

PT. WARLBOR INTERNATIONAL INDONESIA

Operational Standards for Risk Management in Production Process

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List of Document Modifications

Date of modification	Modified content	Original version	Modified version	Modifier
17/02/2022	Initial Release Document	Version A time 0	Version A time 0	N/A
10/03/2023	Revised Chinese into 3 languages English, Chinese and Indonesian	Version A time 0	Version A time 1	MaWeiLei
09/10/2023	Divide the previous version into three and rewrite it according to the Chinese, English and Indonesian versions	Version A time 1	Version A time 2	Elian
08/04/2024	To change PMC to Supply Chain and Quality Control to Quality.	Version A time 2	Version A time 3	Elian

1 Purpose

Analyze and evaluate the risks in the production process of the company, and control according to the risk analysis and evaluation, so as to reduce or prevent the occurrence and influence of risks.

2 Scope of Application

This procedure is applicable to risk analysis, evaluation and control of the company's production process.

3 Responsibilities

3.1 Quality Department: Responsible for the revision, formulation and supervision of the implementation of this article.

3.2 Production Department: Responsible for the formulation, distribution, recovery and supervision and inspection of the implementation process of process technical standards;

Responsible for the preparation of chapters 5.3 to 5.7;

Responsible for the implementation of this standard and make relevant records.

3.3 Technical Department: Responsible for the formulation of tobacco raw material standards, core technical standards and technical standards for added auxiliary materials;

Responsible for the formulation of product technical standards;

Responsible for the formulation of technical standards for non-added auxiliary materials;

Responsible for the preparation of chapter 5.1 of this document;

Responsible for the supervision and inspection of the issuance, recovery and implementation of core technical standards and process technical standards formulated by the department.

3.4 Integrated Management Department: Responsible for customer order management, customer information collection and feedback; Management of product materials;

Responsible for receiving and managing other external documents, notices, management systems and other documents of the company;

Be responsible for the preparation of chapter 5.2 of this document.

3.5 Supply Chain Department: Responsible for purchasing raw materials and managing suppliers;

Be responsible for making production plan and warehouse management.

4 Definitions

None.

5 Contents

5.1 Product description

Product name	Thick pulp product
Raw and auxiliary materials	<p>1. Raw materials: tobacco raw materials such as ZIMBABWE FCV SCRAPS CF80 2021, MALAWI BURLEY MWBBR 2021, etc.</p> <p>2. Excipients: Calcium carbonate, glycerin, propylene glycol, functional additive 101, cationic guar gum, enhanced guar gum, ZT-095, ZT-176, flavors and fragrances, etc.</p> <p>3. Packaging materials: inner packaging bags or boxes and cartons, labels</p>
Product characteristics	<p>1. Characteristics: Tobacco slices by thick pulp method are products in which tobacco raw materials are crushed and evenly dispersed in water, adhesives and other additives are added, homogenate is spread on rotating and running metal belts, dried, peeled off, rolled or cut, and packaged.</p> <p>2. Chemical properties: The contents of total sugar, nicotine and glycerol meet the requirements of product standards.</p> <p>3. Physical properties: quantitative, thickness, tensile strength and moisture meet the standard requirements.</p>
Implementation standards	Standard for Heating Non-burning Reconstituted Tobacco Leaves
Existing risks	NIL
Risk control measures	Control environmental temperature and humidity during storage, transportation and processing
Packaging form	Inner film bag or box, outer carton
Storage conditions/shelf life	Materials stored in sanitary and clean, ambient temperature 22-25°C and ambient relative humidity 45-55% RH are stored and stacked neatly, with accurate identification, and cannot be stacked together with other materials. The shelf life is 12 months
Conditions of Carriage	The packaging of transported products is well sealed, and the environmental temperature and humidity are controlled

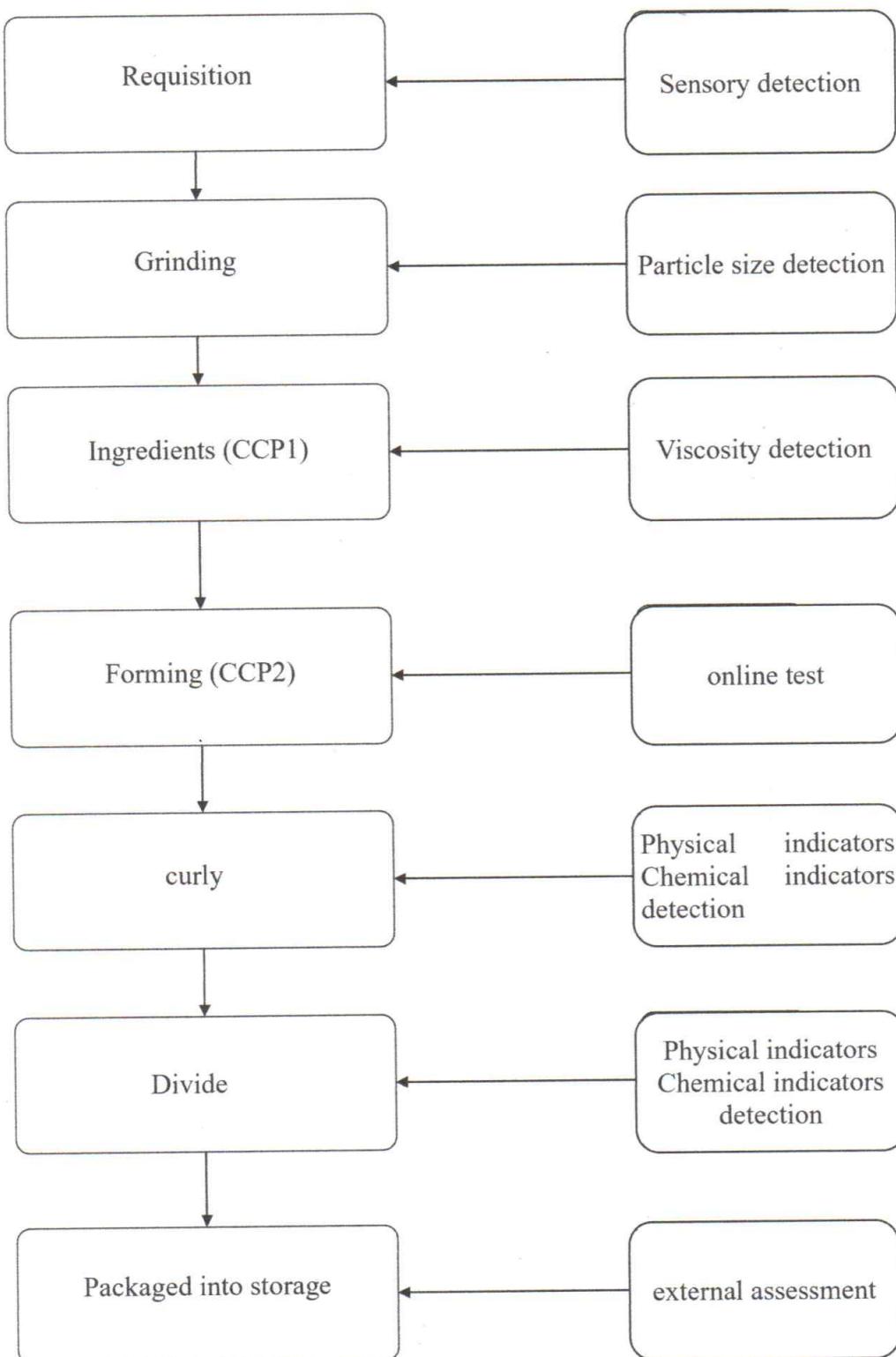
Product name	Thick pulp product
Sales area	China/Overseas
Label requirements	ISO/IEC GUDE 37-2012 Instructions for use of products by consumers
Purpose	Cigarette materials
The right consumer	The general public

5.2 Prospective users

WARLBOR INTERNATIONAL INDONESIA officially declares that the company's products comply with relevant laws and regulations and customer requirements, and the relevant legal responsibilities arising therefrom shall be borne by the company. Now, the expected users of the company's tobacco products are required as follows:

1. Tobacco processing enterprises
2. Add and use according to the requirements of national and relevant laws and regulations

5.3 Production process flow chart (regenerated tobacco leaves by thick pulp method)



5.4 Description of production and processing process of reconstituted tobacco leaves by thick pulp method

Picking: According to the production needs, issue the picking list, and issue the materials

from the warehouse.

Abrasive: In order to make the smoke dust and fragments of each unit of the leaf group fully mixed evenly, it is necessary to use micro-crushing equipment to crush the smoke dust and fragments. For specific operation methods, please refer to "Operation Instructions for Thick Pulp Milling".

Ingredients (CCP1): According to the process formula table, weigh accurate water, extract and feed liquid, so that the water and feed liquid can be fully dissolved and mixed. For specific operation methods, please refer to the Operation Industry Instructions for Batching Section of Thick Slurry Method.

Forming (CCP2): The slurry is uniformly pumped to the steel strip, heated by steam and hot air, and then solidified and formed. For details, please refer to the Operation Instructions of Thick Slurry Forming Section

Curling: Curling the formed paper web into a paper roll

Cutting: Cutting according to product specifications.

Packaging and warehousing: The packaged products shall go through warehousing procedures according to the warehousing process.

5.5 Risk analysis and evaluation

5.5.1 Risk of raw materials or service items provided by suppliers

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk	High risk control measures
Biological, chemical and physical hazards auxiliary materials of raw materials Purchasing and receiving of raw materials and	The purchased raw materials are contained in themselves or may occur in storage of products	Purchase from qualified suppliers, and sample and test each batch of raw materials	Conventional items are tested or stored in batches for more than 6 months, and same time, ensure special items that raw and auxiliary materials are stored according to regulations and requirements	Buyer, laboratory, Quality, warehouse	High risk	1、Perform performance appraisal of suppliers every year, and conduct on-site audit of suppliers when necessary. 2、Each batch of raw and auxiliary materials shall be accepted and tested according to the standard requirements.
radioactivity, foreign matter and other hazards	The raw materials of the products contain	laboratory. At the same time, ensure special items that raw and auxiliary materials are stored according to regulations and requirements	in more than 6 months, and same time, ensure special items that raw and auxiliary materials are stored according to regulations and requirements	High risk	3、Set up an independent warehouse for material storage, manage it by special personnel, establish a management system, and check the materials regularly.	
	The raw materials of the products are damp or contain parasites and other hazards	The purchased raw materials are contained in themselves or brought in storage			High risk	
Biological, chemical	It contains itself or is brought in storage,				High risk	

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk	High risk control measures
physical hazards of packaging materials	or does not meet the product contact requirements					
Hazards of service items (such as laundry, security, removal, transportation, pest control, external inspection, etc.)	Behaviors or activities that do not conform to product safety during service	Select qualified suppliers and review them, and review them again after a period of time.	1-2 times a year or when there are major problems	Relevant department	Low risk	

5.5.2 Safety risk assessment of areas and facilities

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Regional risk	Deliberate sabotage or undesirable elements enter the workshop through the entrance of the company gate	1、 Entrance alert; 2、 Identity registration; 3、 Surveillance video;	24 hours	Property	Low risk
	Regional risk of raw and auxiliary materials storage	Deliberate sabotage or abnormal entry of undesirable elements into	During working hours	the Head of Warehouse of personnel;	Low risk

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
	the warehouse	2、Special person is responsible for locking control; 3、Personnel patrol;	Surveillance video for 24 hours		
Entrance risk of each workshop	Deliberate saboteurs or undesirable elements enter the workshop site abnormally to destroy machinery and equipment, etc.	1、Personnel monitoring at the entrance of production time; 2、Surveillance video;	Daily	Production manager;	Risiko Person in charge of entrance
Production workshop	Abnormal entry of unauthorized persons	1、Mark and warn authorized personnel to enter; 2、Special person is responsible for monitoring and control; 3、Personnel patrol;	At any time during operation hours	The person in charge of batching area is locked; Inspection by Qualityler and production manager	Low risk
		1、Specialized person in charge of			

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Chemical warehouse	Abnormal use of chemicals by non-authorized personnel	1、Chemical management; 2、Chemical counter storage; 3、Chemical locking control; 4、Strict quantity management, use on the same day, and strict records	Daily	Head of Chemicals Management	Low risk
Dining place (workshop)	Microbial contamination	1、Set up an exclusive dining place 2、Establish a health inspection system 3、Check the dining place by a special person	Daily	Production Departement	Low risk
Equipment and facility risks	Facilities such as processing equipment and processing room are damaged	Pollution or pollution introduction caused by damage to equipment and facilities	Regularly inspect plant, environment, equipment, facilities, etc.	Check the plant once a week; On-site inspection at any time	Production Department-Equipment
	Unreasonable layout, non-product processing equipment and unreasonable processing	Cause level contamination	1.Establish the initial division, and establish the premise scheme for verification, and carry out corresponding transformation	1-2 times a year every time there is a new process or new product	Security team Low risk

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
flow		replacement where it is unreasonable.			
Foreign matter pollution	Glass, metal, fragile plastics	Cause contamination	cross program documents	Daily inspection	Production, Quality Low risk

5.5.3 Risk assessment of pest hazards

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Pest hazard	<p>Pollution of raw materials or products caused by insect pests</p> <p>1、 Eliminate pest breeding grounds;</p> <p>2、 Eliminate the access of insects and rats;</p> <p>3、 Effective pest and rodent control measures</p> <p>4、 Regular inspection of pest control, etc.</p> <p>5、 Professional pest companies provide regular services</p>	<p>Insect control inspection:</p> <p>weekly inspection, rodent control inspection: once/week</p> <p>From May to October, the three-party company will kill the service twice a month</p>	<p>Insect control inspection:</p> <p>weekly inspection, rodent control inspection: once/week</p> <p>From May to October, the three-party company will kill the service twice a month</p>	<p>Department responsible for pest control</p>	<p>Low risk</p>

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Temperature storage and transportation	Poor quality of required products caused by poor required; storage, loading and of transportation factors, and transportation	1、The corresponding warehouse storage shall be kept as occurs 2、Product quality monitoring during unloading; 3、Monitoring and abnormal monitoring in transportation; 4、Qualified and reputable freight company	When the job occurs	1、Quality department 2、Packing supervision 3、Freight company	Low risk
Cleanliness of warehouse	Cross-contamination and caused by unclean storage and truck transportation, and vehicles etc.	1、Warehouse regularly clean, 2、Health and safety inspection of vehicles arriving at the transportation factory; 3、Truck transportation is hygienic and clean	Vehicle inspection: before delivery	Warehouse eachstorage; Installation supervisor	Low risk
Safety of loading shipment	Cross-contamination in shipment	1、Special container trucks for carrying products; 2、On-site monitoring by the loader during loading and unloading; 3、End loading encapsulation protection	Daily delivery time	Installation supervisor	Low risk
Safety transportation	Delivery caused by vehicle failure and cargo transshipment transportation	1、Requirements stipulated in the contract of carriage; 2、Qualified and reputable freight company in	Contract of carriage;	of Responsible person	Low risk in

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
				charge of logistics	
5.5.5 Risk assessment for monitoring and measuring resource security					
Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Electronic balance	The error of electronic scale exceeds the standard, which leads to the inaccuracy of measurement	1、 Electronic scale for external verification 2、 Special calibration method code calibration; 3、 Calibration by trained personnel; 4、 Calibration according to specified frequency in production	Annual external inspection; Before production	Quality department, production department	Low risk
Thermometer	Error or fault of thermometer exceeds standard requirements, resulting in failure of temperature control	1、 External calibration of thermometer 2、 Trained personnel conduct in-house school 3、 Check its integrity before production and use	Annual external inspection; Before production;	Quality department, production department	Low risk
Pressure gauge	The error of pressure gauge exceeds the standard requirement, and the failure occurs during use, which leads to the failure of pressure control	External calibration of pressure gauge	every six months outside school, before production	production department	Low risk

WII/QP-25	Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
	Temperature and humidity meter	Failure of temperature and humidity meter leads to substandard temperature and humidity control	1、External calibration of temperature and humidity meter 2、Daily inspections	Go to school every year, inspect every day	Quality Department, Production Department, Supply Chain Department	Low risk
	Other laboratory instruments	The misalignment of the instrument causes the deviation of the detection data and affects the judgment of the product quality	Entrust qualified measurement and testing institutions to carry out verification every year Use within the strict validity period; Internal verification and regular maintenance	According to requirements	Quality Department	Low risk

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Physical hazards caused by falling off accessories worn by employees	Foreign bodies worn or carried by personnel entering the processing plant fall off and mix with products, resulting in physical hazards	1. Participants are the same as employees. If there is special need, they can apply, and the entrance hygienist should strictly record it	Every time you enter the workshop,	All personnel	Low risk
Contamination of hair, etc	Hair shedding and mixing with products	1. Male workers in processing plants are forbidden to grow beards	1. Every time the entrance of the processing plant enters;	All personnel	Low risk

WII/QP-25	Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
	Physical hazard	Foreign bodies in the pockets of overalls enter the workshop and mix with products	Production workers are equipped with uniform overalls and work shoes, and the uniform jackets of workers' overalls have no open pockets;	When the job occurs	General Management Department	Low risk

5.5.8 Product monitoring risk assessment

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Harm of raw materials	Inspection of the performance of incoming raw materials, resulting in unacceptable level of final products	1、According to the internal Quality department of the company, the raw materials are Implement inspection of raw material inspection standards; Implement inspection of raw material inspection standards;	Each batch of arriving raw materials	Quality Department	Low risk
Hazards of products	The performance of the product leads to an unacceptable hazard level of the product	The Quality department of the company will inspect the final product according to the finished product standard To carry out inspection on semi-finished products in production according to process inspection standards, so as to strengthen the monitoring level of product quality in production process; Find out the bad reasons in time;	The final product of each batch	Quality Department	Low risk
Harm of production water	Biological pollution of tap water leads to unqualified products	1. Regularly monitor tap water indicators	1 month/time	Production Department	Low risk

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description on of risk
	<p>On-site quality management items are unqualified: appearance, specifications, weight, packaging, labeling and other items are unqualified, which makes consumers complain, etc.</p> <p>Harm caused by factory sales of unqualified products</p>	<p>1. On-site Quality shall be tested according to AQL standard of specified method and frequency, and signed and released by Quality supervisor;</p> <p>Low risk</p>	AQL or Customer Requirement	Quality Department	Depa
	<p>The wrong product or quantity will lead to customer complaints and claims, and cause a series of problems</p> <p>The goods are not in conformity with the order or the packing list</p>	<p>Control and confirm in strict accordance with delivery\ packing process and logistics control procedures, and make relevant inspections and records.</p>	Per container or per shipment	Supply Chain Department Marketing Department Services Department	Low risk

5.5.10 Risk assessment of other new projects

Hazard identification	Hazard description	Risk control means	Control frequency/time	Responsible person	Description of risk
Change of production processing methods, material models and operators or changes in raw materials; New products do not meet relevant regulations or requirements.	Corresponding changes may lead to misjudgment of product quality caused by changes in raw materials; New products do not meet relevant regulations or requirements.	1、Through requirement control, each change must be verified accordingly 2、Make detailed production instructions and fully train corresponding personnel 3、Carry out necessary verification and approval of new products by risk management team.	Every time there is a change or a new product	Technology Department Production Department	Low risk

5.6 Determination and control of CCP points in the processing of reconstituted tobacco leaves by thick pulp method

(1) Machining Process	(2) Potential hazards	(3) Reasons for judging the existence of potential hazards	(4) Hazard assessment			(5) Is it a significa nt hazard	(6) Hazard measures	control	(7) Judgment Tree			CCP		
			Severity	sibilities	Hazard factor				Q1	Q2	Q3	Q4	Q	(8) Is it a critical control point (yes/no)
P: None														
C: None														
B: None														
Picking materials	Q: Material deterioration	Qualitative change of materials	D	21	No	Only the materials with the certificate of conformity posted by the Supplies and Management Department shall be collected. At the same time, after opening the lid before feeding, check whether the materials have qualitative changes by olfaction	Ye s	Ye s	Ye s	Ye s	Ye s	Ye s	Ye s	Ye s

(1) Machining Process	(2) Potential hazards	(3) Reasons for judging the existence of potential hazards	(4) Hazard assessment			(5) Is it a significa nt hazard	(6) Hazard measures	(7) Judgment Tree			(8) Is it a critical control point
			Severity	Sibilities	Hazard factor			Q1	Q2	Q3	
Mill powder	P: None										
	C: None										
	B: None										
	Q: Unqualified specification	Unqualified specifications caused by abnormal crushing screen	4	B	14	No	Formulate parameters	grinding			
Ingredients	P: Foreign impurities	The machining process may introduce	4	C	18	No	Equipment maintenance				CCP1

(1) Machining Process	(2) Potential hazards	(3) Reasons for judging the existence of potential hazards	(4) Hazard assessment		(5) Is it a significa nt hazard	(6) Hazard measures	control	(7) Judgment Tree		CCP		(8) Is it a critical control point
			Severity	sibilities				Q1	Q2	Q3	Q4	
C:	Excessive addition of chemical reagents	The machining process may introduce	Yes	According to the ingredient list	Ye	Ye	S	S	S	S	S	
B: None												
Q: None												
P: None												
C: None												
B: None												
Molding	Q: The product is wrinkled and blackened	The molding parameters are not controlled properly, which leads to blackening,	A 3	Yes	Formulate parameters	molding	Ye	Ye	S	S	S	CCP2

(1) Machining Process	(2) Potential hazards	(3) Reasons for judging the existence of potential hazards	(4) Hazard assessment			(5) Is it a significa nt hazard	Hazard measures	control measures	(7) Judgment Tree			CCP			(8) Is it a critical control point (yes/no)
			Severity	Sibilities	Hazard factor				Q1	Q2	Q3	Q4			
Curl		wrinkling or broken paper of the product													
P:	The product is wrinkled and origami		Wrinkled origami	5	A				15	No					
C: None															
B: None															
Q: None															
Packaging and warehousing			Packaging silk falls off, and personnel hair falls off	5	C				22	No					
C: None															
B:Tobacco	Tobacco	4	B	14											Tobacco beetle traps are

(1) Machining Process	(2) Potential hazards	(3) Reasons for judging the existence of potential hazards	(4) Hazard assessment		(5) Is it a significant hazard	(6) Hazard measures	(7) Judgment Tree			(8) Is it a critical control point (yes/no)	
			Severity	Sibilities			Hazard factor	Q1	Q2	Q3	Q4
Beetle	beetles enter products		No	installed in pizza boxes, and tobacco beetle traps are set in each area to monitor the insect situation and kill according to the insect situation.							
	Q: None										

Attachment: B= Biological Hazard C= Chemical Hazard P= Physical Hazard Q= Quality Defect If the hazard factor in the above hazard evaluation is less than or equal to 10, it is a significant hazard.

5.7 CCP Control Schedule

(CCP) Critical Control Point (CCP)	Significant hazard	Critical limit	Monitoring object	Monitoring method	Monitoring frequency	Monitoring personnel	Corrective measures	Risk management record	Verification procedures and steps
Chemical hazard: Excessive addition of chemical reagents	See formula	of	Visual observation	Each weighing	Scrap nonconforming products	Section chief	1. Weighing records by thick slurry method 2. Record of corrective and preventive actions 3. Disposal record of nonconforming products	1. The electronic scale is calibrated every year 2. Check before use	
Quality defects: Sensory disqualification	See parameter table for pressure and temperature		Visual observation	Every 2 hours	Duty officer	Isolation and rework of nonconforming products	1. Record sheet of thick slurry molding 2. Record of corrective and preventive actions 3. Disposal record of nonconforming products	1. Review and monitor records every week 2. Inspection and verification of finished products	

6 Relevant documents

6.1 WII/QP-02 (Record Control Procedures)

7 Relevant records

7.1 WII/QR01-01 (File Control List)

7.2 WII/QR01-02 (Record Control List)

7.3 WII/QR01-03 (Document Issuance Registration Form)

7.4 WII/QR01-04 (Document Recovery Registration Form)