

DISPLAY FIREWORKS SEMINAR

燃放类烟花研讨会

August 18, 2011



Opening Remarks

序言

Mr. John Rogers
罗杰士

From US Display Fireworks Importers

美国燃放类烟花进口商代表发言

Mr. Mike Cartolano – Melrose Pyrotechnics



Program Objective

本项目目标

To maintain and create shipping channels for 1.3G fireworks

维护和开拓燃放类烟花的运输渠道

Basic Components of Program

项目的基本组成

- ▶ No performance testing !!!
不做燃放测试!!!
- ▶ Program has three components:
项目包含三个部分
 - Stability verification
稳定性验证
 - Packaging compliance
包装符合性
 - Container loading supervision
货柜监装

Supporting Importers

More than 50% of U.S. Market

加入本项目的美国进口商



Fireworks by





Madam Julie Heckman – Executive Director
茱莉赫曼 – 执行董事

Introduction and Background 背景介绍

The APA is the premier trade association for the fireworks industry in the U.S.

美国烟花协会是美国烟花界的最主要贸易协会

▶ Representing 240 member companies including 代表240家会员公司:

- Professional display companies (importers)

燃放公司(进口商)

- Leading China fireworks manufacturers (exporters).

各大中国制造商(出口商)

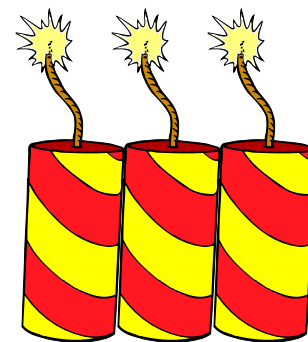
- Consumer fireworks importers, distributors & retailers.

消费品烟花的进口商,分销商和零售商

Display Fireworks Certification. Why?

为何要认证

- ▶ Improve Safety 提高安全性
- ▶ Improve Quality & Performance 提高性能和质量
- ▶ Ensure Chemical Stability & Consistency 保证药物安全稳定
- ▶ Ensure Ocean Carriers continue to accept 1.3G fireworks 保证船运公司接纳1.3G烟花



Why Now? 为何现在?

- ▶ Accidents involving Display Fireworks Storage created a Shipping Crisis that began in 2006 and peaked in 2008

以下烟花仓储事故引起2006至2008三年的船运危机:



- Sanshui Warehouse Explosion 三水仓爆炸
- Hyundai Fortune Vessel Fire 现代轮船大火
- Cosco Container Explosion, Changsha 长沙货柜爆炸

All ‘spectacular’ incidents with wide press & internet coverage. 均被媒体广泛报道



Hyundai Fortune – March 21, 2006

现代轮船大火 – 2006年3月21日



- ▶ Not Caused by Fireworks
这并非烟花本身引起
- ▶ Misdeclared hazardous cargo next to engine room
而是因为错误申报的危险品放在引擎舱旁
- ▶ When fire hit upper deck, including the display fireworks – quite dramatic. 大火引燃了上层舱位的燃放类烟花

Xingang Port / Changsha 长沙霞凝港



Xingang Port / Changsha, May 2006 霞凝港



Xingang Port / Changsha, May 2006 震凝 港



Consequences of these high profile accidents: 重大事故引起的后果

- ▶ Steam Vessels Stopped accepting 1.3 G Fireworks for transport. 船运商停运1.3G烟花
- ▶ APA and U.S. Importers met with Carriers to find a solution. APA和美国进口商与船运商会商解决办法
- ▶ Carriers demanded certification of proper classification & container loading. 船运商要求对烟花进行正确分级和装柜
- ▶ After several years, industry took its initial plan to AFSL to seek a formal program. 数年后, 开始尝试与美标所建立正式的项目程序.

The Future 未来:

- ▶ Certification of Display fireworks will give carriers assurance they need to move the products. 检验认证使船运商确定可以运输燃放类烟花
- ▶ Certification will help reduce inspections by CBP, DOT, DHS, in the U.S. 在美国可以降低政府部门的监管
- ▶ Certification may help with ongoing EX Approvals problems with DOT. 也可能对目前的EX号申请问题有所帮助

Display Fireworks Program 燃放类烟花程序

Three components 3个部分:

1. Annual factory audits 年度工厂审核
2. On-site product evaluations 工厂产品评估
3. Container loading supervision 集装箱监装

On-site Product Evaluation 工厂产品评估

▶ Purpose 目的

- Ensure the product and packaging comply with the requirements of AFSL program.
确保产品和包装符合美标所燃放类烟花程序的要求
- Certify all shipping cartons with an AFSL sticker.
被认可的产品外箱上会发给美标所标签

On-site Product Evaluation

工厂产品评估

- ▶ Shipper submits an application for product evaluation to SGS.
出口商向SGS提交产品评估申请
- ▶ Evaluation completed within 3 working days.
SGS会在3个工作日内去工厂完成产品评估

Carton Evaluation 外箱评估

▶ Shipping Carton Specifications

外箱规范:

- **5 layers for < 20kg** 总重量小于20公斤用5层箱
- **7 layers for => 20kg**
总重量大于等于20公斤用7层箱
- **Visible damage** 不能有明显的破损
- **Integrity of shape** 外形规整无变形
 - **square or rectangular in shape having sides that are 90 degrees** 长方体或正方体各边平直
- **Stack test** 堆码测试
 - **minimum 92 inch height and remain straight, sturdy and maintain their original shape**
经最低92英寸高的堆码测试后外箱无变形

Carton Evaluation 外箱评估



Carton Evaluation 外箱评估



Carton Evaluation

外箱评估

▶ Interior Packaging Specifications:

内包装规范:

- **Display shells must have a space between the products and top of shipping carton, excluding the dividers.**
礼花弹之间及礼花弹与箱顶之间必须要有空隙,隔板除外.
- **Cake items, finales, and chained fused items will be checked for proper spacing inside the carton.**地礼类, 有结尾效果的产品或串引式的产品在装外箱时产品间要有合适的空间

On-site Product Evaluation

产品现场评估

▶ Product Inspection Criteria

产品检验标准

- Contents will be checked to ensure that product matches carton markings.
产品要与外箱箱唛描述一致
- Product will be inspected for proper warning labels, product description label, and importer identification label.
要检查产品警告标签，产品描述，进口商商标
- Products will be checked to ensure size is within industry standards and tolerance.
检查产品的尺寸确保尺寸在行业公差内

On-site Product Evaluation

产品现场评估

▶ Product Inspection Criteria

产品检验标准

- Products will be inspected for powder leakage.
检查漏药
- Lift charge chamber will be inspected for secure attachment.
检查上升药部件是否牢固地附着在产品上
- Fuses will be checked for secure attachment and proper placement inside the carton.
检查引线的牢固度并看是否安置在合适位置

Carton Evaluation

纸箱评估



On-site Product Evaluation

产品现场评估

▶ Certification of Lots

批次认可

- A Security Lot ID Number will be stamped on each carton in a lot.

该批产品的每一箱上都会用印章盖上批号

- Each shipping carton in an approved Lot will have an AFSL Security Sticker attached.

产品的每一箱上都会粘上AFSL标签



On-site Product Evaluation

产品现场评估

▶ Reporting 报告

- The technician will complete a product evaluation report on-site and provide the result to factory representative.
检验结束后技术员会告知工厂代表检验结果并现场出具报告
- The report will be provided to shipper by the next working day.
下一个工作日船运商能得到报告结果
- Results will be stored in AFSL database for tracking.
检验结果会储存到美标所数据库
- The original reports will be distributed to the shipper monthly.
原始报告会按月寄给船运商

Loading Supervision Procedures

监柜程序

▶ Purpose目的

- Verify that only AFSL certified/approved display fireworks are loaded into shipping containers.
确认只有经美标认可的产品被装进集装箱
- Verification of shipping documents.
确认装箱文件
- Verify the goods are secured for transportation.
确认产品被安全装箱以便运输

Loading Supervision Procedures

监柜程序

Scheduling 排期

- When the goods are ready to ship, the exporter/manufacturer will request loading supervision inspection from SGS at least 2 working days in advance.

产品准备出货前，进口商或工厂要至少比装箱日期提前2天向SGS提交监装申请

- AFSL certified technicians will be assigned to conduct loading supervision on scheduled date at either a consolidation warehouse or manufacture warehouse.

美标所认可的技术员在排定的装箱日期去指定仓库或工厂仓库实行监装

Loading Supervision Procedures

监柜程序

▶ Loading 监装

- Check the product quantity against the shipping papers / packing list.
检查产品数量是否与装箱单等文件一致
- Check the general condition of container interior and exterior (e.g. leakage, damage, infestation, etc.).
检查集装箱的内外部状况（例如：是否有泄漏，破损，害虫等）
- Supervise the loading process, take photos for documentation.
监督装箱过程并拍照记录
- Make sure the blocking and bracing is in place.
确认最后的挡块挡板安置到位
- Apply AFSL/SGS seal to the container.
锁上AFSL或SGS的封条

Loading Supervision Procedures

监柜程序

▶ Reporting报告

- The final report will be issued to the client within 1 working day.

最终报告在一个工作日内出给客户

- The report will be uploaded into the AFSL database for tracking purposes.

报告会上传到美标所数据库供追踪

Loading Supervision Procedures

监柜程序

Failure criteria 不合格判定标准

- Products were not properly certified.
产品未经认可
- Unacceptable condition of container (leakage, damaged, etc.)
不合格的集装箱（泄漏，破损等）
- Broken and/or damaged fireworks shipping cartons and failure of exporter to take timely corrective action.
未及时采取合适措施纠正破损或损坏的外箱

SGS will terminate the loading supervision inspection, the AFSL/SGS seal will not be applied and the client will be notified.

发生上述状况SGS会终止监装且不会锁AFSL或SGS封签，并且会将状况报告客户

Participation Requirements for Shippers

船运商参加要求

1. Sign an AFSL participation agreement.
签署美标所参与协议
2. Apply for product evaluation on behalf of US importers.
代表美国进口商申请产品评估

2011 Program Timetable

2011项目时间表

Aug.1 – Factory audit checklist was distributed for comments.

8月1号分发工厂审核检查表

Aug.18 – Follow-up meeting with display industry

8月18号与业界后续会议

Sep.1 – Nov.30 Factory audits conducted

9月1号到11月30号进行工厂审核

Nov.29 – China Industry Meeting

11月29号与业界会商

Jan.1,2012 – Initiate products evaluation and container loading supervision

2012年1月1号开始产品检验和货柜监装

Display Fireworks Factory Audit

燃放类烟花工厂审核

Hardlines – Fireworks Team
SR Solutions/Factory Audit Services
SGS–CSTC Standards Technical Services Co., Ltd.

通标标准技术服务有限公司
HL烟花组
社会责任解决方案/工厂审核服务部

Agenda 会议议程



A Brief Introduction of our Fireworks Team

烟花团队简介

- ▶ The SGS Fireworks Team has serviced the AFSL Program for more than 2 years.
SGS通标烟花团队2年前开始为美标所提供服务.
- ▶ Currently there are 42 highly trained & qualified Technicians on our Team.
目前,烟花团队总共有42名资深检验人员.
- ▶ Several Technicians have industry experience of more than 10 years.
其中多名检验人员从事烟花检验工作超过10年.

Current China Field Organization

烟花组成员

	Senior Certified Technician 高级认可 技术员	Certified Technician 认可技术员	Technician 技术员	Assistant Technician 助理技术员	Total 合计
Fireworks Technicians 烟花技术员	11	9	12	11	42
Auditors 审核员	5				

Program's Senior Contact

项目负责人

Shippers & Factories are **required** to copy
Rex Liu on ALL Email communication
directed to SGS at:

请出口商和工厂抄送所有邮件给Rex Liu

Rex.Liu@SGS.com

Agenda 会议议程



The AFSL Registration Number

美标工厂注册号

- Each compliant factory will be assigned a unique AFSL Reg. No. related to your Factory ID No.
每个通过审核的工厂会得到一个唯一的与商检工厂号相对应的美标注册号

The format: AFSL-DF-XXX

注册号格式: AFSL-DF-XXX

- The Reg. No. must be printed/stamped on the export carton and included as part of the shipping mark (under the Factory ID No.);
美标注册号要标识在外箱上, 位于商检工厂号下 (可以采取印刷, 敲章或标签的方式)

The AFSL Registration Number

美标工厂注册号

- The program requires an Audit to be conducted annually and factories must receive a pass rating to maintain the AFSL Reg. No. from expiring.

工厂审核每年进行一次, 如果通过审核则分配美标注册号. 以此确保工厂美标注册号有效.

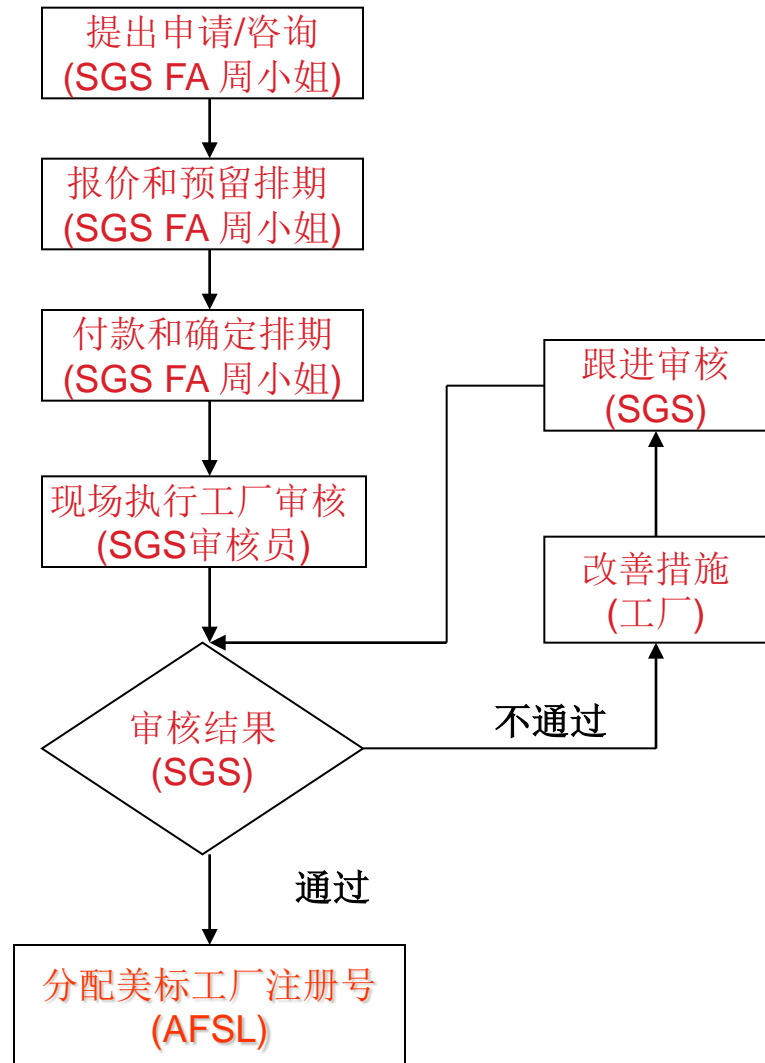
- The AFSL Reg. No. will expire within 1 year of issuance unless each Factory receives a pass rating on their Annual Audit.

工厂美标注册号从分配时开始计算, 有效期为一年.

Program Procedure

工厂审核操作流程

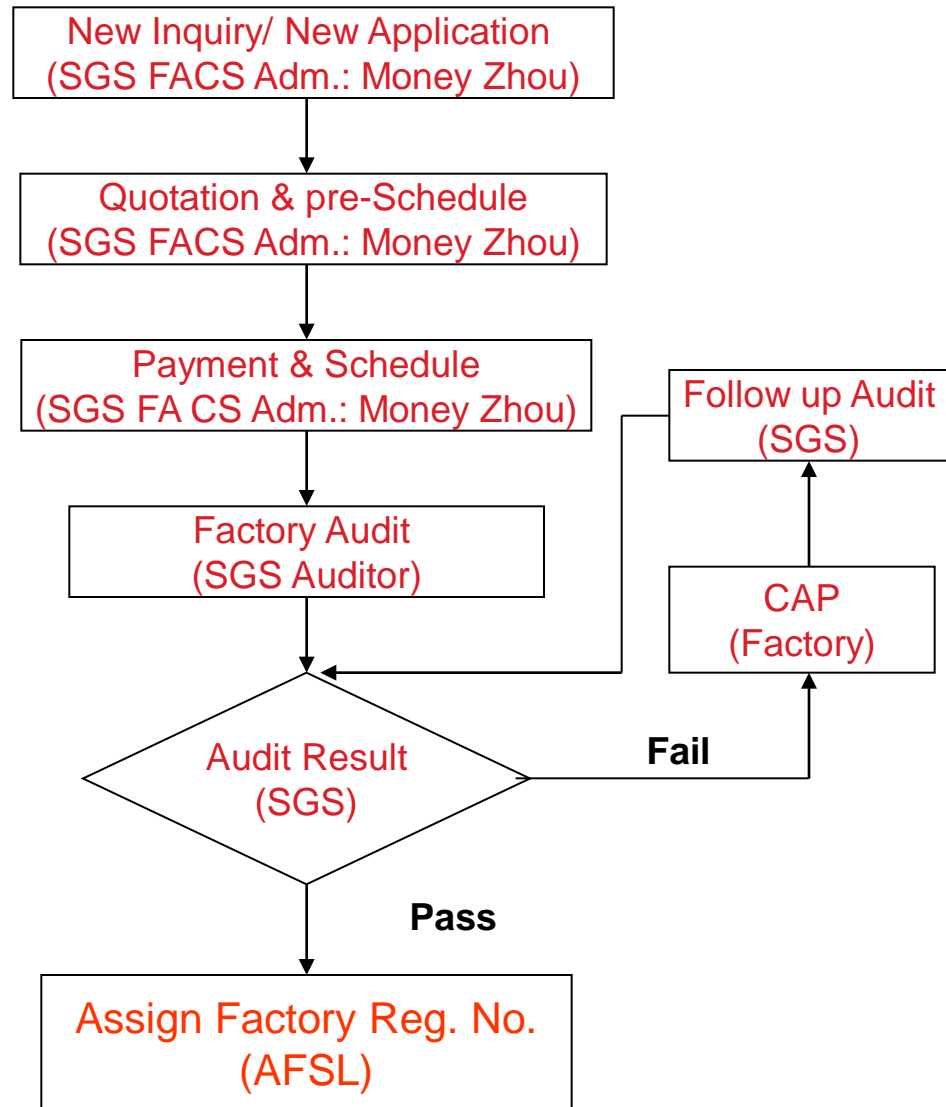
- ▶ 联络人:通标公司工厂审核部
周小姐
- ▶ 电话:
86 (0755) 25328888
分机8319
- ▶ 传真:
86 (0755) 83197579
- ▶ 邮箱:
Money.Zhou@sgs.com



Program Procedure

工厂审核操作流程

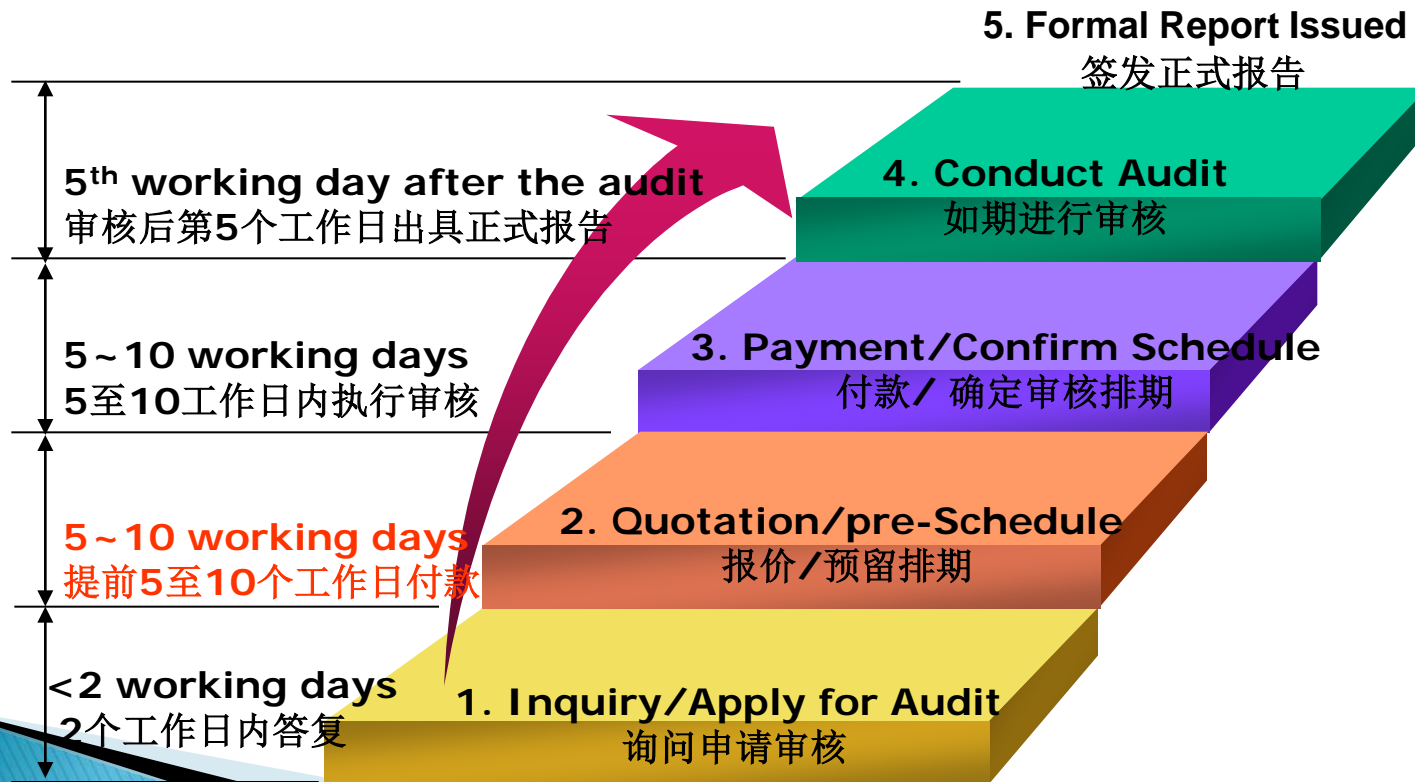
- ▶ Program Coordinator:
Money Zhou
- ▶ Phone:
86 (0755) 25328888
ext. 8319
- ▶ Fax:
86 (0755) 83197579
- ▶ Email:
Money.Zhou@sgs.com



Program Lead Times

燃放类烟花质量管理体系工厂审核

Usually, the lead time from application to release of formal audit report is 2~ 4 weeks. 针对某个具体审核, 通常从询价申请审核到正式审核报告的签发需要 2 ~ 4 周时间. The minimum lead time (payment ~ reporting): 2 weeks 付款后最快 2 周可签发审核报告.



Program Lead Times

燃放类烟花质量管理体系工厂审核

Quotation provided within 2 working days after inquiry
对于审核申请和询价,须两个工作日内回应

Payment in advance by 10 working days is required
工厂须提前10个工作日付费

Audit executed within 10 working days after payment
付款后确定排期,并在10个工作日内执行审核 (+10)

CAP provided on the same day as the audit.
审核当天会出具现场审核报告,工厂须提交改善措施,

Final report provided within 5 working days
审核后5个工作日内提交正式审核报告 (+5)

SGS FA
通标公司
工厂审核
部

Audit Result: Pass or Fail

审核结果：通过或不通过

- ▶ The Audit will be scored to a 100% total
工厂审核满分为100分.
- ▶ Standard Checkpoints = 2 Points
每一个非严重问题, 计分为2分.
- ▶ Critical Checkpoints = 5 Points
每一个严重问题, 计分为5分.
- ▶ Compliant Ratings = Full Point Value
符合, 则满分
- ▶ Non-Compliant Ratings = 0 Points
不符合, 统一为0分

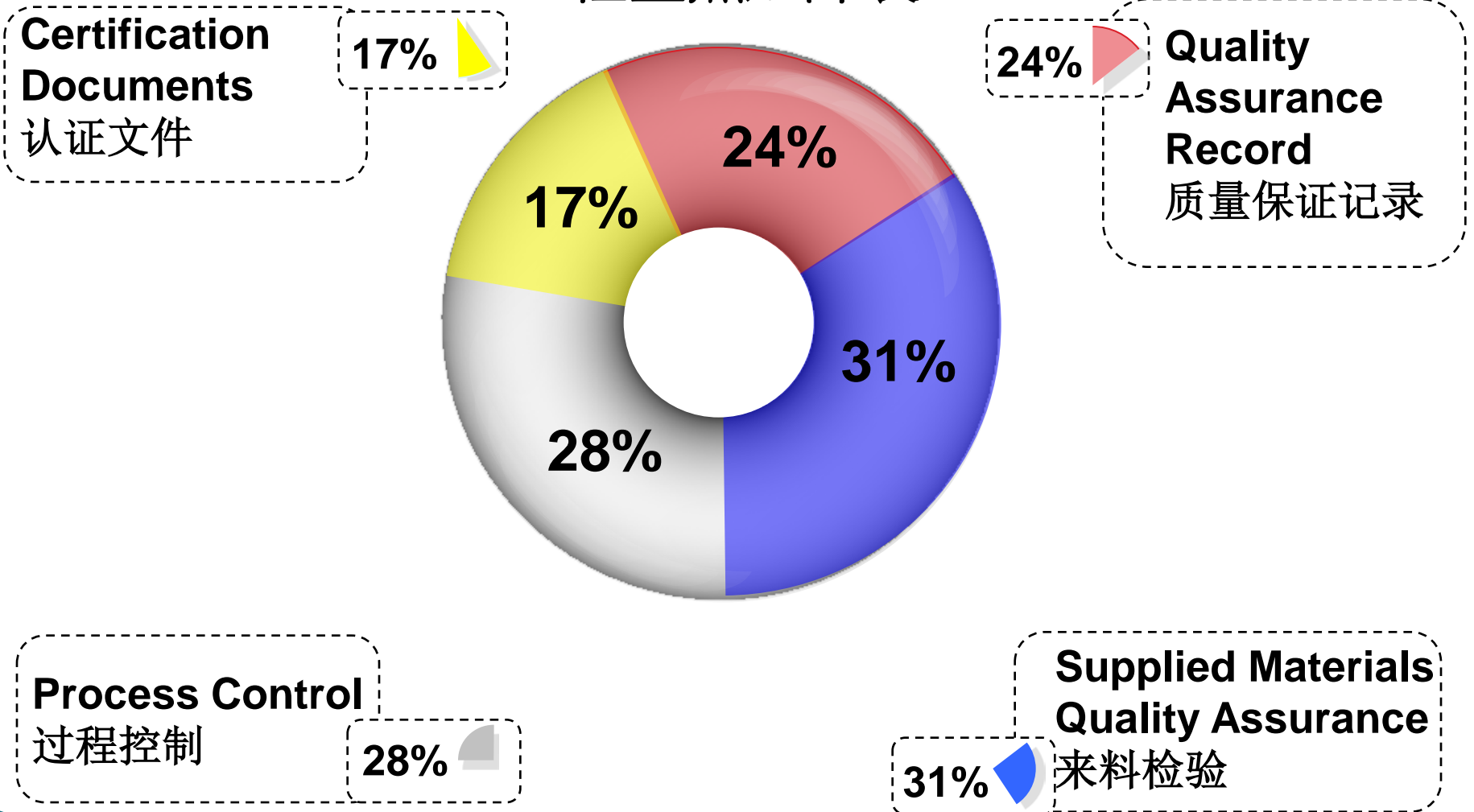
Audit Content Sectional Breakdown

检查点矩阵表

	Quality Assurance Record 质量保证记录	Supplied Materials Quality Assurance 来料检验	Process Control 过程控制	Certification Documents 认证文件	Total 总计
Standard Checkpoints (2 Points) 非关键检查点 (每点2分)	6	4	5	0	15
Critical Checkpoints (5 Points) 关键检查点 (每点5分)	1	5	3	5	14
Total Checkpoints 总检查点数	7	9	8	5	29
Ratio 百分比	24%	31%	28%	17%	100%

Audit Content Sectional Breakdown

检查点矩阵表



Audit Scoring Criteria

得分和级别

	Quality Assurance Record 质量保证记录	Supplied Materials Quality Assurance 来料检验	Process Control 过程控制	Certification Documents 认证文件	Total 总计
Standard Checkpoints (2 Points) (每点2分)	6	4	5	0	15
Maximum score 满分	12	8	10	0	30
Critical Checkpoints (5 Points) (每点5分)	1	5	3	5	14
Maximum Score 满分	5	25	15	25	70
% 百分比	17%	33%	25%	25%	100%

Audit Result: Pass or Fail

审核结果：通过或不通过

- ▶ The Audit's Overall Score will determine a Pass/ Fail Rating

依据审核分数判断审核结果

- Scores totaling ≥ 80 Points = Pass Rating
大于等于80分, 审核通过
- Scores totaling < 80 points = Fail Rating
小于80分, 审核未通过

Corrective Action Plan (CAP)

纠正措施和改善计划

- ▶ All Non-Compliant findings must be addressed with a CAP
所有不符合项必须提供纠正措施和改善计划.
- ▶ The type of Follow-up Audit is determined by the Auditor as either On-site or Desktop Review
跟进审核的形式: 现场跟进审核或文审跟进审核

Corrective Action Plan (CAP)

纠正措施和改善计划

- **On-site Follow-up: Non-Compliant Checkpoints related to Implementation**
现场跟进审核:属于实际操作执行方面的不足,必须现场跟进
- **Desktop Review: Non-Compliant Checkpoints related to Documentation/Record Keeping**
文审跟进审核:属于文件记录方面的不符合项,只需文审跟进

Follow-up Audit

跟进审核

- ▶ On-site Follow-up
现场跟进审核
 - Must be finished within 2 months after the Audit is conducted
现场跟进审核: 须在审核后的2个月内完成

Follow-up Audit

跟进审核

▶ Desktop Review

文审跟进审核

- The evidence of Corrective Action taken must be submitted within 1 month after the Audit
文审跟进审核时, 改善的证据(文件记录)须在审核后1个月内提交
- Evidence may be submitted electronically to:
提交的地址为 **FA.CAP1@SGS.com**
- Types of evidence permitted include: photo of documents/records in Word, Excel, PDF, or jPeg (<2M bytes in total)
证据的形式可以是各种版本的文件和照片, 但总容量不超过2M(每份照片或文件100K~300K)

Quotation

审核报价

Audit Type 审核类型	Full Audit 全审	Follow-up Audit 跟进审核	
	Initial Audit 初审 / Annual Audit 年审	On-site Follow-up 现场跟进	Desktop Review 文审跟进
Audit Fee 审核费	USD 900/ Audit 900美金/审核	USD 600/Audit 600美金/审核	USD 250/ Factory 250美金/工厂

Quotation

审核报价

- ▶ All fees include the Audit Service and travel expenses
审核费用已包含现场审核费,差旅费,酒店机票等费用
- ▶ The fee associated with the Desktop re-Audit Service is based on a case. A case is defined as one complete Audit and could include several rounds of Checkpoint review
文审跟进: 一个案例可能须经过多个回合文审: 提交证据资料→文审→再提交证据资料→再次文审→...→关闭结案

Related Program Forms

相关表格

- ▶ Quotation Request Form (available on AFSL website: www.afsl.org) 报价申请表
- ▶ Quotation Form 报价表
- ▶ Booking Advice Letter 审核通知函
- ▶ Audit Report: Checklist (including guideline) 审核检查表包含指引
- ▶ CAP 现场审核报告(纠正措施)
- ▶ Document List 审核要求的文件清单

Agenda 会议议程



Audit Content Review

审核内容介绍

Section 1

Quality Assurance Record 质量保证记录

1.1 Does the Factory have a Quality Policy? 是否制定了质量方针?

- ▶ Guideline 指引:
- ▶ Validation by interview with General Manager (GM), or Management Representative (MR) on what the Quality Policy is.
询问总经理或管理者代表，其质量方针内容。
- ▶ In case of GM or MR not available on site, validation by interview with Supervisor/Manager of Quality Control (QC)/Quality Assurance (QA) Team.
也可询问主管或/QC经理/QA人员。

1.1 Does the Factory have a Quality Policy? 是否制定了质量方针?

- ▶ Guideline 指引:
- ▶ Validation by interview with General Manager (GM), or Management Representative (MR) on what the Quality Policy is.
- ▶ 询问总经理或管理者代表，其质量方针内容。
- ▶ In case of GM or MR not available on site, validation by interview with Supervisor/Manager of Quality Control (QC)/Quality Assurance (QA) Team.
- ▶ 也可询问主管或/QC经理/QA人员。

1.2 Has the policy been adequately communicated to all employees?

质量方针是否被充分的传达给了所有员工?

- ▶ Guideline指引:
- ▶ Basic requirement基本要求:
 - A written quality policy has been published to all employees by white board, slogan, banner, etc. (validate by random interview). 质量方针应利用白板, 标语, 横幅等方式公告给所有员工 (以抽查员工的方式进行验证)。
- ▶ Best practice目前相对较好的做法:
 - A written quality policy is documented in a quality manual. It is published (not only by a simple method – e.g. white board, slogan, banner, etc.) 质量方针应以文件化的形式包含在质量手册中。
 - The printed quality manual (by documentation of a Quality Management System – e.g. QMS ISO9001) is available and within the possession to all employees. 在各工序段都有印刷成册的质量手册。(按照某一质量体系: 如ISO9001)。

1.3 Does the Factory have a Quality Manual? 是否有质量手册?

- ▶ Guideline指引:
- ▶ Basic requirement基本要求:
 - A Quality Manual (QM) has been established and published to different functional departments.制定质量手册并派发各部门。
- ▶ Best practice目前相对较好的做法:
 - A QM is available in line with the QMS ISO9001 with accredited certificate. The QM has been issued, approved, and published to related departments for implementation. 经过ISO9001认证有效的质量手册派发各部门贯彻执行。有质量手册，并且质量管理体系已经获得ISO9001认证（意思是质量手册通过认证审核被认可适当有效）。质量手册经过正式程序的制定，审阅，签发并颁发给相关职能部门以遵照执行。

1.4-C Does the Factory have adequate Quality Assurance (QA) Personnel? (Critical) 是否有足够的品保人员? (关键)

- ▶ Guideline指引:
- ▶ Requirement基本要求:
 - At least 1 person in a QA role monitors the quality of the production, especially finished goods, acting as a “client representative” and/or “3rd party representative” (by conducting and documenting Final Random Inspection (FRI) and/or Pre-shipment Inspection (PSI).) 至少有一人担当品保人员监控质量，特别是成品质量，象“客户代表”或“第三方代表”一样执行和记录成品抽检或装运前检验。

1.5 Is the training of QA Personnel documented and adequate? 对品保人员的培训是否适当并有记录?

- ▶ Guideline指引:
- ▶ Basic requirement基本要求:
 - Confirmation by random interview with QA Personnel who must demonstrate familiarity with the roles and responsibilities of the QA process, requirements, and execution of service. 随机询问品保人员，表现必须熟悉其品保职责，程序，要求和手段。
- ▶ Best practice目前相对较好的做法:
 - Training Records are maintained and define type of training provided and the date the training was administered. Validation document review. 保留培训记录，分门别类，标注日期。
 - An ongoing training schedule for continuous improvement is maintained. 制定实时培训计划保持持续改进进步。

1.6 Are documents adequately controlled? 文件是否控制良好?

- ▶ Guideline指引:
- ▶ Only for the documents related to chemical formulation and chemical component, e.g. pyrotechnic. 只针相关化学配方和化学成分的文件控制，例如火药。
- ▶ All key documents are controlled by a document control mechanism which includes: Topic, Review, and Approvals. This especially covers the documents related to Policies and Procedures, Standard Operating Procedures, Work Instructions, Operating Safety Instructions, Inspection Criteria, Specifications, Sample Management, and the List of Permissible Chemical. 所有重要文件都在管理机制下管理，包括：主题，审阅，和核准。特别要包括与方针和程序有关的文件，标准运作程序，工作指导，安全指导，检验要求，规格，样品管理和可用化学品列表。

1.7 Is there a master list of documents? 是否有一个主文件列表?

- ▶ Guideline指引:
- ▶ A master list includes the document topic and approval. 有一个主列表, 该列表包括文件主题和审批。
- ▶ Distribution records are regularly maintained and updated. 保有分发记录并及时更新。
- ▶ Registration log records are maintained related to both distribution of updated documents as well as withdrawing/ cancelation of expired documents. 详细记录更新文件的分发和过期文件的收回销毁。

Section 2

Supplied Materials Quality Assurance 来料检验

2.1-C Are evaluation procedures established for raw material suppliers with adequate documentation? (Critical) 对原料供应商的评估程序是否有适当的记录? (关键)

- ▶ Guideline指引:
- ▶ Basic requirement 基本要求 :
- ▶ Legal documentation assessment to suppliers: the suppliers have to provide legal documentation required by local government, e.g. business license, Permit of special industry.
只针对供应商合法资质的评估, 例如营业执照, 危险品销售许可证等。

2.2–C Does the Factory maintain a list of approved pyrotechnic raw material suppliers that are only used in their procurement practices? (Critical)

是否有认可火药供应商目录, 并只对目录所列商家采购? (关键)

- ▶ Guideline指引:
- ▶ An Approved Supplier List (ASL) is available and updated regularly. 有认可火药供应商目录并及时更新。
- ▶ Validate by random check that raw material purchases are only sourced by Suppliers identified on the ASL. 随机抽查火药采购是否来自目录所列之商家。

2.3-C Does Factory have the most current list of permissible chemicals (see the Appendix for more detail)? (Critical)

是否有最新的可用化学品清单（见附页）？（关键）

- ▶ Guideline指引:
- ▶ Requirement 基本要求：
 - List of permissible chemicals is available. 有可用化学品清单。
- ▶ Note: If the result is not compliance, the auditor gives the factory the copy of the Audit Appendix. 如果此项的审查结果是不合格, 审查员会给工厂一份审查附录的副本。

2.4 Are incoming raw materials evaluated and documented (not by visual inspection but by written documentation)?

来料经过评估并有文件记录（文字记录而非目测）？

- ▶ Guideline指引:
- ▶ Basic requirement基本要求:
- ▶ Documented evaluation of raw materials for compliance is available. 有来料符合标准的评估记录。
- ▶ In comparison to Purchasing Document对照采购单。
- ▶ Best practice目前相对较好的做法:
- ▶ Test Reports or Certificate of Compliance are available. 有测试报告和合格证书。
- ▶ Compare to MSDS (Material Safety Data Sheet). 对照化学品安全说明书。

2.5 Are unsafe, defective, and/ or non-conforming raw materials identified and isolated from other raw materials in the Factory? 危险的，瑕疵的，和不合格的原料是否标识和隔离？

- ▶ Guideline (Specify the chemicals only):
指引: (只针对化学品):
- ▶ Verify if a Defect Classification System is being used only for chemicals. 确认工厂是否有使用一套不良缺陷分类系统,只针对化学品。
 - Defect Classification System – Classify non-conformance into different levels (i.e. Critical, Major and Minor) based on the severity.

不良缺陷分类系统 – 根据不良的严重程度对原材料(针对化学品)的不良品有无分级(如严重,重大,轻微)。

2.5 Are unsafe, defective, and/ or non-conforming raw materials identified and isolated from other raw materials in the Factory? 危险的，瑕疵的，和不合格的原料是否标识和隔离？

- ▶ Define the method of identifying non-conformance classification Critical, Major and Minor defectives for chemicals only. 规定重要，重大和轻微不合格项的定级方法，只针对化学品。

Critical – Rejected raw materials are segregated clearly from accepted ones. It has led to or would lead to contamination, even has led to or would lead to safety issues such as heat energy or fire. 严重缺陷 – (如合格的原料是否与有缺陷的原料未清晰隔离和标识, 可以导致或极可能导致混合混用, 造成引起发热, 着火等严重安全事故)。

2.5 Are unsafe, defective, and/ or non-conforming raw materials identified and isolated from other raw materials in the Factory? 危险的，瑕疵的，和不合格的原料是否标识和隔离？

- ▶ Major - Rejected raw materials are segregated clearly from accepted ones. It has led to or would lead to unsuspected mixture or contamination. It has not led to or would not lead to safety issues such as heat energy or fire but quality issues only. 重大 - (如合格的原料是否与有缺陷的原料未清晰隔离和标识, 可以导致或极可能导致非预期的成份或比例混合, 不能到达预期的质量效果, 但无产生安全事故的可能)。

Minor - Rejected raw materials are segregated clearly from accepted ones there are not identified labels. It's not convenient for fast identification but would not lead to mixture or contamination. 轻微 - (如合格的原料和有缺陷的原料隔离清楚, 但缺标识或标识不清, 不易分辨, 但不至于导致混用)。

Define method of isolation and disposal or re-conditioning. 规定隔离和销毁或返工的方法。

2.6 Is there a process for stopping production if raw materials do not conform to prescribed specifications?

若原料不符合规格是否有停产措施？

- ▶ Guideline指引:
- ▶ Review QA/QC procedures to verify authority to stop production in the event of non-conforming product detection. 查看QA/QC程序，确认一旦发现产品不合格，是否有停产错失。

2.7 Can raw material(s) be tracked through the production process and identified with specific finished product lots?

是否能在生产过程中跟踪各原料并对应到成品批次。

- ▶ Guideline指引:
- ▶ Verify if raw materials are clearly identified with an item name and/or number, incoming date and/or inspection date, quantity, etc., then during the production process if the lot number identifies the raw material(s) used.
查验原料是否表明品名/货号，来料日期/检验日期，数量，等，生产过程的原料要表明批次号。

2.8-C Are incoming chemical raw materials stored off the floors? (Critical) 储存化学原料是否离地? (关键)

- ▶ Guideline指引:
- ▶ It's acceptable for raw materials to be stored on: shelving, racking, pallets, or on the ground provided that there is a water-proofing barrier material present (e.g. painting, film, etc.) 储存在货架, 柜子, 托板, 或铺有防水材料 (油漆, 膜) 的地上都行。

2.9-C Is there an appropriate physical inventory management method being used (for example: First-In – First-Out (FIFO) for all raw materials? (Critical) 是否有仓储管理方法用于各种原料（如：先进先出）？（关键）

- ▶ Guideline指引:
- ▶ Check with the Warehouse Workers for documented or verbal procedures for raw material inventory management and report which method is being used.
询问仓库人员原料仓储管理的文件或口头描述使用何种方法。
- ▶ Verify the actual operation procedures with one key material.
核对某一重要物料的实际操作程序。
- ▶ Define method of isolation and disposal or re-conditioning of unsafe, defective, and/or non-confirming raw material.
针对危险的，有瑕疵的，和不合格原料，对其制定隔离，销毁或返工的方法。

Section 3

Process Control 过程控制

3.1 Are setup and operating parameters for chemical management documented and monitored during the production run? 生产中对化学品管理的设置和运作是否有记录和监控?

- ▶ Guideline指引:
- ▶ *For Set Up* 设置:
- ▶ Check is the procedure for First Piece Inspection (FPI) and if it is being used by interview with Production Supervisor/Manager and QC/QA Supervisor/Manager. 询问生产主管/经理和品检/品保主管/经理是否对首件产品进行检验，是否是生产中的固定程序。
- ▶ Review the records of FPI to validate that it is actually being performed. 检查首样检验的记录确认其真实执行。
- ▶ *For Monitoring*监控:
- ▶ Check the monitoring methods and supervision of production by interview with production Supervisor/Manager and Quality Team. 询问生产主管/经理和品管人员了解监控方法和对生产的督导。
- ▶ Check the monitoring records. 检查监控记录。

3.2 Are mixing / combining machines thoroughly cleaned before use and safely stored? 搅拌机使用前是否清洁和安置妥当?

- ▶ Guideline指引:
- ▶ Check if there are procedures or Work Instruction available or not. 查看是否有程序和工作指导。
- ▶ Observe and interview the Operators to validate their understanding of the cleaning of mixing/ combining machinery before use. 观察和询问操作员是否知道使用前要清洁搅拌机。

3.3-C Is the training of production workers /key operators documented and adequate? (Critical) 对生产工人/主要操作人员的培训是否适当并有记录? (关键)

- ▶ Guideline指引:
- ▶ Check the training records and verify that the workers responsible for the chemicals management have been trained, especially key operators. 翻查培训记录确认其接受过培训，特别是主要操作人员。

3.4-C Are Operators trained to identify defective material and communicate to QA/QC Personnel? (Critical) 操作人员是否熟练鉴定瑕疵并告知品管人员? (关键)

- ▶ Guideline指引:
- ▶ 1. Interview production workers who are responsible for the chemicals management only. Determine if they follow Work Instructions, and understand how to identify and process defective materials. 现场询问只涉及化学品的生产工人以确认他们是否遵从工作指导，并了解如何鉴定和处理有瑕疵的材料。

3.5 Are work-in-progress and final products adequately stored or contained to prevent contamination? 半成品和成品是否妥善保管防止被污染?

- ▶ Guideline指引:
- ▶ Separate storage and/or isolation method(s) must be evident within the production by the use of different containers, locations, and identification. 明显的隔离方法，使用不同的容器，分开摆放并标识清晰。

3.6-C Are finished product lots coded to identify product dates and other lot designations? (Critical) 成品批次是否按生产日期和其它特性进行编号。(关键)

- ▶ Guideline指引:
- ▶ Lot numbers or date codes are used for the identification of individual product.单个产品上标有批号和日期号。

3.7 Does the Factory have documented container loading procedures? 是否记录装柜过程。

- ▶ Guideline指引:
- ▶ Are the Factory's container loading procedures documented, available, and suitable? 装柜记录是否存在和完好?

3.8 Have employees been trained on the container loading procedures and documentation? Can they demonstrate compliance to the procedures? 雇员是否受过装柜程序的培训并保留记录？是否能执行程序？

- ▶ Guideline指引:
- ▶ Verify that the employees have been trained on the container loading procedures by verification of training records.查看培训记录了解是否有装柜程序的培训。
- ▶ By interview, verify with the Loading and Shipping Supervisors that they can prove knowledge of the stated procedure.询问发货主管，了解其是否熟悉既定程序。
- ▶ If possible, observe the loading process and verify that the practices being followed are in compliance with the stated procedures.如果可能，观察装柜过程是否符合既定程序。

Section 4

Certification Documents 认证文件

4.1 –C Factory has required Business License, Export License from CIQ, Manufacturer permission documentation and other Documents related to type of production? (Critical) 是否拥有开展生产所需的各种证照，工商执照，出口许可证，生产许可证等？(关键)

- ▶ Guideline指引:
- ▶ Document review is required查看下列文件.
- ▶ *Mandatory documents include*必须有的:
- ▶ Business license issued by local administration of industry and commerce.工商执照。
- ▶ Manufacturing permission of firework issued by the Local Government.烟花生产许可。
- ▶ Export License of Factory or trading agent issued by Local International Business and Economic Committee.出口许可证。

4.2-C Is the Carton Manufacturer Certification specified in the AFSL Standard for Display Fireworks (Section 3.1.4) being followed for production being manufactured for the U.S. Market? (Critical) 纸箱制造商证书是否符合美标所燃放类烟花标准(标准3.1.4)对美线产品的要求? (严重)

- ▶ Guideline指引:
- ▶ By document review, the following must be verified检查文件记录, 必须核实以下的文件:
 - Validate by random check that cartons have Carton Manufacturer Certification. 随机抽查纸箱, 核实是否有纸箱制造商证书。

4.3-C Is the 12 m Drop Test (UN 4(b)) requirement for non-preloaded Mine & Shell Devices specified in the AFSL Standards for Display Fireworks being followed for production being manufactured for the U.S. Market? (Critical) 地礼类产品的内筒是否符合美标所以对燃放类烟花的跌落测试的要求, 即按联合国UN 4(b)的要求进行12米高的跌落测试? (严重)

▶ Guideline指引:

- By document review, the following must be verified. 检查文件记录, 以下几点必须核实:
- The Drop Test is performed by approved lab. 跌落测试是由认可的实验室执行。
- The Drop Test has to be current (Within the last 12 months). 跌落测试必须是在有效期内的 (一年内)。
- Drop test must be performed on representative samples for each category in their most common export packaging. (必须使用工厂跌落测试)
- Note: In future Drop Test must be performed on all categories of devices.
- 备注: 今后每类烟花都须做此跌落测试

4.4-C Is the Thermal Stability Testing specified in the AFSL Standards for Display Fireworks being followed for production being manufactured for the U.S. Market? (Critical) 热稳定测试是否符合美标所燃放类烟花标准对美线产品的要求? (严重)

- ▶ Guideline指引:
- ▶ By document review, the following must be verified检查文件记录，必须核实以下的文件:
- ▶ a. List of all products manufactured and their associated Thermal Stability Certifications/Reports to match. The Thermal Stability Certifications/Reports can be issued by CIQ or SGS. (If the factory self-tests for Thermal Stability, then they must provide the test record and oven calibration documentation for review). 所有产品清单，与之对应的热稳定测试报告。该报告可以由CIQ或者SGS出具。(如果工厂自行测试，则必须提供测试记录，烘箱校准证明)。

4.5-C Has the Factory Owner or Senior Management Representative participated in the Annual AFSL Training Program? Who attended and when? (Critical)
工厂主或高级管理者代表是否参加美标所的年度培训？何时何人参加的？(关键)

- ▶ Guideline指引:
- ▶ Obtain and report the information provided by the Factory Management and include in this report for verification by AFSL. 获取厂方管理层提供的资料, 报告给美标所以供核实。

WWW.AFSL.ORG

Questions?
答疑?

