environmental monitoring plan shall include the following criteria:<br>• Target test (i.e., Listeria spp. or L. mono) | NA | |



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| | | | |
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| | • Sample frequency (no less monthly)<br>• Sample timing (i.e., when in the process are samples collected)<br>• Sample sites where the number of samples and location are sufficient to determine the efficacy of controls (includes food contact and non-food contact surfaces)<br>The plan shall describe aseptic methods for sample collection and testing according to FDA's "Testing Methodology for Listeria species or L. monocytogenes in Environmental Samples," Version 1, October 2015 (or equivalent). | | |
| 13.5.18 | Specific additional requirements for the harvesting, packing, and holding of sprouts.<br>The environmental monitoring plan shall include a corrective action plan if any samples are positive for Listeria spp. or L. mono.<br>If Listeria spp. or L mono are identified in the harvesting, packing, holding area, the following activities shall occur as a part of the corrective action process:<br>• Resample positive surfaces and the surrounding area to determine the extent of | NA | |



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| | | | |
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| | contamination<br>• Clean and sanitize the affected and surrounding areas<br>• Resample and re-test to confirm the elimination of Listeria spp. or L. mono<br>• Conduct finished product testing as appropriate<br>• Take additional action to prevent recurrence and to prevent adulterated food from entering commerce | | |



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# Audit Report

## HACCP+FSMS -SA2-2020

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# Qingcheng County Jiahui Food Co., Ltd. Audit Report

| | |
|---|---|
| **Customer Number:** | CMPY-103134 |
| **customer address:** | Qingcheng County Jiahui Food Co., Ltd.<br>Industrial Park Yima Town Qingcheng county, Yima Industrial Concentration Zone, Qingcheng County, Qingyang City, Gansu Province,<br>Qingyang, Gansu (Gansu), 745000, China (China) |
| **Audit criteria:** | China HACCP(GB/T27341-2009;GB14881-2013), ISO 22000:2005 (ISO 22003:2013) |
| **Audit activity:** | HACCP+FSMS -SA2-2020 |
| **Review date:** | Qingyang, China:<br>May 25, 2020 to May 27, 2020 |
| **Auditor (level):** | Wang Zhibin Wang Zhibin (Lead Auditor, Qingyang, China) |
| **Audit scope:** | ***Location: Qingcheng County Jiahui Food Co., Ltd., Qingyang, Gansu, China***<br>**China HACCP (GB/T27341-2009; GB14881-2013):**<br>Production of pumpkin seed kernels, sunflower seed kernels and shellless pumpkin seed kernels<br>Production workshop: 1 seed kernel production workshop<br>**The following requirements do not apply:**<br>no<br>**ISO 22000:2005 (ISO 22003:2013):**<br>Production of pumpkin seed kernels, sunflower seed kernels and shellless pumpkin seed kernels<br>Production workshop: 1 seed kernel production workshop<br>(CNCA/CTS 0010—2014 (CCAA 0018-2014) Food Safety Management System Nut Processing Enterprise Requirements)<br>**The following requirements do not apply:**<br>no. |

## Overall results of the review:

Need to take measures

Despite minor non-conformities, the management system has been effectively implemented.

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**Qingcheng County Jiahui Food Co., Ltd.** Audit Report

# Executive summary

This audit reviewed the effectiveness of the auditee's FSMS system and the effective evaluation and improvement of its performance. Audit site verification

The enterprise qualification documents provided by the auditee are legal and effective; the planning and operation of the auditee's system demonstrates its

Continuous effectiveness and commitment to continuous improvement.

The non-conformities found do not endanger the management system certification. Therefore, when the corrective action plan formulated for the non-conformities is accepted, the

Recommend to continue certification

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# SWOT analysis

| | |
|---|---|
| **Advantage:** | The company's product production has a high degree of automation, and the company's product export customers are relatively stable |
| **Disadvantages:** | Strengthen the management of all suppliers of raw materials used in the traceability exercise |
| **opportunity:** | Strengthen the management of drying temperature |
| **Threat:** | The auditee's pest management and CCP point metal detection management are insufficient |

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# INTERTEK maturity model

In order to ensure a consistent understanding of benchmarking assessments and standardization of audit results, the following description of benchmark scores applies to all management systems, and auditors cannot define th

System modification. The scores given here for your organization are benchmark evaluations based on the evaluation of the audit team.

**management** Meet expectations

Able to provide evidence of management commitment, customer and/or related party satisfaction, understanding/awareness of policies and goals. Responsibilities and authorities are defined, understood,

and supported by data, trends, and related key performance indicators (KPIs). The management review has been completed and can meet the minimum expectations.

**internal review** Meet expectations

The internal audit has been implemented in the planned cycle and can be based on the status and importance of the management system. The data is collected. The audit team has received training and can

The core guarantees fairness and objectivity. The content of the audit report is clear and concise. Measures are being taken in response to the audit findings, and timely responses can be provided.

**Corrective Action** Meet expectations

The corrective action process meets the minimum requirements specified in the standard. The data provided comes from complaints from customers and/or related parties, internal audits, shelf life analysis, defects,

Internal evaluation standards and supplier performance. The process involves evaluating the effectiveness of the measures taken. There is evidence that the tools used to solve the problem are getting

Use to support the process.

**keep improve** Meet expectations

As an input source to drive continuous improvement in the future, data streams are being utilized. These may include management system policies, objectives, audit results, data analysis, corrections and

Preventive action (CAPA) and management review.

**Operational control** Meet expectations

The operation control process has been planned and established. Planning can be consistent with most other management system processes. Goals, process requirements, requirements for applicable documents and resourc

, Verification and monitoring activities, and recording requirements have been determined. The process and activities run in the same way. Part of the data has been collected and verified by some evidence of improvement tren

Suitability of operation control process.

**Resources** Meet expectations

The resources required to effectively maintain and improve the management system have been defined and implemented. Customer and/or related party satisfaction and overall stability of the management system have been p

Bright. The competence requirements have been stipulated and implemented.

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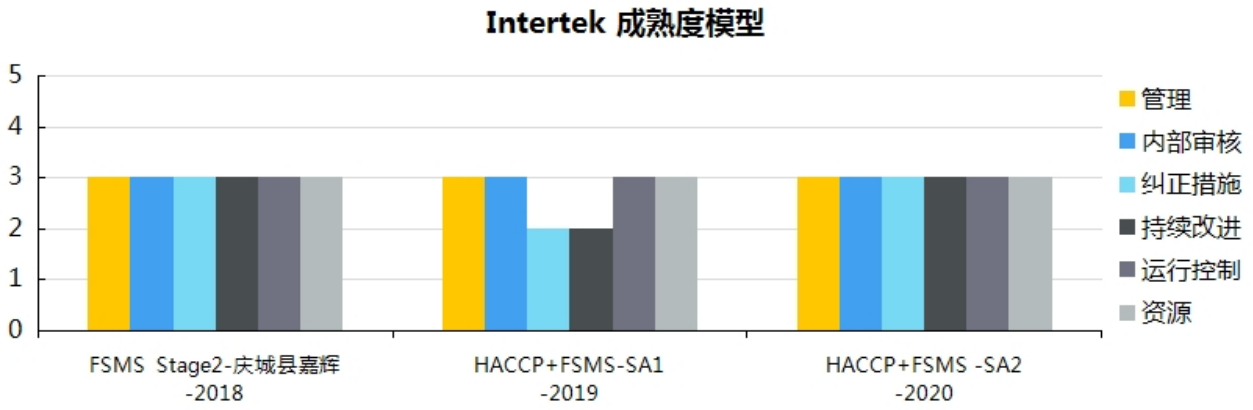
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Maturity: 5=benchmark| 4=mature| 3=meet expected requirements| 2=start| 1=unproven

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## Summary of audit findings

| | Minor non-conformity | Major nonconformity |
|---|---|---|
| Number of proposals found in the current review | 2 | 0 |
| The number of closures found in the last audit | 4 | 0 |

**Are improvement opportunities identified:**

Yes

## The last audit found the closure

**Follow-up verification found in the last review issue:**

The corrective actions proposed in the last review have been closed. No further measures are required.

**Please explain the closure found in the last audit:**

For the unqualified 1: There is a health checklist for food and drug practitioners issued in the last review, the company will conduct it at the same time. Laboratory technicians Tian Juanjuan, quantitative packaging operator Zhao Fujun, buyer Xue Haicheng, library manager Li Zhanquan, and technician Yang Xueqiang all passed the physical examination. Phy Period 2019.10.17; for unqualified 2: Check the gas storage tank safety valve verification report, the inspection result is qualified, valid until 2021.5.12, Qingyang Special Equipment Inspection Institute. There is a gas tank pressure gauge verification certificate, and the conclusion is up to 1.6, valid until June 2020; there are mobile work The first inspection report of the industry vehicle, the inspection conclusion, qualified. Valid until 2020.5. Has been contacted with the local special equipment inspection agency on 5.22 Department of annual inspection; for unqualified 3: Observed at the production site: pre-treatment area, selection area, steam sterilization area, packaging area are marked Recognition card. The semi-finished products and finished products have complete and clear identification; for unqualified 4: check the number 1002001 electronic quantitative scale, nu

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**Qingcheng County Jiahui Food Co., Ltd.** Audit Report

1508366 Automatic quantitative packaging scale verification certificate, the verification conclusion is qualified. Verification date: 2020.5.16, valid until 2021.5.15.

Qingyang City Quality Metrology Inspection and Testing Center; Formulate and Corrective measures taken are effective

**Issues found in the last audit that were not closed:**

no

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## Specific audit findings:

| Audit discovery number: | Audit criteria: | Corrective action plan date : | Corrective action execution date: |
|---|---|---|---|
| Finding 714894-1 | ISO 22000:2005 (ISO 22003:2013)<br>China HACCP(GB/T27341-2009; GB14881-2013) | June 25, 2020 | June 25, 2020 |

| signer: | category: | File Number: | Reply request: |
|---|---|---|---|
| Wang Zhibin | Minor non-conformity | SSOP | Submit corrective action plan |

**The audit found:**

Insufficient pest control management of the auditee

**Claim:**

ISO 22000:2005 standard 7.2.3 i) clause; GB/T27341-2009 standard 6.4SSOP

Pest control requirements

**Objective evidence:**

The audit site found that there were flies found in the work area near the locker room in the workshop

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| Audit discovery number: | Audit criteria: | Corrective action plan date : | Corrective action execution date: |
|---|---|---|---|
| Finding 714894-2 | ISO 22000:2005 (ISO 22003:2013)<br>China HACCP(GB/T27341-2009; GB14881-2013) | June 25, 2020 | June 25, 2020 |

| signer: | category: | File Number: | Reply request: |
|---|---|---|---|
| Wang Zhibin | Minor non-conformity | HACCP plan | Submit corrective action plan |

**The audit found:**

Insufficient metal detection management at key control points of the auditee

**Claim:**

ISO 22000:2005 standard 7.6.4 clause; GB/T27341-2009 standard 7.6

Critical control point monitoring system requirements

**Objective evidence:**

The audit site found that: iron: ¢2.5mm, SUS: ¢4.0mm, No-Fe3.0mm detection block in the empty machine, placed in the packaging bag

Test under the condition of lower and above the packaging bag. Iron: ¢2.5mm, No-Fe3.0mm test block is loaded above the 25KG bag

Failed to report to the police during detection.

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# Running status summary

The operating status of the management system is summarized as follows:

**Evaluation and conclusions on the performance of each process/functional department involved in the audit process, including key performance (KPI) and related indicators**

Formulated food safety policy and goals: "Taking honesty as the foundation of one's life, quality as the foundation of survival; taking innovation as the foundation of development, ensuri

Product safety and hygiene". The food safety policy reflects the requirements of the standard and is effectively communicated and understood within the organization.

Formulated food safety goals and departmental KPIs:

The auditee has set a goal: "The product delivery rate is 100%; the customer complaints are handled properly and the customer satisfaction rate is 100%.

98% or more; contract fulfillment rate 100%; raw materials and packaging materials warehousing pass rate 100%; process execution spot check pass rate 100%;

100% of personnel training rate, 100% of employees' health certificate holding rate, 100% of pass rate of personal hygiene spot check; no food quality safety issues

Therefore, there are no complaints and claims, etc., and decomposition goals have been established at various functions and levels, and assessments are conducted quarterly. The goa

And check the "Quarterly Target Review Record", September 30, 2019 for the third quarter of 2018 target, 2020.3.30 for 2020

Target assessment records for the first quarter of the year, assessment items: product delivery qualification rate, training completion rate, worker physical examination qualification rate,

Training qualification rate, inspection equipment submission rate, finished product inspection coverage rate, customer complaint handling efficiency, process inspection qualification rate

The target has been basically completed, and there are no substandard projects.

**Evaluation and conclusions of various mandatory audit elements**

1 The auditee has prepared the "Management Review Control Procedures" to plan the management review process, and conduct at least one per year according to the planning cycle.

Management review. The company's latest management review was conducted on December 21, 2019. Hosted by General Manager Sun Zhenwu, head of each department

Tube to participate. “Management Review Schedule”, “Review Input Data”, “Meeting Sign-in Form”, “Management Review Record Form”, “Management Review

Management Review Report. According to the plan, the food safety policy, the effectiveness and realization of the target, the internal audit, the human resource control, the internal

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Department communication, system operation, product compliance, product verification, material procurement, contract review and customer satisfaction, production control

And the management status of production facilities, the effectiveness of the system and the operation of each department were reviewed, and the management review conclusion was a

Improve resolutions, including strengthening training; making full use of quality control, review, and verification information for improvement; strictly controlling inspections to ensure proc

2. The auditee has formulated the "Internal Audit Control Procedures" and stipulated that internal audits should be conducted at least once a year. 5 times in 2019

Internal audit, the last two will be conducted on 2019.10.20 and 2020.12.25 respectively, according to the standards ISO22000:2005, GB/T

27341-2009, BRC provided "Annual Internal Audit Plan", "First/Last Meeting Sign-in Form", "Internal Audit Checklist",

According to the "Meeting Records", the 2 internal audit mergers covered all departments and all elements, and the "Non-conformity Report" showed that on October 20, 2019

The internal audit raised 2 non-conformities, and the relevant departments have carried out rectification and implementation. The internal audit on 2020.12.25 did not raise any non-conf

. Combined with multiple internal audits in 2019, the overall internal audit report for 2019 was compiled, and a summary of the internal audit in 2019 was made.

The internal audit basically met the requirements. It is recommended to list all three system clauses when preparing internal audits.

3. Since the last audit, no customer complaints, no food safety incidents, unqualified food, and withdrawal of unqualified food have occurred

.

4. The auditee mainly continues through internal audit, management review, quality objectives, data analysis, corrective measures, preventive measures, and performance appraisal

Improve the effectiveness of the management system. The determined continuous improvement process meets the standard requirements. In this review, the above-mentioned process

The display is basically normal and the results are valid.

5 As a seed and kernel product processing enterprise, the auditee has imposed requirements on the regulations "Safety and Hygiene Requirements for Export Food Production Enterpri

2013 General Hygiene Code for Food Enterprises", "CNCA/CTS 0010-2014 (CCAA 0018-2014) Food Safety Management System

“Requirements for Nut Processing Enterprises” and “GB 19300-2014 National Food Safety Standard Nuts and Seed Foods” have been identified,

Infrastructure infrastructure, seed and kernel product processing equipment, warehouses, etc. can basically be effectively managed and maintained; in terms of sanitation and environm

The “prerequisite program” includes the structure and layout of the production workshop, water safety, cleanliness and sanitation of food contact surfaces, and precautions for cross-con

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The production department and related departments are responsible for the implementation and daily monitoring and inspection of the quality inspection department. GMP implementati

To industry requirements. However, it was found at the audit site: Flies CAR1/2 were found in the work area near the locker room in the workshop .

6. The food safety team of the auditee fully collected information on the characteristics of the raw materials and the final product, and correctly identified the intended use of the final pro

, Accurately drawn and verified the flow chart in accordance with the actual operation. The process flow is as follows:

Pumpkin seed kernel production process flow chart: Bulk metal detection has been added since the last review

Acceptance of raw materials---storage---polishing---vibration cleaning---removing stone---specific gravity and impurity removal---color selection---grading and screening---water spray mi

---Drying---Fully automatic specific gravity cleaning---Bühler stone removal---secondary tandem color sorting---hand magnetic separation---vibration cleaning---steam

Optical and mechanical foreign body detection---Bulk material metal detection---Quantitative packaging---Metal detector---Finished product storage---Sales out storage.

Process flow chart of sunflower seed kernel production: increase bulk metal detection since the last audit

Raw material seed kernel acceptance---storage---color sorting---hand sorting and magnetic separation---X-ray foreign body detection---bulk metal detection---quantitative packaging---m

Detector---finished product in storage---sale out of storage

Pumpkin seed kernels and sunflower seed kernels use the same production line. However, part of the line and some equipment do not start when processing sunflower seeds.

Process flow chart for the production of shellless pumpkin seeds: Bulk metal detection has been added since the last review

Acceptance of raw materials---storage---screening and winnowing---removing stone---grinding and screening---washing---drying---polishing---cleaning and removing impurities---removir

---Shooting to customer requirements---X-ray vibration screening to remove impurities---hand selection—magnetic sorting---steam sterilization (choose whether to run

Machine foreign body detection---Bulk metal detection---Quantitative packaging---Metal detector---Packing---Finished products in storage---Sales out of storage

The food safety team described the process steps in accordance with the process flow after verification. The process flow and process

Match. The team identified the biological, chemical, and physical potential hazards step by step in accordance with the process of the processing procedures and evaluated them.

Fully recognized. The team has appropriately assessed each potential hazard identified from the possibility of occurrence and the severity of the consequences,

The potential hazards and significant hazards that need to be controlled are determined for pesticide residues, mycotoxins, pathogenic bacteria, metals, foreign bodies, etc. Group base

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Assess the effect and the way of introducing hazards, determine the control measures and carry out HACCP plan and OPRP classification. The classification is calculated by HACCP.

CCP is determined by the critical control point judgment tree.

The identified OPRP includes:

The OPRP for pumpkin seed kernel production is: OPRP1 infiltration, OPRP2 steam drying, OPRP3 color selection

The OPRP for the production of sunflower seeds and shellless pumpkin seeds is: OPRP1 color selection.

The confirmed CCP includes: raw material acceptance, steam sterilization, X-ray foreign body detection, and secondary metal detection as CCP points, a total of 4 CCPs.

The team determined critical limits for CCP and control parameters for OPRP, and formulated HACCP plans and

OPRP plan. The monitoring of control measures basically meets the requirements. However, the audit found: the audit site found: the use of iron: ¢2.5mm,

SUS: ¢4.0mm, No-Fe3.0mm detection block is tested under empty machine, placed under the packaging bag, and placed above the packaging bag

. Iron: ¢2.5mm, when the No-Fe3.0mm test block is tested above the 25KG packaging bag, it fails to alarm. CAR2/2

7) The auditee has planned and implemented the verification, verification and improvement of the food safety management system to verify the HACCP plan

For completeness, suitability and effectiveness, the HACCP team will confirm the various elements of the HACCP plan before the implementation of the HACCP plan.

Recognition, including collecting and confirming the science and legality of supporting documents, confirming the conformity of technological processes, and adequacy of hazard identifi

, The rationality of the critical control point setting and the scientificity of the critical limit, etc., retain the “GB 19300-2014 National Food Safety Standard

Nuts and Seed Foods", "GB 2761-2017 National Food Safety Standard Limits of Mycotoxins in Foods", "GB 2762-

2017 National Food Safety Standard Limits of Contaminants in Food", "GB 2763-2019 National Food Safety Standard Pesticide Residues",

"GB29921-2013 National Food Safety Standard Limits of Pathogenic Bacteria in Food", customer requirements, EU regulations, "Steam Sterilizer

Experimental data" and other confirmation evidence. The quality inspection department verifies the process parameters during the production process and passes the third-party produc

Has been verified, and the company has stipulated that the HACCP plan needs to be confirmed before implementation and after the change; the on-site inspection and verification resul

The verification activities of the company’s HACCP system are basically under control and meet the requirements;

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8) The auditee implements through the management system. Basically ensure the realization of the company's food safety policy and goals.

**Customer performance trend evaluation and conclusions since the last certification audit/recertification audit (at the time of the recertification audit and the last supervision before the recertification audit)**

In response to the non-conformities issued in the previous audit, the auditee has formulated and taken corrective measures to verify that the corrective measures taken are effective

**Identified opportunities for improvement**

Change the training method, each training content is too much, it is recommended to have a small number of times to enhance the training effect

**The impact of major changes (if any)**

No change

**Other information/unresolved issues**

CNCA/CTS 0010-2014 (CCAA 0018-2014) Food Safety Management System Requirements for Nut Processing Enterprises

Wang Zhibin2019-N1FSMS-3022391

After obtaining the certificate, the scanned copy will be provided to the customer when requested, and there is no other use. Early use without violation

The auditee has established methods to identify, maintain and update laws and regulations applicable to products/services, and the quality inspection department manager is responsibl

Collect relevant regulations and standards and transform them into company documents. There is a list of laws and regulations to identify the regulations, raw and auxiliary materials pa

Product standards such as "Food Safety Law "Safety and Hygiene Requirements for Exported Food Production Enterprises", "GB 14881-2013 General Sanitation for Food Enterprises"

Standards", "CNCA/CTS 0010-2014 (CCAA 0018-2014) Food Safety Management System Nut Processing Enterprise Requirements"

, "GB 19300-2014 National Food Safety Standard Nuts and Seed Foods", "SNT 1963-2007 Import and Export Pumpkin Seeds,

Sensory Inspection Method for Sunflower Seed Kernel, "GBT 11764-2008 Sunflower Seed", "NYT 966-2006 White Seed", "EU

20052073EC Food Microbiological Standards", "Drinking Water Hygienic Standard GB5749-2006", "GB 2761-2017 Food

National Food Safety Standard Limits of Mycotoxins in Foods, GB 2762-2017 National Food Safety Standards Limits of Contaminants in Foods

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", "GB 2763-2019 National Food Safety Standard Pesticide Residues" and other laws and regulations, laws and regulations have been applied to process input,

The summary of compliance with laws and regulations, etc., are all valid versions. Laws, regulations and standards have basically been applied to process input and transformed into pu

Company management documents, regulatory compliance performance

**Communication/change during the audit (when applicable)**

Complete all audit activities according to the audit plan

**See appendix:**

Audit plan

**The audit was implemented in accordance with the purpose, scope and schedule specified in the audit plan**

YES, confirmed

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## Recommendations of the audit team leader

Recommendations of the audit team leader (ISO 22000:2005 (ISO 22003:2013) project)

The non-conformities found do not endanger the management system certification. Therefore, when the corrective action plan for non-conformities is accepted, it is recommended to continue certification.

## Other recommendations of the review team leader

This is a combined audit of the HACCP system and FSMS, and the degree of integration is 100%.

## Customer sign

**Name and mailing address of customer management representative:**

Xue Qiang

Yima Industrial Concentration Zone, Qingcheng County, Qingyang City, Gansu Province, China

**Sign for:**

Xue Qiang

The report is completed based on the objective evidence sampled by the on-site audit, so the evaluation results and conclusions may be uncertain. Before the final certification decision is made, an independent person will report

Content is evaluated.

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**Qingcheng County Jiahui Food Co., Ltd.**

# Audit Report

## HACCP+FSMS -SA2-2020

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# Qingcheng County Jiahui Food Co., Ltd. Audit Report

| | |
|---|---|
| **Customer Number:** | CMPY-103134 |
| **customer address:** | Qingcheng County Jiahui Food Co., Ltd.<br>Industrial Park Yima Town Qingcheng county, Yima Industrial Concentration Zone, Qingcheng County, Qingyang City, Gansu Province,<br>Qingyang, Gansu (Gansu), 745000, China (China) |
| **Audit criteria:** | China HACCP(GB/T27341-2009;GB14881-2013), ISO 22000:2005 (ISO 22003:2013) |
| **Audit activity:** | HACCP+FSMS -SA2-2020 |
| **Review date:** | Qingyang, China:<br>May 25, 2020 to May 27, 2020 |
| **Auditor (level):** | Wang Zhibin Wang Zhibin (Lead Auditor, Qingyang, China) |
| **Audit scope:** | ***Location: Qingcheng County Jiahui Food Co., Ltd., Qingyang, Gansu, China***<br>**China HACCP (GB/T27341-2009; GB14881-2013):**<br>Production of pumpkin seed kernels, sunflower seed kernels and shellless pumpkin seed kernels<br>Production workshop: 1 seed kernel production workshop<br>**The following requirements do not apply:**<br>no<br>**ISO 22000:2005 (ISO 22003:2013):**<br>Production of pumpkin seed kernels, sunflower seed kernels and shellless pumpkin seed kernels<br>Production workshop: 1 seed kernel production workshop<br>(CNCA/CTS 0010—2014 (CCAA 0018-2014) Food Safety Management System Nut Processing Enterprise Requirements)<br>**The following requirements do not apply:**<br>no. |

## Overall results of the review:

Need to take measures

Despite minor non-conformities, the management system has been effectively implemented.

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**Qingcheng County Jiahui Food Co., Ltd.** Audit Report

# Executive summary

This audit reviewed the effectiveness of the auditee's FSMS system and the effective evaluation and improvement of its performance. Audit site verification

The enterprise qualification documents provided by the auditee are legal and effective; the planning and operation of the auditee's system demonstrates its

Continuous effectiveness and commitment to continuous improvement.

The non-conformities found do not endanger the management system certification. Therefore, when the corrective action plan formulated for the non-conformities is accepted, the

Recommend to continue certification

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# SWOT analysis

| | |
|---|---|
| **Advantage:** | The company's product production has a high degree of automation, and the company's product export customers are relatively stable |
| **Disadvantages:** | Strengthen the management of all suppliers of raw materials used in the traceability exercise |
| **opportunity:** | Strengthen the management of drying temperature |
| **Threat:** | The auditee's pest management and CCP point metal detection management are insufficient |

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# INTERTEK maturity model

In order to ensure a consistent understanding of benchmarking assessments and standardization of audit results, the following description of benchmark scores applies to all management systems, and auditors cannot define th

System modification. The scores given here for your organization are benchmark evaluations based on the evaluation of the audit team.

**management** Meet expectations

Able to provide evidence of management commitment, customer and/or related party satisfaction, understanding/awareness of policies and goals. Responsibilities and authorities are defined, understood,

and supported by data, trends, and related key performance indicators (KPIs). The management review has been completed and can meet the minimum expectations.

**internal review** Meet expectations

The internal audit has been implemented in the planned cycle and can be based on the status and importance of the management system. The data is collected. The audit team has received training and can

The core guarantees fairness and objectivity. The content of the audit report is clear and concise. Measures are being taken in response to the audit findings, and timely responses can be provided.

**Corrective Action** Meet expectations

The corrective action process meets the minimum requirements specified in the standard. The data provided comes from complaints from customers and/or related parties, internal audits, shelf life analysis, defects,

Internal evaluation standards and supplier performance. The process involves evaluating the effectiveness of the measures taken. There is evidence that the tools used to solve the problem are getting

Use to support the process.

**keep improve** Meet expectations

As an input source to drive continuous improvement in the future, data streams are being utilized. These may include management system policies, objectives, audit results, data analysis, corrections and

Preventive action (CAPA) and management review.

**Operational control** Meet expectations

The operation control process has been planned and established. Planning can be consistent with most other management system processes. Goals, process requirements, requirements for applicable documents and resourc

, Verification and monitoring activities, and recording requirements have been determined. The process and activities run in the same way. Part of the data has been collected and verified by some evidence of improvement tren

Suitability of operation control process.

**Resources** Meet expectations

The resources required to effectively maintain and improve the management system have been defined and implemented. Customer and/or related party satisfaction and overall stability of the management system have been p

Bright. The competence requirements have been stipulated and implemented.

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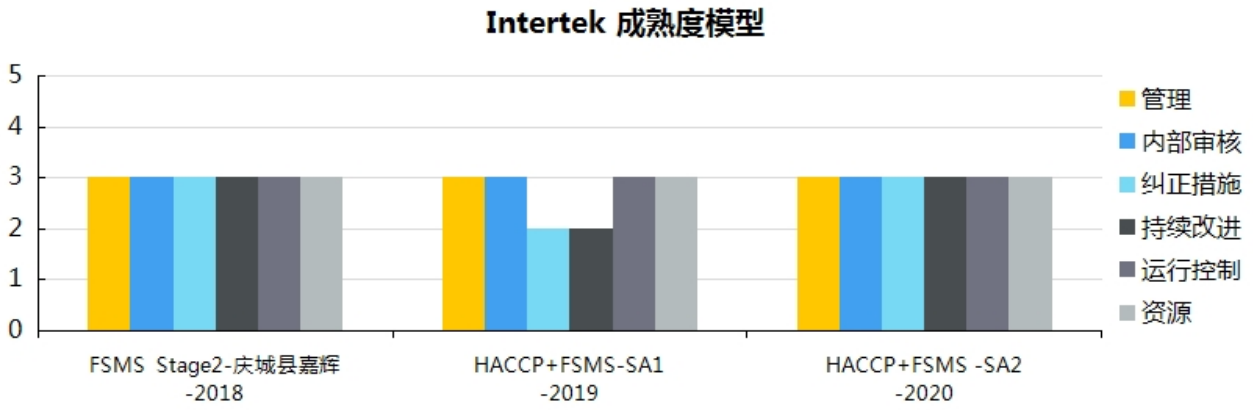
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Maturity: 5=benchmark| 4=mature| 3=meet expected requirements| 2=start| 1=unproven

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## Summary of audit findings

| | Minor non-conformity | Major nonconformity |
|---|---|---|
| Number of proposals found in the current review | 2 | 0 |
| The number of closures found in the last audit | 4 | 0 |

**Are improvement opportunities identified:**

Yes

## The last audit found the closure

**Follow-up verification found in the last review issue:**

The corrective actions proposed in the last review have been closed. No further measures are required.

**Please explain the closure found in the last audit:**

For the unqualified 1: There is a health checklist for food and drug practitioners issued in the last review, the company will conduct it at the same time. Laboratory technicians Tian Juanjuan, quantitative packaging operator Zhao Fujun, buyer Xue Haicheng, library manager Li Zhanquan, and technician Yang Xueqiang all passed the physical examination. Phy Period 2019.10.17; for unqualified 2: Check the gas storage tank safety valve verification report, the inspection result is qualified, valid until 2021.5.12, Qingyang Special Equipment Inspection Institute. There is a gas tank pressure gauge verification certificate, and the conclusion is up to 1.6, valid until June 2020; there are mobile work The first inspection report of the industry vehicle, the inspection conclusion, qualified. Valid until 2020.5. Has been contacted with the local special equipment inspection agency on 5.22 Department of annual inspection; for unqualified 3: Observed at the production site: pre-treatment area, selection area, steam sterilization area, packaging area are marked Recognition card. The semi-finished products and finished products have complete and clear identification; for unqualified 4: check the number 1002001 electronic quantitative scale, nu

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**Qingcheng County Jiahui Food Co., Ltd.** Audit Report

1508366 Automatic quantitative packaging scale verification certificate, the verification conclusion is qualified. Verification date: 2020.5.16, valid until 2021.5.15.

Qingyang City Quality Metrology Inspection and Testing Center; Formulate and Corrective measures taken are effective

**Issues found in the last audit that were not closed:**

no

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## Specific audit findings:

| Audit discovery number: | Audit criteria: | Corrective action plan date : | Corrective action execution date: |
|---|---|---|---|
| Finding 714894-1 | ISO 22000:2005 (ISO 22003:2013)<br>China HACCP(GB/T27341-2009; GB14881-2013) | June 25, 2020 | June 25, 2020 |

| signer: | category: | File Number: | Reply request: |
|---|---|---|---|
| Wang Zhibin | Minor non-conformity | SSOP | Submit corrective action plan |

**The audit found:**

Insufficient pest control management of the auditee

**Claim:**

ISO 22000:2005 standard 7.2.3 i) clause; GB/T27341-2009 standard 6.4SSOP

Pest control requirements

**Objective evidence:**

The audit site found that there were flies found in the work area near the locker room in the workshop

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| Audit discovery number: | Audit criteria: | Corrective action plan date : | Corrective action execution date: |
|---|---|---|---|
| Finding 714894-2 | ISO 22000:2005 (ISO 22003:2013)<br>China HACCP(GB/T27341-2009; GB14881-2013) | June 25, 2020 | June 25, 2020 |

| signer: | category: | File Number: | Reply request: |
|---|---|---|---|
| Wang Zhibin | Minor non-conformity | HACCP plan | Submit corrective action plan |

**The audit found:**

Insufficient metal detection management at key control points of the auditee

**Claim:**

ISO 22000:2005 standard 7.6.4 clause; GB/T27341-2009 standard 7.6

Critical control point monitoring system requirements

**Objective evidence:**

The audit site found that: iron: ¢2.5mm, SUS: ¢4.0mm, No-Fe3.0mm detection block in the empty machine, placed in the packaging bag

Test under the condition of lower and above the packaging bag. Iron: ¢2.5mm, No-Fe3.0mm test block is loaded above the 25KG bag

Failed to report to the police during detection.

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# Running status summary

The operating status of the management system is summarized as follows:

**Evaluation and conclusions on the performance of each process/functional department involved in the audit process, including key performance (KPI) and related indicators**

Formulated food safety policy and goals: "Taking honesty as the foundation of one's life, quality as the foundation of survival; taking innovation as the foundation of development, ensuri

Product safety and hygiene". The food safety policy reflects the requirements of the standard and is effectively communicated and understood within the organization.

Formulated food safety goals and departmental KPIs:

The auditee has set a goal: "The product delivery rate is 100%; the customer complaints are handled properly and the customer satisfaction rate is 100%.

98% or more; contract fulfillment rate 100%; raw materials and packaging materials warehousing pass rate 100%; process execution spot check pass rate 100%;

100% of personnel training rate, 100% of employees' health certificate holding rate, 100% of pass rate of personal hygiene spot check; no food quality safety issues

Therefore, there are no complaints and claims, etc., and decomposition goals have been established at various functions and levels, and assessments are conducted quarterly. The goa

And check the "Quarterly Target Review Record", September 30, 2019 for the third quarter of 2018 target, 2020.3.30 for 2020

Target assessment records for the first quarter of the year, assessment items: product delivery qualification rate, training completion rate, worker physical examination qualification rate,

Training qualification rate, inspection equipment submission rate, finished product inspection coverage rate, customer complaint handling efficiency, process inspection qualification rate

The target has been basically completed, and there are no substandard projects.

**Evaluation and conclusions of various mandatory audit elements**

1 The auditee has prepared the "Management Review Control Procedures" to plan the management review process, and conduct at least one per year according to the planning cycle.

Management review. The company's latest management review was conducted on December 21, 2019. Hosted by General Manager Sun Zhenwu, head of each department

Tube to participate. “Management Review Schedule”, “Review Input Data”, “Meeting Sign-in Form”, “Management Review Record Form”, “Management Review

Management Review Report. According to the plan, the food safety policy, the effectiveness and realization of the target, the internal audit, the human resource control, the internal

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Department communication, system operation, product compliance, product verification, material procurement, contract review and customer satisfaction, production control

And the management status of production facilities, the effectiveness of the system and the operation of each department were reviewed, and the management review conclusion was a

Improve resolutions, including strengthening training; making full use of quality control, review, and verification information for improvement; strictly controlling inspections to ensure proc

2. The auditee has formulated the "Internal Audit Control Procedures" and stipulated that internal audits should be conducted at least once a year. 5 times in 2019

Internal audit, the last two will be conducted on 2019.10.20 and 2020.12.25 respectively, according to the standards ISO22000:2005, GB/T

27341-2009, BRC provided "Annual Internal Audit Plan", "First/Last Meeting Sign-in Form", "Internal Audit Checklist",

According to the "Meeting Records", the 2 internal audit mergers covered all departments and all elements, and the "Non-conformity Report" showed that on October 20, 2019

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. Combined with multiple internal audits in 2019, the overall internal audit report for 2019 was compiled, and a summary of the internal audit in 2019 was made.

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3. Since the last audit, no customer complaints, no food safety incidents, unqualified food, and withdrawal of unqualified food have occurred

.

4. The auditee mainly continues through internal audit, management review, quality objectives, data analysis, corrective measures, preventive measures, and performance appraisal

Improve the effectiveness of the management system. The determined continuous improvement process meets the standard requirements. In this review, the above-mentioned process

The display is basically normal and the results are valid.

5 As a seed and kernel product processing enterprise, the auditee has imposed requirements on the regulations "Safety and Hygiene Requirements for Export Food Production Enterpri

2013 General Hygiene Code for Food Enterprises", "CNCA/CTS 0010-2014 (CCAA 0018-2014) Food Safety Management System

“Requirements for Nut Processing Enterprises” and “GB 19300-2014 National Food Safety Standard Nuts and Seed Foods” have been identified,

Infrastructure infrastructure, seed and kernel product processing equipment, warehouses, etc. can basically be effectively managed and maintained; in terms of sanitation and environm

The “prerequisite program” includes the structure and layout of the production workshop, water safety, cleanliness and sanitation of food contact surfaces, and precautions for cross-con

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The production department and related departments are responsible for the implementation and daily monitoring and inspection of the quality inspection department. GMP implementati

To industry requirements. However, it was found at the audit site: Flies CAR1/2 were found in the work area near the locker room in the workshop .

6. The food safety team of the auditee fully collected information on the characteristics of the raw materials and the final product, and correctly identified the intended use of the final pro

, Accurately drawn and verified the flow chart in accordance with the actual operation. The process flow is as follows:

Pumpkin seed kernel production process flow chart: Bulk metal detection has been added since the last review

Acceptance of raw materials---storage---polishing---vibration cleaning---removing stone---specific gravity and impurity removal---color selection---grading and screening---water spray mi

---Drying---Fully automatic specific gravity cleaning---Bühler stone removal---secondary tandem color sorting---hand magnetic separation---vibration cleaning---steam

Optical and mechanical foreign body detection---Bulk material metal detection---Quantitative packaging---Metal detector---Finished product storage---Sales out storage.

Process flow chart of sunflower seed kernel production: increase bulk metal detection since the last audit

Raw material seed kernel acceptance---storage---color sorting---hand sorting and magnetic separation---X-ray foreign body detection---bulk metal detection---quantitative packaging---m

Detector---finished product in storage---sale out of storage

Pumpkin seed kernels and sunflower seed kernels use the same production line. However, part of the line and some equipment do not start when processing sunflower seeds.

Process flow chart for the production of shellless pumpkin seeds: Bulk metal detection has been added since the last review

Acceptance of raw materials---storage---screening and winnowing---removing stone---grinding and screening---washing---drying---polishing---cleaning and removing impurities---removir

---Shooting to customer requirements---X-ray vibration screening to remove impurities---hand selection—magnetic sorting---steam sterilization (choose whether to run

Machine foreign body detection---Bulk metal detection---Quantitative packaging---Metal detector---Packing---Finished products in storage---Sales out of storage

The food safety team described the process steps in accordance with the process flow after verification. The process flow and process

Match. The team identified the biological, chemical, and physical potential hazards step by step in accordance with the process of the processing procedures and evaluated them.

Fully recognized. The team has appropriately assessed each potential hazard identified from the possibility of occurrence and the severity of the consequences,

The potential hazards and significant hazards that need to be controlled are determined for pesticide residues, mycotoxins, pathogenic bacteria, metals, foreign bodies, etc. Group base

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Assess the effect and the way of introducing hazards, determine the control measures and carry out HACCP plan and OPRP classification. The classification is calculated by HACCP.

CCP is determined by the critical control point judgment tree.

The identified OPRP includes:

The OPRP for pumpkin seed kernel production is: OPRP1 infiltration, OPRP2 steam drying, OPRP3 color selection

The OPRP for the production of sunflower seeds and shellless pumpkin seeds is: OPRP1 color selection.

The confirmed CCP includes: raw material acceptance, steam sterilization, X-ray foreign body detection, and secondary metal detection as CCP points, a total of 4 CCPs.

The team determined critical limits for CCP and control parameters for OPRP, and formulated HACCP plans and

OPRP plan. The monitoring of control measures basically meets the requirements. However, the audit found: the audit site found: the use of iron: ¢2.5mm,

SUS: ¢4.0mm, No-Fe3.0mm detection block is tested under empty machine, placed under the packaging bag, and placed above the packaging bag

. Iron: ¢2.5mm, when the No-Fe3.0mm test block is tested above the 25KG packaging bag, it fails to alarm. CAR2/2

7) The auditee has planned and implemented the verification, verification and improvement of the food safety management system to verify the HACCP plan

For completeness, suitability and effectiveness, the HACCP team will confirm the various elements of the HACCP plan before the implementation of the HACCP plan.

Recognition, including collecting and confirming the science and legality of supporting documents, confirming the conformity of technological processes, and adequacy of hazard identifi

, The rationality of the critical control point setting and the scientificity of the critical limit, etc., retain the “GB 19300-2014 National Food Safety Standard

Nuts and Seed Foods", "GB 2761-2017 National Food Safety Standard Limits of Mycotoxins in Foods", "GB 2762-

2017 National Food Safety Standard Limits of Contaminants in Food", "GB 2763-2019 National Food Safety Standard Pesticide Residues",

"GB29921-2013 National Food Safety Standard Limits of Pathogenic Bacteria in Food", customer requirements, EU regulations, "Steam Sterilizer

Experimental data" and other confirmation evidence. The quality inspection department verifies the process parameters during the production process and passes the third-party produc

Has been verified, and the company has stipulated that the HACCP plan needs to be confirmed before implementation and after the change; the on-site inspection and verification resul

The verification activities of the company’s HACCP system are basically under control and meet the requirements;

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8) The auditee implements through the management system. Basically ensure the realization of the company's food safety policy and goals.

**Customer performance trend evaluation and conclusions since the last certification audit/recertification audit (at the time of the recertification audit and the last supervision before the recertification audit)**

In response to the non-conformities issued in the previous audit, the auditee has formulated and taken corrective measures to verify that the corrective measures taken are effective

**Identified opportunities for improvement**

Change the training method, each training content is too much, it is recommended to have a small number of times to enhance the training effect

**The impact of major changes (if any)**

No change

**Other information/unresolved issues**

CNCA/CTS 0010-2014 (CCAA 0018-2014) Food Safety Management System Requirements for Nut Processing Enterprises

Wang Zhibin2019-N1FSMS-3022391

After obtaining the certificate, the scanned copy will be provided to the customer when requested, and there is no other use. Early use without violation

The auditee has established methods to identify, maintain and update laws and regulations applicable to products/services, and the quality inspection department manager is responsibl

Collect relevant regulations and standards and transform them into company documents. There is a list of laws and regulations to identify the regulations, raw and auxiliary materials pa

Product standards such as "Food Safety Law "Safety and Hygiene Requirements for Exported Food Production Enterprises", "GB 14881-2013 General Sanitation for Food Enterprises"

Standards", "CNCA/CTS 0010-2014 (CCAA 0018-2014) Food Safety Management System Nut Processing Enterprise Requirements"

, "GB 19300-2014 National Food Safety Standard Nuts and Seed Foods", "SNT 1963-2007 Import and Export Pumpkin Seeds,

Sensory Inspection Method for Sunflower Seed Kernel, "GBT 11764-2008 Sunflower Seed", "NYT 966-2006 White Seed", "EU

20052073EC Food Microbiological Standards", "Drinking Water Hygienic Standard GB5749-2006", "GB 2761-2017 Food

National Food Safety Standard Limits of Mycotoxins in Foods, GB 2762-2017 National Food Safety Standards Limits of Contaminants in Foods

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", "GB 2763-2019 National Food Safety Standard Pesticide Residues" and other laws and regulations, laws and regulations have been applied to process input,

The summary of compliance with laws and regulations, etc., are all valid versions. Laws, regulations and standards have basically been applied to process input and transformed into pu

Company management documents, regulatory compliance performance

**Communication/change during the audit (when applicable)**

Complete all audit activities according to the audit plan

**See appendix:**

Audit plan

**The audit was implemented in accordance with the purpose, scope and schedule specified in the audit plan**

YES, confirmed

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## Recommendations of the audit team leader

Recommendations of the audit team leader (ISO 22000:2005 (ISO 22003:2013) project)

The non-conformities found do not endanger the management system certification. Therefore, when the corrective action plan for non-conformities is accepted, it is recommended to continue certification.

## Other recommendations of the review team leader

This is a combined audit of the HACCP system and FSMS, and the degree of integration is 100%.

## Customer sign

**Name and mailing address of customer management representative:**

Xue Qiang

Yima Industrial Concentration Zone, Qingcheng County, Qingyang City, Gansu Province, China

**Sign for:**

Xue Qiang

The report is completed based on the objective evidence sampled by the on-site audit, so the evaluation results and conclusions may be uncertain. Before the final certification decision is made, an independent person will report

Content is evaluated.

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**The report was published at 1:36 GMT, June 21, 2020**



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# SUPPLIER QUESTIONNAIRE

*for*

U.S. IMPORT ENTRY

UNDER FSVP

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## OVERVIEW *of* REGULATIONS

The Foreign Supplier Verification Program (FSVP) was published by the FDA on November 27, 2015. FSVP is fundamentally concerned with food safety. As a validly designated and qualified United States *(U.S.)* representative, United Safety Agents LLC's *(USA)* FDA-mandated goal is to verify that a product's innate physical, chemical and biological hazards are being controlled prior to public consumption, and in a manner that provides at least the same level of public health protection as the FDA's domestic standards *(Preventive Controls Rule, Produce Safety Rule, etc.)*.

To accomplish this goal, insight into each product's production process and control methods will be required.

## INSTRUCTIONS

We respectfully request that every entity/facility that controls any food safety hazard complete this Questionnaire. All sections are required, unless explicitly noted otherwise. **Complete via computer, do not print.**

Upon completion: Please return this questionnaire and accompanying documents via:

**Method One**: e-mail completed questionnaire to **info@unitedsafetyagents.com**

**Method Two**: upload completed questionnaire to USA's **ShareFile**

## CONFIDENTIALITY

All information shared will remain strictly privileged & confidential and will ONLY be used during FSVP certification activities. An accurate and truthful response is required to successfully complete your company's FSVP certification. This document contains information which is privileged, confidential, and protected. Any disclosure, copying, distribution, or use of the contents of this message is prohibited. Document may contain Non-binding recommendations. United Safety Agents provides FSVP compliance services to businesses and has no direct affiliation with the FDA.

## CONTACT

If you have any questions or require additional information, please contact United Safety Agents LLC directly via Email: info@unitedsafetyagents.com; Phone: +1 (888) 551-7403; Fax: +1 (888) 557-2649; UnitedSafetyAgents.com, or by Mail: 715 West Park Avenue, No. 222, Oakhurst, New Jersey 07755, United States of America.

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## GENERAL INFORMATION

Company Name: QINGCHENG JIAHUI FOOD CO.,LTD. Today's Date: 18/02/2021

Factory Address: Yima Industrial Zone,Qingcheng County,

City: Qingyang Province: Gansu Country: China

Office Address: Yima Industrial Zone,Qingcheng County,

City: Qingyang Province: Gansu Country: China

FDA Registration No.: 14201126048 DUNS No.:

FDA Establishment Id.: Phone No.: 0086-931 8866309

QC/QA's Name: XUE QIANG E-mail: 350536422@qq.com

## SUPPLIER CLASS

***Please select all actions/roles that apply to your facility/operation.***

| | | | |
|---|---|---|---|
| ☑ Manufacturer *(Raw Material)* | ☐ Processor | ☐ Packer | ☐ Re-Packer |
| ☑ Manufacturer *(Finished Product)* | ☐ Distributor | ☑ Shipper | ☐ Warehouse |
| ☐ Importer *(US-based)* | ☑ Exporter *(Non US-based)* | ☐ Broker | ☐ *Other* |

## RESPONSIBILIE *for* HAZARD CONTROLS

***Please select the appropriate response for each hazard type that your facility/operation controls.***

| | | |
|---|---|---|
| Is your factory/facility responsible for controlling Biological Hazards? | ☑ Yes | ☐ No |
| Is your factory/facility responsible for controlling Chemical Hazards? | ☑ Yes | ☐ No |
| Is your factory/facility responsible for controlling Physical Hazards? | ☑ Yes | ☐ No |
| Is/Are product(s) in Ready-to-Eat form when exiting your factory/facility? | ☑ Yes | ☐ No |

## PRODUCTS SUPPLIED

***Please list the name (and variation) of each product that your facility/operation supplies.***

No. 01, Product Name: shine skin pumpkin seed kernels Product No.: 121299

No. 02, Product Name: grown without shell pumpkin seeds Product No.: 121299

No. 03, Product Name: watermelon seed kernels Product No.: 121299

No. 04, Product Name: Product No.:

No. 05, Product Name: Product No.:

No. 06, Product Name: Product No.:

Resources FDA Product Codes and Product Code Builder

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## FDA–IDENTIFIED BIOLOGICAL HAZARDS

***FDA-identified Biological Hazards associated with the product(s) that your company supplies.***

| | | | |
|---|---|---|---|
| ☒ Bacillus cereus | ☒ Clostridium botulinum | ☐ C. perfringens | ☒ Brucella spp. |
| ☐ Campylobacter spp. | ☒ Pathogenic E. coli | ☒ Salmonella spp. | ☐ S. aureus |
| ☐ L. monocytogenes | ☐ Trichinella spiralis | ☐ Giardia lamblia | ☐ Shigella spp. |

Resources  Appendix 1  Description *of* Hazard  Bad Bug Book

## CRITICAL CONTROLS *for* BIOLOGICAL HAZARDS

***Please select and describe the method by which Biological Hazard(s) are controlled.*** *Please be as detailed as possible. Include time/temperature, chemical names, or any other information.*

- ☒ **Heat**
- ☐ **Chemical**
- ☐ **CGMPs**
- ☐ **Testing**
- ☐ **Other**

### DESCRIPTION *of* CRITICAL CONTROLS

heat treatment during 85-120 C with 20-25 minutes

UNITED STATES FOOD & DRUG ADMINISTRATION'S PRODUCT HAZARD PROFILE

Note: Please fill the following

Category: food material
Category No.:
Subcategory:
Storage: in cool and dry place

### FREQUENCY *of* CONTROL VALIDATION

once a year

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## FDA–IDENTIFIED CHEMICAL HAZARDS

*FDA-identified Chemical Hazards associated with the product(s) that your company supplies.*

- ☐ Drug residues
- ☒ Heavy metals
- ☐ Industrial chemicals
- ☒ Pesticides
- ☐ Mycotoxins/Toxins
- ☐ Radiological
- ☐ Unapproved colors & additives
- ☐ Other

Resources — Appendix 1 — Description *of* Hazard — Bad Bug Book

## CRITICAL CONTROLS *for* CHEMICAL HAZARDS

***Select and describe the method(s) by which Chemical Hazard(s) are controlled.*** *Please be as detailed as possible.*

- ☐ **CGMPs**
- ☒ **Testing**
- ☐ **Other**

### DESCRIPTION *of* CRITICAL CONTROLS

tested by SGS and Eurofins

UNITED STATES FOOD & DRUG ADMINISTRATION'S PRODUCT HAZARD PROFILE

Note: Please fill the following

Category: food materials
Category No.:
Subcategory:
Storage: in cool and dry place

### FREQUENCY *of* CONTROL VALIDATION

once a year

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## FDA–IDENTIFIED ENVIROMENTAL/PROCESS HAZARDS

*FDA-identified Environmental Hazards associated with the product(s) that your company supplies.*

- ☒ Recontamination with environmental pathogens.
- ☐ Bacterial growth and/or toxin formation due to lack of time / temperature control.
- ☐ Bacterial growth and/or toxin formation due to reduced oxygen packaging.
- ☐ Bacterial pathogen survival of a lethal treatment.
- ☐ Recontamination due to lack of container integrity.
- ☐ Bacterial growth and/or toxin formation due to poor formulation control.

Resources — Appendix 1 — Description *of* Hazard — Bad Bug Book

## CRITICAL CONTROLS *for* ENVIROMENTAL HAZARDS

***Select and describe the method(s) by which Environmental Hazard(s) are controlled.*** *Be as detailed as possible.*

- ☒ **Heat**
- ☐ **Chemical**
- ☐ **CGMPs**
- ☐ **Testing**
- ☐ **Other**

### DESCRIPTION *of* CRITICAL CONTROLS

heat treatment during 85-120 C with 20-25 minutes

UNITED STATES FOOD & DRUG ADMINISTRATION'S PRODUCT HAZARD PROFILE

Note: Please fill the following

Category: food material
Category No.:
Subcategory:
Storage: in cool and dry place

### FREQUENCY *of* CONTROL VALIDATION

once a year

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## FDA–IDENTIFIED PHYSICAL HAZARDS

*FDA-identified Physical Hazards associated with the product(s) that your company supplies.*

- ☒ Metal
- ☒ Glass
- ☒ Extraneous Matter
- ☒ Plastics
- ☒ Stones
- ☒ Wood
- ☐ Natural Component of Food
- ☐ Other

Resources — Appendix 1 — Description *of* Hazard — Bad Bug Book

## CRITICAL CONTROLS *for* PHYSICAL HAZARDS

***Select and describe the method(s) by which Physical Hazard(s) are controlled.*** *Please be as detailed as possible.*

- ☐ CGMPs
- ☒ Testing
- ☒ Raw Material Inspection
- ☒ Filter
- ☒ Screen
- ☒ Metal Detector *see below*
- ☒ Magnet
- ☒ X-Ray
- ☐ Radar
- ☐ Other

### DESCRIPTION *of* CRITICAL CONTROLS

test each batch when production and before shipment date

UNITED STATES FOOD & DRUG ADMINISTRATION'S PRODUCT HAZARD PROFILE

Note: Please fill the following

Category: food material
Category No.:
Subcategory:
Storage: in cool and dry place

### FREQUENCY *of* CONTROL VALIDATION

each batch of goods

**Metal detection standards**

Ferrous: 2.5 mm
Non-Ferrous: 3.0 mm
Stainless Steel: 4.0 mm

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## ALLERGEN & CROSS-CONTAMINATION CONTROLS

| Component *or* Ingredient | Present in *product?* | Present on *same equipment?* | Present in *same facility?* |
|---|---|---|---|
| **Peanuts** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Tree Nuts** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Milk *or* Milk Derivatives** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Egg *or* Egg Products** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Fish** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Shellfish** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Soy** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Gluten** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **Wheat** | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| Celery | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| Sesame | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| Mustard | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| Sulfates | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| Monosodium Glutamate | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| Colorings | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| Aflatoxins | ☐ Yes ☒ No | ☐ Yes ☒ No | ☐ Yes ☒ No |
| **ALL ALLERGENS** | ☒ **Absent** | ☒ **Absent** | ☒ **Absent** |

## DESCRIPTION *of* ALLERGENIC CONTROLS

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## ONSITE AUDITING INFORMATION

Does the manufacturing/processing site have a recognized GFSI certification (BRC, SQF, Etc.)? ☒ Yes ☐ No

**If Yes**; Please provide a copy of the **full audit report** (written in English).

What standard is the GFSI certification? _____

**If No**; 1. Does the site have a documented quality manual? ☒ Yes ☐ No

2. Does the site undergo internal hygiene audits? ☒ Yes ☐ No

3. Does the site undergo quality system audits? ☒ Yes ☐ No

4. Does the site undergo process audits? ☒ Yes ☐ No

## CLEANING INFORMATION

Does the site have documented hygiene procedures in place? ☒ Yes ☐ No

Does the site have a designated hygiene team? ☒ Yes ☐ No

Are all cleaning staff formally trained? ☒ Yes ☐ No

Do the cleaning schedules include: Chemicals used? ☒ Yes ☐ No

Concentration levels? ☒ Yes ☐ No

Dilution method? ☒ Yes ☐ No

Please list the chemical type(s) used on all food contact lines and surfaces:

alcohol

## STAFF HYGIENE INFORMATION

Have all staff undergone formal food hygiene training? ☒ Yes ☐ No

In-house hygiene training? ☒ Yes ☐ No

Accredited hygiene training? ☒ Yes ☐ No

*Training level certification obtained:* _____

Are staff issued protective clothing? ☐ Yes ☒ No

Are operatives required to cover head/facial hair within the processing/manufacturing area? ☒ Yes ☐ No

Are adequate toilet and hand washing facilities provided? ☒ Yes ☐ No

Are hand washing/swabbing validation checks carried out? ☒ Yes ☐ No

What is the total number of staff employed on site? 18

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## PEST CONTROL

Is a pest control contractor employed? ☐ Yes ☒ No

If yes, please provide: Name of contractor used: _____

Number of yearly visits: _____

If no, by what means is pest prevention carried out? fly-killer lamp and rat trap

## HACCP & TACCP & VACCP

Does a fully documented and audited HACCP system exist for the site? ☒ Yes ☐ No

Has a hazard analysis study been completed for each site operation? ☐ Yes ☐ No

Does the business have a trained & certified in-house HACCP team? ☒ Yes ☐ No

*If yes, please provide copies of current & relevant HACCP training certificates.*

Does the business outsource the HACCP management to a certificated consultant? ☒ Yes ☐ No

*If yes, please provide copies of current & relevant HACCP training certificates.*

Are records maintained for all CCPs? ☒ Yes ☐ No

Does the HACCP system include the following:

- Sieving of ingredients? ☒ Yes ☐ No
- Sieving of finished products? ☒ Yes ☐ No
- Glass & hard plastic breakage procedure? ☒ Yes ☐ No
- Metal detection of final product? ☒ Yes ☐ No
- Magnets within the mixing & filling stages? ☒ Yes ☐ No

Do you use blue metal detectable plasters in the manufacturing/processing areas? ☒ Yes ☐ No

*Please detail any other prevention systems used on-site:* _____

Has a full threat assessment of your supply chain been conducted & tested? ☒ Yes ☐ No

*Please provide details:* _____

Has a full product vulnerability assessment within the supply chain been conducted & tested? ☐ Yes ☐ No

*Please provide details:* _____

## TRACEABILITY

Does full traceability exist for all products supplied to your customer base? ☒ Yes ☐ No

If yes, please give details of traceability codes on the final packaging: _____

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## RAW MATERIAL

Are materials used by your company sourced from approved suppliers? ☐ Yes ☐ No

Are certificates of conformance/analysis received for all raw ingredients? ☐ Yes ☐ No

Are raw materials positively released before use? ☐ Yes ☐ No

Please describe your supplier approval system:

## FINISHED / PACKED PRODUCT

Are finished / packed products positively released? ☑ Yes ☐ No

Are reference samples from finished / packed products retained? ☑ Yes ☐ No

Are finished products submitted to an **17025:2005** accredited laboratory for validation purposes? ☑ Yes ☐ No

If yes, please give details of the testing routines conducted:

## CUSTOMER COMPLAINTS

Does a formal customer complaint procedure exist? ☑ Yes ☐ No

Please describe your customer complaint procedure.

## RECALL / IMPORT ALERT /FOOD SAFETY ISSUE

Has your company ever experienced a recall or other food safety related issue of any kind? ☐ Yes ☑ No

If yes, please describe fully.

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## CERTIFICATION

I certify that the information I provided on and in connection with this form is true, accurate and complete. I also understand that any false statements or deliberate omissions on this document or any other document I file with United Safety Agents, LLC may be grounds for disqualification from successful Foreign Supplier Verification Program (FSVP) approval or, if discovered after FSVP approval takes place, could result in my company's FSVP approval status being revoked or terminated, and may result in my shipments being rejected from entry into the United States. I confirm that all products that my company trades are in compliance with the Food Safety Modernization Act and all other U.S. & FDA Food Safety legislation.

☐ < ***CONFIRM CERTIFICATION*** - *Required*

**Representative's Name:** Johnson Xu

**Title:** Sales Manager

**Today's Date:** 2/23/21

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# DOCUMENT REQUEST

*for*

CONTINUED IMPORT UNDER FSVP

QINGCHENG JIAHUI FOOD CO., LTD.

*for the benefit of*

FEB. 17, 2021

*as of*

*- Confidential -*

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Claudio Innocenti

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# FOOD SAFETY DOCUMENTS *for* FSVP CERTIFICATION

**The following documents are respectfully requested as part of the FDA FSVP certification process.**



### FOOD SAFETY PLAN

Written procedures that fully describe the methods used to safely manufacturer and handle food products.

*May include: supplier approval procedure, allergen controls, verification procedures, sanitation controls, etc.*

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required



### HACCP PLAN / HAZARD ANALYSIS

Plan identifies product-specific hazards requiring a control & provides a description of preventive control procedures.

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required



### ON-SITE AUDIT RESULTS

Annual audit of food safety practices conducted by a qualified auditor. Complete audit report required.

☐ Requested ☐ Required ☑ Received
☐ Updated-Copy Required



### TESTING RESULTS

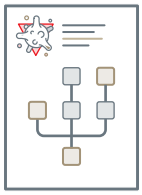
Sampling and testing of product for hazards of concern. *Testing may be done by supplier or 3rd-party lab.*

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required



### *for* HAZARDS

☑ Biological *(All/Any)*
☑ Natural Toxins *(Myco/Aflatoxins)*
☑ Heavy Metals
☑ Pesticides



### RECALL PLAN

Written Recall Plan must include procedures, describe steps, and assign responsibility for actions.

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required



### PRODUCT LABEL / LABELING

May include: Package label, Bulk label, Nutrition label, Case inserts, Directions for Use, *etc.* Product label must display any and all present allergens.

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required




### QUALIFICATIONS

Documentation of personnel's qualifications, training, education, or experience. *PCQI accreditation preferred.*

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required




### FDA REGISTRATION

Proof that facility is currently registered with the U.S. FDA – *learn more*

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required



### FSVP QUESTIONNAIRE

Targeted list of questions designed to help a supplier share the information necessary to comply with FSVP.

☐ Requested ☐ Required ☐ Received
☑ Updated-Copy Required

*– Please use Questionnaire sent with list.*
*or Download a Copy*



### QUESTIONS?

visit *unitedsafetyagents.com/documents*
or *schedule* a time to speak

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Non-binding Recommendations

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## CONFIDENTIALITY

All shared information will remain strictly privileged and confidential and will ONLY be used during FSVP certification. This document may contain non-binding recommendations. Additional information about our Confidentiality Policy, can be found at unitedsafetyagents.com/confidentiality. USA provides FDA compliance services to industry and has no direct affiliation with the U.S. FDA.

## OVERVIEW *of* REGULATIONS

The Foreign Supplier Verification Program *(FSVP)* is fundamentally concerned with food safety. As a validly designated and qualified United States *(U.S.)* representative, United Safety Agents' *(USA)* FDA-mandated goal is to verify that a product's innate physical, chemical and biological hazards are being controlled in a manner that provides at least the same level of health protection as the FDA's domestic standards *(Preventive Controls or Produce Safety Rule)*. To accomplish this, documentation of a manufacturer's processes, procedures, and control methods are required.

## DOCUMENTS *for* VERIFICATION

The preceding page contains the names and descriptions of common food safety documents utilized in the food processing/manufacturing industry. A more thorough description of each document type can be found here. If a document is marked *Requested* it *may* be necessary for FSVP certification to conclude successfully. United Safety Agents' is committed to your company's successful FSVP certification, do not hesitate to ask any questions that you or your team may have – we are at your disposal.



USA: Description *of* Hazards



FDA: Appendix 1 – Hazard Profile *by* Product

Resources

If you have any questions or require additional information, please contact United Safety Agents LLC directly via Email: info@unitedsafetyagents.com; Phone: +1 (888) 551-7403; Fax: +1 (888) 557-2649; UnitedSafetyAgents.com, or by Mail: 715 West Park Avenue, No. 222, Oakhurst, New Jersey 07755, United States of America.



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intertek
Total Quality. Assured.

# CERTIFICATE OF REGISTRATION

Intertek Certification Ltd (UKAS 014) certifies that having conducted an audit **for the Scope of Activities:** Gravity and Color Sorting, Grading, Shell Hulling (only for Pumpkin Kernels), Drying, Sterilization, Packing of Shelled Sunflower Kernels, Pumpkin Kernels and Watermelon Kernels into PE Bag with Carton Box or Paper Bag

**with the Exclusions from Scope:** None

**in the Product Categories:** 1 - Food>15 - Dried foods and ingredients, 1 - Food>05 - Fruit, vegetables and nuts
at

## Qingcheng Jiahui Food Co., Ltd.

BRCGS Site Code: 1609843

**Site Address:** Industrial Park Yima Town, Qingcheng County, Qingyang City, Gansu Province, P, R. China

**has achieved Grade: B**

and meets the Requirements set out in the

**GLOBAL STANDARD for FOOD SAFETY ISSUE 8: AUGUST 2018**

**Audit Programme:** Announced

BRCGS Food Safety CERTIFICATED

**Auditor Number:**
20653

**Certificate Number:**
051A1712012

**Dates of Audit:**
24-25 Dec 2020

**Certificate Issue Date:**
15 Feb 2021

**Re-audit Due Date:**
From: 29 Nov 2021
To: 27 Dec 2021

**Certificate Expiry Date:**
07 Feb 2022

BRC CERTIFICATION Intertek ™ UKAS PRODUCT CERTIFICATION 014

**Calin Moldovean**
President Business Assurance

Intertek Certification Limited, 10A Victory Park, Victory Road, Derby DE24 8ZF, United Kingdom

Intertek Certification Limited is a UKAS accredited body under schedule of accreditation no. 14.

In the issuance of this certificate, Intertek assumes no liability to any party other than to the Client, and then only in accordance with the agreed upon Certification Agreement. This certificate's validity is subject to the organization maintaining their system in accordance with Intertek's BRC Regulations. The certificate remains the property of Intertek, to whom it must be returned upon request. Validity may be confirmed via email at certificate.validation@intertek.com or by scanning the code to the right with a smartphone. If you would like to feedback comments on the BRC Global Standard or the audit process directly to BRC please contact enquiries@brcglobalstandards.com or call the Tell BRC Hot line +44 (0)20 7717 9339. Visit the BRC Directory (www.brcdirectory.com) to validate the authenticity of this certificate

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intertek
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# CERTIFICATE OF REGISTRATION

**This is to certify that the HACCP System of:**

## QINGCHENG JIAHUI FOOD Co., LTD.

Yima Industrial Zone, Qingcheng County, Qingyang City,
Gansu.Province, P. R. China
Production Workshop: Seeds And Kernels Workshop

**has been registered by Intertek as conforming to the requirements of:**

**GB/T 27341-2009<Hazard Analysis and Critical Control Point (HACCP) System - General Requirements for Food Processing Plant>**
**GB 14881-2013<National Food Safety Standard - General Hygiene Regulation for Food Processing>**

**The Hazard Analysis and Critical Control Point (HACCP) System is applicable to:**

Production of Shine Skin Pumpkin Seed Kernels, Sun Flower Seed Kernels, Grown Without Shell Pumpkin Seeds.

**Certificate Number:**
F07HACCP1800046

**Initial Certification Date:**
23 April 2018

**Date of the Certification Decision:**
23 April 2018

**Issuing Date:**
23 April 2018

**Valid Until:**
22 April 2021

CNAS
中国认可
管理体系
MANAGEMENT SYSTEM
CNAS C058-M

**Calin Moldovean**
President, Business Assurance

Intertek Testing Service Ltd. Shanghai, Room 1605, No.201, Nanquan Road(North), Pudong New District, Shanghai,200120, P.R.China

Intertek Testing Service Ltd. Shanghai is a CNAS accredited body under schedule of accreditation no. CNAS C058-M.

In the issuance of this certificate, Intertek assumes no liability to any party other than to the Client, and then only in accordance with the agreed upon Certification Agreement. This certificate's validity is subject to the organization maintaining their system in accordance with Intertek's requirements for systems certification. Validity may be confirmed via email at certificate.validation@intertek.com or by scanning the code to the right with a smartphone. The certificate remains the property of Intertek, to whom it must be returned upon request.
The annual validity of the certificate can also be checked through the website http://www.cnca.gov.cn or CNCA in China.
CT-HACCP-CNAS-CN-A4-01.AUG.17

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FDA FACILITY REGISTRATION AND RENEWAL SERVICES

AFI

*This certificate certifies:*

# QINGCHENG JIAHUI FOOD CO.,LTD.

*will be represented by the*
*Association of Food Industries, Inc. (AFI),*
*which will act as its U.S. based agent for the purposes of*
*FDA Facility Registration*

Expiring December 31, 2022 *

The above facility was registered or renewed with
the FDA and has been assigned or retains the
following facility registration number:
14201126048

Bob Bauer

Bob Bauer, President

*As long as the company remains a member in good standing with the Association of Food Industries.

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On Wednesday March 17, 2021, the FDA Data Dashboard will be unavailable for approximately 30 minutes starting at 9:00AM EST. If you have any questions, email FDADataDashboard@fda.hhs.gov (mailto:FDADataDashboard@fda.hhs.gov).

FDA

(../index.htm)



# Firm/Supplier Evaluation Resources

The FDA firm and supplier database available on this site includes data associated with inspections classification, inspections citations, compliance actions, recalls, and imports.

**Search by Firm Name or FEI Number** Help

3013867108

No data found

Three FDA FSMA rules (Foreign Supplier Verification Programs (FSVP) for Importers of Food for Humans and Animals (https://www.fda.gov/food/food-safety-modernization-act-fsma/fsma-final-rule-foreign-supplier-verification-programs-fsvp-importers-food-humans-and-animals); Current Good Manufacturing Practice, Hazard Analysis, and Risk-Based Preventive Controls for Human Food (https://www.fda.gov/food/food-safety-modernization-act-fsma/fsma-final-rule-preventive-controls-human-food); and Current Good Manufacturing Practice, Hazard Analysis, and Risk-Based Preventive Controls for Food for Animals (https://www.fda.gov/food/food-safety-modernization-act-fsma/fsma-final-rule-preventive-controls-animal-food)

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) require that importers and facilities perform certain risk-based activities to verify that their suppliers are meeting applicable U.S. food safety standards. Under these rules, you must evaluate, among other things, the applicable FDA food safety regulations and information relevant to the supplier's compliance with those regulations, including whether the supplier is the subject of an FDA warning letter, import alert, or other FDA compliance action related to food safety, and document the evaluation.

Below is a list of publicly available resources that can be used to meet the requirement set out in these regulations as well as information on their use:

Collapse All | Expand All

- **Warning Letters**
- **Import Alerts**
- **Recalls**
- **Import Refusals**
- **Inspection Classifications**
- **Other Compliance Resources**

## Contact

Questions and comments pertaining to the FDA Data Dashboard and source data may be directed by email to: **FDADataDashboard@fda.hhs.gov** (mailto:FDADataDashboard@fda.hhs.gov)



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Imports (vqip.htm)

Summary (../cd/impsummary.htm)

TPP Participants (tpp.htm)

Import Refusals (../cd/imprefusals.htm)

Imports Entry (../cd/impentry.htm)

**Language Assistance Available:** Español (https://www.fda.gov/about-fda/about-website/language-assistance-services#spanish) | 繁體中文 (https://www.fda.gov/about-fda/about-website/language-assistance-services#chinese) | Tiếng Việt (https://www.fda.gov/about-fda/about-website/language-assistance-services#vietnamese) | 한국어 (https://www.fda.gov/about-fda/about-website/language-assistance-services#korean) | Tagalog (https://www.fda.gov/about-fda/about-website/language-assistance-services#tagalog) | Русский (https://www.fda.gov/about-fda/about-website/language-assistance-services#russian) | العربية (https://www.fda.gov/about-fda/about-website/language-assistance-services#arabic) | Kreyòl Ayisyen (https://www.fda.gov/about-fda/about-website/language-assistance-services#creole) | Français (https://www.fda.gov/about-fda/about-website/language-assistance-services#french) | Polski (https://www.fda.gov/about-fda/about-website/language-assistance-services#polish) | Português (https://www.fda.gov/about-fda/about-website/language-assistance-services#portuguese) | Italiano (https://www.fda.gov/about-fda/about-website/language-assistance-services#italian) | Deutsch (https://www.fda.gov/about-fda/about-website/language-assistance-services#german) | 日本語 (https://www.fda.gov/about-fda/about-website/language-assistance-services#japanese) | فارسي (https://www.fda.gov/about-fda/about-website/language-assistance-services#farsi) | English (https://www.fda.gov/about-fda/about-website/language-assistance-services#english)

Accessibility (https://www.fda.gov/about-fda/about-website/fda-and-digital-accessibility) | Careers (https://www.fda.gov/about-fda/jobs-and-training-fda) | FDA Basics (https://www.fda.gov/about-fda/transparency/fda-basics) | FOIA (https://www.fda.gov/about-fda/about-website/freedom-information) | No FEAR Act (https://www.fda.gov/regulatory-information/jobs-and-training-fda/no-fear-act) | Nondiscrimination (https://www.fda.gov/about-fda/about-website/fda-nondiscrimination-notice) | Website Policies (https://www.fda.gov/about-fda/about-website/policies)

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# 庆城县嘉辉食品有限公司

# QINGCHENG JIAHUI FOOD CO LTD

2019-01-10

# HACCP 危害分析

# 与

# 关键控制点计划

# HACCP HAZARD ANALYSIS and CCPs PLAN

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文件编号(CODE NO)：JH-HACCP-2017

文件标识：●受控　□非受控

分 发 号：

生效日期：2017 年 5 月 10 日

编　　制：薛强

审　　核：薛鸿

批　　准：

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# 一，危害分析工作单

# HAZARD ANALYSIS WORKING LIST

南瓜籽原料危害分析工作单（for shine skin pumpkin seed kernels）：

厂名 PRODUCER：庆城县嘉辉食品有限公司（QINGCHENG JIAHUI）
厂址 ADD：甘肃省庆阳市庆城县驿马工业集中区（YIMA INDUSTRIAL ZONE,QINGYANG CITY,GANSU,CHINA）
销　　售(SALE FOR)：直接出口到其它国家(DIRECT EXPORT)
贮存方法（STORING METHOD)：阴凉干燥处（COOL & DRY PLACE)　　预期使用和消费者(PRODUCTION FOR CONSUMER)：初级加工产品，用于食品深加工(FOR FOOD MATERIAL AND DEEP PROCESSING)

| 加工工序 (production procedures) | | 识别本工序被引入、控制或增加的潜在危害 (recognize the potential hazard from income material) | 危害引入途径(the route of the income hazard) | 终产品中可接受水平 (the acceptable level from the final products | 危害程度评价(evaluation of hazard Level) | | | 是否显著 Remarkable or not | 控制措施选择及评估 Control measures choices and evaluation | 是否关键控制点 If CCP |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | 严重 seriousness | 可能性 possibility | 危害风险级别 Risk level of the Hazard risk | | | |
| 1，原辅 | 原料南瓜籽 (raw | 生物性危害(：致病菌、寄生虫、虫卵) Bio hazard: | 原料在采收、运输过程中污染(pollution | 此产品对微生物不做要求 No | 可忽略 Could be negligible | 不可能 impossible | 低风险 Low risk | 否 no | 不需要特殊控制 No need | 否 no |



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| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| 料、包装物验收（inspection and acceptance of the raw material） | material of shine skin pumpkin seeds) | pathogenic bacterium, parasite, worm eggs) | when harvest, transportation) | requirement for the biologic when harvest | | | | | | |
| | | 物理性危害：金属、沙砾、碎玻璃、塑编纤维等外来杂质 Physical hazard: metal, sand, broken glass, plastic fabric, and other foreign matters) | 原料采收、运输中混入 Maybe mixed into material when harvest and transportation | 合同标准 Contract standard requirements | 严重 serious | 不可能 impossible | 低风险 Low risk | 否 no | 后工序的原料分级筛选去石可剔除 Back end procedures to remove | 否 no |
| | | 化学性危害：农药残留量超标(chemical hazard; pesticide over proof | 原料种植过程中使用农药而存在残留 (pesticide residue when planting) | 符合进出口要求(meet with imp/export requirement) | 严重 serious | 偶尔 occasionlaly | 高风险 high risk | 是 yes | 只收本厂签约农户原料和有合格区域产地证明的原料。农残检测合格 Only buy from the approved suppliers | CCP1 |
| | | 过敏原 allergen：无 no | | | | | | | | |
| | 辅料水 Additive | 生物性危害 bio hazard：无 no | | | | | | | | |
| | | 物理性危害 | | | | | | | | |



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| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | water | physical hazard:<br>无 no | | | | | | | | |
| | | 化学性危害<br>chemical hazard:<br>无 no | | | | | | | | |
| | | 过敏原 allergen:<br>无 no | | | | | | | | |
| | 包装物料<br>Packing material | 生物性危害 bio hazard：致病性微生物 invasive organism | 加工、贮存中可能被污染<br>maybe pelleted when production and storing | 合同标准<br>Contract required standard | 可忽略<br>Could be neglected | 不可能<br>impossible | 低风险<br>Low risk | 否<br>No | 包装袋使用前经臭氧杀菌<br>Ozone sterilized before using | 否<br>No |
| | | 物理性危害<br>physical hazard:<br>杂质 admixture | 加工、运输中混入<br>Maybe mixed when production and transportation | 不得存在外来杂质 must not mixed with foreign matters | 中度<br>Middle level | 不可能<br>impossible | 低风险 low risk | 否<br>No | 使用前专人检查<br>Inspected before using | 否<br>No |
| | | 化学性危害<br>chemical hazard:<br>化学添加剂<br>chemical additive | 生产过程中添加 added when production | 符合进出口要求 comply with import/export requirements | 中度<br>middle level | 不可能<br>impossible | 低风险 low risk | 否<br>No | 采购产品验证、供应商提供合格证明<br>qualified Certificates | 否<br>No |



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| | | 过敏原 allergen:<br>无 no | | | | | | | | |
| 2, 原料分级筛选（去石）<br>Classification screening of the raw material(machine stoning) | | 生物性危害(bio hazard：致病性微生物 invasive organism | 加工过程中人员带入<br>(carried by workers when production | 热处理程序<br>Heat treat procedure | 可忽略<br>Could be neglected | 不可能<br>impossible | 低风险 low risk | 否<br>No | 不需要特殊控制<br>Not need | 否<br>No |
| | | 物理性危害<br>physical hazard：异物(foreign matters) | 加工过程中<br>Maybe mixed when production | 合同标准<br>Contract required standard | 中度<br>middle level | 不可能<br>imipossible | 低风险 low risk | 否<br>No | 后续手选可剔除<br>Back end procedures to remove | 否<br>No |
| | | 化学性危害：<br>chemical hazard:<br>无 no | | | | | | | | |
| | | 过敏原 allergen：<br>无 no | | | | | | | | |
| 3,色选（分级）<br>Color sorter(grading) | | 生物性危害(bio hazard：致病性微生物 invasive organism | 加工过程中人员带入<br>Carried by workers when production | 热处理工艺<br>Heat treatment | 可忽略<br>could be neglected | 不可能<br>impossible | 低风险 low risk | 否<br>No | 不需要特殊控制<br>Not need | 否<br>No |
| | | 物理性危害<br>(physical hazard)： 异物<br>foreign materials | 加工过程中<br>Maybe mixed when production | 合同标准<br>With contract required standard | 可忽略<br>Could be neglected | 不可能<br>impossible | 低风险 low risk | 否 | 后续手选可剔除<br>Back end procedures to | 否 |



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| | | | | | | | | remove | |
| | 化学性危害 chemical hazard: 无 no | | | | | | | | |
| | 过敏原 allergen: 无 no | | | | | | | | |
| 4,手选 hand selection | 生物性危害 bio hazard：致病性微生物 invasive organism | 加工过程中人员带入 Carried in by workers when production | 热处理工艺 Heat treatment | 可忽略 Negligible | 不可能 impossible | 低风险 low risk | 否 No | 不需要特殊控制 No need | 否 No |
| | 物理性危害 physical hazard ：异物 foreign materials | 加工过程中人员带入 Carried in by workers when production | 合同标准 With contract required standard | 可忽略 negligible | 不可能 impossible | 低风险 low risk | 否 No | SSOP 控制 SSOP control | 否 No |
| | 化学性危害 chemical hazard: 无 no | | | | | | | | |
| | 过敏原 allergen: 无 no | | | | | | | | |
| 5,热处理灭菌 Heat treatment sterilization | 生物性危害(bio hazard: 无，no | | 热处理程序 Heat treat procedure | 可忽略 Could be neglected | 不可能 impossible | 低风险 low risk | 否 No | 不需要特殊控制 Not need | 是 Yes, CCP2 |



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| | 物理性危害<br>physical hazard:<br>无，no | 加工过程中<br>无，no | 合同标准<br>Contract required standard | 低度<br>low level | 不可能<br>imipossible | 低风险 low risk | 否<br>No | 后续手选可剔除<br>Back end procedures to remove | 否<br>No |
| | 化学性危害：<br>chemical hazard:<br>无 no | | | | | | | | |
| | 过敏原 allergen：<br>无 no | | | | | | | | |
| | 过敏原 allergen：<br>无 no | | | | | | | | |
| 6,X-ray 异物检测<br><br>X-RAY foreign material detection | 生物性危害 bio hazard：无 no | | | | | | | | |
| | 物理性危害<br>physical hazard:<br>无 no | 加工过程中<br>无，no | 合同标准<br>Contract required standard | 中度<br>Middle level | 不可能 | 低风险，低风险 | 否，<br>No | 后续手选可剔除<br>Back end procedures to remove | 是，<br>Yes, CCP3 |
| | 化学性危害<br>chemical hazard:<br>无，no | | 合同标准<br>With contract required standard | 中度<br>Middle level | 不可能<br>impossible | 低风险 low risk | 否，<br>No | | 否<br>No |
| | 过敏原 allergen： | | | | | | | | |



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| | 无 no | | | | | | | | |
| 7 金属探测/包装（metal detection/ packaging） | 生物性危害 bio hazard：<br>无 no | | | | | | | | |
| | 物理性危害 physical hazard：<br>无 no | 加工过程中<br>无，no | 合同标准<br>Contract required standard | 中度<br>Middle level | 不可能 | 低风险 | 否<br>No | 直接剔除最后金属异物<br>Remove metal directly | 是<br>Yes, CCP4 |
| | 化学性危害 (chemical hazard)：<br>无 no | | | | | | | | |
| | 过敏原 allergen：<br>无 | | | | | | | | |

注：严重性分为：灾难性（1）、严重（2）、中度（3）、可忽略（4）四个等级；

可能性分为：频繁（A）、可能（B）、偶尔（C）、很少（D）、不可能（E）五等级。



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# 二，HACCP PROGRAM 计划表

一、南瓜籽（仁）、无壳瓜籽（仁）HACCP 计划表(shine skin pumpkin seed kernels A/AA grade HACCP PROGRAM
厂名：庆城县嘉辉食品有限公司(QINGCHENG JIAHUI FOOD CO.,LTD.)
产品描述：南瓜籽，无壳瓜籽的生产加工(PUMPKIN SEED KERNELS PRODUCTION)
厂址：甘肃省庆阳市庆城县驿马工业集中区 (ADD:YIMA INDUSTRIAL ZONE, QINGCHENG COUNTY,QINGYANG CITY,GANSU,CHINA)
销　　售：直接出口到其它国家(FOR EXPORT TO OUTSIDE COUNTRIES)
贮存方法：阴凉干燥处 (STORED IN COOL AND DRY PLACE)
预期使用和消费者：初级加工产品，用于食品深加工(PRODUCTS FOR HALF PRODUCTS AND FOR DEEP PRODUCTION)

| （1）<br>关键控制点<br>（CCP） | （2）<br>显著危害<br>Hazards | （3）<br>关键限值<br>Critical Limit(s) | 监控 Monitoring | | | | （8）<br>纠偏行动<br>Corrective Action(s) | (9)<br>验证<br>Verification | （10）<br>记录<br>Records |
|---|---|---|---|---|---|---|---|---|---|
| | | | （4）<br>什么<br>What | （5）<br>如何<br>How | （6）<br>频率<br>Frequently | （7）<br>谁<br>Who | | | |
| CCP1<br>原料验收<br>Inspection and acceptance of the raw material | 农药残留<br>(pesticide residue) | 农药残留符合GB2763 及进口国标准<br>With the BG2763 and import country’s standard | 原料产地证明、农残检测报告书<br>test reports | 审核每批原料的供应商产地声明<br>Audit of the approved supply | 每批混合后检测<br>Every lot when mixed | 原料验收员<br>Inspectors | 拒收<br>Rejected when not approval | 核对原料验收报告单上产地名称是否是我公司合同签定的基地<br>Check if raw material from approved planted origin | 1、原料进厂验收记录<br>2、与农户签定的合同<br>3、农残检测记录<br>4、异常问题纠偏记录<br>Concerned records |

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| CCP2<br>蒸汽灭菌<br>Heat treatment | 原料本身带有的致病菌及水分过量易滋生霉菌<br>Possible invasive organism and moldy when high moisture | 测定水分含量<br>Test moisture content | 温度和转速的设定<br>Setting the temperature and rolling speed | 监测温度和转速<br>Monitor the temperature and rolling speed | 每半小时检测一次温度和转速<br>Every half an hour | 经培训的操作人员<br>Trained operators | 1.返工<br>2.控制温度和转速<br>Re-work via adjust temperature and rolling speed | 1.查操作记录<br>2.抽样检验报告<br>Check the operation records and test reports | 1、热处理记录<br>2、检验报告<br>3、质检人员检查复核<br>Check the Records |
| CCP3<br>X射线异物检测<br>X-ray foreign material inspection and remove | 金属碎片<br>Metal detection | Fe：φ≤1.5mm,<br>Sus：φ≤2.0mm<br>Non-ferrous：φ≤2.0mm | X射线异物检测机的灵敏度<br>Sensitivity of the machine | 用标准试块验证<br>Test with standardized test block | 每一小时一次<br>1 hour | X射线探测机操作员<br>E ray machine operator | *异常情况的产品机器直接自动剔除。<br>*调查异物来源<br>Automatic remove by machine<br>Check the source | *每一小时进行一次效能测定<br>*审查每日记录<br>Check the efficiency every hour<br>Check the daily record | 1、X射线异物检测机管理记录<br>2、异常问题纠偏记录<br>3、质检人员检查复核<br>Keep all of the records For later audit |
| CCP4<br>金属探测<br>Metal detection | 金属碎片<br>Metal chips | Fe：φ≤1.5mm,<br>Sus：φ≤2.0mm | 金属探测仪的灵敏度<br>Sensitivity of the | 用标准试块验证<br>Test with | 每一小时一次<br>Every 1 hour | 金属探测器操作员<br>operator | *异常情况的产品机器直接自动剔除。<br>*调查异物来源<br>Automatic remove by machine | *每一小时进行一次效能测定<br>*审查每日记录<br>Check the efficiency every | 1、金属探测器管理记录<br>2、异常问题纠偏记录<br>3、质检人员检查核 |





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| | | | metal detector | the test block | | | Check the source | hour Check the daily record | Keep all of the records For later audit |

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# 食 品 防 护 计 划

## A 版

文件编号：JH/FH-H-2017

受控状态：■受控 □非受控

编制：食品安全小组

审核：田亚林

批准：薛鸿

发布实施日期：　　2017 年 8 月 10 日

庆城县嘉辉食品有限公司

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# 介 绍

食品防护计划简介：防止食品供应遭到蓄意的污染由食品防护计划进行控制。就是现在贯指的“食品安全”的概念，主要是指食品质量的安全，是食品中有毒、有害物质对人体健康影响的公共卫生问题，但更强调的是针对一些偶然的、食品意外污染的危害。

食品防护计划的定义：是指为达到食品防护为目的而制定的一系列制度化、程序化措施的书面文件，是食品安全管理体系的一个分支。是为了防范和消除为达到危害和破坏目的而对食品实施的故意的污染（如人为破坏，投毒等等）。

近年来，随着环境污染、新工艺、新技术以及世界风云变幻、恐怖行为等不安定因素的日趋加重，人们赖以生存的食品安全性都因此受到严重的影响，这些不安全因素一方面来自食品内部，在生产加工及运输贮藏过程中不易被消除；一方面来自食品外部的蓄意添加的各种危害。就这两方面比较，前者往往带有可预料性，而后者是无法预料的。在这种情况下，食品安全与食品防护已引起各国的广泛重视。

在从农田到餐桌的过程中，农作物、家畜、加工过程、分销过程、运输过程、储藏和零售都有可能受到攻击。

这个食物链的任何一个部分受到攻击，都会伤害很多的人，并且对经济造成影响

食品安全着重于食品在加工、运输和储藏过程中，在生物、化学和物理危害的影响下受到的一种偶然的污染。食品安全危害主要类型包括微生物、化学物质和物理性危害；这种食品的非蓄意污染能够根据加工的类型合理的预测出来，这个原则是应用 HACCP 体系确保食品安全的基础；而制定食品防护计划要突出系统性、科学性、预见性和实用性。

食品防护计划的意义

一、食品防护计划能够帮助企业确定把其食品受到蓄意污染或破坏的危险降到最小化，是为了减少食源性危害因素，帮助对恐怖分子的袭击进行预防和作出反应，尤其在危机状态时，以科学为基础的方法解决突发性问题。



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二、 提高了应对性，虽然这个计划在任何时候都是适当的，但是在遇到紧急情况时将特别有帮助，文件化的程序将可提高快速应对的能力。在危险情况下，企业面临的压力大而且应对时间有限，文件化的程序将可提高快速应对的能力。

三、食品防护计划有助于企业为员工创造一个安全的工作环境，为顾客提供有质量保证的产品，保障了企业的盈利和社会稳定。



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# 2.0 适用范围

食品防护和食品安全不同。食品防护着重于保护食品供应，防止其遭到蓄意的污染，这些蓄意的污染通过人为的一系列化学、生物制剂或者是其他有害物质来对人们造成伤害。这些制剂包括一些非天然存在的物质或者是常规不检测的物质。攻击者的目标可能是杀人或者是扰乱经济。这种蓄意的行动通常是不合常理的而且是很难预测的。

主要适用于本公司的生产和服务，供公司内部使用，也可用于认证和合同的目的，作为向顾客、第三方评审证明公司食品防护体系存在的证据。



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# 3.0 食品安全防护小组组长任命及小组成员名单和职责

## 3.1 成立食品防护小组

公司各个部门：

随着公司出口量逐步上升，食品安全越来越显得重要，而食品防护是为了防止食品遭到蓄意的污染，这种蓄意的行动通常是不合常理的而且是很难预测的。所以制定防护计划、确保食品安全是非常重要的，因此建立食品防护体系更显得尤为迫切。

## 3.2 任命书

为保证食品防护计划顺利建立、保持和运行，现决定成立以薛鸿为组长田亚林为副组长的食品防护小组。

各个部门主管、各位公司员工要认真学习食品防护体系要点，结合本公司特点，制订好出口南瓜籽仁和无壳瓜籽仁防护计划。本人也承诺，全力支持食品防护小组的工作，提供食品防护计划全套文件中的培训和资源。

### 3.2.1 食品防护小组组长的职责：

1)确保食品防护体系的过程得到建立、实施和维持；

2)向总经理报告食品防护体系的运行情况包括改进的需求；

3)就食品防护体系有关事宜的对外联络。

4)本任命书自颁布之日起生效。

总经理：薛鸿

日　期：2017.8.10



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## 3.3、食品防护小组人员职责

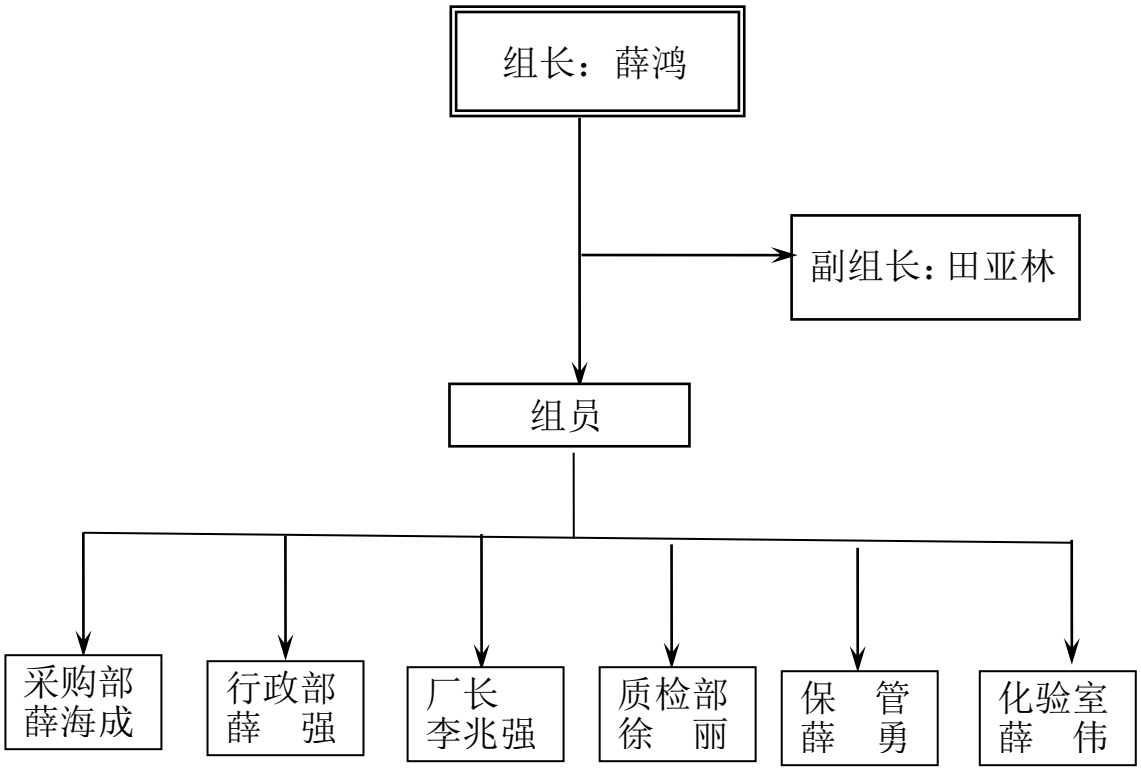
| 姓 名 | 性别 | 厂内职务 | 组内职务 | 职　　责 | 联系电话 |
|---|---|---|---|---|---|
| 薛　鸿 | 男 | 总经理 | 组　长 | 领导食品防护小组的所有活动 | 13624885999 |
| 田亚林 | 男 | 食品安全小组组长<br>生产部部长 | 副组长 | 实施食品防护小组的所有活动食品防护计划的制定、实施、评估、验证等 | |
| 薛海成 | 男 | 采购部部长 | 组　员 | 负责产品运输过程中的食品安全防护 | 18893886622 |
| 薛　强 | 男 | 行政部长 | 组　员 | 负责对食品防护计划实施过程监督 | 18139939599 |
| 李兆强 | 男 | 厂　长 | 组　员 | 负责产品生产、包装过程中的食品安全防护 | 17709348930 |
| 徐　丽 | 女 | 质检部部长 | 组　员 | 负责产品原料进厂验收、 成品检验、 出厂过程中的食品安全防护 | 15294451190 |
| 薛　勇 | 男 | 保　管 | 组　员 | 负责对食品的存放区、包装物、有毒有害物品的安全防护 | 18793405366 |
| 薛　伟 | 男 | 化验员 | 组　员 | 负责对原料、辅料、水、成品的检验及工厂车间、 工具消毒等的安全防护 | 15095556676 |
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## 3.4 食品防护小组架构图






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# 4.0 颁布令

食品防护计划是根据公司的实际情况，描述了公司对保护食品供应，防止其遭到蓄意的破坏或污染，所采取的预防性措施，从而使食品受到蓄意破坏或污染的危险降到最小化的程度而建立的。

本“食品防护计划”，有助于企业为员工创造一个安全的工作环境，达到食品防护的目的，为顾客提供有质量保证的产品，保障企业的盈利。

本计划自发布之日起实施，公司所有员工必须遵照执行。

签 发 人：薛鸿

签发日期：2017.8.10



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# 5.0 控制程序

## 5.1 食品防护制度的管理

5.1.1 本计划由本公司经理批准颁布,从批准的实施日期开始运行。

5.1.2 计划分“受控”以及“非受控”两种方式，只有“受控”的文件在修改时才予以更新;公司内只允许使用受控文本.

5.1.3 本计划管理的所有相关事宜均由田亚林负责，未经经理批准，任何人不得将本计划提供给公司以外人员。计划持有者调离工作岗位时，应将计划交还办公室并办理核收登记。

5.1.4 计划持有者应妥善保管，不得损坏、丢失、随意涂抹。

5.1.5 使用期间，如有修改建议，各部门负责人应汇总意见，及时反馈到办公室。

5.1.6 质检部至少每年一次或当工艺有所改变的时候，对计划进行审核并进行修订。某些条件的改变也可能需要修订计划，如添加新的生产线、更换供应商、将生产过程外包或使用新工艺等等。

5.1.7 本计划的发放、回收、修改、作废依据《文件控制程序》进行。

5.1.8 至少每季度进行一次演练以验证计划的有效性。

## 5.2 企业外部安全

5.2.1 厂区与外界设置围墙，围墙为铁栅栏，可阻止人随便翻越。定期检查是否有破损或人为破坏处，防止厂外来人员进入工厂加工区做破坏性活动。厂区外围要具备一定程度的夜间照明灯，夜间厂区外周有足够的光线。

5.2.2 设有门卫保安制度,并有完善的管理制度。

5.2.2.1 厂区大门口设置警卫室，并安装监控录像，录像长时间保存方便随时调看，并定期定点对厂区外围和厂区内巡视检查。



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5.2.2.2 厂区大门口设置电动门，无人员、车辆出入时，电动门须关闭；厂区大门口采取严格的控制措施，外来人员未经允许不得进入厂内、车间及仓库等，进入车间、库房要带有能提供身份标识身份牌或身份卡。

5.2.2.3 人员及进入厂区的运输工具要有足够的措施予以监控

所有外来人员入厂必须到警卫室登记备案，并填写会客单，警卫人员联系会客部门，经同意后，方可允许进入；离厂时会客部门会客人，要在会客单上签字确认，并交给办公室存档备查。

对进出入厂区的商业运输工具（原料、成品等的运输工具）要有一定的监管制度，商业运输工具进出厂的路线、区域要按照规定予以指导和限制，不得乱跑、乱停、乱放，不得与私人车辆在同一区域内停泊；货物运输工具在监装和卸货前要审核相关文件，同时填写监装记录和原料验收记录；进出厂区的货物首先要得到相关的信息、提前通知，然后向门卫保安予以通报，在进货和出货时要对货物和文件信息予以核对。

1）运输车辆：要携带有效证件，文件内容要与货物信息相符，外观不能有损坏；内部应保持清洁；工厂要与运输车辆所属物流公司进行信息沟通以再次确保信息的准确性。

2）内部车辆：对工厂内自属的车辆，以及叉车、板车等小型车辆，和外属车辆都要核查在案，并对车辆进行定期的检查，车辆操作人员要有固定的操作计划和管理措施。

3）来访的私人车辆：对私人运输工具予以登记，对于其他外来人员运输工具除登记外，要核查所携带的物品。车辆离开工厂时由保安再次进行检查确认后放行。

5.2.3 进厂物资管理

所有新入厂的物料必须要有相应的合格供货证明，由保安在门卫处进行初步检查确保无任何违禁物品后允许进入工厂，经质检部检验合格后方可由保管员核实进行装卸。

5.2.4 储存库

1)原料储存库不使用的时候确保为封闭状态；防止人为通过储存库缝隙投毒或添加危险



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物品。储存库的设计要考虑食品防护的内容，门窗的安装要有严格的规定，不能留有缝隙。储存库内的温度、湿度要符合辅料特性的要求。

2)成品库、原料库有专门人员管理，有出入库产品记录，分品种、分区域、分批次，并有垛卡。

5.2.5 下脚料区域设计合理

下脚料处理区设在车间外部，设有围墙，不得有人为的接触和破坏。

5.2.6 窗户

厂区或车间的窗户只允许从内部开启，某些禁止开启的窗户要贴有明确的标识，对管理人员要进行培训，管理员要能够熟知窗户是否可开启。要对窗户进行定期的检查维护，对非正常开启的窗户能在最短时间内识别并采取相应的措施。

5.2.7 通风口

通风口设在房屋顶部，防止雨水的进入。

5.2.8 自备水源地

厂区供水设施有专人负责看管，并封闭管理，定期检查、检测，发现任何可疑情况立即启动紧急预案。

5.3 **企业内部安全**

5.3.1 车间内装有应急灯

车间的每个区域，特别是较为敏感的区域，有足够的停电应急灯，每支应急灯都有防护罩。

5.3.2 车间内墙面、地面完好无损坏、无凹陷、无缝隙、清洁、设计科学，采用环保材料，没有可以隐藏有毒有害物质的地方。

5.3.3 对内部设施和加工过程进行全程监控，每个加工间都安装有监控系统；监控系统保证清晰并连续有效，加长视频存档期。



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5.3.4 车间内装有紧急预警系统，不仅仅包括火警预警，还包括发生人为蓄意攻击时的紧急疏散系统，并对系统定期进行检测，或者进行演练，对员工疏散路线、疏散命令有统一的规定。

5.3.5 车间内特定限制区域仅允许许可的人员进入，非相关人员不得进入，并且这些区域有清晰的标识注明。

车间的设计布局要按照不同的加工区域、重要程度予以隔离，不同区域只允许许可的人员进入，同时有清晰的警示性标语。

5.3.6 访问者、或其他区域人员进入非工作区域、特定区域前要经过身份的确认、资格的确认并且要经管理人员同意，且有管理人员的全程陪同。

5.3.7 整个车间的规划布局都按照食品防护的目的经过评估检查，车间的规划布局能防止人流、物流、气流交叉污染，并充分经过食品防护评估。下脚料处设计能防止人为接触，车间内的消毒剂有专人、专锁、专库的存放，使用有详细的领用记录。

5.3.8 对卫生间、维修室、个人整理柜等容易存放私人物品的地方随机进行不通知检查，特别是检查不明化合物、金属物品、化妆品、可疑包裹等其他不允许使用和存放的物品。

5.3.9 器具间（例如刀具）、设备按照食品防护的目的进行管理操作，工器具间有专人负责制，建有相关记录只允许向许可人员发放，准确记录回收时间和数量；通风、空调系统、供水系统、供电系统、消毒设施等设施设备，定期的对其检查检验，系统设计合理，尽量防止人为接触；设备维修须经防护小组负责人同意，由许可人员维修，要有维修记录。

5.3.10 排风系统定期对进风口过滤消毒，进风口设计方向位置合理，能避免人为接触，出风口加过滤网，防止异物或不明气体进入，并防止气流回流。

5.3.11 为当地执法机构（包括消防部门）提供工厂的布局图/设计图最新版本；如有更新版本及时更新并提供。

5.3.2 每月盘点工厂入口、原料库、成品库、化学品仓库等工厂中安全/敏感区域的钥匙的数



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量。

5.4 **加工安全**

5.4.1　按照加工工艺流程分区域进行加工管理；质检员、班长用帽子区别；不同区域设有明显标示。

5.4.2 对籽仁加工和消毒进行连续监控，高度重视，只允许经过培训的，责任心高度负责的人员进行操作。

5.4.3　产品传送带传递过程有监管人员监控，避免传送带传送过程只有个别人或没有人监控，做到多人工作，连续监控。

5.4.4 清洗消毒区严格控制清洗消毒程序。

产品周转用工器具等要分开清洗，防止交叉污染。清洗区域严格按照卫生标准操作程序操作，消毒液配制只允许化验室人员配制。

5.4.5 与食品直接接触的内包装是使用合法的、安全的食品级包装材料；外包装能够满足相关运输和存储安全及质量要求，不易损坏，刻意非正常打开即为破坏。

**注：**因检验等原因打开了外包装，应加以适当的标记证明不属于非正常打开。

5.4.6 产品标识，包装物料等定期的检查审核

产品的标识、包装物料等的领用建立领用台账，对标识和包装物料由班长和质检两人管理。

标识、包装物料摆放合理，垛码标记清楚，按要求离墙、离地、离顶、垛与垛间距存放。

5.4.7　产品的包装和标识具有识别遭破坏的特性（即破坏存迹包装），产品标签一旦使用，有更改即为失效。对已经包装的产品要严格检查，防止包装损坏产品进入成品库。

5.5 **储藏安全**

食品加工的储藏安全涉及原料、物料、半成品、成品以及清洁剂、消毒剂等的存放和保存。各库房的保管人员要养成随走随上锁的好习惯。



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5.5.1　进入到原料储存库、成品库、以及物料库的人员必须经过许可才能进入。严格控制储藏区域人员的走动，储存区域有负责人严格管理，非本区域工作人员不得随意进出。安装有相应的视频监控系统，负责出入库人员以及货物的连续监控。

对原料仓库、内包材仓库、成品仓库门进行上锁；每月检查库存内是否混入其它不明物质；每月检查库存，并且检查包装是否完整。

5.5.2　原料储存库、成品库以及物料库的出入库记录保存

储存区域建立详细有效的出入库管理记录，有记录标识、货物数量、领用人员签字等内容。定期盘点，对无理由多出来的货物要及时清查。

5.5.3　定期对存储区域进行检查审核，主要内容包括：场所设备清洁卫生、货物存放分类分架、加贴标识存放。存储区域的门窗符合规定，封闭严格，不会有人为可疑接触货物的可能性。

5.5.4　化学物品的储存区域

对化学物品管理人员是经过培训的，责任心强的，对入库货物认真验证有关证明的人员担任，建立入库和领用记录；对出库化学物品严格管理，各班设专人领用相关产品。

5.5.5　化学物品与其他物质分开存放，并远离加工区域，配制好的消毒液容器只允许在指定存储柜上锁封闭管理。

5.5.6　对化学物品的领用和使用具有完善的工作程序

化学物品只允许化验室人员领用。

5.5.7 化学物品有主管部门批准生产、销售、使用的证明，有清楚的标识、有效期等。化学物品暂储间上锁并由专人管理，登记化学物品领用记录。

化学物品的进货人员要善于鉴别，购买相关食品级的产品，要对供货方的生产、卫生、诚信等方面进行评估，建立合格供应商一览表。

5.6 **运送/接收安全**



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5.6.1　叉车不工作时对其进行上锁，门卫要对其进行巡视，叉车等运输工具在厂区内禁止不明身份的人接近。

5.6.2　叉车等运输工具运输原料、成品及其他加工使用原料时，在装货卸货过程中要严密监控，在装货处安放监控系统，进行连续监控。

5.6.3　收发货时的数量、重量、品种、标签标识等要与相关单据、证明材料等货物运输文件一致。

5.6.4　负责监装监卸的人员都经过培训，持证上岗。

5.6.5　监装员在装货卸货时要监控可疑物质，在第一时间检查出可疑物品。

5.6.6　监装及监卸记录完整，并妥善保存方便查阅。

5.6.7　货物运送到工厂时有供应商的提前通知，并核对数量，防止不明货物进厂。

5.6.8　货物运输文件不得随意改动，记录要清晰整洁。

5.6.9　出入厂区的非计划的运输要经过确认，有管理人员的签字和记录。

5.6.10 非正常工作时间的到货发货有管理人员审核、记录，并核对货物信息。

5.6.11 对运输公司要进行食品防护计划能力的评估，保证该公司能够确保运输过程中食品的安全。

5.6.12 对客户退运产品有相应的验收接受程序，并有详细记录。

5.6.13 对退运产品再加工采取有效措施防止交叉污染。

5.6.14 对长时间停留在厂区周围的不明运输工具予以关注和干涉，门卫应及时查看询问，确保其不对厂区造成威胁。

5.7 **水的安全**

5.7.1　水质按照国家标准和相关进口国家标准检测，结果能符合要求。

5.7.2　对水源地（例如水井）、中间储水设施（如储水池/罐）等，水处理设施（如净化消毒）等设施等上锁，并有专人管理，施行禁止外人进入的措施并有警标标语。



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5.7.3　供水系统定期检查，特别是检查是否有损坏或人为破坏的地方。

5.7.4　排污设施与供水系统有防止交叉污染的措施。

5.8 **人员安全**

对工人采取进厂考核严格把关，进厂之后严格培训，提高整个工厂人员的素质和能力。

要预防那些心存破坏心理的人员，如恐怖分子、仇视社会的人、与管理者或员工闹矛盾产生报复心理的工厂人员。

5.8.1　对可进入敏感区域工作的人员进行仔细的背景调查。

敏感区域主要是加工、色选、烘干及包装工序。敏感区域操作人员要经过严格的审核评估，并经过背景审核调查。

5.8.2　对临时工、季节工、以及短期合同工在雇用前进行严格的培训、考核。

5.8.3　对员工及管理人员进行有针对性的，分层次的培训，特别是有关食品防护的培训。

5.8.4　对员工按照工序、权限有不同的身份识别系统，要求员工统一使用上岗证，上岗证不得转借他人使用。

5.8.5　对于轮岗人员，或临时更换人员，如请假人员的代替者，或新进人员有足够的人员识别清单程序，使管理人员第一时间掌握情况。

5.8.6　对员工衣物柜进行不定期随机抽查。

5.8.7　对员工和访问人员的进出区域，携带物品等建立详细的检查程序。

5.8.8　有针对性的、定期的与员工交流，听取合理性建议，并有合适的心理健康指导。

5.9 **信息安全**

5.9.1　工厂建立严格的保密制度，包括食品防护计划的评估结果等。

5.9.2　工厂对加工工艺、配方等有严格的保密控制措施。

5.9.3　管理人员对访客、客户、供应商建立联系档案，对参观内容、参观区域、对外公布信息经过严格评估。



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5.9.4　工厂建有紧急情况处理系统，建有相关官方、权威部门的联系方式，电话传真，并定期审核更新，定期验证联系方式的有效性。

5.9.5　工厂有专门的信息管理部门，负责主动及时跟踪国外食品安全动态、检验检疫项目及其限量、国际上相关体系标准等。

5.10 **供应链的安全**

5.10.1　要求食品原料、半成品供应方实施了食品防护计划。

5.10.2　要求食品供应方建立产品召回体系，要有正规、明晰、详细的产品识别标识。

5.10.3　在产品运输过程中要有严格的防护、监控措施。

5.10.4　暂存区域建立食品防护计划，建立出库入库制度，在产品出入库时事先有电话和纸面通知。

5.10.5　产品运输车辆的卫生状况符合食品防护计划的要求。

5.10.6　食品供应链提供方应建立信息化管理，网络信息交流及计算机信息管理要经过专业化风险分析。

5.10.7　原料和成品货物的包装出人库时要没有蓄意破外的痕迹，设有专门的人员管理和检查。



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# 6.0 食品防护计划实施规定

## 6.1 目的

预防有意图的攻击

快速并有效的做出回应

快速地复原并且重新获得消费者的信心

保证防护计划的准确实施。

## 6.2 实施规定

### 6.2.1 食品防护人员培训

食品防护人员在食品防护体系建立时统一进行培训，之后每年培训不少于 1 次。

### 6.2.2 食品防护演练

定期进行演练。

### 6.2.3 食品防护审核

有以下情况食品防护体系需要进行审核。

6.2.3.1 食品防护体系建立时。

6.2.3.2 食品防护体系出现重大问题时。

6.2.3.3 食品防护体系组长更换时。

6.2.3.4 每年演练不少于 1 次。

### 6.2.4 食品防护体系评估

食品防护体系由食品防护小组进行评估，评估结果进行保密，不得向第三方透露评估结果。



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# 7.0 修 改 记 录

| 序号 | 更改章节或页码 | 更改日期 | 更改人 | 备注 |
|---|---|---|---|---|
| 1 | | | | |
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# Audit Report

**Global Standard for Food Safety Issue 7: July 2015**

| 1.Audit Summary | | | |
|---|---|---|---|
| Company name | QingCheng Jiahui Food Co., LTD. | BRC Site Code | 1609843 |
| Site name | QingCheng Jiahui Food Co., LTD. | | |
| Scope of audit | Gravity and color sorting, grading, shell hulling (only for Pumpkin Kernels), drying, sterilization, packing of shelled Sunflower Kernels, Pumpkin Kernels and Watermelon kernels into PE bag with carton box or paper bag. | | |
| Exclusions from scope | None | | |
| Justification for exclusion | N/A | | |
| Audit Finish Date | 2018-12-16 | | |
| Re-audit due date | 2019-12-27 | | |

| Voluntary modules included | | |
|---|---|---|
| Modules | Result | Details |
| Choose a module | Choose an item | |
| Choose a module | Choose an item | |
| Choose a module | Choose an item | |

| 2. Audit Results | | | | | |
|---|---|---|---|---|---|
| Audit result | Certificated | Audit grade | B | Audit type | Announced |
| Previous audit grade | B | Previous audit date | 2017-12-27 | | |

| Number of non-conformities | | |
|---|---|---|
| | Fundamental | 0 |
| | Critical | 0 |
| | Major | 1 |



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| | | |
|---|---|---|
| | Minor | 8 |

## 3.Company Details

| | | | |
|---|---|---|---|
| Address | Industrial Park Yima Town Qingcheng county Qingyang City, Gansu Province, P.R. China | | |
| Country | P.R. China | Site Telephone Number | +08618193482267 |
| Commercial representative Name | Xue Qiang | Email | 290577845@qq.com |
| Technical representative Name | Xu Li | Email | 761172841@qq.com |

## 4.Company Profile

| | | | | | |
|---|---|---|---|---|---|
| Plant size (metres square) | <10K sq.m | No. of employees | 1-50 | No. of HACCP plans | 1-3 |

| | |
|---|---|
| Subcontracted processes | No |
| Other certificates held | None |
| Regions exported to | Asia<br>North America<br>Europe<br>Choose a region<br>Choose a region<br>Choose a region |
| Company registration number | 6200/13001 |
| Major changes since last BRC audit | Add production of watermelon kernels |

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Company Description

QingCheng Jiahui Food Co., LTD. was founded in year of 2016 and is located at Industrial Park Yima Town Qingcheng county Qingyang City, Gansu Province, P.R. China The company has about 25 employees (10 employees in the workshops, 8hours/1shift/6day) for the audited product and production line in the constructed site size of approx 6500 square meters with 4200 square meters workshops . The annual output of seed and kernels is about 3000 tons and annual turnover is 3.5 million USD. The company got the export food production permit (No. 6200/13001, expiry date: Nov 22, 2021) and Most of the products are exported to North America, East Asia and European countries). 100% products were export. USA, Europe and so on.
The HACCP system for this product is established and implemented.

## 5.Product Characteristics

| | |
|---|---|
| Product categories | 05 - Fruits, vegetables and nuts<br>15 - Dried food and ingredients<br>Category<br>Category<br>Category<br>Category |
| Finished product safety rationale | Moisture ≤7.5%. Pb( mg/kg)≤0.2; As( mg/kg)≤0.2, Hg( mg/kg)≤0.01, aflatoxin:B1<2ppb,B1+B2+G1+G2<4ppb and so on, Shelf life was 12 months stored in room temperature.. |

| | | | | | |
|---|---|---|---|---|---|
| High care | No | High risk | No | Ambient high care | No |

| | |
|---|---|
| Justification for area | Stored in room temperature, low risk according to the decision tree |
| Allergens handled on site | None<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen |
| Product claims made e.g. IP, organic | HACCP, FSMS, KOSHER |
| Product recalls in last 12 Months | No |

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| | |
|---|---|
| Products in production at the time of the audit | the manufacturing of Pumpkin seed |

## 6.Audit Duration Details

| | | | |
|---|---|---|---|
| On-site duration | 16 man hours | Duration of production facility inspection | 9 man hours |
| Reasons for deviation from typical or expected audit duration | None | | |
| Next audit type selected | Announced | | |

## Audit Duration per day

| Audit Days | Audit Dates | Audit Start Time | Audit Finish Time |
|---|---|---|---|
| 1 (start date) | 2018-12-25 | 09:00 | 18:00 |
| 2 | 2018-12-26 | 09:00 | 18:00 |
| | | | |

| | Auditor (s) number(s) | Names and roles of others |
|---|---|---|
| Auditor Number | 168204 | Kai Liu / LA |
| Second Auditor Number | 168030 | Allen Li Dekun/TE |

## Present at audit

| Note: the most senior operations manager on site should be listed first and be present at both opening & closing meetings (ref: clause 1.1.9)<br>Name / Job Title | Opening Meeting | Site Inspection | Procedure Review | Closing Meeting |
|---|---|---|---|---|
| Xue Zhenwu / GM | X | | X | X |
| Xue Yong / Workshop Supervisor | X | X | X | X |
| Li Zhaoqiang / Production technician | X | X | X | X |
| Xue Hong / purchasing manager | X | | X | X |



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| | | | | |
|---|---|---|---|---|
| Xue Qiang / VGM,Trade Supervisor | X | | X | X |
| Xu Haicheng / Trade Supervisor | X | | X | X |
| Wang Kai / QC manager | X | X | X | X |
| Wang Cunbin / Office Supervisor | X | x | X | X |



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# Non-Conformity Summary Sheet

| Critical or Major Non Conformities Against Fundamental Requirements | | | | |
|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Critical or Major?** | **Anticipated re-audit date** |
| | | | | |
| | | | | |
| | | | | |

| Critical | | | |
|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
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| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| 1 | 4.14.9 | The in-depth, documented pest control survey was not undertaken for improvement of pest control within 2018. The company need to pay attention to the potential weakness for pest control and carry out effective measures to improve that. | Carry out comprehensive and in-depth survey for pest control all over the factory including workshop, storage etc and keep the report | RCA: The management didn't understand the importance of pest control for food safety before.<br><br>CA: Study knowledge of pest control as well as BRC items in 4.14 and improve the management. | Photo/Doc. | 2019-1-8 | Kai Liu |
| | | | | | | | |
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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| 1 | 1.1.6 | The products were exported to EU, but the management was not familiar enough with the EU law related to their products | Collect food safety laws of EU related to the products such as (EC)No.2073/2005,EC 2005/396,EU2018/832, (EC) N°852/2004,etc. and study the laws carefully. | RCA: Didn't pay enough attention to EU laws before, so the management did not understand the laws well<br><br>CA: Regularly organize the management to study food safety laws of export countries. | Doc. | 2019-1-8 | Kai Liu |
| 2 | 3.4.1 | BRC internal audit plan was in place and conducted once a year by centralisation methods, latest was conducted on 2018.08.15-16, that didn't meet Global Standard for Food Safety Issue 7 completely. | Make internal audit plan of next year throughout the whole year, and scheme the plan at least 4 times. | RCA: The internal audit team didn't study BRC standards well, so the plan was not conform to related requirement.<br><br>CA: Study item 3.4-Internal audit of BRC and implemented accordingly. | Doc. | 2019-1-8 | Kai Liu |
| 3 | 3.5.1.2 | The inner package (PE bag) was assessed as low risk, but the related supplier hadn't been evaluated before, such as by questionnaire which also contain convey on GMP, | Sent the < Questionary for suppliers > to the PE bag supplier, for assessing the company. | RCA: The purchase dept. haven't operate as per purchasing control procedure (H/JHSP/CX-04)<br><br>CA: Ask the purchase dept. to work as the procedure and study | Photo/Doc. | 2019-1-8 | Kai Liu |



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| | | quality system, traceability, HACCP system etc. | | the BRC item 3.5.1 carefully. | | | |
| 4 | 3.9.2 | Mock traceability test was conducted this year, but mass balance was not checked to verify the effectiveness of traceability system. | Check the production information about input and output, calculate the yield, and supplement the mass balance data in the traceability test report. | RCA: QA dept. didn't understand the requirement of the BRC standard related to mock traceability.<br><br>CA: Study item 3.9.2 in the BRC standard and pay attention to traceability management. | Doc. | 2019-1-8 | Kai Liu |
| 5 | 4.5.1 | On site inspecting the equipment for cleaning product at soften procedure; found the inner wall of water pipe was not clean enough and some dust seen at the end of pipe. | Immediately change the water pipe, and keep clean | RCA: Due to negligence of hygiene work and inspection, resulting in the poor sanitation.<br><br>CA: Strengthen inspection, identify and conform related responsibility, clean the equipment and facility according to SSOP strictly. | Photo/Doc. | 2019-1-8 | Kai Liu |
| 6 | 4.14.6 | In the raw material storage and entrance passage of workshop, there were lack for fly-killing devices or pheromone traps for pest control and monitoring. | Timely purchase fly trap lamps and set them at raw material storage and entrance passage of workshop, and keep regularly inspection. | RCA: Negligence of sufficient settling for flied control<br><br>CA: Check the pest control location all over the factory; make sure sufficient and appropriate devices are equipped. | Photo/Doc | 2019-1-8 | Kai Liu |



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| 7 | 6.1 | At raw material feeding procedure, the feeding port was not covered in time after operation by the staffs | Keep the cover closed in time after feeding each time. | RCA: Because of loose management in the workroom, resulting to unqualified operation.<br><br>CA: Strengthen management and inspection, identify and conform related responsibility, Keep the cover closed in time after feeding each time. | Photo/Doc | 2019-1-8 | Kai Liu |
| 8 | 7.2.3 | On site found colored plaster which contains a metal detectable strip was not in place. | Immediately purchase colored and detectable plaster, and placed them in the workroom office for use. | RCA: Workshop management didn't understand the requirement of BRC<br><br>CA: Immediately purchase colored and detectable plaster, and placed them in the workroom office for use. Train the management of workshop on BRC 7.2 | Photo/Doc | 2019-1-8 | Kai Liu |
| | | | | | | | |
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| Comments on non-conformities |
|---|
| |

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# Voluntary Modules Non-Conformity Summary Sheet

| Critical | | | |
|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
| | | | |
| | | | |
| | | | |

| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| | | | | | | | |
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# FSMA Module Non-Conformity Summary Sheet

| Critical | | | |
|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
| | | | |
| | | | |
| | | | |

| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | **Proposed preventive action** | **Evidence provided document** | **Date** | **Reviewed** |

| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| | | | | | | | |
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# Detailed Audit Report

## 1. Senior management commitment

### 1.1 Senior management commitment and continual improvement

Quality and Food Safety Manual (H/JH-SC-2018), which was established and signed by General Manager, it was implemented the requirements of the Global Standard for Food Safety .
The company quality policy was " Prevention Contaminate/ Ensure Food Safety/ Scientific Management/ Costumer Satisfy"
And during the site audit, random sample the relevant staff, they could repeat the quality and food safety policy.
Food safety and quality objectives were established and defined in the QM as follows:
1. delivery inspection conformity rate≥ 99%;
2. finished products conformity rate is 100%;
3. Customer satisfaction rate≥ 98%
4. client complaints handle rate 100%
5. Sit hygiene conformity rate 100%
6. no food safety incidents.
random sample the relevant staff, they could repeat the quality and food safety policy.
The detailed dept objectives was in place, and it would be monitored and results reported quarterly in 2018 to site senior management, the latest was on 2018-09-30.
The management review procedure (H/JHSP/CX-03) was available and the management review must conduct at least once a year. The latest management review was hold by the GM Xue Zhenwu on the 2018-11-25, and relevant plan, report, etc. were in place.
In Quality and Food Safety system, the quality and food safety meeting must conduct once a month, and involving the supervisor of all relevant department.
Sample latest quality meeting conduct on the 2017-10-09 and 2018-09-19, include previous meeting follow up, customer complaint, QC results, raw materials and final product inspection, HR, CA for NCs. The meeting records were available for review.
The senior management had provided adequate human and financial resources for HACCP System.
QC Dept would collect information related to food safety or legality issues through internet, seminar, Clients or China government organization, and then train all the information to all staff. China CIQ also would send relevant information to the company.
General Manager, Production Manager, QC Manager, Workshop Supervisor, Sales staff and analyst/QC staff attended the opening and closing meetings for BRC certification audit
a genuine, original hard copy or electronic version of the current Standard available.
There was no BRC logo misused in audit site, and the plant committed to use it upon BRC requirements.

All NCs raised in previous audit had been improved.

NC:1.1.6 - The products were exported to EU, but the management was not familiar enough with the EU law related to their products.



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## 1.2 Organisational structure, responsibilities and management authority

Quality and Food Safety Manual (H/JH-SC-2018) defined organisational structure and total 6 departments, each department have written job responsibilities, distributed to all relevant operators by paper. GM is defined for whole monitoring.
The special regulation for key stage staff replacement arrangement was available.
The company had established the documented staff responsibilities and sample the CCP operation staff; they were clear awarded of their responsibilities.
And the WIs for all process steps was displayed on site.

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |

## 2 The Food Safety Plan – HACCP

HACCP plan (H/JH-HACCP-2018) covered Pumpkin seed and kernels / Sunflower seed and kernels / bitter apricot kernels products were established and implemented, based on PRP and SSOP. CN, FDA and EU Food law, such as SN/T1963-2007, GB/T 9687-1988, SN/T 1442-2004, GB19300-2014 EU and FDA regulation etc were collected
Total 7 staffs in HACCP team included all relevant Dept manager or supervisor; leader was VGM of headquarter Mr. Xue Qiang and more than 12 year experience and keep better understanding of HACCP principles and their application.

The company had established the PRP and OPRP for all items required and list in the left column.
The description of product was described in HACCP plan. Moisture ≤7.5%. Pb( mg/kg)≤0.2; As( mg/kg)≤0.2, Hg( mg/kg)≤0.01, aflatoxin:B1<2ppb,B1+B2+G1+G2<4ppb and so on, Shelf life was 12 months stored in room temperature.
All relevant information needed to conduct the hazard analysis had be collected, maintained, documented and updated by QA Department.

The intended use of the product was clear defined in HACCP plan. The intended use of products for next processor further processing.
And all vulnerable groups of each product identify in respective HACCP plan. The flow diagrams of all involving BRC audit scope products defined in HACCP plan. Most aspects of the food process operation within the HACCP scope were described.

For Pumpkin kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Soften, Shell hulling, Heat treatment, Colour sorting, steam sterilization, Hand Selection, sterilization(when needed),cooling, X-ray, Packaging.
For shelled Sunflower kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Heat treatment, Colour sorting, fumigation(when needed), Hand Selection, steam sterilization(when needed), cooling, X-ray, Packaging.
For watermelon kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Heat treatment, Colour sorting, fumigation(when needed), Hand Selection, steam sterilization(when needed), cooling, X-ray, Packaging.
The company had defined the follow CCPs in HACCP plan.

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CCP1: all raw materials must purchase from qualified supplier. Pesticide residue comply to GB2763.
CCP2: steam sterilization: sterilization temperature 85-100□, time 15-20 minute.
CCP3: X ray detecting, (ф Silicon Rubber ball≤3mm, ф glass ball≤2.0mm, фSus≤1.2mm)
CCP4: metal detection, Fe≤φ2.5mm, Non-Fe≤φ3.0mm SUS≤φ4.0mm.
Records of validate the critical limits of products were available.
The company had established the monitoring system and the CCP was under control, and the CL for CCP was conforming on site. The monitoring system could be able to detect loss of control of CCP.
Records associated with monitoring CCPs were complete, and reviewed by workshop supervisor and QC supervisor every day.

The corrective action plan for CCPs was defined in HACCP plan. The treating methods cases of deviation were defined. Relevant CAP records were complete. The verification procedure (H/JHSP/CX-14) was established. The procedure included the verification for PRPs, HACCP plan, CCPs, HACCP System and finished product. Verification result was recorded by HACCP team and was communicated adequately. Relevant records were available. Sampling: latest verification on 2018-08-10.

Documentation related to HACCP was in control and updated. Management of documentation and records was effective. The company established the document and record control procedure. The company had required the HACCP plan and PRP review at least annually and the latest review was conducted on 2018-08-10..

**Details of non-applicable clauses with justification**

| Clause reference | Justification |
|---|---|
| | |

## 3. Food safety and quality management system

### 3.1 Food safety and quality manual

The Quality and Food Safety Manual (H/JH-SC-2018), and relevant procedures reference to BRC food issue7, documented procedures and work instructions were issued to relevant departments
Four level document exist in place, 1 level of manual; 2 level of procedure and HACCP plan; 3 level specification/work instruction/rule etc; 4 level of records.

### 3.2 Documentation control

The company establish Documentation control procedure (H/JHSP/CX-01), and the procedure clear defined all items list on the standards.

### 3.3 Record completion and maintenance

Records control procedure (H/JHSP/CX-02) was in place. The records for food safety and quality would be retained shelf life plus one year, the shelf life of the products were 12 months.

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## 3.4 Internal audit

Internal audit procedure (H/JHSP/CX-07 )required internal audit once a year, implemented dated 2018.08.15-16 by 5 trained competent auditors (Xue Qiang, Xue Yong and Wang Cunbin etc),

Internal audit plan, checklist and internal audit report including non-conformity report were in place. total 2 NCRs issued and closed with timescale, the audit reports were given to related manager, show that all non-conformity have been identified and analyzed for cause, and correction actions were done and validated effectively.

For the non-conformance released, the company did the root cause analysis, corrective actions, preventative actions and verified the close-out.

The internal auditors received the related training and are competent.
The hygiene checking to assess cleaning and housekeeping performance was carried out every day.

NC: 3.4.1- BRC internal audit plan was in place and conducted once a year by centralisation methods, latest was conducted on 2018.08.15-16, that didn't meet Global Standard for Food Safety Issue 7 completely.

## 3.5 Supplier and raw material approval and performance monitoring

### 3.5.1 Management of suppliers of raw materials and packaging

The company had established the purchasing control procedure (H/JHSP/CX-04) for supplier approval and ongoing monitoring.
Purchasing control procedure included supplier evaluation and selection control procedure was in place, continuous assessment on suppliers which provided products were defined, done and recorded. Suppliers are divided into A, B suppliers via risk assessment; at present, eligible suppliers include suppliers provided R/M and packaging, and also suppliers providing service (transportation, external lab, waste disposal) etc; at present, A-suppliers approved via supplier audit or certs (GFSI recognize) and B suppliers via questionnaire.
Total 12 approved materials including chemical suppliers was in the approved supplier list. The supplier assessment conducted at least once a year, the assessment conducted by questionnaires, certificates and type testing reports collected. The latest assessment including physical, chemical, biological, substitution or fraud was conducted and relevant records were available.
Documented risk assessment of each raw material was defined in the HACCP plan of 2018.
No raw materials are purchased from agents or brokers.

NC: 3.5.1.2- The inner package (PE bag) was assessed as low risk, but the related supplier hadn't been evaluated before, such as by questionnaire which also contain convey on GMP, quality system, traceability, HACCP system etc.

### 3.5.2 Raw material and packaging acceptance and monitoring procedures

The company had established the raw materials, ingredient and packaging materials receive specification, the specifications included the sample plan, receive inspection item and acceptance limit, above all were based upon the risk assessment.

Raw materials, ingredient, packaging materials receive and inspection was defined in special specification
For example, the raw materials receive inspection was available.
The specifications clear defined the testing items and receive inspection method.



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And the documented sample plan established by company and local CIQ, the plan defined the detailed test items and testing frequency.
For example, the pumpkin seed in Nov. 2017, was available and acceptable.
the inner packaging materials PE bags inspection records in Oct. 2017 was available and acceptable.
All raw materials receive inspection sample and testing conducted by local authority laboratory.

### 3.5.3 Management of suppliers of services

The management of suppliers of services were defined in purchasing control procedure.
The scope of service suppliers covered transport, laboratory and waste management.
All the services suppliers were with formal contract, the contract clearly define service expectations and ensure potential food safety risks associated with the service have been addressed.
For example, the transport contractor must signed the relevant statement of food safety and prevent hygiene risk

### 3.5.4 Management of outsourced processing and packing

No outsourced processing.

### 3.6 Specifications

Exist materials inspection rule and, relevant sensory requirements and sampling plan requirements of raw materials and packaging materials were defined in them. Semi-finished products and finished products inspection procedure were also established.
The packaging materials were PE bags with carton box or paper bags. finished products inspection procedure were also established. the seed inspection rules were included the materials and finished products specifications.

The process specification was defined in the HACCP plan. Especial requirements were defined in the sales contract. each CCPs monitoring procedure (HACCP plan sheet) etc were posted on the wall of workshop.

These specifications would be reviewed at least every three years.

### 3.7 Corrective and preventive actions

The company had established corrective actions control procedure (H/JHSP/CX-11) to ensure investigation of the root cause of non-conformity would be performed and corrective actions would be taken.

### 3.8 Control of non-conforming product

Non-conformity product control procedure (H/JHSP/CX-08) had been implemented to control of non-conforming material, semi-finished products and final products, including rejection, acceptance by concession, or regarding for an alternative use. Decisions were approved by QC manager

No major non-conforming products in 2018 till now.

### 3.9 Traceability

The company had established the traceability management procedure (H/JHSP/CX-05), and the identification of the raw materials, ingredient, packaging materials, all process, semi-processed products and finished products in site was acceptable.
The last traceability testing about Shine skin pumpkin seed kernels AA grade No.6200/130011878 from Bayannur city Huifeng trading co. LTD. Date code 2018-07-28. The whole traceability test accomplish



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within 2 hours from 8:30 to 10:30. the relative records were available.

Auditor random sample the finished products Watermelon seed kernels batch No. JHSP20181025. Trace to raw materials Watermelon seed lot No. 20181020,. PE bag lot No. 20180526, 960 pieces, from Linyi Tongxiang, outer carton lot. 20180615, 480 pieces, from Qingyang Jiqiang. The mass balance was acceptable, and whole traceability test accomplish within 130 minutes.
The full traceability accomplish time scale defined in traceability management procedure was 4 hours.

NC: 3.9.2-Mock traceability test was conducted this year, but mass balance was not checked to verify the effectiveness of traceability system.

### 3.10 Complaint handling

The company had a documented customer complaint control procedure (H/JHSP/CX-16) in place to handle complaints.
No major customer complaint received in the auditing year, right now. some of them were about the dirty of the out packers, it would be communicated by E-mail and investigated and the corrective action were acceptable.

### 3.11 Management of incidents, product withdrawal and product recall

The company had established the documented incident and emergency treatment procedure and recall management procedure. These procedure defined covered all requirements list on the standard.
The company had established the documented recall management procedure and it defined covered all requirements list on the left column.
The latest mock trace and recall test conduct on 2018-04-03; all the relevant records were available for review.
No real product recall happened.

### 3.12 Customer focus and communication

The company had a documented customer servie control procedure to manager customer requirements and communication with customer.
The sales Dept would communicated with clients, and then clearly communicated to relevant staff and, where appropriate, suppliers of raw materials, packaging and services.
QC staff will check the implement of customer requirements during production.
All the specific was known by relevant staff and implemented.

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| 3.5.4 | No outsourced processing |

## 4. Site standards

### 4.1 External standards

The company located in Industrial Zone, Qingyang.
Environment of surround was well, road full by clear concrete; no other contamination industry locates



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beside it.
Product workshop area and product waste area are separated, and catering area and living area are segregated in factory, no risk for contaminants from local activities and environment.

Enough processing space was provided for processing and storage.

The external areas were maintained in good order and greened, external traffic routes were suitably surfaced.

## 4.2 Security

The site was registered and approved by CIQ, the registration No. was 6200/13001.

Food defence plan (JH/FH-H-2018) was established and implemented .The company had established the security arrangement programme to define the control of security to prevent access of unauthorised persons to production and storage areas. The terrorism treatment was defined in crisis treatment procedure, and responsible by Admin Dept security team. Process and storage areas were identified restricted areas. The relevant inspection records were available. The security arrangement programmes annually review report was available.
They undertake a documented assessment of the security arrangements on 2018.1.21

## 4.3 Layout, product flow and segregation

The process areas were identified low-risk areas according to BRC standard Appendix 2.
The company established the site plan and covered all items list on the standard..
The company had arranged special guard person to ask the visitor show the authorised certification of entry the site. Process and storage areas were restricted areas and regulated by workshop supervisor, visitors can enter when they were accompanying with staff who was authorized.
During the site audit the process flow could minimise the risk of food contamination.
No high-care and high risk areas in audit site.
The plant provided sufficient space for placement of equipment and storage of materials for the maintenance of sanitary operations and the production of safe food.
No temporary structure was found on audit site.
Contractors and visitors shall be approved to enter workshop, and also promise to comply with the rule.

## 4.4 Building fabric, raw material handling, preparation, processing, packing and storage areas

The fabrication of the site, buildings and structure and materials of facilities are conformity with requirement, maintained in a acceptable condition
Walls were maintained to prevent the accumulation of dirt, minimise condensation and mould growth, and facilitate cleaning.
Floors are constructed and maintained very well. Floors have adequate falls.

The walls and ceilings were maintained very well during this audit.
No suspended ceilings.

The glasses and lamps in production area were protective with covers, electronic fly killers were protected with metal net. Windows for ventilation were adequately screened to prevent the ingress of pests. No High-risk areas. so the Air of the workshop was not needed to filtered.

## 4.5 Utilities – water, ice, air and other gases

Well water was used for cleaning equipment and plant. The water was tested once a year according to <GB5749-2006 Drinking water>. The latest report was available. the report No. was QCCDC-JL-056-2018.which was done by Qingcheng county CDC on 20180717.



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Only well water was used.
The air for heat treatment and cooling was filtered before used and filter inspection records were in place.
NC: 4.5.1- On site inspecting the equipment for cleaning product at soften procedure, found the inner wall of water pipe was not clean enough and some dust seen at the end of pipe

## 4.6 Equipment

On site, all equipment were appropriate materials, had suitable design to ensure effectively clean. New equipment purchasing was concerned the suitability. Equipment position had kept adequate space from the wall and adjacent areas as so that clear space was available to facilitate cleaning and servicing. Equipment contact surfaces were constructed with stainless steel. The conveyor belts were suitable for food use. Engineers were aware of the requirement.

## 4.7 Maintenance

Equipment Department was responsible for equipments routine maintenance. Equipment annual maintenance plan of 2018 and maintenance were in place and implemented. Equipment maintenance records of 2018 were available. The equipments were maintained properly during on-site assessment.

Big maintenance would be operated by contractors. No major breakdowns happened
No temporary repairs.
Materials used for equipment and plant maintenance and that pose a risk by direct or indirect contact with raw materials, intermediate and finished products
Food grade grease and oil was used: Mobil SHC Cibus 150, 141502.

On-site hygiene staffs would monitor operations during maintenance.

## 4.8 Staff facilities

Changing rooms were provided for staff, visitor or contractor and they were sited to allow personnel direct access to the production and packing areas. The changing room was clean, outdoor clothing and other personal items were stored separately from work wear. Shoes changing area was also in place. Hot water, liquid soap, 75% alcohol, and hand dryers were provided.
Hand washing facilities (Clean water, liquid soap, 75% alcohol, hand dryer) were installed in workshop

Toilets (nearby changing room) were adequately segregated from workshop.

Canteen was provided outside of the production workshop.

No high-care, high risk and area.

## 4.9 Chemical and physical product contamination control

### Raw material handling, preparation, processing, packing and storage areas

Documented program SSOP for control the risk of physical, chemical and biological contamination or damage, the effectiveness was considered acceptable.
The chemical just used for hand and tools disinfecting

### 4.9.1 Chemical control



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Documented chemical control procedure was in place
The alcohol mother solution, fumigation chemical materials were stored in a separate chemical warehouse., MSDS and relative receiving / issuing records and disinfectant preparation records were provided in the warehouse. The chemical containers (drums, bottles etc) were labelled.

**4.9.2 Metal control**

Snap-off blade knife & staples were not used. Knifes and scissors were used in production workshop, relevant dispense & recover record was in place.

**4.9.3 Glass, brittle plastic, ceramics and similar materials**

Glass windows in production workshop were protected with films, all lamps in production area were protective with covers, electronic fly killers were protected with metal net. All glass and brittle material were registered on a list, the staff would check the glass and brittle materials weekly.
The company established the glass, brittle plastic management procedure (ZQ-CX-34-A/0) for management incident in breakage of glass, or hard plastic including isolate the defected products and production area.

**4.9.4 Products packed into glass or other brittle containers**

No products packed into glass or other brittle containers.

**4.9.5 Wood**

No wood tools was used in the factory.

**4.10 Foreign-body detection and removal equipment**

**4.10.1 Foreign-body detection and removal equipment**

The risk assessment of foreign body was list in the HACCP plan, the foreign body control instruction was in place. sieves, magnet and metal detector was used in the factory.

**4.10.2 Filters and sieves**

Sieves (30 mesh) was used in the cooling process.
It would be checked before produce and every batch.

The records were available.

**4.10.3 Metal detectors and X-ray equipment**

One X-ray detector with belt stop system was installed in packing workshop, standard testers (ABS ball4mm, Silicon Rubber ball4mm, glass ball2.0mm, Sus2.0mm) were used to challenge the X-ray machine before and production, once per hour during production.

Corrective and investigative actions were defined each in HACCP plans.

**4.10.4 Magnets**

Magnets (12000GS) were used after sieving,

It would be checked before produce and every batch.

The records were acceptable



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### 4.10.5 Optical sorting equipment

Optical sorting equipment was used.

It would be checked before produce and every batch.

The records were acceptable.

### 4.10.6 Container cleanliness – glass jars, cans and other rigid containers

Products were only packed in PE bags or paper box..

### 4.11 Housekeeping and hygiene

The production staffs were responsible of cleaning work.
The company had established cleaning and disinfecting rule defined in SSOP and special specification to ensure appropriate standards of hygiene are maintained at all times and the risk of contamination is minimised.
75% alcohol solution was used for routine disinfection of tools, utensils, and equipment, walls and floors (after production), and NaClO was used for protective clothes disinfection.
Every June-Aug, the equipment would be fumigated every month.
Separate clean and disinfection room was designed for raw materials workshop, pre-treatment workshop and production workshop.
Visual check was carried out every day for verify the effectiveness of cleaning and disinfection, and relevant records were available for review, including utensils clean & disinfection records, the check records of workshop hygienic condition.

### 4.11.7 Cleaning in place (CIP)

No CIP facilities were in use.

### 4.12 Waste / waste disposal

The waste would be removed by the staff.
The waste would be moved from the factory once a day.
The seed shells was collected to used as fuels.
unsafe products or substandard trademarked materials would be destroyed before transferred to a third party for destruction or disposal.
The factory declared that the cartons with label would be destroyed and disposed as waste.

### 4.13 Management of surplus food and products for animal feed

The leftovers would be disposed by a feed processing factory. The surplus customer-branded products are disposed in accordance with customer-specific requirements. Customer brand names would be removed from packed surplus products under the control of the factory before the product enters the supply chain.
The waste such as broken shelled seed was for bird feed, it would be segregated from waste and protected from contamination during storage.



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## 4.14 Pest Control

Pest control procedure (H/JH-QTJH-2018) and pest control plan were in place, the pest control implemented by internal pest control qualified staff.
All the pest control devices installed and used according to control procedure, and no chemical for pest control was used in site.
The written procedure and inspection requirement were described in pest control procedure, above all were implemented and could show the pest control plan and the pest control map which identified the location of pest control facilities. EFKs, rat cages and rat guards were used for pest treating.
The location of the fly killers was suitable inside the door of workshop.
All the pest control inspection records, treatment records and action taken records were available for review.
The company revised the pest control procedure for in-depth pest control survey. And the quarter survey had taken by qualified staff.
All the relative records were available and acceptable.

NC: 4.14.6- In the raw material storage and entrance passage of workshop, there were lack of fly-killing devices or pheromone traps for pest control and monitoring

NC 4.14.9- The in-depth, documented pest control survey was not undertaken for improvement of pest control within 2018. The company need to pay attention to the potential weakness for pest control and carry out effective measures to improve that.

## 4.15 Storage facilities

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
And all the raw materials and finished products were storage in good conditions.
All raw materials, ingredient and packaging materials, finished products were stored in normal temperature, no special storage temperature required in audit site.
No controlled atmosphere storage in site
No outside storage
All products were identified properly. Stock rotation of raw materials was based on FIFO. Production arranged according to order.

## 4.16 Dispatch and transport

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
P.O. number was printed on the finished product containers. Records of dispatch and receipt of goods had recorded the manufacturing date of the product and transport containers number.
The vehicles inspection records were available.
No transport temperature required in audit site.
The clean requirements defined in the transport contracts, the company implement the clean inspection before loading. And the cleaning and sanitary rule included the equipment used for loading/unloading.
The transport is third-party logistics; the requirements defined in the contracts, comprised with hygiene control, food safety, deliver timescale and so on.

## Details of non-applicable clauses with justification



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| Clause reference | Justification |
|---|---|
| 4.3.5/4.4.13/4.8.4 | No high-risk area |
| 4.3.6/4.8.5 | No high-care area |
| 4.3.7 | No ambient high-care area |
| 4.3.9 | No temporary structures were found during the audit. |
| 4.4.4 | No high-risk/high-care facilities. |
| 4.5.3 | Water is potable. |
| 4.5.4 | No product contact gas is used. |
| 4.7.3 | During the audit, no temporary repair was found. |
| 4.7.5 | No high-risk/high-care area |
| 4.9.4 | No products packed into glass or other brittle containers. |
| 4.10.6 | Products were only packed in PE bags or paper box.. |
| 4.11.7 | No CIP system |
| 4.15.5 | No outside storage |

## 5. Product control

### 5.1 Product design/development

Little new products were developed, product design was conducted by production department and communicated to client. After confirmation, the Sales Department purchase raw materials, and Purchasing staff buy packaging material. HACCP-based study was implemented in the development process.

Production trials would be implemented by Production Department, Sales Department and QC Department. The shelf life was required by clients, and exist working instruction for verification of shelf life. Shelf life of a radically new product would be required by customers, assessed by organoleptic testing.



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## 5.2 Product labelling

The product label would be confirmed and checked by QC and sales Department.
The product label would be confirmed by customers, checked by sales and QC Department. The factory will provide information for help customer draw up label.
All the products was labelled, the label was acceptable.
No product is designed to enable a claim to be made to satisfy a consumer group.

## 5.3 Management of allergens

Allergen control procedure was established and implemented. Refer to the BRC standard; there was no allergen materials usage and storage in audit site.
The documented risk assessment was defined in procedure include all items list on the standard, and detailed latest special allergen risk assessment report was in place.
The cross contamination could be prevented, and no claim is made regarding the suitability of a food for allergy or food sensitivity sufferers.
The procedure defined the check for line start up, line change to ensure the labels apply in correct. All relevant checking records were available.

## 5.4 Product authenticity, claims and chain of custody

Relevant risk assessment on authenticity was done yearly, and the factory fetched this information from customer, government and website.

All raw materials were seemed as low risk of adulteration.
No products were labelled or claims are made on a status of a raw material.
Non-GMO products was used for the products.
The documented vulnerability assessment records on raw materials adulteration or substitution were available.

## 5.5 Product packaging

PE bags and paper bags were used as inner packaging materials. Type test report and the qualified certificate of suppliers were shown for review. Packaging materials specification was implemented. The colour of the bags was different with the products.

Inner packaging materials warehouse and outer packaging materials warehouse were established and used. The two warehouses served the whole group.

## 5.6 Product inspection and laboratory testing

### 5.6.1 Product inspection and testing

2 analysts worked in laboratory and all of them were trained by local CIQ test lab on SN/T 1963-2007.

Product inspection and test plan including internal laboratory microbiological test plan were in place. The company had an in-house laboratory to undertake analyses or testing or contracted out with outside independent body to confirm product safety, legality and quality, using appropriate procedures, facilities and standards;. Relevant incoming inspection records were in place. And the laboratory did net weight, moisture, adm, broken kernels, mouldy kernels for each batch of finished products. the sampled inspection records on Oct were available.

the test and inspection results were reviewed to identify trends quarterly, the relative records were



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available.

### 5.6.2 Laboratory testing

No pathogen testing was done in the factory.
Analysis were undertaken by internal or other third party lab (CNAS certification). 2 analysts worked in laboratory and, the packaging materials incoming inspection was done by analysts. The laboratory could do net weight, sensory and water content test, microbiological testing.
Monitoring devices were calibrated internally every year and laboratories were trained.

### 5.7 Product release

The factory established release validation procedure of waiting-for-delivery products to ensure that finished product is not released unless all agreed procedures have been followed.
Products could be released after all test or inspection results were reviewed and confirmed to be satisfactory by QA Manager.

**Details of non-applicable clauses with justification**

| Clause reference | Justification |
|---|---|
| 5.2.3 | No product was claimed to be made to satisfy a consumer group. |
| 5.3 | No Allergens handled on site |

## 6. Process control

### 6.1 Control of operations

The HACCP plan had been transferred into day-to-day production control. Each CCP was properly under control during the inspection. The company had established the operation processing instructions according each equipment and step, all instructions verified that the processes and equipment employed were capable of producing consistently safe and legal product with the desired quality characteristics.
Process monitoring, including the usage of raw materials and packaging materials was in control and recorded.
X-ray detector with automatically rejected was challenged once per hour.
The company had established the commencing production management rule, and relevant checking records were available.
The drying machine was calibrated, and the condition was acceptable.
The packaging operation instruction was in place and QC on line would check the packing process when manufacturing.
NC: 6.1- At raw material feeding procedure, the feeding port was covered in time after operation by the staffs



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### 6.2 Labelling and pack control

Relevant management rule on labelling and packing control established, the factory checked the labelling and packaging materials at least before packing, during packing , when changing batches of packaging materials, after packing

### 6.3 Quantity, weight, volume and number control

The quantity requirements of customers were defined in the contracts and the plant had specified it in the production plan and specifications, and routine checks were carried out by their QC staffs. Weight is well checked by operators and also monitored by QC staff. The quantity would be checked every batch.
The quantity checking records were unavailable during the inspection.

### 6.4 Calibration and control of measuring and monitoring devices

Monitoring and measuring Devices control procedure and measuring equipment list were available.
Calibration identification marked on the equipment was visible on site.
Electronic scales were calibrated at least annually by competent authority. Relevant calibration certificates and calibration records were provided.
For example,
Automatic quantitative packaging machine: used in packing workshop, No.1508366 calibration certificate No. 187000263., expiry on 20190409;
Electronic scale, used in packing workshop, calibration certificate No. 176000155., expiry on 20190620;
Pressure gage, No.1651, 0-1.6Mpa, calibration certificate No. 2018-10-0013, expiry on 201910424
drying oven, used in the lab, serial No. 101-0, calibration certificate No. 181400363 expiry on 20191204;

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |

## 7. Personnel

### 7.1 Training: raw material handling, preparation, processing, packing and storage areas

The company established HR management procedure to describe the staff training and the requirement of work experience or qualification. The company ensured all employees were properly trained, instructed and supervised and were competent in conducting their tasks.
2018 training plan about seafood process, QC tools, food label regulation, ISO, HACCP, etc. The effectiveness of the training through orally, paper exam or on-site operation.
For example : HACCP training on 2018-05-10, chemical training on 2018-05-11, CCPs operation training on 2018-11-16 etc.
Relevant training records were available and including most items required on the left column.
The company evaluated the effectiveness of the training through examination paper, orally examination or on-site operation. Refresher training was carried out every year.



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## 7.2 Personal hygiene: raw material handling, preparation, processing, packing and storage areas

The company had established personnel hygiene rule defined in OPRP. The personal hygiene was detailed described.
Hands washing and disinfecting requirement was defined in personnel hygiene rule, staff washed their hands before commencing work, after visiting toilet, becoming soiled. There was hand washing sinks at entrances to processing areas, or appropriate areas convenient to staff for washing hands when they became soiled. Operators were aware of washing their hands prior to entering the processing areas during the audit.
OPRP required the relevant content, and on site they did well and the blue metal strip plasters were provided.
The blue metal plasters were stored in process areas, X-ray detector and usage records were available.
Personal use medicines (defined in personnel hygiene rule) were control well, in the event of disease, the staff should report to her supervisors according to requirement.
No issues regarding compliance with documented hygienic policy were seen during on-site visit.
NC: 7.2.3- On site found colored plaster which contains a metal detectable strip was not in place.

## 7.3 Medical screening

Personnel hygiene rule defined in SSOP. The person al hygiene was detailed described.
employees would be medically examined prior to employment and yearly during employment
Sampled 5 workers in process areas(Huang Rong, Guo Qian, Gao Weiqi, Yang Xueqiang, Yang Wanrong ), the health certificates from Qinigheng CDC on 2018-11-12 were available for review during the inspection.

## 7.4 Protective clothing: employees or visitors to production areas

The company had established personnel hygiene rule defined it. The company had provided adequate protective clothes for all employees in the processing areas. The auditor was also required to wear the visiting clothing to enter food processing areas.
The protective clothing was sufficient and suitable designed.
Protective clothing was washed every day by internal laundry, uniforms cleaning & disinfection procedure was available.

No gloves were used.

No high-risk and high-care areas.

## Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |



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| Module 8 - Traded Goods | |
|---|---|
| Scope | |
| 8.1 Approval and performance monitoring of manufacturers/packers of traded food products | |
| | |
| 8.2 Specifications | |
| | |
| 8.3 Product inspection and laboratory testing | |
| | |
| 8.4 Product legality | |
| | |
| 8.5 Traceability | |
| | |

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# Module 9: Management of Food Materials for Animal Feed

| Scope | |
|---|---|

## 9.1 Management Commitment

## 9.2 HACCP

## 9.3 Outsourced Production

## 9.4 Specifications

## 9.5 Traceability

## 9.6 Chemical and Physical Product Contamination Control



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| |
|---|
| |
| **9.7 Labelling** |
| |
| **9.8 Training** |
| |

## Module 11: Meat supply chain assurance

| | |
|---|---|
| **Scope** | |
| **11.1 Traceability** | |
| | |
| **11.2 Approval of meat supply chain** | |
| | |
| **11.3 Raw material receipt and inspection** | |

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| |
|---|
| |
| **11.4 Management of cross-contamination between species** |
| |
| **11.5 Product testing** |
| |
| **11.6 Training** |
| |

| **Module 12: AOECS Gluten-free Foods** | |
|---|---|
| **Scope** | |
| **12.1 Senior management** | |
| | |
| **12.2 Management of suppliers of raw materials and packaging** | |

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## 12.3 Outsourced production

## 12.4 Specifications

## 12.5 Management of gluten cross-contamination

## 12.6 Management of incidents, product withdrawal and product recall

## 12.7 Labelling

## 12.8 Product inspection and laboratory testing



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## Module 15 FSMA Preventive Controls Preparedness Module

| Item no. | Clause | Module item | Conforms (Y/N) | Comments |
|---|---|---|---|---|
| 1 | 117.20 | Handwashing areas, dressing and locker rooms, and bathrooms must have adequate lighting. | | |
| 2 | 117.37 | The water distribution system must prevent backflow from, or cross-connection between, piping systems that discharge waste water or sewage. | | |
| 3 | 117.40 | All food contact surfaces of plant equipment and utensils used in manufacturing, processing, packing, or holding food must be corrosion resistant.<br><br>Seams on food-contact surfaces must be smoothly bonded or maintained so as to minimize accumulation of food particles, dirt, and organic matter and thus minimize the opportunity for growth of microorganisms and allergen cross-contact. | | |
| 4 | 117.80 | Ice used in contact with food must be manufactured in accordance with the good manufacturing practice (GMP) requirements of 21 CFR § 117. | | |
| 5 | 117.110 | Where defect action levels (DALs) are established for a food, quality control operations must reduce defects to the lowest level possible.<br><br>Defect levels rendering the food adulterated may not be reduced by mixing the food with another lot. | | |
| 6 | 117.130 (a) | The hazard analysis must additionally identify and evaluate the following known or reasonably foreseeable hazards, which are associated with the food or facility:<br><br>• economic adulterants which affect food safety<br>• environmental pathogens where ready-to-eat (RTE) food | | |



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| | | | | |
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| | | is exposed to the environment prior to packaging and the packaged food does not receive a kill step<br>• radiological hazards<br>• unintentional adulterants that affect food safety. | | |
| 7 | 117.130 (b) | All identified, known, or reasonably foreseeable hazards must be evaluated to determine 'hazards that require a preventive control' (i.e., significant hazards). | | |
| 8 | 117.135 | Establish one or more preventive control(s) for each identified 'hazard that require a preventive control' (i.e., significant hazard) such that the control significantly minimizes or prevents the food manufactured, processed, packed, or held by the facility from being adulterated under section 402 of the Federal Food, Drug, and Cosmetic Act or misbranded under section 403(w) of the Federal Food, Drug and Cosmetic Act. | | |
| 9 | 117.139 | Evaluate and update the recall and withdrawal procedure as necessary to ensure it contains procedures and responsibility for the following:<br>• notifying consignees of how to return or dispose of recalled product<br>• conducting effectiveness checks to verify recall is carried out<br>• appropriate disposal of recalled product (i.e., destroy, divert, repurpose). | | |
| 10 | 117.145 | Establish monitoring activities and a written procedure for each preventive control in a manner consistent with the requirements of BRC section 2.10. | | |
| 11 | 117.150 | Establish corrective action procedures when preventive controls are not implemented in a manner consistent with the requirements of BRC sections 2.11 and 3.7.<br><br>Corrective action procedures must be established and implemented when the presence of a pathogen (or indicator | | |



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| | | | | |
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| | | organism) is detected as a part of verification activities (i.e., product testing and/or environmental monitoring). | | |
| 12 | 117.160 | Validate all established process controls prior to implementation of the food safety plan, upon changes requiring revalidation or within 90 calendar days of the first food production.<br><br>Validate allergen, sanitation and supply-chain controls as appropriate to the nature of the hazard, control and facility. | | |
| 13 | 117.165 (a) | The PCQI (or authorized designee) reviews the monitoring and corrective action records within 7 days. Where an alternate timeframe exceeding 7 days is used, the PCQI must document justification.<br><br>The PCQI (or their authorized designee) reviews the verification records for all preventive controls (e.g., calibration records, product testing, supply-chain audits) within a reasonable timeframe after the record has been created. | | |
| 14 | 117.165 (b) | Where product testing for a pathogen (or indicator organism) or other hazard is used as a verification activity, a scientifically valid and written testing procedure must identify the following:<br><br>• sampling procedure to include method, quantity, frequency, and number of samples<br>• analytical method<br>• laboratory conducting an analysis<br>• corrective action procedure where a pathogen is detected. | | |
| 15 | 117.165 (c) | Where environmental monitoring for a pathogen (or indicator organism) is used as a verification activity, a scientifically valid and written testing procedure must identify the following: | | |

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|---|---|---|---|---|
| | | • adequate number and location of sample sites<br>• timing and frequency of sampling<br>• analytical method<br>• laboratory conducting the analysis<br>• corrective action procedure where a pathogen is detected. | | |
| 16 | 117.165 | Devices used to **verify** preventive controls must be calibrated. | | |
| 17 | 117.180 | Identify a PCQI responsible for developing the food safety plan, validating preventing controls, review of records, and reanalysis of the plan.<br><br>Document the PCQI's training or qualifications via job experience. | | |
| 18 | 117.305 | All records required by 21 CFR § 117 must include:<br>• the date and time of the activity being documented<br>• signature/initials of individual performing the activity or conducting the record review<br>• information to identify the facility (e.g., name and location)<br>• the identity of the product and lot code where applicable. | | |
| 19 | 117.310 | The owner, operator or agent in charge of the facility must sign and date the written food safety plan initially and again upon any changes following reanalysis. | | |
| 20 | 117.315 | All documents and records relating to the food safety plan (i.e., all records required by 21 CFR § 117) must be retained at the facility for 2 years after the record is created. Where records are stored offsite, they must be retrievable within 24 hours, with the exception of the food safety plan, which must remain onsite. | | |
| 21 | 117.405 | Where a hazard requiring a supply-chain-applied control is identified in the hazard analysis, the receiving facility | | |



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| | | | | |
|---|---|---|---|---|
| | | must establish and implement specific supplier approval and verification activities.<br><br>Where a hazard requiring a supply-chain-applied control is identified **and** the control is applied by an entity other than the receiving facility's supplier, the receiving facility is responsible for verifying implementation of the control. | | |
| 22 | 117.420 | Supplier approval must be documented **before** receiving and using raw materials and ingredients.<br><br>Verification activities must be conducted **before** receiving and using raw materials and ingredients on a temporary basis from unapproved suppliers. | | |
| 23 | 117.430 | One or more supplier verification activities (as defined in 21 CFR § 117.410(b)) must be conducted for each supplier **before** using raw materials and ingredients **and** periodically thereafter at an adequate frequency. | | |



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REVIEWED BY
CLAUDIO INNOCENTI. PCQI.
REVIEWED ON OR ABOUT
Feb. 02, 2019.

# Audit Report

**Global Standard for Food Safety Issue 7: July 2015**

| 1.Audit Summary | | | |
|---|---|---|---|
| Company name | QingCheng Jiahui Food Co., LTD. | BRC Site Code | 1609843 |
| Site name | QingCheng Jiahui Food Co., LTD. | | |
| Scope of audit | Gravity and color sorting, grading, shell hulling (only for Pumpkin Kernels), drying, sterilization, packing of shelled Sunflower Kernels, Pumpkin Kernels and Watermelon kernels into PE bag with carton box or paper bag. | | |
| Exclusions from scope | None | | |
| Justification for exclusion | N/A | | |
| Audit Finish Date | 2018-12-16 | | |
| Re-audit due date | 2019-12-27 | | |

| Voluntary modules included | | |
|---|---|---|
| Modules | Result | Details |
| Choose a module | Choose an item | |
| Choose a module | Choose an item | |
| Choose a module | Choose an item | |

| 2. Audit Results | | | | | |
|---|---|---|---|---|---|
| Audit result | Certificated | Audit grade | B | Audit type | Announced |
| Previous audit grade | B | Previous audit date | 2017-12-27 | | |

| Number of non-conformities | | |
|---|---|---|
| | Fundamental | 0 |
| | Critical | 0 |
| | Major | 1 |



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| | | |
|---|---|---|
| | Minor | 8 |

## 3.Company Details

| | | | |
|---|---|---|---|
| Address | Industrial Park Yima Town Qingcheng county Qingyang City, Gansu Province, P.R. China | | |
| Country | P.R. China | Site Telephone Number | +08618193482267 |
| Commercial representative Name | Xue Qiang | Email | 290577845@qq.com |
| Technical representative Name | Xu Li | Email | 761172841@qq.com |

## 4.Company Profile

| | | | | | |
|---|---|---|---|---|---|
| Plant size (metres square) | <10K sq.m | No. of employees | 1-50 | No. of HACCP plans | 1-3 |

| | |
|---|---|
| Subcontracted processes | No |
| Other certificates held | None |
| Regions exported to | Asia<br>North America<br>Europe<br>Choose a region<br>Choose a region<br>Choose a region |
| Company registration number | 6200/13001 |
| Major changes since last BRC audit | Add production of watermelon kernels |

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Company Description

QingCheng Jiahui Food Co., LTD. was founded in year of 2016 and is located at Industrial Park Yima Town Qingcheng county Qingyang City, Gansu Province, P.R. China The company has about 25 employees (10 employees in the workshops, 8hours/1shift/6day) for the audited product and production line in the constructed site size of approx 6500 square meters with 4200 square meters workshops . The annual output of seed and kernels is about 3000 tons and annual turnover is 3.5 million USD. The company got the export food production permit (No. 6200/13001, expiry date: Nov 22, 2021) and Most of the products are exported to North America, East Asia and European countries). 100% products were export. USA, Europe and so on.
The HACCP system for this product is established and implemented.

## 5.Product Characteristics

| | |
|---|---|
| Product categories | 05 - Fruits, vegetables and nuts<br>15 - Dried food and ingredients<br>Category<br>Category<br>Category<br>Category |
| Finished product safety rationale | Moisture ≤7.5%. Pb( mg/kg)≤0.2; As( mg/kg)≤0.2, Hg( mg/kg)≤0.01, aflatoxin:B1<2ppb,B1+B2+G1+G2<4ppb and so on, Shelf life was 12 months stored in room temperature.. |

| | | | | | |
|---|---|---|---|---|---|
| High care | No | High risk | No | Ambient high care | No |

| | |
|---|---|
| Justification for area | Stored in room temperature, low risk according to the decision tree |
| Allergens handled on site | None<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen |
| Product claims made e.g. IP, organic | HACCP, FSMS, KOSHER |
| Product recalls in last 12 Months | No |

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| | |
|---|---|
| Products in production at the time of the audit | the manufacturing of Pumpkin seed |

## 6.Audit Duration Details

| | | | |
|---|---|---|---|
| On-site duration | 16 man hours | Duration of production facility inspection | 9 man hours |
| Reasons for deviation from typical or expected audit duration | None | | |
| Next audit type selected | Announced | | |

## Audit Duration per day

| Audit Days | Audit Dates | Audit Start Time | Audit Finish Time |
|---|---|---|---|
| 1 (start date) | 2018-12-25 | 09:00 | 18:00 |
| 2 | 2018-12-26 | 09:00 | 18:00 |
| | | | |

| | Auditor (s) number(s) | Names and roles of others |
|---|---|---|
| Auditor Number | 168204 | Kai Liu / LA |
| Second Auditor Number | 168030 | Allen Li Dekun/TE |

## Present at audit

| Note: the most senior operations manager on site should be listed first and be present at both opening & closing meetings (ref: clause 1.1.9)<br>Name / Job Title | Opening Meeting | Site Inspection | Procedure Review | Closing Meeting |
|---|---|---|---|---|
| Xue Zhenwu / GM | X | | X | X |
| Xue Yong / Workshop Supervisor | X | X | X | X |
| Li Zhaoqiang / Production technician | X | X | X | X |
| Xue Hong / purchasing manager | X | | X | X |



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| | | | | |
|---|---|---|---|---|
| Xue Qiang / VGM,Trade Supervisor | X | | X | X |
| Xu Haicheng / Trade Supervisor | X | | X | X |
| Wang Kai / QC manager | X | X | X | X |
| Wang Cunbin / Office Supervisor | X | x | X | X |



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# Non-Conformity Summary Sheet

| Critical or Major Non Conformities Against Fundamental Requirements | | | | |
|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Critical or Major?** | **Anticipated re-audit date** |
| | | | | |
| | | | | |
| | | | | |

| Critical | | | |
|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
| | | | |
| | | | |
| | | | |



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| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| 1 | 4.14.9 | The in-depth, documented pest control survey was not undertaken for improvement of pest control within 2018. The company need to pay attention to the potential weakness for pest control and carry out effective measures to improve that. | Carry out comprehensive and in-depth survey for pest control all over the factory including workshop, storage etc and keep the report | RCA: The management didn't understand the importance of pest control for food safety before.<br><br>CA: Study knowledge of pest control as well as BRC items in 4.14 and improve the management. | Photo/Doc. | 2019-1-8 | Kai Liu |
| | | | | | | | |
| | | | | | | | |



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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| 1 | 1.1.6 | The products were exported to EU, but the management was not familiar enough with the EU law related to their products | Collect food safety laws of EU related to the products such as (EC)No.2073/2005,EC 2005/396,EU2018/832, (EC) N°852/2004,etc. and study the laws carefully. | RCA: Didn't pay enough attention to EU laws before, so the management did not understand the laws well<br><br>CA: Regularly organize the management to study food safety laws of export countries. | Doc. | 2019-1-8 | Kai Liu |
| 2 | 3.4.1 | BRC internal audit plan was in place and conducted once a year by centralisation methods, latest was conducted on 2018.08.15-16, that didn't meet Global Standard for Food Safety Issue 7 completely. | Make internal audit plan of next year throughout the whole year, and scheme the plan at least 4 times. | RCA: The internal audit team didn't study BRC standards well, so the plan was not conform to related requirement.<br><br>CA: Study item 3.4-Internal audit of BRC and implemented accordingly. | Doc. | 2019-1-8 | Kai Liu |
| 3 | 3.5.1.2 | The inner package (PE bag) was assessed as low risk, but the related supplier hadn't been evaluated before, such as by questionnaire which also contain convey on GMP, | Sent the < Questionary for suppliers > to the PE bag supplier, for assessing the company. | RCA: The purchase dept. haven't operate as per purchasing control procedure (H/JHSP/CX-04)<br><br>CA: Ask the purchase dept. to work as the procedure and study | Photo/Doc. | 2019-1-8 | Kai Liu |



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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | quality system, traceability, HACCP system etc. | | the BRC item 3.5.1 carefully. | | | |
| 4 | 3.9.2 | Mock traceability test was conducted this year, but mass balance was not checked to verify the effectiveness of traceability system. | Check the production information about input and output, calculate the yield, and supplement the mass balance data in the traceability test report. | RCA: QA dept. didn't understand the requirement of the BRC standard related to mock traceability.<br><br>CA: Study item 3.9.2 in the BRC standard and pay attention to traceability management. | Doc. | 2019-1-8 | Kai Liu |
| 5 | 4.5.1 | On site inspecting the equipment for cleaning product at soften procedure; found the inner wall of water pipe was not clean enough and some dust seen at the end of pipe. | Immediately change the water pipe, and keep clean | RCA: Due to negligence of hygiene work and inspection, resulting in the poor sanitation.<br><br>CA: Strengthen inspection, identify and conform related responsibility, clean the equipment and facility according to SSOP strictly. | Photo/Doc. | 2019-1-8 | Kai Liu |
| 6 | 4.14.6 | In the raw material storage and entrance passage of workshop, there were lack for fly-killing devices or pheromone traps for pest control and monitoring. | Timely purchase fly trap lamps and set them at raw material storage and entrance passage of workshop, and keep regularly inspection. | RCA: Negligence of sufficient settling for flied control<br><br>CA: Check the pest control location all over the factory; make sure sufficient and appropriate devices are equipped. | Photo/Doc | 2019-1-8 | Kai Liu |



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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 7 | 6.1 | At raw material feeding procedure, the feeding port was not covered in time after operation by the staffs | Keep the cover closed in time after feeding each time. | RCA: Because of loose management in the workroom, resulting to unqualified operation.<br><br>CA: Strengthen management and inspection, identify and conform related responsibility, Keep the cover closed in time after feeding each time. | Photo/Doc | 2019-1-8 | Kai Liu |
| 8 | 7.2.3 | On site found colored plaster which contains a metal detectable strip was not in place. | Immediately purchase colored and detectable plaster, and placed them in the workroom office for use. | RCA: Workshop management didn't understand the requirement of BRC<br><br>CA: Immediately purchase colored and detectable plaster, and placed them in the workroom office for use. Train the management of workshop on BRC 7.2 | Photo/Doc | 2019-1-8 | Kai Liu |
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| Comments on non-conformities |
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# Voluntary Modules Non-Conformity Summary Sheet

| Critical | | | |
|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
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| | | | |
| | | | |

| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| | | | | | | | |
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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
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# FSMA Module Non-Conformity Summary Sheet

| Critical | | | |
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| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
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| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | **Proposed preventive action** | **Evidence provided document** | **Date** | **Reviewed** |

| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
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# Detailed Audit Report

## 1. Senior management commitment

### 1.1 Senior management commitment and continual improvement

Quality and Food Safety Manual (H/JH-SC-2018), which was established and signed by General Manager, it was implemented the requirements of the Global Standard for Food Safety .
The company quality policy was " Prevention Contaminate/ Ensure Food Safety/ Scientific Management/ Costumer Satisfy"
And during the site audit, random sample the relevant staff, they could repeat the quality and food safety policy.
Food safety and quality objectives were established and defined in the QM as follows:
1. delivery inspection conformity rate≥ 99%;
2. finished products conformity rate is 100%;
3. Customer satisfaction rate≥ 98%
4. client complaints handle rate 100%
5. Sit hygiene conformity rate 100%
6. no food safety incidents.
random sample the relevant staff, they could repeat the quality and food safety policy.
The detailed dept objectives was in place, and it would be monitored and results reported quarterly in 2018 to site senior management, the latest was on 2018-09-30.
The management review procedure (H/JHSP/CX-03) was available and the management review must conduct at least once a year. The latest management review was hold by the GM Xue Zhenwu on the 2018-11-25, and relevant plan, report, etc. were in place.
In Quality and Food Safety system, the quality and food safety meeting must conduct once a month, and involving the supervisor of all relevant department.
Sample latest quality meeting conduct on the 2017-10-09 and 2018-09-19, include previous meeting follow up, customer complaint, QC results, raw materials and final product inspection, HR, CA for NCs. The meeting records were available for review.
The senior management had provided adequate human and financial resources for HACCP System.
QC Dept would collect information related to food safety or legality issues through internet, seminar, Clients or China government organization, and then train all the information to all staff. China CIQ also would send relevant information to the company.
General Manager, Production Manager, QC Manager, Workshop Supervisor, Sales staff and analyst/QC staff attended the opening and closing meetings for BRC certification audit
a genuine, original hard copy or electronic version of the current Standard available.
There was no BRC logo misused in audit site, and the plant committed to use it upon BRC requirements.

All NCs raised in previous audit had been improved.

NC:1.1.6 - The products were exported to EU, but the management was not familiar enough with the EU law related to their products.



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## 1.2 Organisational structure, responsibilities and management authority

Quality and Food Safety Manual (H/JH-SC-2018) defined organisational structure and total 6 departments, each department have written job responsibilities, distributed to all relevant operators by paper. GM is defined for whole monitoring.
The special regulation for key stage staff replacement arrangement was available.
The company had established the documented staff responsibilities and sample the CCP operation staff; they were clear awarded of their responsibilities.
And the WIs for all process steps was displayed on site.

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |

## 2 The Food Safety Plan – HACCP

HACCP plan (H/JH-HACCP-2018) covered Pumpkin seed and kernels / Sunflower seed and kernels / bitter apricot kernels products were established and implemented, based on PRP and SSOP. CN, FDA and EU Food law, such as SN/T1963-2007, GB/T 9687-1988, SN/T 1442-2004, GB19300-2014 EU and FDA regulation etc were collected
Total 7 staffs in HACCP team included all relevant Dept manager or supervisor; leader was VGM of headquarter Mr. Xue Qiang and more than 12 year experience and keep better understanding of HACCP principles and their application.

The company had established the PRP and OPRP for all items required and list in the left column.
The description of product was described in HACCP plan. Moisture ≤7.5%. Pb( mg/kg)≤0.2; As( mg/kg)≤0.2, Hg( mg/kg)≤0.01, aflatoxin:B1<2ppb,B1+B2+G1+G2<4ppb and so on, Shelf life was 12 months stored in room temperature.
All relevant information needed to conduct the hazard analysis had be collected, maintained, documented and updated by QA Department.

The intended use of the product was clear defined in HACCP plan. The intended use of products for next processor further processing.
And all vulnerable groups of each product identify in respective HACCP plan. The flow diagrams of all involving BRC audit scope products defined in HACCP plan. Most aspects of the food process operation within the HACCP scope were described.

For Pumpkin kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Soften, Shell hulling, Heat treatment, Colour sorting, steam sterilization, Hand Selection, sterilization(when needed),cooling, X-ray, Packaging.
For shelled Sunflower kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Heat treatment, Colour sorting, fumigation(when needed), Hand Selection, steam sterilization(when needed), cooling, X-ray, Packaging.
For watermelon kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Heat treatment, Colour sorting, fumigation(when needed), Hand Selection, steam sterilization(when needed), cooling, X-ray, Packaging.
The company had defined the follow CCPs in HACCP plan.

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CCP1: all raw materials must purchase from qualified supplier. Pesticide residue comply to GB2763.
CCP2: steam sterilization: sterilization temperature 85-100□, time 15-20 minute.
CCP3: X ray detecting, (ф Silicon Rubber ball≤3mm, ф glass ball≤2.0mm, фSus≤1.2mm)
CCP4: metal detection, Fe≤φ2.5mm, Non-Fe≤φ3.0mm SUS≤φ4.0mm.
Records of validate the critical limits of products were available.
The company had established the monitoring system and the CCP was under control, and the CL for CCP was conforming on site. The monitoring system could be able to detect loss of control of CCP.
Records associated with monitoring CCPs were complete, and reviewed by workshop supervisor and QC supervisor every day.

The corrective action plan for CCPs was defined in HACCP plan. The treating methods cases of deviation were defined. Relevant CAP records were complete. The verification procedure (H/JHSP/CX-14) was established. The procedure included the verification for PRPs, HACCP plan, CCPs, HACCP System and finished product. Verification result was recorded by HACCP team and was communicated adequately. Relevant records were available. Sampling: latest verification on 2018-08-10.

Documentation related to HACCP was in control and updated. Management of documentation and records was effective. The company established the document and record control procedure. The company had required the HACCP plan and PRP review at least annually and the latest review was conducted on 2018-08-10..

**Details of non-applicable clauses with justification**

| Clause reference | Justification |
|---|---|
| | |

## 3. Food safety and quality management system

### 3.1 Food safety and quality manual

The Quality and Food Safety Manual (H/JH-SC-2018), and relevant procedures reference to BRC food issue7, documented procedures and work instructions were issued to relevant departments
Four level document exist in place, 1 level of manual; 2 level of procedure and HACCP plan; 3 level specification/work instruction/rule etc; 4 level of records.

### 3.2 Documentation control

The company establish Documentation control procedure (H/JHSP/CX-01), and the procedure clear defined all items list on the standards.

### 3.3 Record completion and maintenance

Records control procedure (H/JHSP/CX-02) was in place. The records for food safety and quality would be retained shelf life plus one year, the shelf life of the products were 12 months.

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## 3.4 Internal audit

Internal audit procedure (H/JHSP/CX-07 )required internal audit once a year, implemented dated 2018.08.15-16 by 5 trained competent auditors (Xue Qiang, Xue Yong and Wang Cunbin etc),

Internal audit plan, checklist and internal audit report including non-conformity report were in place. total 2 NCRs issued and closed with timescale, the audit reports were given to related manager, show that all non-conformity have been identified and analyzed for cause, and correction actions were done and validated effectively.

For the non-conformance released, the company did the root cause analysis, corrective actions, preventative actions and verified the close-out.

The internal auditors received the related training and are competent.
The hygiene checking to assess cleaning and housekeeping performance was carried out every day.

NC: 3.4.1- BRC internal audit plan was in place and conducted once a year by centralisation methods, latest was conducted on 2018.08.15-16, that didn't meet Global Standard for Food Safety Issue 7 completely.

## 3.5 Supplier and raw material approval and performance monitoring

### 3.5.1 Management of suppliers of raw materials and packaging

The company had established the purchasing control procedure (H/JHSP/CX-04) for supplier approval and ongoing monitoring.
Purchasing control procedure included supplier evaluation and selection control procedure was in place, continuous assessment on suppliers which provided products were defined, done and recorded. Suppliers are divided into A, B suppliers via risk assessment; at present, eligible suppliers include suppliers provided R/M and packaging, and also suppliers providing service (transportation, external lab, waste disposal) etc; at present, A-suppliers approved via supplier audit or certs (GFSI recognize) and B suppliers via questionnaire.
Total 12 approved materials including chemical suppliers was in the approved supplier list. The supplier assessment conducted at least once a year, the assessment conducted by questionnaires, certificates and type testing reports collected. The latest assessment including physical, chemical, biological, substitution or fraud was conducted and relevant records were available.
Documented risk assessment of each raw material was defined in the HACCP plan of 2018.
No raw materials are purchased from agents or brokers.

NC: 3.5.1.2- The inner package (PE bag) was assessed as low risk, but the related supplier hadn't been evaluated before, such as by questionnaire which also contain convey on GMP, quality system, traceability, HACCP system etc.

### 3.5.2 Raw material and packaging acceptance and monitoring procedures

The company had established the raw materials, ingredient and packaging materials receive specification, the specifications included the sample plan, receive inspection item and acceptance limit, above all were based upon the risk assessment.

Raw materials, ingredient, packaging materials receive and inspection was defined in special specification
For example, the raw materials receive inspection was available.
The specifications clear defined the testing items and receive inspection method.



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And the documented sample plan established by company and local CIQ, the plan defined the detailed test items and testing frequency.
For example, the pumpkin seed in Nov. 2017, was available and acceptable.
the inner packaging materials PE bags inspection records in Oct. 2017 was available and acceptable.
All raw materials receive inspection sample and testing conducted by local authority laboratory.

### 3.5.3 Management of suppliers of services

The management of suppliers of services were defined in purchasing control procedure.
The scope of service suppliers covered transport, laboratory and waste management.
All the services suppliers were with formal contract, the contract clearly define service expectations and ensure potential food safety risks associated with the service have been addressed.
For example, the transport contractor must signed the relevant statement of food safety and prevent hygiene risk

### 3.5.4 Management of outsourced processing and packing

No outsourced processing.

### 3.6 Specifications

Exist materials inspection rule and, relevant sensory requirements and sampling plan requirements of raw materials and packaging materials were defined in them. Semi-finished products and finished products inspection procedure were also established.
The packaging materials were PE bags with carton box or paper bags. finished products inspection procedure were also established. the seed inspection rules were included the materials and finished products specifications.

The process specification was defined in the HACCP plan. Especial requirements were defined in the sales contract. each CCPs monitoring procedure (HACCP plan sheet) etc were posted on the wall of workshop.

These specifications would be reviewed at least every three years.

### 3.7 Corrective and preventive actions

The company had established corrective actions control procedure (H/JHSP/CX-11) to ensure investigation of the root cause of non-conformity would be performed and corrective actions would be taken.

### 3.8 Control of non-conforming product

Non-conformity product control procedure (H/JHSP/CX-08) had been implemented to control of non-conforming material, semi-finished products and final products, including rejection, acceptance by concession, or regarding for an alternative use. Decisions were approved by QC manager

No major non-conforming products in 2018 till now.

### 3.9 Traceability

The company had established the traceability management procedure (H/JHSP/CX-05), and the identification of the raw materials, ingredient, packaging materials, all process, semi-processed products and finished products in site was acceptable.
The last traceability testing about Shine skin pumpkin seed kernels AA grade No.6200/130011878 from Bayannur city Huifeng trading co. LTD. Date code 2018-07-28. The whole traceability test accomplish



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within 2 hours from 8:30 to 10:30. the relative records were available.

Auditor random sample the finished products Watermelon seed kernels batch No. JHSP20181025. Trace to raw materials Watermelon seed lot No. 20181020,. PE bag lot No. 20180526, 960 pieces, from Linyi Tongxiang, outer carton lot. 20180615, 480 pieces, from Qingyang Jiqiang. The mass balance was acceptable, and whole traceability test accomplish within 130 minutes.
The full traceability accomplish time scale defined in traceability management procedure was 4 hours.

NC: 3.9.2-Mock traceability test was conducted this year, but mass balance was not checked to verify the effectiveness of traceability system.

### 3.10 Complaint handling

The company had a documented customer complaint control procedure (H/JHSP/CX-16) in place to handle complaints.
No major customer complaint received in the auditing year, right now. some of them were about the dirty of the out packers, it would be communicated by E-mail and investigated and the corrective action were acceptable.

### 3.11 Management of incidents, product withdrawal and product recall

The company had established the documented incident and emergency treatment procedure and recall management procedure. These procedure defined covered all requirements list on the standard.
The company had established the documented recall management procedure and it defined covered all requirements list on the left column.
The latest mock trace and recall test conduct on 2018-04-03; all the relevant records were available for review.
No real product recall happened.

### 3.12 Customer focus and communication

The company had a documented customer servie control procedure to manager customer requirements and communication with customer.
The sales Dept would communicated with clients, and then clearly communicated to relevant staff and, where appropriate, suppliers of raw materials, packaging and services.
QC staff will check the implement of customer requirements during production.
All the specific was known by relevant staff and implemented.

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| 3.5.4 | No outsourced processing |

## 4. Site standards

### 4.1 External standards

The company located in Industrial Zone, Qingyang.
Environment of surround was well, road full by clear concrete; no other contamination industry locates



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beside it.
Product workshop area and product waste area are separated, and catering area and living area are segregated in factory, no risk for contaminants from local activities and environment.

Enough processing space was provided for processing and storage.

The external areas were maintained in good order and greened, external traffic routes were suitably surfaced.

## 4.2 Security

The site was registered and approved by CIQ, the registration No. was 6200/13001.

Food defence plan (JH/FH-H-2018) was established and implemented .The company had established the security arrangement programme to define the control of security to prevent access of unauthorised persons to production and storage areas. The terrorism treatment was defined in crisis treatment procedure, and responsible by Admin Dept security team. Process and storage areas were identified restricted areas. The relevant inspection records were available. The security arrangement programmes annually review report was available.
They undertake a documented assessment of the security arrangements on 2018.1.21

## 4.3 Layout, product flow and segregation

The process areas were identified low-risk areas according to BRC standard Appendix 2.
The company established the site plan and covered all items list on the standard..
The company had arranged special guard person to ask the visitor show the authorised certification of entry the site. Process and storage areas were restricted areas and regulated by workshop supervisor, visitors can enter when they were accompanying with staff who was authorized.
During the site audit the process flow could minimise the risk of food contamination.
No high-care and high risk areas in audit site.
The plant provided sufficient space for placement of equipment and storage of materials for the maintenance of sanitary operations and the production of safe food.
No temporary structure was found on audit site.
Contractors and visitors shall be approved to enter workshop, and also promise to comply with the rule.

## 4.4 Building fabric, raw material handling, preparation, processing, packing and storage areas

The fabrication of the site, buildings and structure and materials of facilities are conformity with requirement, maintained in a acceptable condition
Walls were maintained to prevent the accumulation of dirt, minimise condensation and mould growth, and facilitate cleaning.
Floors are constructed and maintained very well. Floors have adequate falls.

The walls and ceilings were maintained very well during this audit.
No suspended ceilings.

The glasses and lamps in production area were protective with covers, electronic fly killers were protected with metal net. Windows for ventilation were adequately screened to prevent the ingress of pests. No High-risk areas. so the Air of the workshop was not needed to filtered.

## 4.5 Utilities – water, ice, air and other gases

Well water was used for cleaning equipment and plant. The water was tested once a year according to <GB5749-2006 Drinking water>. The latest report was available. the report No. was QCCDC-JL-056-2018.which was done by Qingcheng county CDC on 20180717.



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Only well water was used.
The air for heat treatment and cooling was filtered before used and filter inspection records were in place.
NC: 4.5.1- On site inspecting the equipment for cleaning product at soften procedure, found the inner wall of water pipe was not clean enough and some dust seen at the end of pipe

## 4.6 Equipment

On site, all equipment were appropriate materials, had suitable design to ensure effectively clean. New equipment purchasing was concerned the suitability. Equipment position had kept adequate space from the wall and adjacent areas as so that clear space was available to facilitate cleaning and servicing. Equipment contact surfaces were constructed with stainless steel. The conveyor belts were suitable for food use. Engineers were aware of the requirement.

## 4.7 Maintenance

Equipment Department was responsible for equipments routine maintenance. Equipment annual maintenance plan of 2018 and maintenance were in place and implemented. Equipment maintenance records of 2018 were available. The equipments were maintained properly during on-site assessment.

Big maintenance would be operated by contractors. No major breakdowns happened
No temporary repairs.
Materials used for equipment and plant maintenance and that pose a risk by direct or indirect contact with raw materials, intermediate and finished products
Food grade grease and oil was used: Mobil SHC Cibus 150, 141502.

On-site hygiene staffs would monitor operations during maintenance.

## 4.8 Staff facilities

Changing rooms were provided for staff, visitor or contractor and they were sited to allow personnel direct access to the production and packing areas. The changing room was clean, outdoor clothing and other personal items were stored separately from work wear. Shoes changing area was also in place. Hot water, liquid soap, 75% alcohol, and hand dryers were provided.
Hand washing facilities (Clean water, liquid soap, 75% alcohol, hand dryer) were installed in workshop

Toilets (nearby changing room) were adequately segregated from workshop.

Canteen was provided outside of the production workshop.

No high-care, high risk and area.

## 4.9 Chemical and physical product contamination control

### Raw material handling, preparation, processing, packing and storage areas

Documented program SSOP for control the risk of physical, chemical and biological contamination or damage, the effectiveness was considered acceptable.
The chemical just used for hand and tools disinfecting

### 4.9.1 Chemical control



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Documented chemical control procedure was in place
The alcohol mother solution, fumigation chemical materials were stored in a separate chemical warehouse., MSDS and relative receiving / issuing records and disinfectant preparation records were provided in the warehouse. The chemical containers (drums, bottles etc) were labelled.

**4.9.2 Metal control**

Snap-off blade knife & staples were not used. Knifes and scissors were used in production workshop, relevant dispense & recover record was in place.

**4.9.3 Glass, brittle plastic, ceramics and similar materials**

Glass windows in production workshop were protected with films, all lamps in production area were protective with covers, electronic fly killers were protected with metal net. All glass and brittle material were registered on a list, the staff would check the glass and brittle materials weekly.
The company established the glass, brittle plastic management procedure (ZQ-CX-34-A/0) for management incident in breakage of glass, or hard plastic including isolate the defected products and production area.

**4.9.4 Products packed into glass or other brittle containers**

No products packed into glass or other brittle containers.

**4.9.5 Wood**

No wood tools was used in the factory.

**4.10 Foreign-body detection and removal equipment**

**4.10.1 Foreign-body detection and removal equipment**

The risk assessment of foreign body was list in the HACCP plan, the foreign body control instruction was in place. sieves, magnet and metal detector was used in the factory.

**4.10.2 Filters and sieves**

Sieves (30 mesh) was used in the cooling process.
It would be checked before produce and every batch.

The records were available.

**4.10.3 Metal detectors and X-ray equipment**

One X-ray detector with belt stop system was installed in packing workshop, standard testers (ABS ball4mm, Silicon Rubber ball4mm, glass ball2.0mm, Sus2.0mm) were used to challenge the X-ray machine before and production, once per hour during production.

Corrective and investigative actions were defined each in HACCP plans.

**4.10.4 Magnets**

Magnets (12000GS) were used after sieving,

It would be checked before produce and every batch.

The records were acceptable



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### 4.10.5 Optical sorting equipment

Optical sorting equipment was used.

It would be checked before produce and every batch.

The records were acceptable.

### 4.10.6 Container cleanliness – glass jars, cans and other rigid containers

Products were only packed in PE bags or paper box..

### 4.11 Housekeeping and hygiene

The production staffs were responsible of cleaning work.
The company had established cleaning and disinfecting rule defined in SSOP and special specification to ensure appropriate standards of hygiene are maintained at all times and the risk of contamination is minimised.
75% alcohol solution was used for routine disinfection of tools, utensils, and equipment, walls and floors (after production), and NaClO was used for protective clothes disinfection.
Every June-Aug, the equipment would be fumigated every month.
Separate clean and disinfection room was designed for raw materials workshop, pre-treatment workshop and production workshop.
Visual check was carried out every day for verify the effectiveness of cleaning and disinfection, and relevant records were available for review, including utensils clean & disinfection records, the check records of workshop hygienic condition.

### 4.11.7 Cleaning in place (CIP)

No CIP facilities were in use.

### 4.12 Waste / waste disposal

The waste would be removed by the staff.
The waste would be moved from the factory once a day.
The seed shells was collected to used as fuels.
unsafe products or substandard trademarked materials would be destroyed before transferred to a third party for destruction or disposal.
The factory declared that the cartons with label would be destroyed and disposed as waste.

### 4.13 Management of surplus food and products for animal feed

The leftovers would be disposed by a feed processing factory. The surplus customer-branded products are disposed in accordance with customer-specific requirements. Customer brand names would be removed from packed surplus products under the control of the factory before the product enters the supply chain.
The waste such as broken shelled seed was for bird feed, it would be segregated from waste and protected from contamination during storage.



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## 4.14 Pest Control

Pest control procedure (H/JH-QTJH-2018) and pest control plan were in place, the pest control implemented by internal pest control qualified staff.
All the pest control devices installed and used according to control procedure, and no chemical for pest control was used in site.
The written procedure and inspection requirement were described in pest control procedure, above all were implemented and could show the pest control plan and the pest control map which identified the location of pest control facilities. EFKs, rat cages and rat guards were used for pest treating.
The location of the fly killers was suitable inside the door of workshop.
All the pest control inspection records, treatment records and action taken records were available for review.
The company revised the pest control procedure for in-depth pest control survey. And the quarter survey had taken by qualified staff.
All the relative records were available and acceptable.

NC: 4.14.6- In the raw material storage and entrance passage of workshop, there were lack of fly-killing devices or pheromone traps for pest control and monitoring

NC 4.14.9- The in-depth, documented pest control survey was not undertaken for improvement of pest control within 2018. The company need to pay attention to the potential weakness for pest control and carry out effective measures to improve that.

## 4.15 Storage facilities

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
And all the raw materials and finished products were storage in good conditions.
All raw materials, ingredient and packaging materials, finished products were stored in normal temperature, no special storage temperature required in audit site.
No controlled atmosphere storage in site
No outside storage
All products were identified properly. Stock rotation of raw materials was based on FIFO. Production arranged according to order.

## 4.16 Dispatch and transport

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
P.O. number was printed on the finished product containers. Records of dispatch and receipt of goods had recorded the manufacturing date of the product and transport containers number.
The vehicles inspection records were available.
No transport temperature required in audit site.
The clean requirements defined in the transport contracts, the company implement the clean inspection before loading. And the cleaning and sanitary rule included the equipment used for loading/unloading.
The transport is third-party logistics; the requirements defined in the contracts, comprised with hygiene control, food safety, deliver timescale and so on.

## Details of non-applicable clauses with justification



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| Clause reference | Justification |
|---|---|
| 4.3.5/4.4.13/4.8.4 | No high-risk area |
| 4.3.6/4.8.5 | No high-care area |
| 4.3.7 | No ambient high-care area |
| 4.3.9 | No temporary structures were found during the audit. |
| 4.4.4 | No high-risk/high-care facilities. |
| 4.5.3 | Water is potable. |
| 4.5.4 | No product contact gas is used. |
| 4.7.3 | During the audit, no temporary repair was found. |
| 4.7.5 | No high-risk/high-care area |
| 4.9.4 | No products packed into glass or other brittle containers. |
| 4.10.6 | Products were only packed in PE bags or paper box.. |
| 4.11.7 | No CIP system |
| 4.15.5 | No outside storage |

## 5. Product control

### 5.1 Product design/development

Little new products were developed, product design was conducted by production department and communicated to client. After confirmation, the Sales Department purchase raw materials, and Purchasing staff buy packaging material. HACCP-based study was implemented in the development process.

Production trials would be implemented by Production Department, Sales Department and QC Department. The shelf life was required by clients, and exist working instruction for verification of shelf life. Shelf life of a radically new product would be required by customers, assessed by organoleptic testing.



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## 5.2 Product labelling

The product label would be confirmed and checked by QC and sales Department.
The product label would be confirmed by customers, checked by sales and QC Department. The factory will provide information for help customer draw up label.
All the products was labelled, the label was acceptable.
No product is designed to enable a claim to be made to satisfy a consumer group.

## 5.3 Management of allergens

Allergen control procedure was established and implemented. Refer to the BRC standard; there was no allergen materials usage and storage in audit site.
The documented risk assessment was defined in procedure include all items list on the standard, and detailed latest special allergen risk assessment report was in place.
The cross contamination could be prevented, and no claim is made regarding the suitability of a food for allergy or food sensitivity sufferers.
The procedure defined the check for line start up, line change to ensure the labels apply in correct. All relevant checking records were available.

## 5.4 Product authenticity, claims and chain of custody

Relevant risk assessment on authenticity was done yearly, and the factory fetched this information from customer, government and website.

All raw materials were seemed as low risk of adulteration.
No products were labelled or claims are made on a status of a raw material.
Non-GMO products was used for the products.
The documented vulnerability assessment records on raw materials adulteration or substitution were available.

## 5.5 Product packaging

PE bags and paper bags were used as inner packaging materials. Type test report and the qualified certificate of suppliers were shown for review. Packaging materials specification was implemented. The colour of the bags was different with the products.

Inner packaging materials warehouse and outer packaging materials warehouse were established and used. The two warehouses served the whole group.

## 5.6 Product inspection and laboratory testing

### 5.6.1 Product inspection and testing

2 analysts worked in laboratory and all of them were trained by local CIQ test lab on SN/T 1963-2007.

Product inspection and test plan including internal laboratory microbiological test plan were in place. The company had an in-house laboratory to undertake analyses or testing or contracted out with outside independent body to confirm product safety, legality and quality, using appropriate procedures, facilities and standards;. Relevant incoming inspection records were in place. And the laboratory did net weight, moisture, adm, broken kernels, mouldy kernels for each batch of finished products. the sampled inspection records on Oct were available.

the test and inspection results were reviewed to identify trends quarterly, the relative records were



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available.

### 5.6.2 Laboratory testing

No pathogen testing was done in the factory.
Analysis were undertaken by internal or other third party lab (CNAS certification). 2 analysts worked in laboratory and, the packaging materials incoming inspection was done by analysts. The laboratory could do net weight, sensory and water content test, microbiological testing.
Monitoring devices were calibrated internally every year and laboratories were trained.

### 5.7 Product release

The factory established release validation procedure of waiting-for-delivery products to ensure that finished product is not released unless all agreed procedures have been followed.
Products could be released after all test or inspection results were reviewed and confirmed to be satisfactory by QA Manager.

**Details of non-applicable clauses with justification**

| Clause reference | Justification |
|---|---|
| 5.2.3 | No product was claimed to be made to satisfy a consumer group. |
| 5.3 | No Allergens handled on site |

## 6. Process control

### 6.1 Control of operations

The HACCP plan had been transferred into day-to-day production control. Each CCP was properly under control during the inspection. The company had established the operation processing instructions according each equipment and step, all instructions verified that the processes and equipment employed were capable of producing consistently safe and legal product with the desired quality characteristics.
Process monitoring, including the usage of raw materials and packaging materials was in control and recorded.
X-ray detector with automatically rejected was challenged once per hour.
The company had established the commencing production management rule, and relevant checking records were available.
The drying machine was calibrated, and the condition was acceptable.
The packaging operation instruction was in place and QC on line would check the packing process when manufacturing.
NC: 6.1- At raw material feeding procedure, the feeding port was covered in time after operation by the staffs



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### 6.2 Labelling and pack control

Relevant management rule on labelling and packing control established, the factory checked the labelling and packaging materials at least before packing, during packing , when changing batches of packaging materials, after packing

### 6.3 Quantity, weight, volume and number control

The quantity requirements of customers were defined in the contracts and the plant had specified it in the production plan and specifications, and routine checks were carried out by their QC staffs. Weight is well checked by operators and also monitored by QC staff. The quantity would be checked every batch.
The quantity checking records were unavailable during the inspection.

### 6.4 Calibration and control of measuring and monitoring devices

Monitoring and measuring Devices control procedure and measuring equipment list were available.
Calibration identification marked on the equipment was visible on site.
Electronic scales were calibrated at least annually by competent authority. Relevant calibration certificates and calibration records were provided.
For example,
Automatic quantitative packaging machine: used in packing workshop, No.1508366 calibration certificate No. 187000263., expiry on 20190409;
Electronic scale, used in packing workshop, calibration certificate No. 176000155., expiry on 20190620;
Pressure gage, No.1651, 0-1.6Mpa, calibration certificate No. 2018-10-0013, expiry on 201910424
drying oven, used in the lab, serial No. 101-0, calibration certificate No. 181400363 expiry on 20191204;

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |

## 7. Personnel

### 7.1 Training: raw material handling, preparation, processing, packing and storage areas

The company established HR management procedure to describe the staff training and the requirement of work experience or qualification. The company ensured all employees were properly trained, instructed and supervised and were competent in conducting their tasks.
2018 training plan about seafood process, QC tools, food label regulation, ISO, HACCP, etc. The effectiveness of the training through orally, paper exam or on-site operation.
For example : HACCP training on 2018-05-10, chemical training on 2018-05-11, CCPs operation training on 2018-11-16 etc.
Relevant training records were available and including most items required on the left column.
The company evaluated the effectiveness of the training through examination paper, orally examination or on-site operation. Refresher training was carried out every year.



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## 7.2 Personal hygiene: raw material handling, preparation, processing, packing and storage areas

The company had established personnel hygiene rule defined in OPRP. The personal hygiene was detailed described.
Hands washing and disinfecting requirement was defined in personnel hygiene rule, staff washed their hands before commencing work, after visiting toilet, becoming soiled. There was hand washing sinks at entrances to processing areas, or appropriate areas convenient to staff for washing hands when they became soiled. Operators were aware of washing their hands prior to entering the processing areas during the audit.
OPRP required the relevant content, and on site they did well and the blue metal strip plasters were provided.
The blue metal plasters were stored in process areas, X-ray detector and usage records were available.
Personal use medicines (defined in personnel hygiene rule) were control well, in the event of disease, the staff should report to her supervisors according to requirement.
No issues regarding compliance with documented hygienic policy were seen during on-site visit.
NC: 7.2.3- On site found colored plaster which contains a metal detectable strip was not in place.

## 7.3 Medical screening

Personnel hygiene rule defined in SSOP. The person al hygiene was detailed described.
employees would be medically examined prior to employment and yearly during employment
Sampled 5 workers in process areas(Huang Rong, Guo Qian, Gao Weiqi, Yang Xueqiang, Yang Wanrong ), the health certificates from Qinigheng CDC on 2018-11-12 were available for review during the inspection.

## 7.4 Protective clothing: employees or visitors to production areas

The company had established personnel hygiene rule defined it. The company had provided adequate protective clothes for all employees in the processing areas. The auditor was also required to wear the visiting clothing to enter food processing areas.
The protective clothing was sufficient and suitable designed.
Protective clothing was washed every day by internal laundry, uniforms cleaning & disinfection procedure was available.

No gloves were used.

No high-risk and high-care areas.

## Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |



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| Module 8 - Traded Goods | |
|---|---|
| Scope | |
| 8.1 Approval and performance monitoring of manufacturers/packers of traded food products | |
| | |
| 8.2 Specifications | |
| | |
| 8.3 Product inspection and laboratory testing | |
| | |
| 8.4 Product legality | |
| | |
| 8.5 Traceability | |
| | |

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# Module 9: Management of Food Materials for Animal Feed

| Scope | |
|---|---|

## 9.1 Management Commitment

## 9.2 HACCP

## 9.3 Outsourced Production

## 9.4 Specifications

## 9.5 Traceability

## 9.6 Chemical and Physical Product Contamination Control



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| |
|---|
| |
| **9.7 Labelling** |
| |
| **9.8 Training** |
| |

## Module 11: Meat supply chain assurance

| | |
|---|---|
| **Scope** | |
| **11.1 Traceability** | |
| | |
| **11.2 Approval of meat supply chain** | |
| | |
| **11.3 Raw material receipt and inspection** | |

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| |
|---|
| |
| **11.4 Management of cross-contamination between species** |
| |
| **11.5 Product testing** |
| |
| **11.6 Training** |
| |

| **Module 12: AOECS Gluten-free Foods** | |
|---|---|
| **Scope** | |
| **12.1 Senior management** | |
| | |
| **12.2 Management of suppliers of raw materials and packaging** | |

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## 12.3 Outsourced production

## 12.4 Specifications

## 12.5 Management of gluten cross-contamination

## 12.6 Management of incidents, product withdrawal and product recall

## 12.7 Labelling

## 12.8 Product inspection and laboratory testing



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## Module 15 FSMA Preventive Controls Preparedness Module

| Item no. | Clause | Module item | Conforms (Y/N) | Comments |
|---|---|---|---|---|
| 1 | 117.20 | Handwashing areas, dressing and locker rooms, and bathrooms must have adequate lighting. | | |
| 2 | 117.37 | The water distribution system must prevent backflow from, or cross-connection between, piping systems that discharge waste water or sewage. | | |
| 3 | 117.40 | All food contact surfaces of plant equipment and utensils used in manufacturing, processing, packing, or holding food must be corrosion resistant.<br><br>Seams on food-contact surfaces must be smoothly bonded or maintained so as to minimize accumulation of food particles, dirt, and organic matter and thus minimize the opportunity for growth of microorganisms and allergen cross-contact. | | |
| 4 | 117.80 | Ice used in contact with food must be manufactured in accordance with the good manufacturing practice (GMP) requirements of 21 CFR § 117. | | |
| 5 | 117.110 | Where defect action levels (DALs) are established for a food, quality control operations must reduce defects to the lowest level possible.<br><br>Defect levels rendering the food adulterated may not be reduced by mixing the food with another lot. | | |
| 6 | 117.130 (a) | The hazard analysis must additionally identify and evaluate the following known or reasonably foreseeable hazards, which are associated with the food or facility:<br><br>• economic adulterants which affect food safety<br>• environmental pathogens where ready-to-eat (RTE) food | | |



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| | | | | |
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| | | is exposed to the environment prior to packaging and the packaged food does not receive a kill step<br>• radiological hazards<br>• unintentional adulterants that affect food safety. | | |
| 7 | 117.130 (b) | All identified, known, or reasonably foreseeable hazards must be evaluated to determine 'hazards that require a preventive control' (i.e., significant hazards). | | |
| 8 | 117.135 | Establish one or more preventive control(s) for each identified 'hazard that require a preventive control' (i.e., significant hazard) such that the control significantly minimizes or prevents the food manufactured, processed, packed, or held by the facility from being adulterated under section 402 of the Federal Food, Drug, and Cosmetic Act or misbranded under section 403(w) of the Federal Food, Drug and Cosmetic Act. | | |
| 9 | 117.139 | Evaluate and update the recall and withdrawal procedure as necessary to ensure it contains procedures and responsibility for the following:<br>• notifying consignees of how to return or dispose of recalled product<br>• conducting effectiveness checks to verify recall is carried out<br>• appropriate disposal of recalled product (i.e., destroy, divert, repurpose). | | |
| 10 | 117.145 | Establish monitoring activities and a written procedure for each preventive control in a manner consistent with the requirements of BRC section 2.10. | | |
| 11 | 117.150 | Establish corrective action procedures when preventive controls are not implemented in a manner consistent with the requirements of BRC sections 2.11 and 3.7.<br><br>Corrective action procedures must be established and implemented when the presence of a pathogen (or indicator | | |



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| | | organism) is detected as a part of verification activities (i.e., product testing and/or environmental monitoring). | | |
| 12 | 117.160 | Validate all established process controls prior to implementation of the food safety plan, upon changes requiring revalidation or within 90 calendar days of the first food production.<br><br>Validate allergen, sanitation and supply-chain controls as appropriate to the nature of the hazard, control and facility. | | |
| 13 | 117.165 (a) | The PCQI (or authorized designee) reviews the monitoring and corrective action records within 7 days. Where an alternate timeframe exceeding 7 days is used, the PCQI must document justification.<br><br>The PCQI (or their authorized designee) reviews the verification records for all preventive controls (e.g., calibration records, product testing, supply-chain audits) within a reasonable timeframe after the record has been created. | | |
| 14 | 117.165 (b) | Where product testing for a pathogen (or indicator organism) or other hazard is used as a verification activity, a scientifically valid and written testing procedure must identify the following:<br><br>• sampling procedure to include method, quantity, frequency, and number of samples<br>• analytical method<br>• laboratory conducting an analysis<br>• corrective action procedure where a pathogen is detected. | | |
| 15 | 117.165 (c) | Where environmental monitoring for a pathogen (or indicator organism) is used as a verification activity, a scientifically valid and written testing procedure must identify the following: | | |

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| | | • adequate number and location of sample sites<br>• timing and frequency of sampling<br>• analytical method<br>• laboratory conducting the analysis<br>• corrective action procedure where a pathogen is detected. | | |
| 16 | 117.165 | Devices used to **verify** preventive controls must be calibrated. | | |
| 17 | 117.180 | Identify a PCQI responsible for developing the food safety plan, validating preventing controls, review of records, and reanalysis of the plan.<br><br>Document the PCQI's training or qualifications via job experience. | | |
| 18 | 117.305 | All records required by 21 CFR § 117 must include:<br>• the date and time of the activity being documented<br>• signature/initials of individual performing the activity or conducting the record review<br>• information to identify the facility (e.g., name and location)<br>• the identity of the product and lot code where applicable. | | |
| 19 | 117.310 | The owner, operator or agent in charge of the facility must sign and date the written food safety plan initially and again upon any changes following reanalysis. | | |
| 20 | 117.315 | All documents and records relating to the food safety plan (i.e., all records required by 21 CFR § 117) must be retained at the facility for 2 years after the record is created. Where records are stored offsite, they must be retrievable within 24 hours, with the exception of the food safety plan, which must remain onsite. | | |
| 21 | 117.405 | Where a hazard requiring a supply-chain-applied control is identified in the hazard analysis, the receiving facility | | |



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| | | | | |
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| | | must establish and implement specific supplier approval and verification activities.<br><br>Where a hazard requiring a supply-chain-applied control is identified **and** the control is applied by an entity other than the receiving facility's supplier, the receiving facility is responsible for verifying implementation of the control. | | |
| 22 | 117.420 | Supplier approval must be documented **before** receiving and using raw materials and ingredients.<br><br>Verification activities must be conducted **before** receiving and using raw materials and ingredients on a temporary basis from unapproved suppliers. | | |
| 23 | 117.430 | One or more supplier verification activities (as defined in 21 CFR § 117.410(b)) must be conducted for each supplier **before** using raw materials and ingredients **and** periodically thereafter at an adequate frequency. | | |



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# Audit Report

**Global Standard for Food Safety Issue 7: July 2015**

| 1.Audit Summary | | | |
|---|---|---|---|
| Company name | QingCheng Jiahui Food Co., LTD. | BRC Site Code | 1609843 |
| Site name | QingCheng Jiahui Food Co., LTD. | | |
| Scope of audit | Gravity and color sorting, grading, shell hulling (only for Pumpkin Seed/Kernel), drying, sterilization, packing of shelled Sunflower seed, Pumpkin Seed/Kernel and bitter apricot kernels into PE bag with carton box or paper bag. | | |
| Exclusions from scope | None | | |
| Justification for exclusion | N/A | | |
| Audit Finish Date | 2017-12-28 | | |
| Re-audit due date | 2018-12-27 | | |

| Voluntary modules included | | |
|---|---|---|
| Modules | Result | Details |
| Choose a module | Choose an item | |
| Choose a module | Choose an item | |
| Choose a module | Choose an item | |

| 2. Audit Results | | | | | |
|---|---|---|---|---|---|
| Audit result | Certificated | Audit grade | B | Audit type | Announced |
| Previous audit grade | Choose an item | Previous audit date | Select a date | | |

| | | |
|---|---|---|
| Number of non-conformities | Fundamental | 0 |
| | Critical | 0 |
| | Major | 1 |
| | Minor | 9 |



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## 3.Company Details

| | | | |
|---|---|---|---|
| Address | Industrial Park Yima Town Qingcheng county Qingyang City, Gansu Province, P.R. China | | |
| Country | P.R. China | Site Telephone Number | +08618193482267 |
| Commercial representative Name | Xue Qiang | Email | 290577845@qq.com |
| Technical representative Name | Xu Li | Email | 761172841@qq.com |

## 4.Company Profile

| | | | | | |
|---|---|---|---|---|---|
| Plant size (metres square) | <10K sq.m | No. of employees | 1-50 | No. of HACCP plans | 1-3 |

| | |
|---|---|
| Subcontracted processes | No |
| Other certificates held | None |
| Regions exported to | Asia<br>North America<br>Europe<br>Choose a region<br>Choose a region<br>Choose a region |
| Company registration number | 6200/13001 |
| Major changes since last BRC audit | Initial Audit |

Company Description

QingCheng Jiahui Food Co., LTD. was founded in year of 2016 and is located at Industrial Park Yima Town Qingcheng county Qingyang City, Gansu Province, P.R. China The company has about 25 employees (10 employees in the workshops, 8hours/1shift/6day) for the audited product and production line in the constructed site size of approx 6500 square meters with 4200 square meters workshops . The annual output of seed and kernels is about 3000 tons and annual turnover is 3.5 million USD. The company got the export food production permit (No. 6200/13001, expiry date: Nov 22, 2021) and Most of the products are exported to North America, East Asia and European countries). 100% products were



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export. USA, Europe and so on.
The HACCP system for this product is established and implemented.

## 5.Product Characteristics

| | |
|---|---|
| Product categories | 05 - Fruits, vegetables and nuts<br>15 - Dried food and ingredients<br>Category<br>Category<br>Category<br>Category |
| Finished product safety rationale | Moisture ≤7.5%. Pb( mg/kg)≤0.2; As( mg/kg)≤0.2, Hg( mg/kg)≤0.01, aflatoxin:B1<2ppb,B1+B2+G1+G2<4ppb and so on, Shelf life was 12 months stored in room temperature. |

| | | | | | |
|---|---|---|---|---|---|
| High care | No | High risk | No | Ambient high care | No |

| | |
|---|---|
| Justification for area | use of the decision tree |
| Allergens handled on site | None<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen<br>Choose an allergen |
| Product claims made e.g. IP, organic | Kosher |
| Product recalls in last 12 Months | No |
| Products in production at the time of the audit | the manufacturing of Pumpkin seed |



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## 6.Audit Duration Details

| | | | |
|---|---|---|---|
| On-site duration | 16 man hours | Duration of production facility inspection | 9 man hours |
| Reasons for deviation from typical or expected audit duration | None | | |
| Next audit type selected | Announced | | |

## Audit Duration per day

| Audit Days | Audit Dates | Audit Start Time | Audit Finish Time |
|---|---|---|---|
| 1 (start date) | 2017-12-27 | 08:30 | 17:30 |
| 2 | 2017-12-28 | 08:30 | 17:30 |
| | | | |

| | Auditor (s) number(s) | Names and roles of others |
|---|---|---|
| Auditor Number | 168163 | Gary Li / LA |
| Second Auditor Number | N/A | |

## Present at audit

| Note: the most senior operations manager on site should be listed first and be present at both opening & closing meetings (ref: clause 1.1.9)<br>Name / Job Title | Opening Meeting | Site Inspection | Procedure Review | Closing Meeting |
|---|---|---|---|---|
| Xue Zhenwu / GM | X | X | X | X |
| Xue Yong / Workshop Supervisor | X | X | X | X |
| Xu Li / QA Manager | X | X | X | X |
| Xue Hong / purchasing manager | X | X | X | X |
| Xue Qiang / Trade Supervisor | X | | X | X |
| Xu Haicheng / Trade Supervisor | X | X | X | X |



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| | | | | |
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| Zhang Junfa / QC manager | X | X | X | X |
| Wang Cunbin / Office Supervisor | X | | X | X |



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# Non-Conformity Summary Sheet

| Critical or Major Non Conformities Against Fundamental Requirements | | | | |
|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Critical or Major?** | **Anticipated re-audit date** |
| | | | | |
| | | | | |
| | | | | |

| Critical | | | |
|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
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| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| 1 | 5.6.1.1 | According to the customer's requirements, the microorganisms and heavy metals of finished products should be tested. But the factory did not provide the type inspection report of sunflower seeds and bitter apricot kernel, during the audit. | Correction measures:<br><br>Consign third party to test and provide test reports | 1,reasons analysis :<br><br>Staff did not make the test of the final products because of negligence,<br><br>2, preventive action:<br><br>Enhance the studying and training to improve the quality awareness and authorize to make test in time | Document/ photograph | 2018-01-11 | Gary Li |
| | | | | | | | |
| | | | | | | | |

| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document,** | **Date reviewed** | **Reviewed by** |



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| | | | | | **photograph, visit/other** | | |
| 1 | 3.5.1.1 | Documented risk assessment of each raw material was defined in the HACCP plan, but the risk assessment was too general and didn't include substitution or fraud | Correction measures:<br><br>Re-assessment for the raw material risk assessment | 1 Analyzed reasons<br><br>Management team's Poor understanding of BRC Standard clauses<br><br>2 preventive action : management team will be trained strictly for the BRC standard. | Document/ photograph | 2018-01-11 | Gary Li |
| 2 | 3.5.2.1 | According to acceptance procedures , the company shall be provide the inspection report of raw materials, but the factory did not provide the acceptance report of the bitter apricot kernel raw materials, during the audit. | Correction measures:<br><br>Consign third party to make test reports | Due to the negligence of work, the raw material was not tested in time.<br><br>2 preventive action :Enhance the studying and training to improve the quality awareness and authorize to make test in time | Document/ photograph | 2018-01-11 | Gary Li |
| 3 | 3.9.1 | The inner packaging materials in the warehouse had no batch information, also the batch information of the materials were not recorded on the processing records. | Correction measures:<br><br>Set up identification card for packaging materials and with sort management, set up receipt record list for the packaging materials and complete the receipt procedures | Because the staff is poor sense of responsibility, did not timely identify the internal packaging materials.<br><br>Reasons analysis :<br><br>material custody does | Document/ photograph | 2018-01-11 | Gary Li |



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| | | | | not meet the products marks procedures and guardian lacked consciousness | | | |
| 4 | 4.4.3 | During site visit at the sterilization step, a little standing water was found at the floor near the steam sterilization equipment. | Correction measures:<br><br>Staff will clean in time when production to keep dry. | Reason analysis<br><br>The water on the floor was produced from the equipment condensation<br><br>Precautionary measures: Enhance the equipment management to reduce the condensation water outleakage | Document/ photograph | 2018-01-11 | Gary Li |
| 5 | 4.4.8 | On site checking, the window of the workshop was found without protective film. | Correction measures:<br><br>Sticker the protection film on each window of the workshop and hydrant | Reason analysis<br><br>Lack of quality safety consciousness and precaution measures.<br><br>Precautionary measures: to train the staff for the products quality safety to enhance the fragile products management | Document/ photograph | 2018-01-11 | Gary Li |
| 6 | 4.9.1.1 | The chemical management procedure was in place, but the Aluminium phosphide fumigant was not stored in | Correction measures:<br><br>Set up independent chemical products storing room with | Reasons analysis<br><br>Clause of 4.9.1.1 of the poisonous/harmful | Document/ photograph | 2018-01-11 | Gary Li |



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| | | the designated area and the list of people authorized to use it. | authorized staff and make poisonous / harmful products list and poisonous/harmful turnover records | products control requirements of the premise plan was not faithfully implemented | | | |
| 7 | 4.14.10 | Pest control program is established and carried out by inner staff. But the latest evidences of trends analyzed were not found. | Correction measures:<br><br>Supplement the pest harm assessment and trend analysis of 2017 | Reason analysis; Did not faithfully implement the pest control procedures and did not make the pest dynamic assessment and analysis | Document/ photograph | 2018-01-11 | Gary Li |
| 8 | 5.6.2.4 | There was no evidence that the laboratory inspector has been properly trained to be competent analysis required. | Correction measures:<br><br>Dispatched 2 lab technicians to Pingliang CIQ for external training and got approved training certificates | Reason analysis<br><br>Factory just completed ,did not train lab technician<br><br>Precautionary measures:<br><br>Enhance the lab technician training and assessment vigor | Document/ photograph | 2018-01-11 | Gary Li |
| 9 | 7.1.2 | The factory did not provide training records for CCPs operators. | Correction measures:<br><br>Claim the training records from the equipment suppliers. | Reason analysis<br><br>Management staff's negligence resulted in the staffs in critical position lack of timely training | Document/ photograph | 2018-01-11 | Gary Li |



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| | | | | Precautionary measures: Enhance the CCP'S staff training and examination | | | |
| | | | | | | | |

| Comments on non-conformities |
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# Voluntary Modules Non-Conformity Summary Sheet

| Critical | | | |
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| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
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| | | | |

| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| | | | | | | | |
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| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
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# FSMA Module Non-Conformity Summary Sheet

| Critical | | | |
|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Anticipated re-audit date** |
| | | | |
| | | | |
| | | | |

| Major | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | **Proposed preventive action** | **Evidence provided document** | **Date** | **Reviewed** |

| Minor | | | | | | | |
|---|---|---|---|---|---|---|---|
| **No.** | **Clause** | **Details of non-conformity** | **Correction** | **Proposed preventive action plan (based on root cause analysis)** | **Evidence provided document, photograph, visit/other** | **Date reviewed** | **Reviewed by** |
| | | | | | | | |
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# Detailed Audit Report

## 1. Senior management commitment

### 1.1 Senior management commitment and continual improvement

Quality and Food Safety Manual (H/JH-SC-2017), which was established and signed by General Manager, it was implemented the requirements of the Global Standard for Food Safety .
The company quality policy was " Prevention Contaminate/ Ensure Food Safety/ Scientific Management/ Costumer Satisfy"
And during the site audit, random sample the relevant staff, they could repeat the quality and food safety policy.
Food safety and quality objectives were established and defined in the QM as follows:
1. delivery inspection conformity rate≥ 99%;
2. finished products conformity rate is 100%;
3. Customer satisfaction rate≥ 98%
4. client complaints handle rate ≥ 100%
5. Sit hygiene conformity rate≥ 99%
6. no food safety incidents.
random sample the relevant staff, they could repeat the quality and food safety policy.
The detailed dept objectives was in place, and it would be monitored and results reported monthly to site senior management, the latest was on 20171105.
Objectives have been disassemble into each dept and most are monitored each quarterly or at least monthly, the monitored and reviewed results would reported to senior management.
The management review procedure (H/JHSP/CX-03) was available and the management review must conduct at least once a year. The latest management review was hold by the GM Xue Zhenwu on the 2017-11-20.
In Quality and Food Safety system, the quality and food safety meeting must conduct once a month, and involving the supervisor of all relevant department.
Sample latest quality meeting conduct on the 2017-11-12, include previous meeting follow up, customer complaint, QC results, raw materials and final product inspection, HR, CA for NCs. The meeting records were available for review.

The senior management had provided adequate human and financial resources for HACCP System.
QC Dept would collect information related to food safety or legality issues through internet, seminar, Clients or China government organization, and then train all the information to all staff. China CIQ also would send relevant information to the company.
Vive General Managers, Production Manager, QC Manager, Workshop Supervisor, Sales staff and analyst/QC staff attended the opening and closing meetings for BRC certification audit
a genuine, original hard copy or electronic version of the current Standard available.
There was no BRC logo misused in audit site, and the plant committed to use it upon BRC requirements.

This is a initial BRC audit.



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## 1.2 Organisational structure, responsibilities and management authority

Quality and Food Safety Manual (H/JH-SC-2017) defined organisational structure and total 6 departments, each department have written job responsibilities, distributed to all relevant operators by paper. GM is defined for whole monitoring.
The special regulation for key stage staff replacement arrangement was available.
The company had established the documented staff responsibilities and sample the CCP operation staff; they were clear awarded of their responsibilities.
And the WIs for all process steps was displayed on site.

**Details of non-applicable clauses with justification**

| Clause reference | Justification |
|---|---|
| | |

## 2 The Food Safety Plan – HACCP

HACCP plan (H/JH-HACCP-2017) covered Pumpkin seed and kernels / Sunflower seed and kernels / bitter apricot kernels products were established and implemented, based on PRP and SSOP. CN, FDA and EU Food law, such as SN/T1963-2007, GB/T 9687-1988, SN/T 1442-2004, GB19300-2014 EU and FDA regulation etc were collected
Total 7 staffs in HACCP team included all relevant Dept manager or supervisor; leader was VGM of headquarter Mr. Xu Qiang and more than 12 year experience. six of them were trained with BRC Food V7 on Sep.29-30, 2017.

The company had established the PRP and OPRP for all items required and list in the left column.
The description of product was described in HACCP plan. Moisture ≤7.5%. Pb( mg/kg)≤0.2; As( mg/kg)≤0.2, Hg( mg/kg)≤0.01, aflatoxin:B1<2ppb,B1+B2+G1+G2<4ppb and so on, Shelf life was 12 months stored in room temperature.
All relevant information needed to conduct the hazard analysis had be collected, maintained, documented and updated by QA Department.

The intended use of the product was clear defined in HACCP plan. The intended use of products for next processor further processing.
And all vulnerable groups of each product identify in respective HACCP plan. The flow diagrams of all involving BRC audit scope products defined in HACCP plan. Most aspects of the food process operation within the HACCP scope were described.

For Pumpkin seed and kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Soften, Shell hulling, Heat treatment, Colour sorting, steam sterilization, Hand Selection, sterilization(when needed),cooling, X-ray, Packaging.
For shelled Sunflower seed: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Heat treatment, Colour sorting, fumigation(when needed), Hand Selection, steam sterilization(when needed), cooling, X-ray, Packaging.
For bitter apricot kernels: Receipt and storage, Gravity selection, Colour Sorting, Grade Selection, Heat treatment, Colour sorting, fumigation(when needed), Hand Selection, steam sterilization(when needed), cooling, X-ray, Packaging.



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The company had defined the follow CCPs in HACCP plan.
CCP1: all raw materials must purchase from qualified supplier. Pesticide residue comply to GB2763.
CCP2: steam sterilization: sterilization temperature ≥85□, time ≥14 minute.
CCP3: X ray detecting, (φABS ball≤4mm, φSilicon Rubber ball≤3mm, φglass ball≤2.0mm, φSus≤1.2mm)
CCP4: metal detection, Fe≤φ2.0mm, SUS≤φ2.5mm.

Records of validate the critical limits of products were available.
The company had established the monitoring system and the CCP was under control, and the CL for CCP was conforming on site. The monitoring system could be able to detect loss of control of CCP.
Records associated with monitoring CCPs were complete, and reviewed by workshop supervisor and QC supervisor every day.

The corrective action plan for CCPs was defined in HACCP plan. The treating methods cases of deviation were defined. Relevant CAP records were complete. The verification procedure (H/JHSP/CX-14) was established. The procedure included the verification for PRPs, HACCP plan, CCPs, HACCP System and finished product. Verification result was recorded by HACCP team and was communicated adequately. Relevant records were available. Sampling: latest verification on 2017-11-18.

Documentation related to HACCP was in control and updated. Management of documentation and records was effective. The company established the document and record control procedure. The company had required the HACCP plan and PRP review at least annually and the latest review was conducted on 2017-11-18.

**Details of non-applicable clauses with justification**

| Clause reference | Justification |
|---|---|
| | |

## 3. Food safety and quality management system

### 3.1 Food safety and quality manual

The Quality and Food Safety Manual (H/JH-SC-2017), and relevant procedures reference to BRC food issue7, documented procedures and work instructions were issued to relevant departments
Four level document exist in place, 1 level of manual; 2 level of procedure and HACCP plan; 3 level specification/work instruction/rule etc; 4 level of records.

### 3.2 Documentation control

The company establish Documentation control procedure (H/JHSP/CX-01), and the procedure clear defined all items list on the standards.

### 3.3 Record completion and maintenance

Records control procedure (H/JHSP/CX-02) was in place. The records for food safety and quality would be retained shelf life plus one year, the shelf life of the products were 12 months.



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## 3.4 Internal audit

Internal audit procedure (H/JHSP/CX-07 )required internal audit once a year, the latest was implemented dated 2017.09.16-17 by 2 trained competent auditors (Xu Li and Wang Cunbin trained with BRC Food V7 on Aug.29-30, 2017.),

Internal audit plan, checklist and internal audit report including non-conformity report were in place. total 2 NCRs issued and closed with timescale, the audit reports were given to related manager, show that all non-conformity have been identified and analyzed for cause, and correction actions were done and validated effectively.

For the non-conformance released, the company did the root cause analysis, corrective actions, preventative actions and verified the close-out.

The internal auditors received the related training and are competent.
The hygiene checking to assess cleaning and housekeeping performance was carried out every day.

## 3.5 Supplier and raw material approval and performance monitoring

### 3.5.1 Management of suppliers of raw materials and packaging

The company had established the purchasing control procedure (H/JHSP/CX-04) for supplier approval and ongoing monitoring.
Purchasing control procedure included supplier evaluation and selection control procedure was in place, continuous assessment on suppliers which provided products were defined, done and recorded. Suppliers are divided into A, B suppliers via risk assessment; at present, eligible suppliers include suppliers provided R/M and packaging, and also suppliers providing service (transportation, external lab, waste disposal) etc; at present, A-suppliers approved via supplier audit or certs (GFSI recognize) and B suppliers via questionnaire.
Total 8 approved materials including chemical suppliers was in the approved supplier list. The supplier assessment conducted at least once a year, the assessment conducted by questionnaires, certificates and type testing reports collected. The latest assessment was conducted and relevant records were available.
Documented risk assessment of each raw material was defined in the HACCP plan.
No raw materials are purchased from agents or brokers.

NC, 3.5.1.1- Documented risk assessment of each raw material was defined in the HACCP plan, but the risk assessment was too general and didn't include substitution or fraud.

### 3.5.2 Raw material and packaging acceptance and monitoring procedures

The company had established the raw materials, ingredient and packaging materials receive specification, the specifications included the sample plan, receive inspection item and acceptance limit, above all were based upon the risk assessment.

Raw materials, ingredient, packaging materials receive and inspection was defined in special specification
For example, the raw materials receive inspection was available.
The specifications clear defined the testing items and receive inspection method.
And the documented sample plan established by company and local CIQ, the plan defined the detailed test items and testing frequency.
For example, the pumpkin seed in Nov. 2017, was available and acceptable.
the inner packaging materials PE bags inspection records in Oct. 2017 was available and acceptable.
All raw materials receive inspection sample and testing conducted by local authority laboratory.



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NC, 3.5.2.1- According to acceptance procedures , the company shall be provide the inspection report of raw materials, but the factory did not provide the acceptance report of the bitter apricot kernel raw materials, during the audit.

### 3.5.3 Management of suppliers of services

The management of suppliers of services were defined in purchasing control procedure.
The scope of service suppliers covered transport, laboratory and waste management.
All the services suppliers were with formal contract, the contract clearly define service expectations and ensure potential food safety risks associated with the service have been addressed.
For example, the transport contractor must signed the relevant statement of food safety and prevent hygiene risk

### 3.5.4 Management of outsourced processing and packing

No outsourced processing.

### 3.6 Specifications

Exist materials inspection rule and, relevant sensory requirements and sampling plan requirements of raw materials and packaging materials were defined in them. Semi-finished products and finished products inspection procedure were also established.
The packaging materials were PE bags with carton box or paper bags.  finished products inspection procedure were also established.  the seed  inspection rules were included the materials and finished products specifications.

The process specification was defined in the HACCP plan. Especial requirements were defined in the sales contract. each CCPs monitoring procedure (HACCP plan sheet) etc were posted on the wall of workshop.

These specifications would be reviewed at least every three years.

### 3.7 Corrective and preventive actions

The company had established corrective actions control procedure (H/JHSP/CX-11) to ensure investigation of the root cause of non-conformity would be performed and corrective actions would be taken.

### 3.8 Control of non-conforming product

Non-conformity product control procedure (H/JHSP/CX-08) had been implemented to control of non-conforming material, semi-finished products and final products, including rejection, acceptance by concession, or regarding for an alternative use. Decisions were approved by QC manager

No major non-conforming products in 2017 till now.

### 3.9 Traceability

The company had established the traceability management procedure  (H/JHSP/CX-05), and the identification of the raw materials, ingredient, packaging materials, all process, semi-processed products and finished products in site was acceptable.
The last traceability testing about Shine skin pumpkin seed kernels AA grade No.6200/1300117001 from Bayannur city Huifeng trading co. LTD. Date code 2017-10-22. The whole traceability test accomplish within 2 hours from 9:30 to 11:40. the relative records were available.



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Auditor random sample the finished products Shine skin pumpkin seed kernels AA grade batch No. 6200/1300117001. Trace to raw materials pumpkin lot No. 17110403 from Xinjiang Hutubi county. Paper bag lot No. 20171106, 72cm, 10000 pieces, from Linyi Tongxiang. The mass balance was acceptable, and whole traceability test accomplish within 3 hours.
The full traceability accomplish time scale defined in traceability management procedure was 4 hours.

NC, 3.9.1- The inner packaging materials in the warehouse had no batch information, also the batch information of the materials were not recorded on the processing records.

### 3.10 Complaint handling

The company had a documented customer complaint control procedure (H/JHSP/CX-16) in place to handle complaints.
No major customer complaint received in the auditing year, right now. some of them were about the dirty of the out packers, it would be communicated by E-mail and investigated and the corrective action were acceptable.

### 3.11 Management of incidents, product withdrawal and product recall

The company had established the documented incident and emergency treatment procedure and recall management procedure. These procedure defined covered all requirements list on the standard.
The company had established the documented recall management procedure and it defined covered all requirements list on the left column.
The latest mock trace and recall test conduct on 2017-08-25; all the relevant records were available for review.
No real product recall happened.

### 3.12 Customer focus and communication

The company had a documented customer servie control procedure to manager customer requirements and communication with customer.
The sales Dept would communicated with clients, and then clearly communicated to relevant staff and, where appropriate, suppliers of raw materials, packaging and services.
QC staff will check the implement of customer requirements during production.
All the specific was known by relevant staff and implemented.

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| 3.5.4 | No outsourced processing |

## 4. Site standards

### 4.1 External standards

The company located in Industrial Zone, Qingyang.
Environment of surround was well, road full by clear concrete; no other contamination industry locates beside it.
Product workshop area and product waste area are separated, and catering area and living area are



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segregated in factory, no risk for contaminants from local activities and environment.

Enough processing space was provided for processing and storage.

The external areas were maintained in good order and greened, external traffic routes were suitably surfaced.

## 4.2 Security

The site was registered and approved by CIQ, the registration No. was 6200/13001.

Food defence plan (JH/FH-H-2017) was established and implemented .The company had established the security arrangement programme to define the control of security to prevent access of unauthorised persons to production and storage areas. The terrorism treatment was defined in crisis treatment procedure, and responsible by Admin Dept security team. Process and storage areas were identified restricted areas. The relevant inspection records were available. The security arrangement programmes annually review report was available.
The latest training for food security control plan was on 2017.11.10.
They undertake a documented assessment of the security arrangements on 2017.11.12

## 4.3 Layout, product flow and segregation

The process areas were identified low-risk areas according to BRC standard Appendix 2.
The company established the site plan and covered all items list on the standard..
The company had arranged special guard person to ask the visitor show the authorised certification of entry the site. Process and storage areas were restricted areas and regulated by workshop supervisor, visitors can enter when they were accompanying with staff who was authorized.
During the site audit the process flow could minimise the risk of food contamination.
No high-care and high risk areas in audit site.
The plant provided sufficient space for placement of equipment and storage of materials for the maintenance of sanitary operations and the production of safe food.
No temporary structure was found on audit site.
Contractors and visitors shall be approved to enter workshop, and also promise to comply with the rule.

## 4.4 Building fabric, raw material handling, preparation, processing, packing and storage areas

The fabrication of the site, buildings and structure and materials of facilities are conformity with requirement, maintained in a acceptable condition
Walls were maintained to prevent the accumulation of dirt, minimise condensation and mould growth, and facilitate cleaning.
Floors are constructed and maintained very well. Floors have adequate falls.

The walls and ceilings were maintained very well during this audit.
No suspended ceilings.

The glasses and lamps in production area were protective with covers, electronic fly killers were protected with metal net. Windows for ventilation were adequately screened to prevent the ingress of pests. No High-risk areas. so the Air of the workshop was not needed to filtered.

NC, 4.4.3- During site visit at the sterilization step, a little standing water was found at the floor near the steam sterilization equipment.

NC, 4.4.8- On site checking, the window of the workshop was found without protective film.



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## 4.5 Utilities – water, ice, air and other gases

Well water was used for cleaning equipment and plant. The water was tested once a year according to <GB5749-2006 Drinking water>. The latest report was available. the report No. was QCCDC-JL-056-2017.which was done by Qingcheng county CDC on 20170516.
Only well water was used.
The air for heat treatment and cooling was filtered before used.

## 4.6 Equipment

On site, all equipment were appropriate materials, had suitable design to ensure effectively clean. New equipment purchasing was concerned the suitability. Equipment position had kept adequate space from the wall and adjacent areas as so that clear space was available to facilitate cleaning and servicing. Equipment contact surfaces were constructed with stainless steel. The conveyor belts were suitable for food use. Engineers were aware of the requirement.

## 4.7 Maintenance

Equipment Department was responsible for equipments routine maintenance. Equipment annual maintenance plan of 2017 and maintenance were in place and implemented. Equipment maintenance records of 2017 were available. The equipments were maintained properly during on-site assessment.

Big maintenance would be operated by contractors. No major breakdowns happened
No temporary repairs.
Materials used for equipment and plant maintenance and that pose a risk by direct or indirect contact with raw materials, intermediate and finished products
Food grade grease and oil was used: Mobil SHC Cibus 150, 141502.

On-site hygiene staffs would monitor operations during maintenance.

## 4.8 Staff facilities

Changing rooms were provided for staff, visitor or contractor and they were sited to allow personnel direct access to the production and packing areas. The changing room was clean, outdoor clothing and other personal items were stored separately from work wear. Shoes changing area was also in place. Hot water, liquid soap, 75% alcohol, and hand dryers were provided.
Hand washing facilities (Clean water, liquid soap, 75% alcohol, hand dryer) were installed in workshop

Toilets (nearby changing room) were adequately segregated from workshop.

Canteen was provided outside of the production workshop.

No high-care, high risk and area.

## 4.9 Chemical and physical product contamination control

### Raw material handling, preparation, processing, packing and storage areas

Documented program SSOP for control the risk of physical, chemical and biological contamination or damage, the effectiveness was considered acceptable.
The chemical just used for hand and tools disinfecting



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### 4.9.1 Chemical control

Documented chemical control procedure was in place
The alcohol mother solution, fumigation chemical materials were stored in a separate chemical warehouse., MSDS and relative receiving / issuing records and disinfectant preparation records were provided in the warehouse. The chemical containers (drums, bottles etc) were labelled.

NC, 4.9.1.1- The chemical management procedure was in place, but the Aluminium phosphide fumigant was not stored in the designated area and the list of people authorized to use it.

### 4.9.2 Metal control

Snap-off blade knife & staples were not used. Knifes and scissors were used in production workshop, relevant dispense & recover record was in place.

### 4.9.3 Glass, brittle plastic, ceramics and similar materials

Glass windows in production workshop were protected with films, all lamps in production area were protective with covers, electronic fly killers were protected with metal net. All glass and brittle material were registered on a list, the staff would check the glass and brittle materials weekly.
The company established the glass, brittle plastic management procedure (ZQ-CX-34-A/0) for management incident in breakage of glass, or hard plastic including isolate the defected products and production area.

### 4.9.4 Products packed into glass or other brittle containers

No products packed into glass or other brittle containers.

### 4.9.5 Wood

No wood tools was used in the factory.

### 4.10 Foreign-body detection and removal equipment

### 4.10.1 Foreign-body detection and removal equipment

The risk assessment of foreign body was list in the HACCP plan, the foreign body control instruction was in place. sieves, magnet and metal detector was used in the factory.

### 4.10.2 Filters and sieves

Sieves (30 mesh) was used in the cooling process.
It would be checked before produce and every batch.

The records were available.

### 4.10.3 Metal detectors and X-ray equipment

One X-ray detector with belt stop system was installed in packing workshop, standard testers (ABS ball4mm, Silicon Rubber ball4mm, glass ball2.0mm, Sus2.0mm) were used to challenge the X-ray machine before and production, once per hour during production.

Corrective and investigative actions were defined each in HACCP plans.



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### 4.10.4 Magnets

Magnets (12000GS) were used after sieving,

It would be checked before produce and every batch.

The records were acceptable

### 4.10.5 Optical sorting equipment

Optical sorting equipment was used.

It would be checked before produce and every batch.

The records were acceptable.

### 4.10.6 Container cleanliness – glass jars, cans and other rigid containers

Products were only packed in PE bags or paper box..

### 4.11 Housekeeping and hygiene

The production staffs were responsible of cleaning work.
The company had established cleaning and disinfecting rule defined in SSOP and special specification to ensure appropriate standards of hygiene are maintained at all times and the risk of contamination is minimised.
150 ppm NaClO and 75% alcohol solution was used for routine disinfection of tools, utensils, and equipments, walls and floors (after production).
Every June-Aug, the equipments would be fumigated every month.
Separate clean and disinfection room was designed for raw materials workshop, pre-treatment workshop and production workshop.
Visual check was carried out every day for verify the effectiveness of cleaning and disinfection, and relevant records were available for review, including utensils clean & disinfection records, the check records of workshop hygienic condition.

### 4.11.7 Cleaning in place (CIP)

No CIP facilities were in use.

### 4.12 Waste / waste disposal

The waste would be removed by the staff.
The waste would be moved from the factory once a day.
The seed shells was collected to used as fuels.
unsafe products or substandard trademarked materials would be destroyed before transferred to a third party for destruction or disposal.
The factory declared that the cartons with label would be destroyed and disposed as waste.

### 4.13 Management of surplus food and products for animal feed

The leftovers would be disposed by a feed processing factory. The surplus customer-branded products are disposed in accordance with customer-specific requirements. Customer brand names would be



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removed from packed surplus products under the control of the factory before the product enters the supply chain.
The waste such as broken shelled seed was for bird feed, it would be segregated from waste and protected from contamination during storage.

## 4.14 Pest Control

Pest control procedure (H/JH-QTJH-2017) and pest control plan were in place, the pest control implemented by internal pest control qualified staff.
All the pest control devices installed and used according to control procedure, and no chemical for pest control was used in site.
The written procedure and inspection requirement were described in pest control procedure, above all were implemented and could show the pest control plan and the pest control map which identified the location of pest control facilities. EFKs, rat cages and rat guards were used for pest treating.
The location of the fly killers was suitable inside the door of workshop.
All the pest control inspection records, treatment records and action taken records were available for review.
The company revised the pest control procedure for in-depth pest control survey. And the quarter survey had taken by qualified staff.
All the relative records were available and acceptable.

NC, 4.14.10- Pest control program is established and carried out by inner staff. But the latest evidences of trends analyzed were not found.

## 4.15 Storage facilities

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
And all the raw materials and finished products were storage in good conditions.
All raw materials, ingredient and packaging materials, finished products were stored in normal temperature, no special storage temperature required in audit site.
No controlled atmosphere storage in site
No outside storage
All products were identified properly. Stock rotation of raw materials was based on FIFO. Production arranged according to order.

## 4.16 Dispatch and transport

The company had established the raw materials, ingredient, packaging materials, finished product storage and transport management control specification and it defined in the storage and transport control procedure to minimise the risk of contamination and damage.
P.O. number was printed on the finished product containers. Records of dispatch and receipt of goods had recorded the manufacturing date of the product and transport containers number.
The vehicles inspection records were available.
No transport temperature required in audit site.
The clean requirements defined in the transport contracts, the company implement the clean inspection before loading. And the cleaning and sanitary rule included the equipment used for loading/unloading.
The transport is third-party logistics; the requirements defined in the contracts, comprised with hygiene control, food safety, deliver timescale and so on.

## Details of non-applicable clauses with justification



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| Clause reference | Justification |
|---|---|
| 4.3.5/4.4.13/4.8.4 | No high-risk area |
| 4.3.6/4.8.5 | No high-care area |
| 4.3.7 | No ambient high-care area |
| 4.3.9 | No temporary structures were found during the audit. |
| 4.4.4 | No high-risk/high-care facilities. |
| 4.5.3 | Water is potable. |
| 4.5.4 | No product contact gas is used. |
| 4.7.3 | During the audit, no temporary repair was found. |
| 4.7.5 | No high-risk/high-care area |
| 4.9.4 | No products packed into glass or other brittle containers. |
| 4.10.6 | Products were only packed in PE bags or paper box.. |
| 4.11.7 | No CIP system |
| 4.15.5 | No outside storage |

## 5. Product control

### 5.1 Product design/development

Little new products were developed, product design was conducted by production department and communicated to client. After confirmation, the Sales Department purchase raw materials, and Purchasing staff buy packaging material. HACCP-based study was implemented in the development process.

Production trials would be implemented by Production Department, Sales Department and QC Department. The shelf life was required by clients, and exist working instruction for verification of shelf life. Shelf life of a radically new product would be required by customers, assessed by organoleptic testing.



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## 5.2 Product labelling

The product label would be confirmed and checked by QC and sales Department.
The product label would be confirmed by customers, checked by sales and QC Department. The factory will provide information for help customer draw up label.
All the products was labelled, the label was acceptable.
No product is designed to enable a claim to be made to satisfy a consumer group.

## 5.3 Management of allergens

Allergen control procedure was established and implemented. Refer to the BRC standard; there was no allergen materials usage and storage in audit site.
The documented risk assessment was defined in procedure include all items list on the standard, and detailed latest special allergen risk assessment report was in place.
The cross contamination could be prevented, and no claim is made regarding the suitability of a food for allergy or food sensitivity sufferers.
Allergen management was trained for relevant personnel each year. The latest allergen training was conducted on 20171106
The procedure defined the check for line start up, line change to ensure the labels apply in correct. All relevant checking records were available.

## 5.4 Product authenticity, claims and chain of custody

Relevant risk assessment on authenticity was done, the factory fetched this information from customer, government and website.

All raw materials were seemed as low risk of adulteration.
No products were labelled or claims are made on a status of a raw material.
Non-GMO products was used for the products.
The documented vulnerability assessment records on raw materials adulteration or substitution were available.

## 5.5 Product packaging

PE bags and paper bags were used as inner packaging materials. Type test report and the qualified certificate of suppliers were shown for review. Packaging materials specification was implemented. The colour of the bags was different with the products.

Inner packaging materials warehouse and outer packaging materials warehouse were established and used. The two warehouses served the whole group.

## 5.6 Product inspection and laboratory testing

### 5.6.1 Product inspection and testing

3 analysts worked in laboratory and all of them had training certificates.

Product inspection and test plan including internal laboratory microbiological test plan were in place. The company had an in-house laboratory to undertake analyses or testing or contracted out with outside independent body to confirm product safety, legality and quality, using appropriate procedures, facilities and standards;. Relevant incoming inspection records were in place. And the laboratory did net weight, moisture, adm, broken kernels, mouldy kernels for each batch of finished products. the sampled inspection



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records on Oct were available.

the test and inspection results were reviewed to identify trends quarterly, the relative records were available.

NC, 5.6.1.1- According to the customer's requirements, the microorganisms and heavy metals of finished products should be tested. But the factory did not provide the type inspection report of sunflower seeds and bitter apricot kernel, during the audit.

### 5.6.2 Laboratory testing

No pathogen testing was done in the factory.
Analysis were undertaken by internal or other third party lab (CNAS certification). 2 analysts worked in laboratory and, the packaging materials incoming inspection was done by analysts. The laboratory could do net weight, sensory and water content test, microbiological testing.
Monitoring devices were calibrated internally every year and laboratories were trained.

NC, 5.6.2.4- There was no evidence that the laboratory inspector has been properly trained to be competent analysis required.

### 5.7 Product release

The factory established release validation procedure of waiting-for-delivery products to ensure that finished product is not released unless all agreed procedures have been followed.
Products could be released after all test or inspection results were reviewed and confirmed to be satisfactory by QA Manager.

**Details of non-applicable clauses with justification**

| Clause reference | Justification |
|---|---|
| 5.2.3 | No product was claimed to be made to satisfy a consumer group. |
| 5.3 | No Allergens handled on site |

## 6. Process control

### 6.1 Control of operations

The HACCP plan had been transferred into day-to-day production control. Each CCP was properly under control during the inspection. The company had established the operation processing instructions according each equipment and step, all instructions verified that the processes and equipment employed were capable of producing consistently safe and legal product with the desired quality characteristics. Process monitoring, including the usage of raw materials and packaging materials was in control and recorded.
X-ray detector with automatically rejected was challenged once per hour.
The company had established the commencing production management rule, and relevant checking



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records were available.
The drying machine was calibrated, and the condition was acceptable.
The packaging operation instruction was in place and QC on line would check the packing process when manufacturing.

### 6.2 Labelling and pack control

Relevant management rule on labelling and packing control established, the factory checked the labelling and packaging materials at least before packing, during packing , when changing batches of packaging materials, after packing

### 6.3 Quantity, weight, volume and number control

The quantity requirements of customers were defined in the contracts and the plant had specified it in the production plan and specifications, and routine checks were carried out by their QC staffs. Weight is well checked by operators and also monitored by QC staff. The quantity would be checked every batch.
The quantity checking records were unavailable during the inspection.

### 6.4 Calibration and control of measuring and monitoring devices

Monitoring and measuring Devices control procedure and measuring equipment list were available.
Calibration identification marked on the equipment was visible on site.
Electronic scales were calibrated at least annually by competent authority. Relevant calibration certificates and calibration records were provided.
For example, Electronic scale, used in packing workshop, calibration certificate No. 176000131., expiry on 20170617;
drying oven, used in the lab, serial No. 101-0, calibration certificate No. 171400402 expiry on 20181208;

### Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |

## 7. Personnel

### 7.1 Training: raw material handling, preparation, processing, packing and storage areas

The company established HR management procedure to describe the staff training and the requirement of work experience or qualification. The company ensured all employees were properly trained, instructed and supervised and were competent in conducting their tasks.
SSOP training on 20170316 was in place.
2017 training plan about seafood process, QC tools, food label regulation,ISO, HACCP, etc. The effectiveness of the training through orally, paper exam or on-site operation.

Relevant training records were available and including most items required on the left column.
The company evaluated the effectiveness of the training through examination paper, orally examination or on-site operation. Refresher training was carried out every year.



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NC, 7.1.2- The factory did not provide training records for CCPs operators.

## 7.2 Personal hygiene: raw material handling, preparation, processing, packing and storage areas

The company had established personnel hygiene rule defined in OPRP. The personal hygiene was detailed described.
Hands washing and disinfecting requirement was defined in personnel hygiene rule, staff washed their hands before commencing work, after visiting toilet, becoming soiled. There was hand washing sinks at entrances to processing areas, or appropriate areas convenient to staff for washing hands when they became soiled. Operators were aware of washing their hands prior to entering the processing areas during the audit.
OPRP required the relevant content, and on site they did well and the blue metal strip plasters were provided.
The blue metal plasters were stored in process areas, X-ray detector and usage records were available.
Personal use medicines (defined in personnel hygiene rule) were control well, in the event of disease, the staff should report to her supervisors according to requirement.
No issues regarding compliance with documented hygienic policy were seen during on-site visit.

## 7.3 Medical screening

Personnel hygiene rule defined in SSOP. The person al hygiene was detailed described.
employees would be medically examined prior to employment and yearly during employment
Sampled 6 workers in process areas, the health certificates were available for review during the inspection.

## 7.4 Protective clothing: employees or visitors to production areas

The company had established personnel hygiene rule defined it. The company had provided adequate protective clothes for all employees in the processing areas. The auditor was also required to wear the visiting clothing to enter food processing areas.
The protective clothing was sufficient and suitable designed.
Protective clothing was washed every day by internal laundry, uniforms cleaning & disinfection procedure was available.

No gloves were used.

No high-risk and high-care areas.

## Details of non-applicable clauses with justification

| Clause reference | Justification |
|---|---|
| | |



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| Module 8 - Traded Goods | |
|---|---|
| **Scope** | |
| **8.1 Approval and performance monitoring of manufacturers/packers of traded food products** | |
| | |
| **8.2 Specifications** | |
| | |
| **8.3 Product inspection and laboratory testing** | |
| | |
| **8.4 Product legality** | |
| | |
| **8.5 Traceability** | |
| | |



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# Module 9: Management of Food Materials for Animal Feed

| Scope | |
|---|---|

## 9.1 Management Commitment

## 9.2 HACCP

## 9.3 Outsourced Production

## 9.4 Specifications

## 9.5 Traceability

## 9.6 Chemical and Physical Product Contamination Control



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| |
|---|
| |
| **9.7 Labelling** |
| |
| **9.8 Training** |
| |

# Module 11: Meat supply chain assurance

| | |
|---|---|
| **Scope** | |
| **11.1 Traceability** | |
| | |
| **11.2 Approval of meat supply chain** | |
| | |
| **11.3 Raw material receipt and inspection** | |



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| |
| **11.4 Management of cross-contamination between species** |
| |
| **11.5 Product testing** |
| |
| **11.6 Training** |
| |

## Module 12: AOECS Gluten-free Foods

| | |
|---|---|
| **Scope** | |
| **12.1 Senior management** | |
| | |
| **12.2 Management of suppliers of raw materials and packaging** | |



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## 12.3 Outsourced production

## 12.4 Specifications

## 12.5 Management of gluten cross-contamination

## 12.6 Management of incidents, product withdrawal and product recall

## 12.7 Labelling

## 12.8 Product inspection and laboratory testing



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## Module 15 FSMA Preventive Controls Preparedness Module

| Item no. | Clause | Module item | Conforms (Y/N) | Comments |
|---|---|---|---|---|
| 1 | 117.20 | Handwashing areas, dressing and locker rooms, and bathrooms must have adequate lighting. | | |
| 2 | 117.37 | The water distribution system must prevent backflow from, or cross-connection between, piping systems that discharge waste water or sewage. | | |
| 3 | 117.40 | All food contact surfaces of plant equipment and utensils used in manufacturing, processing, packing, or holding food must be corrosion resistant.<br><br>Seams on food-contact surfaces must be smoothly bonded or maintained so as to minimize accumulation of food particles, dirt, and organic matter and thus minimize the opportunity for growth of microorganisms and allergen cross-contact. | | |
| 4 | 117.80 | Ice used in contact with food must be manufactured in accordance with the good manufacturing practice (GMP) requirements of 21 CFR § 117. | | |
| 5 | 117.110 | Where defect action levels (DALs) are established for a food, quality control operations must reduce defects to the lowest level possible.<br><br>Defect levels rendering the food adulterated may not be reduced by mixing the food with another lot. | | |
| 6 | 117.130 (a) | The hazard analysis must additionally identify and evaluate the following known or reasonably foreseeable hazards, which are associated with the food or facility:<br><br>• economic adulterants which affect food safety<br>• environmental pathogens where ready-to-eat (RTE) food | | |



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| | | | | |
|---|---|---|---|---|
| | | is exposed to the environment prior to packaging and the packaged food does not receive a kill step<br>• radiological hazards<br>• unintentional adulterants that affect food safety. | | |
| 7 | 117.130 (b) | All identified, known, or reasonably foreseeable hazards must be evaluated to determine 'hazards that require a preventive control' (i.e., significant hazards). | | |
| 8 | 117.135 | Establish one or more preventive control(s) for each identified 'hazard that require a preventive control' (i.e., significant hazard) such that the control significantly minimizes or prevents the food manufactured, processed, packed, or held by the facility from being adulterated under section 402 of the Federal Food, Drug, and Cosmetic Act or misbranded under section 403(w) of the Federal Food, Drug and Cosmetic Act. | | |
| 9 | 117.139 | Evaluate and update the recall and withdrawal procedure as necessary to ensure it contains procedures and responsibility for the following:<br>• notifying consignees of how to return or dispose of recalled product<br>• conducting effectiveness checks to verify recall is carried out<br>• appropriate disposal of recalled product (i.e., destroy, divert, repurpose). | | |
| 10 | 117.145 | Establish monitoring activities and a written procedure for each preventive control in a manner consistent with the requirements of BRC section 2.10. | | |
| 11 | 117.150 | Establish corrective action procedures when preventive controls are not implemented in a manner consistent with the requirements of BRC sections 2.11 and 3.7.<br><br>Corrective action procedures must be established and implemented when the presence of a pathogen (or indicator | | |



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| | | | | |
|---|---|---|---|---|
| | | organism) is detected as a part of verification activities (i.e., product testing and/or environmental monitoring). | | |
| 12 | 117.160 | Validate all established process controls prior to implementation of the food safety plan, upon changes requiring revalidation or within 90 calendar days of the first food production.<br><br>Validate allergen, sanitation and supply-chain controls as appropriate to the nature of the hazard, control and facility. | | |
| 13 | 117.165 (a) | The PCQI (or authorized designee) reviews the monitoring and corrective action records within 7 days. Where an alternate timeframe exceeding 7 days is used, the PCQI must document justification.<br><br>The PCQI (or their authorized designee) reviews the verification records for all preventive controls (e.g., calibration records, product testing, supply-chain audits) within a reasonable timeframe after the record has been created. | | |
| 14 | 117.165 (b) | Where product testing for a pathogen (or indicator organism) or other hazard is used as a verification activity, a scientifically valid and written testing procedure must identify the following:<br><br>• sampling procedure to include method, quantity, frequency, and number of samples<br>• analytical method<br>• laboratory conducting an analysis<br>• corrective action procedure where a pathogen is detected. | | |
| 15 | 117.165 (c) | Where environmental monitoring for a pathogen (or indicator organism) is used as a verification activity, a scientifically valid and written testing procedure must identify the following: | | |



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| | | | | |
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| | | • adequate number and location of sample sites<br>• timing and frequency of sampling<br>• analytical method<br>• laboratory conducting the analysis<br>• corrective action procedure where a pathogen is detected. | | |
| 16 | 117.165 | Devices used to **verify** preventive controls must be calibrated. | | |
| 17 | 117.180 | Identify a PCQI responsible for developing the food safety plan, validating preventing controls, review of records, and reanalysis of the plan.<br><br>Document the PCQI's training or qualifications via job experience. | | |
| 18 | 117.305 | All records required by 21 CFR § 117 must include:<br>• the date and time of the activity being documented<br>• signature/initials of individual performing the activity or conducting the record review<br>• information to identify the facility (e.g., name and location)<br>• the identity of the product and lot code where applicable. | | |
| 19 | 117.310 | The owner, operator or agent in charge of the facility must sign and date the written food safety plan initially and again upon any changes following reanalysis. | | |
| 20 | 117.315 | All documents and records relating to the food safety plan (i.e., all records required by 21 CFR § 117) must be retained at the facility for 2 years after the record is created. Where records are stored offsite, they must be retrievable within 24 hours, with the exception of the food safety plan, which must remain onsite. | | |
| 21 | 117.405 | Where a hazard requiring a supply-chain-applied control is identified in the hazard analysis, the receiving facility | | |



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| | | | | |
|---|---|---|---|---|
| | | must establish and implement specific supplier approval and verification activities.<br><br>Where a hazard requiring a supply-chain-applied control is identified **and** the control is applied by an entity other than the receiving facility's supplier, the receiving facility is responsible for verifying implementation of the control. | | |
| 22 | 117.420 | Supplier approval must be documented **before** receiving and using raw materials and ingredients.<br><br>Verification activities must be conducted **before** receiving and using raw materials and ingredients on a temporary basis from unapproved suppliers. | | |
| 23 | 117.430 | One or more supplier verification activities (as defined in 21 CFR § 117.410(b)) must be conducted for each supplier **before** using raw materials and ingredients **and** periodically thereafter at an adequate frequency. | | |



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TESTING
CNAS L0599

# Test Report

ASH19-028824-03 Date: 14 Jun 2019

Client Name: QINGCHENGXIAN JIAHUI FOOD CO.,LTD
Client Address: YI MA INDUSTRIAL ZONE, QINGYANG CITY, GANSU, CHINA

| | |
|---|---|
| Sample Name: | SHINE SKIN PUMPKIN SEED KERNELS,AA GRADE |
| Manufacturer: | QINGCHENG JIAHUI FOOD CO.,LTD |
| Sample Batch No.: | P11597-001 |
| Production Date: | 2019/06/02 |

**Above information and sample(s) was/were submitted and certified by the client, SGS quoted the information with no responsibility as to the accuracy, adequacy and/or completeness.**

| | |
|---|---|
| Date of Sample Received : | 05 Jun 2019 |
| Testing Period : | 05 Jun 2019 - 14 Jun 2019 |
| Test Requested : | Selected test(s) as requested by client. |
| Test Method : | Please refer to next page(s). |
| Test Result(s) : | Please refer to next page(s). |

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检验检测专用章 Inspection & Testing Services 15 SGS-CSTC Standards Technical Services (Shanghai) Co., Ltd.

ASH19-028824-03
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SGS Authorized Signature

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# Test Report

ASH19-028824-03 Date: 14 Jun 2019

Sample Description :

| Specimen No. | SGS Sample ID | Description |
|---|---|---|
| 1 | ASH19-028824.003 | 1bag ca.400g sample in bag |

Microbial test

**Test Result(s) :**

| Test Item(s) | Unit | Test Method(s) | Test Result(s) 003 |
|---|---|---|---|
| Salmonella/25g | - | FDA/BAM online Chapter 5 | ND |
| Mould | CFU/g | FDA/BAM online chapter 18 | <10 |
| Yeast | CFU/g | FDA/BAM online chapter 18 | <10 |
| Coliforms | CFU/g | FDA/BAM online chapter 4 | <10 |
| Aerobic Plate Count | CFU/g | FDA/BAM online Chapter 3 | 980 |
| Listeria spp./25g | - | ISO 11290-1:2017 | ND |
| Escherichia Coliform | CFU/g | FDA/BAM online Chapter 4 | <10 |

Chemical test

**Test Result(s) :**

| Test Item(s) | Unit | Test Method(s) | Test Result(s) 003 | LOQ |
|---|---|---|---|---|
| Free fatty Acid | g/100g | AOAC 940.28 | 0.21 | - |
| Aflatoxin $B_1$ | μg/kg | GB 5009.22-2016 III | ND | 0.30 |
| Aflatoxin $B_2$ | μg/kg | GB 5009.22-2016 III | ND | 0.20 |
| Aflatoxin $G_1$ | μg/kg | GB 5009.22-2016 III | ND | 0.30 |
| Aflatoxin $G_2$ | μg/kg | GB 5009.22-2016 III | ND | 0.20 |
| Aflatoxin($B_1$+$B_2$+$G_1$+$G_2$) | μg/kg | GB 5009.22-2016 III | ND | - |
| Moisture | g/100g | GB 5009.3-2016 I | 7.49 | - |
| Peroxide value | meq/kg | AOCS Cd 8b-90(Reapproved 2017) | 4.90 | - |

Remark:
1.ND = Not Detected
2.LOQ = Limit of Quantitation



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**Test Report** ASH19-028824-03 Date: 14 Jun 2019

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# Test Report

ASH18-036578-02 Date: 07 Aug 2018

Client Name: QINGCHENGXIAN JIAHUI FOOD CO.,LTD
Client Address: YI MA INDUSTRIAL ZONE, QINGYANG CITY, GANSU, CHINA

| | |
|---|---|
| Sample Name: | SHINE SKIN PUMPKIN SEED KERNELS,AA GRADE |
| Manufacturer: | QINGCHENG JIAHUI FOOD CO.LTD |
| Sample Batch No.: | PO62356 |
| Production Date: | 2018/07/26 |

**Above information and sample(s) was/were submitted and certified by the client, SGS quoted the information with no responsibility as to the accuracy, adequacy and/or completeness.**

| | |
|---|---|
| Date of Sample Received : | 30 Jul 2018 |
| Testing Period : | 30 Jul 2018 - 07 Aug 2018 |
| Test Requested : | Selected test(s) as requested by client. |
| Test Method : | Please refer to next page(s). |
| Test Result(s) : | Please refer to next page(s). |

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REVIEWED ON August 18-27, 2018.

SGS Authorized Signature

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# Test Report

ASH18-036578-02

Date: 07 Aug 2018

Sample Description :

| Specimen No. | SGS Sample ID | Description |
|---|---|---|
| 1 | ASH18-036578.001 | 1 bag ca.400g sample in bag |

Microbial test

**Test Result(s) :**

| Test Item(s) | Unit | Test Method(s) | Test Result(s)<br>001 |
|---|---|---|---|
| Mould | CFU/g | FDA/BAM online chapter 18 | <10 |
| Yeast | CFU/g | FDA/BAM online chapter 18 | <10 |

*** End ***



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TESTING
CNAS L0599

# Test Report

ASH18-036578-01 Date: 07 Aug 2018

Client Name: QINGCHENGXIAN JIAHUI FOOD CO.,LTD
Client Address: YI MA INDUSTRIAL ZONE, QINGYANG CITY, GANSU, CHINA

| | |
|---|---|
| Sample Name: | SHINE SKIN PUMPKIN SEED KERNELS,AA GRADE |
| Manufacturer: | QINGCHENG JIAHUI FOOD CO.LTD |
| Sample Batch No.: | PO62356 |
| Production Date: | 2018/07/26 |

**Above information and sample(s) was/were submitted and certified by the client, SGS quoted the information with no responsibility as to the accuracy, adequacy and/or completeness.**

| | |
|---|---|
| SGS Reference No. : | SHAFD1816929200 |
| Date of Sample Received : | 30 Jul 2018 |
| Testing Period : | 30 Jul 2018 - 07 Aug 2018 |
| Test Requested : | Selected test(s) as requested by client. |
| Test Method : | Please refer to next page(s). |
| Test Result(s) : | Please refer to next page(s). |

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REVIEWED ON August 18-27, 2018.

SGS Authorized Signature

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SGS-CSTC Standards Technical Services (Shanghai) Co., Ltd. | 3rd Building,No.889,Yishan Road,Shanghai,China 200233 t 400 - 691 - 0488 f (86-21) 6140 2547 www.sgsgroup.com.cn

DOCUMENT REVIEWED AND ASSESSED BY CLAUDIO INNOCENTI (PARTNER & PCQI) ON OR ABOUT FSVP PLAN'S NOTED REVIEW START AND END DATES

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Report Verifying

# Test Report

ASH18-036578-01

Date: 07 Aug 2018

Sample Description :

| Specimen No. | SGS Sample ID | Description |
|---|---|---|
| 1 | ASH18-036578.001 | 1 bag ca.400g sample in bag |

Microbial test

**Test Result(s) :**

| Test Item(s) | Unit | Test Method(s) | Test Result(s) 001 |
|---|---|---|---|
| Salmonella/25g | - | FDA/BAM online Chapter 5 | ND |
| Coliforms | CFU/g | FDA/BAM online chapter 4 | <10 |
| Aerobic Plate Count | CFU/g | FDA/BAM online Chapter 3 | 7.9x10^2 |
| Listeria spp./25g | - | ISO 11290-1:2017 | ND |
| Escherichia Coliform | CFU/g | FDA/BAM online Chapter 4 | <10 |

Chemical test

**Test Result(s) :**

| Test Item(s) | Unit | Test Method(s) | Test Result(s) 001 | LOQ |
|---|---|---|---|---|
| Free fatty Acid | g/100g | AOAC 940.28 | 0.24 | - |
| Aflatoxin $B_1$ | μg/kg | GB 5009.22-2016 III | ND | 0.3 |
| Aflatoxin $B_2$ | μg/kg | GB 5009.22-2016 III | ND | 0.20 |
| Aflatoxin $G_1$ | μg/kg | GB 5009.22-2016 III | ND | 0.30 |
| Aflatoxin $G_2$ | μg/kg | GB 5009.22-2016 III | ND | 0.20 |
| Aflatoxin($B_1$+$B_2$+$G_1$+$G_2$) | μg/kg | GB 5009.22-2016 III | ND | - |

Remark:
1.ND = Not Detected
2.LOQ = Limit of Quantitation

*** End ***



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# 中华人民共和国出入境检验检疫
# ENTRY-EXIT INSPECTION AND QUARANTINE OF THE PEOPLE'S REPUBLIC OF CHINA

正 本
ORIGINAL



## 品质/重量证书 INSPECTION CERTIFICATE OF QUALITY AND WEIGHT

编号 No.: 218000002653946

发货人
Consignor QINGCHENG JIAHUI FOOD CO.,LTD

收货人
Consignee UNICORN INGREDIENTS LTD.

| | |
|---|---|
| 品名 Description of Goods | 标记及号码 Mark & No. |
| | SEE ATTACHMENT |
| 报检数量/重量 Quantity/Weight Declared | |
| **720PAPER BAGS/**18000KGS | |
| 包装种类及数量 Number and Type of Packages | |
| **720PAPER BAGS | |
| 运输工具 Means of Conveyance | |
| BY VESSEL | |

QUALITY:

In accordance with the stipulations of the standard NO.SN/T1963-2007, the samples were drawn at random and inspected with the results as follows:

MOISTURE: 6.9%
PURITY: 99.98%
BROKEN KERNELS:1.6%
DIS-COLOUR KERNELS:0.3%
INSECT DAMAGE:0.1%
STONES, GLASS, METALS OR PAPERS NOT FOUND.

WEIGHT/QUANTITY:

The above mentioned goods were weighed on the tested scale with the results as follows:
TOTAL GROSS WEIGHT: **18259.2**KGS
TOTAL NET WEIGHT: **18000**KGS
TOTAL NUMBER OF PACKAGES: **720**PAPER BAGS.

PACKING:

INSIDE 25 KGS NET VACUUMED BAGS WITH PAPER BAGS OUTSIDE

CONCLUSION:

The above mentioned goods comply with the stipulations of the contract No.:P04115.

REMARKS:

DESCRIPTION OF GOODS:HEAT TREATED PUMPKINSEED KERNELS, SHINE SKIN GRADE AA.

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REVIEWED BY CLAUDIO INNOCENTI. PCQI.
REVIEWED ON August 18-27, 2018.

印章 Official Stamp

签证地点Place of Issue PINGLIANG

签证日期Date of Issue 19 Jul.,2018

授权签字人Authorized Officer CHENG WENBO

签 名Signature

我们已尽所知和最大能力实施上述检验，不能因我们签发本证书而免除卖方或其他方面根据合同和法律所承担的产品质量责任和其他责任。 All inspections are carried out conscientiously to the best of our knowledge and ability. This certificate does not in any respect absolve the seller and other related parties from his contractual and legal obligations especially when product quality is concerned.

[c 1-1(2000.1.1)]

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# 证书
# CERTIFICATE

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编号 No.: 218000002653942001

## ATTACHMENT

标记及号码
Mark & No.

Pumpkinseed Kernels Shine Skin Grade AA
Heat Treated Grade
P04115/1/1
Batch no: 6200/1300118090
25kgs Net Weight
BBE: Jul. 2019
Product of China

********

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# SHIPPING MARKS/LABLES

Shineskin pumpkin kernels Grade AA

Sunrise Commodities

Englewood Cliffs, NJ 07632

P.O. 62354

Product of China

Net wt. 25 kgs

PRODUCT NAME: SHINE SKIN PUMPKINSEED KERNELS,AA GRADE

SANITORY REGISTRATION NO.:6200/13001

PRODUCTION BATCH: 6200/1300118069

MANUFACTURER:QINGCHENG JIAHUI FOOD CO.,LTD

DATE OF PRODUCTION:2018/06/24

REVIEWED BY
CLAUDIO INNOCENTI. PCQI.
REVIEWED ON
August 18-27, 2018.

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# 庆城县嘉辉食品有限公司
# QINGCHENG JIAHUI FOOD CO., LTD.

ADD: YIMA TOWN, QINGYANG CITY,GANSU, CHINA

May, 10, 2018

## Nutrition facts

PRODUCT: pumpkin seed kernels, A/AAgrade

PRODUCT HS CODE: 121299990, ISSUED DATE: May, 09, 2018

| | % daily value |
|---|---|
| Total fat: 8 g | 10% |
| Saturated fat :1 g | 5% |
| Trans fat : 0 g | |
| Cholesterol : 0 mg | 0% |
| Sodium : 180 mg | 7% |
| Total carbohydrate : 37 g | 13% |
| Dietary fiber : 4g | 14% |
| Total sugars : 12g | |
| Protein : 3g | |
| Vitamin D : 2mog | 10% |
| Calcium :260 mg | 20% |
| Iron : 8 mg | 45% |




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FDA FACILITY REGISTRATION AND RENEWAL SERVICES

AFI

*This certificate certifies:*

# QINGCHENG JIAHUI FOOD CO.,LTD.

*will be represented by the*
*Association of Food Industries, Inc. (AFI),*
*which will act as its U.S. based agent for the purposes of*
*FDA Facility Registration*

Expiring December 31, 2018 *

The above facility was registered or renewed with
the FDA and has been assigned or retains the
following facility registration number:
14201126048

Bob Bauer, President

*As long as the company remains a member in good standing with the Association of Food Industries.

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Claudio Innocenti

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Organic Shelled pumpkinseed AA Northwest
Shine skin {Pepitas}
net weight:25kgs/55.115 lbs
gross weight:25.9kgs/57 lbs
JFB/OAK/P11597-001
CHN31051/190602
PRODUCT OF CHINA

Organic pumpkin seed/kernels
Net weight: 25 kgs/55.115 lbs
Lot No.: 6200/1300119085
Producer: QINGCHENG JIAHUI FOOD CO.,LTD.
YIMA TOWN, QINGCHENG COUNTY, QINGYANG CITY, Gansu Province, P. R. China
Production date:2019-06-02
Certified organic by Kiwa BCS Öko-Garantie GmbH

USDA ORGANIC

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# Warning Letters

**Learn about the types of warning letters on FDA's website.** (/inspections-compliance-enforcement-and-criminal-investigations/warning-letters/about-warning-and-close-out-letters)

- Matters described in FDA warning letters may have been subject to subsequent interaction between FDA and the letter recipient that may have changed the regulatory status of issues discussed in the letter.
- To obtain additional available information, contact FDA. Requests to FDA for agency records should be sent to: Food and Drug Administration Division of Freedom of Information (HFI-35), 5630 Fishers Lane, Rockville, MD 20857. Instructions for how to submit an FOI request can be found at How to Make a FOIA Request. (/how-make-foia-request)

**Search**

QingCheng

Showing 0 to 0 of 0 entries (filtered from 3,171 total entries)

**Filters**

**Issuing Office**

**Letter Issue Date** **Letters with Response or Closeout**

**Posted Date** **Year**

Clear Filters

Show 10 entries Export Excel

| Posted Date | Letter Issue Date | Company Name | Issuing Office | Subject | Response Letter | Closeout Letter |
|---|---|---|---|---|---|---|

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Showing 0 to 0 of 0 entries (filtered from 3,171 total entries)

Previous Next

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# Warning Letters Search Results

Search Criteria: Company is "CJ Uniworld Corporation" and Response Letter Posted is either "Yes" or "No" and Has Closeout Letter is either "Yes" or "No"

**Search all warning letters**

Search **Advanced Search**

**Sort by:** Go Reset

**No. of Letters Found: 0**

| Company | Letter Issued | Issuing Office | Subject | Response Letter Posted | Closeout Date |
|---|---|---|---|---|---|

Prev | Next | 1 | First | Last | All

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