厦门广信隆技术服务有限公司

Al-Baqara Certification

认证审核工作操作规范

Operating Specification for Certification Audit Activities

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1	2026.3.16（A1）	1、公司简称修改为ABC，文件名称修改 Unified company abbreviation as ABC，Revision of Document Name 2、新增 SMIIC 方案相关表述，同步更新术语定义、申请评审、审核流程、监督审核等相关章节，确保全文档表述一致 Add statements related to the SMIIC scheme, and synchronously update relevant chapters including terminology definitions, application review, audit process, surveillance audit, etc., to ensure consistent expression throughout the document.	韩锐	沙忠虎
2	2026.4.5（A2）	1）文件由副总经理审核，修改为评审组审核。 The document shall be reviewed by the review team. 2）4.2b）、5.2.1增加审核组中至少有一名人员应为伊斯兰事务专家 4.2b)、5.2.1 Add that at least one member of the audit team shall be an expert in Islamic affairs.	韩锐	沙忠虎
3	2026.7.9（A3）	1）补充UAE方案相关要求，并增加哈拉禁忌词汇专项审核要求，增加3.7；4.4f）；5.1.2e)；5.21；5.31a)；5.3.2.2.1j）；6.3i）j）；7.2e）f）。 supplement the relevant requirements of the UAE scheme and add special audit requirements for halal forbidden terms. add clause 3.7, 4.4f), 5.1.2e), 5.21, 5.31a), 5.3.2.2.1j), 6.3i)j), 7.2e)f). 2）补充完善3.7和5.3.1a)的描述。 Supplement and refine the descriptions of Clause 3.7 and Subclause 5.3.1 a).	安娜	沙忠虎

认证审核工作操作规范

Operating Specification for Certification Audit Activities

1 目的 Purpose

为合理、合规、高效开展 Halal 认证申请受理与审核管理工作，规范认证全流程操作要求，降低认证风险，确保公司颁发的 Halal 认证证书符合中国相关规定及海湾国家、印尼、马来西亚、巴基斯坦、土耳其、阿联酋等出口目标国的特定标准与伊斯兰教法规范，特制定本规范。

This specification is formulated to carry out the acceptance and audit management of Halal certification applications in a reasonable, compliant and efficient manner, standardize the operational requirements of the whole certification process, reduce certification risks, and ensure that the Halal certification certificates issued by the company comply with the relevant provisions of China, the specific standards of target export countries such as the Gulf Countries, Indonesia, Malaysia, Pakistan, Turkey, the United Arab Emirates and the norms of Islamic law.

2 适用范围 Scope of Application

本规范适用于厦门广信隆技术服务有限公司（以下简称"公司"或"ABC"）开展的出口 Halal 产品认证初次审核、监督审核、再认证审核、特殊审核（扩大/缩小认证范围、提前短通知审核）等全流程的控制与操作管理。

This specification applies to the control and operation management of the whole process of initial audit, surveillance audit, recertification audit and special audit (expanding/narrowing the scope of certification, audit with short advance notice) for Halal certification of export products carried out by Xiamen Guangxinlong Technical Service Co., Ltd. (hereinafter referred to as "the Company" or "ABC").

3 术语和定义 Terms and Definitions

3.1 混产（Mixed Production）

在同一生产线上既生产申报出口 Halal 认证的产品，又生产未申报出口 Halal 认证的产品（无论是同时生产还是交叉生产，也无论产品是不同品种还是不同用途）。

Production on the same production line of both products declared for export Halal certification and products not declared for export Halal certification (whether produced simultaneously or cross-produced, and whether the products are of different varieties or for different uses).

3.2 敏感原辅料（Sensitive Raw and Auxiliary Materials）

香精类、发酵类、复配类、含动物源成分类的原辅料，是评估出口 Halal 产品合规性风险的核心原辅料类别。

Flavouring, fermentation, compounding, and raw and auxiliary materials containing animal source ingredients, which are the core categories of raw and auxiliary materials for assessing the compliance risk of exported Halal products.

3.3 GSO 方案（GSO Scheme）

遵循海湾标准化组织 GSO2055-29.2.1（ISO/IEC17021:2015 标准 9.1.1）要求的 Halal 认证审核方案。

The Halal certification audit scheme that complies with the requirements of GSO2055-29.2.1 (ISO/IEC17021:2015 Standard 9.1.1) of the Gulf Standardization Organization.

3.4 MS 方案（MS Scheme）

遵循马来西亚 MS1500:2019 标准要求的 Halal 认证审核方案。

The Halal certification audit scheme that complies with the requirements of Malaysian Standard MS1500:2019.

3.5 BPJPH 方案（BPJPH Scheme）

遵循印尼 BPJPH 机构相关标准要求的 Halal 认证审核方案。

The Halal certification audit scheme that complies with the relevant standard requirements of Indonesia's BPJPH institution.

3.6 SMIIC 方案（SMIIC Scheme）

遵循土耳其伊斯兰食品工业协会 SMIIC 相关标准要求的 Halal 认证审核方案。

The Halal certification audit scheme that complies with the relevant standard requirements of SMIIC of the Turkish Islamic Food Industry Association.

3.7 UAE 方案（UAE Scheme）

遵循阿联酋 MOIAT 与 ECAS 配套 UAE.S GSO 2055 标准要求的 Halal 认证审核方案。

The Halal certification audit scheme that complies with the relevant standard requirements of UAE MOIAT and ECAS under UAE.S GSO 2055 standards.

4 职责 Responsibilities

4.1 综合部 General Department

a）负责 Halal 认证申请的受理、资料审查，与申请方沟通认证相关信息、提供报价并签订认证合同；

Responsible for the acceptance of Halal certification applications, document review, communicating certification-related information with applicants, providing quotations and signing certification contracts.

b）负责将认证申请资料转交审核项目管理人员，下达认证审核任务，跟踪审核全流程进度；

Responsible for forwarding the certification application materials to the audit project management personnel, issuing certification audit tasks, and tracking the progress of the whole audit process.

c）负责认证相关文件、记录的归档管理，维护公司认证网盘系统，授权审核人员文件查阅与编辑权限；

Responsible for the filing and management of certification-related documents and records, maintaining the company's certification network disk system, and authorizing auditors with document access and editing rights.

d）负责获证客户不良信息的调查核实，及时采取应对措施并反馈至相关部门。

Responsible for the investigation and verification of adverse information of certified customers, taking response measures in a timely manner and feeding back to relevant departments.

4.2 认证部 Audit Department

a）向总经理负责，对公司 Halal 认证审核全流程的合规性、有效性承担管理责任；

Accountable to the General Manager, and bear the management responsibility for the compliance and effectiveness of the whole process of the company's Halal certification audit.

b）负责组建审核组，任命审核组长，审核并确认审核组成员的专业能力与资质匹配性，审核组中至少有一名人员应为伊斯兰事务专家；

Responsible for establishing the audit team, appointing the audit team leader, reviewing and verifying the professional competence and qualification suitability of audit team members. At least one member of the audit team shall be an expert in Islamic affairs.

c）审查审核组长呈报的《审核计划》，提出审核意见并批准；

Review the **Audit Plan** submitted by the audit team leader, put forward audit comments and grant approval.

d）负责确定认证审核方案，根据申请方认证需求匹配 GSO、MS、BPJPH、SMIIC、 UAE.S 等对应审核标准；

Responsible for determining the certification audit scheme, and matching the corresponding audit standards such as GSO, MS, BPJPH，SMIIC and UAE.S according to the certification needs of the applicant.

e）完成总经理安排的其他与认证审核管理相关的工作任务。

Complete other work tasks related to certification audit management arranged by the General Manager.

4.3 审核组长 Audit Team Leader

a）向认证部负责，全面组织实施认证审核现场工作；

Accountable to the Audit Department, and fully organize and implement the on-site work of certification audit.

b）负责制定《审核计划》、编写《审核报告》，确保审核文件真实、完整、规范；

Responsible for formulating the Audit Plan and compiling the Audit Report to ensure that the audit documents are true, complete and standardized.

c）负责签发《不符合项报告》，与受审核方确认不符合事实并商定整改时限，出具最终审核意见；

Responsible for issuing the Non-conformity Report, confirming the non-conformity facts with the audited party, agreeing on the rectification time limit, and issuing the final audit opinion.

d）组织召开审核首次会议和末次会议，协调审核过程中的沟通与问题处理；

Organize the opening and closing meetings of the audit, and coordinate the communication and problem handling during the audit process.

e）完成认证部安排的其他审核相关工作任务。

Complete other audit-related work tasks arranged by the Audit Department.

4.4 审核员 Auditor

a）向审核组长负责，严格按照《审核计划》完成分工内的审核工作；

Accountable to the audit team leader, and complete the audit work within the division of labor in strict accordance with the Audit Plan.

b）专业技术审核员：负责收集、验证与 Halal 认证相关的生产技术、法律法规、食品安全管理等方面的证据，开展符合性评价；

Professional Technical Auditor: Responsible for collecting and verifying evidence related to production technology, laws and regulations, food safety management, etc. related to Halal certification, and conducting compliance evaluation.

c）伊斯兰教法审核员：负责收集、验证与 Halal 认证相关的伊斯兰教法规范要求的证据，开展教法合规性评价；

Islamic Shariah Auditor: Responsible for collecting and verifying evidence required by the Islamic Shariah norms related to Halal certification, and conducting Shariah compliance evaluation.

d）未经受审核方工厂代表允许，不得接触产品或生产设备/装置；确需接触的，必须符合良好卫生规范；

Shall not touch products or production equipment/devices without the permission of the factory representative of the audited party; if it is really necessary to touch, it must comply with Good Hygiene Practices (GHP).

e）如实记录审核发现，及时向审核组长反馈审核过程中的问题，配合完成《审核报告》编制。

Record audit findings truthfully, feed back problems in the audit process to the audit team leader in a timely manner, and cooperate with the compilation of the Audit Report.

f）审核员必须熟练掌握《非清真产品名称清单》，文审、现场审核全过程落实

英文标签、外文资料违禁词排查；若审核遗漏哈拉禁忌词汇，造成认证放行风险，记入审核员绩效评价，后续需重新开展专项培训后方可独立承担审核任务。

Auditors must be proficient in the List of Non-Halal Product Names and implement inspections for prohibited words on English labels and foreign-language documents throughout the entire document review and on-site audit processes. Failure to detect Halal forbidden words during audits, which results in risks of improper certification approval, shall be recorded in the auditor’s performance evaluation. The auditor shall complete special retraining before being assigned independent audit tasks again.

5 认证工作流程与管理 Certification Workflow and Management

5.1 认证审核工作策划 Planning for Certification Audit Work

5.1.1 认证申请与评审总要求

General Requirements for Certification Application and Review

公司建立《认证申请受理控制程序》，规范出口 Halal 产品认证申请的受理、资料审查、评审审批等环节，为后续认证审核工作提供管理基础和信息支撑。

The company establishes the Certification Application Acceptance Control Procedure to standardize the acceptance, document review, review and approval of applications for Halal certification of export products, and provide management basis and information support for the subsequent certification audit work.

5.1.1.1 综合部负责认证申请的全流程处理，具体包括：

The General Department is responsible for the full-process handling of certification applications, including the following specific items:

a）与申请方沟通，提供公司 Halal 认证的公开信息，收集申请方基本信息、生产经营信息等；

Communicate with the applicant, provide the company’s public information on Halal certification, and collect the applicant's basic information, production and operation information, etc.

b）接收、审查申请方提交的认证申请资料，确保资料的齐备性、准确性、一致性和可理解性；

Receive and review the certification application materials submitted by the applicant to ensure the completeness, accuracy, consistency and understandability of the materials.

c）根据审核工作量规定，综合评估并确定认证审核所需时间；

Comprehensively evaluate and determine the time required for certification audit according to the audit workload regulations.

d）完成认证合同的洽谈与签订，将申请方信息及认证审核任务转交认证部；

Complete the negotiation and signing of the certification contract, and forward the applicant's information and certification audit tasks to the Audit Department.

e）跟踪认证申请评审进度，及时向申请方反馈评审结果。

Track the progress of the certification application review and feed back the review results to the applicant in a timely manner.

5.1.1.2 总经理或其授权人负责认证申请评审结果的最终批准，以及认证合同的签批。

The General Manager or his authorized person is responsible for the final approval of the certification application review results and the signing and approval of the certification contract.

5.1.2 审核策划内容 Audit Planning Content

公司根据出口 Halal 产品认证要求，对审核工作所需过程进行策划，制定相应的审核程序，明确审核工作流程、工作标准和检查标准，确保认证审核工作与公司质量管理体系要求相一致。策划内容至少包括：

According to the requirements of Halal certification of export products, the company plans the processes required for the audit work, formulates the corresponding audit procedures, clarifies the audit workflow, work standards and inspection standards, and ensures that the certification audit work is consistent with the company's quality management system requirements. The planning content includes at least:

a）确定认证审核的目标、范围及申请方的特殊要求；

Determine the objectives, scope of the certification audit and the special requirements of the applicant.

b）收集申请方须提供的资质证明、生产工艺、原辅料清单等相关资料；

Collect relevant materials such as qualification certificates, production processes, and lists of raw and auxiliary materials that the applicant must provide.

c）确定认证审核所需的验证、确认、监控等活动，以及审核结果的接受标准；

Determine the verification, confirmation, monitoring and other activities required for the certification audit, as well as the acceptance criteria for the audit results.

d）若申请方存在多个生产场所，策划单独评估并出具独立证书的认证方案；

If the applicant has multiple production sites, plan a certification scheme for separate evaluation and issuance of independent certificates.

e）对审核工作量和审核时间的评估与策划。

Assessment and planning of audit workload and audit time.

公司编制有《计算最短审核时间表》，以对申请客户提交的申请资料进行评审，并根据申请认证的活动范围及场所、员工人数、完成审核所需时间和其他影响认证活动的因素，综合确定公司是否有能力受理认证申请，并确定每类客户需要完成所有审核的时间，记录审核时间调整的依据。

The company has formulated the Shortest Audit Schedule Calculation Document, in order to review the application information submitted by the applicant customer and to determine, on the basis of the scope of activities and premises for which certification is sought, the number of employees, the time required to complete the audit and other factors affecting the certification activities, whether the company has the ability to accept the application for certification and to determine the time required to complete all audits for each type of customer and to record the basis for adjustment of the audit time.

在确定审核时间时，公司考虑以下方面：

In determining the timing of the audit, the company considers the following.

i）标准规范中对清真的要求；

The requirement for halal in the standard specification.

ii) 机构程序的规模和复杂性；

the size and complexity of the institutional process.

iii）技术和组织方面；

Technical and organizational aspects.

iv）生产，程序或产品安全保障机制工作范围内的任何活动所涉及的外包方；

Outsourced service providers involved in production, operational procedures and product safety assurance activities.

v）任何之前的审核结果；

The results of any previous audits.

vi）场所数量或多个站点建设。

Number of sites or multiple site construction.

f）明确为审核过程提供证据所需的各类记录表单及编制要求。

Clarify the various record forms and compilation requirements needed to provide evidence for the audit process.

g）针对 GSO、MS、BPJPH、SMIIC、UAE.S 等不同认证方案，匹配对应的标准条款及审核重点（如 SMIIC 方案需重点关注成分溯源及生产隔离合规性）。

For different certification schemes such as GSO, MS, BPJPH，SMIIC and UAE.S，match the corresponding standard clauses and audit priorities (e.g., the SMIIC scheme needs to focus on ingredient traceability and production isolation compliance).

5.2 审核准备 Audit Preparation

5.2.1 资料转交与审核策划 Document Handover and Audit Planning

综合部在申请方提交的受理资料齐全后，将《认证申请评审表》转交审核项目管理人员；审核项目管理人员根据申请资料及评审记录，开展审核活动策划，与受审核方进行审核前初步沟通，掌握其生产运行情况并商定审核时间，确定审核目的、范围和方案，分析审核能力需求，指定审核组长并组建审核组（审核组中至少有一名人员应为伊斯兰事务专家），编写《审核任务书》并转交审核组全体成员。 审核组的组成须征得受审核方确认；公司将网盘"认证企业"文件夹中对应流程文件夹的编辑权限，授权给审核组长及组员，便于审核人员查阅受理文件、上传和整理审核资料。

After the applicant submits complete acceptance documents, the Administration Department shall forward the **Certification Application Review Form** to the audit project manager. Based on the application documents and review records, the audit project manager shall conduct audit activity planning, carry out preliminary pre-audit communication with the auditee, understand its production and operation status, confirm the audit time, define the audit objectives, scope and scheme, analyze the audit competency requirements, appoint the audit team leader and form the audit team (with **at least one member being an expert in Islamic affairs**), compile the **Audit Assignment Letter**, and forward it to all members of the audit team.The composition of the audit team shall be subject to confirmation by the auditee. The Company shall grant editing permission of the corresponding process folder under the network disk "Certified Enterprises" folder to the audit team leader and team members, to facilitate auditors to access acceptance documents as well as upload and organize audit materials.

综合部如发现获证客户存在不良信息，应在第一时间进行调查核实，然后立即采取相应的应对措施，包括暂停或撤销认证证书。在后续的认证管理和审核活动中应明确考虑不良信息带来的风险和影响，做出适当安排并实施。

Integrated Department If adverse information is found to exist for a certified customer, investigation and verification should be conducted at the first opportunity, followed by immediate response measures, including suspension or revocation of the certification certificate. The risk and impact of adverse information should be clearly considered, appropriately arranged and implemented in subsequent certification management and audit activities.

注 1：审核时间应选择受审核方处于正常生产运行的时段；

Note 1: The audit time shall be the period when the audited party is in normal production and operation.

注 2：下达审核任务前，必须全面掌握受审核方的生产运行现状及核心生产信息。

Note 2: Before issuing the audit task, it is necessary to fully grasp the current production and operation status and core production information of the audited party.

5.2.2 审核工具准备 Audit tool preparation

审核组长依据《审核任务书》，在公司认证网盘中下载《审核计划》《现场审核表》《第一阶段审核报告》《审核报告》等受控审核工具的最新版本，分发给审核组全体成员；审核人员不得随意修改审核工具的固定格式和内容。

According to the Audit Task Sheet, the audit team leader downloads the latest versions of controlled audit tools such as Audit Plan, On-site Audit Form, Phase I Audit Report and Audit Report from the company's certification network disk and distributes them to all members of the audit team; auditors shall not arbitrarily modify the fixed format and content of the audit tools.

5.2.3 受审核方信息调研 审核组在实施审核前,必须完成对受审核方的信息调研工作，具体要求：

Before the implementation of the audit, the audit team must complete the information research on the audited party, with the specific requirements:

a）提前了解受审核方的生产经营范围、产品品类、生产工艺、原辅料使用等核心信息；

Grasp the core information such as the production and operation scope, product categories, production processes and use of raw and auxiliary materials of the audited party in advance;

b）与受审核方协调确定现场审核的入场时间、陪同人员、现场调研路线等事宜；

Coordinate with the audited party to determine the on-site audit entry time, accompanying personnel, on-site research route and other matters;

c）全面掌握受审核方的质量管理体系、清真保障体系、法律法规遵守等方面的信息。 审核组须通过以下官方渠道查询受审核方的不良信息（包括行政处罚、违法失信等），并将其作为现场审核的重要关注点：

Fully grasp the information of the audited party in terms of quality management system, Halal assurance system, and compliance with laws and regulations. The audit team must inquire about the adverse information (including administrative penalties, illegal breach of trust, etc.) of the audited party through the following official channels, and take it as an important focus of the on-site audit:

1）国家企业信用信息公示系统、信用中国；

National Enterprise Credit Information Publicity System, Credit China;

2）国家市场监督管理总局、国家药品监督管理局、应急管理部等政府监管平台；

Government supervision platforms such as the State Administration for Market Regulation, the National Medical Products Administration, and the Ministry of Emergency Management;

3）受审核方属地省市的市场监管、食药监管等部门官方网站；

Official websites of market supervision, food and drug supervision and other departments in the provinces and cities where the audited party is located;

4）天眼查、企查查等企业风险信息查询平台。 审核组长须将不良信息的调查结果纳入审核计划，对存在不良信息的受审核方，需在审核报告中详细描述原因分析、纠正措施及有效性验证情况。

Enterprise risk information inquiry platforms such as Tianyancha and Qcc. The audit team leader must include the investigation results of adverse information in the audit plan, and for the audited party with adverse information, it is necessary to describe in detail the cause analysis, corrective measures and effectiveness verification in the audit report.

5.2.4 文件资料审核 Document review

对受审核方开展现场审核（包括第一阶段审核、第二阶段审核等）前，审核组长或其委托的具备资质的审核员，需对受审核方提交的清真保障体系文件、生产管理文件等书面信息进行审查，记录文件审核结果，并在审核报告中评价文件信息的符合性、适宜性、充分性和可操作性。

Before conducting on-site audit (including Phase I audit, Phase II audit, etc.) on the audited party, the audit team leader or his entrusted qualified auditor shall review the written information such as Halal assurance system documents and production management documents submitted by the audited party, record the document review results, and evaluate the conformity, appropriateness, adequacy and operability of the document information in the audit report.

5.2.5 审核计划编制与确认 Preparation and Confirmation of Audit Plan

审核组长依据《审核任务书》和受审核方实际情况，编制《审核计划》，明确审核组成员的分工、审核节点、审核内容及时间安排，清晰界定技术审核和伊斯兰教法审核的人员职责与工作内容；《审核计划》需提前提交给受审核方确认，经双方达成一致后正式实施。

According to the Audit Task Sheet and the actual situation of the audited party, the audit team leader compiles the Audit Plan, clarifies the division of labor, audit nodes, audit content and time arrangement of the audit team members, and clearly defines the personnel responsibilities and work content of technical audit and Islamic Shariah audit; the Audit Plan must be submitted to the audited party for confirmation in advance and formally implemented after both parties reach an agreement.

5.2.6 审核培训与文件准备 Audit Training and Document Preparation

审核组收集齐全审核所需的工作文件和记录表单，若受审核方产品品类特殊、生产工艺复杂，公司可安排技术专家为审核组开展专业培训，内容包括生产/服务流程、产品质量标准、Halal 认证领域专业要求等。

The audit team collects all the working documents and record forms required for the audit; if the audited party's product categories are special and the production process is complex, the company may arrange technical experts to conduct professional training for the audit team, including production/service processes, product quality standards, professional requirements in the field of Halal certification, etc.

5.3 初次认证的管理 Management of Initial Certification

5.3.1 认证申请的评审 Review of Certification Application

a）公司根据受审核方选择的认证方案，执行对应的审核流程：

The company implements the corresponding audit process according to the certification scheme selected by the audited party:

- 对于 GSO 方案，遵循 GSO2055-2　9.2.1 所有要求开展申请评审；

- For the GSO scheme, carry out the application review in accordance with all the requirements of GSO2055-2 9.2.1;

- 对于 UAE 方案，遵循 UAE.S GSO 2055-2　9.2.1 所有要求开展申请评审；

- For the UAE scheme, carry out the application review in accordance with all the requirements of UAE.S GSO 2055-2 9.2.1;

- 对于 MS 方案，遵循 MS1500：2019 所有要求开展申请评审；

- For the MS scheme, carry out the application review in accordance with all the requirements of MS1500:2019;

- 对于 BPJPH 方案，遵循印尼 BPJPH 机构所有要求开展申请评审。

- For the BPJPH scheme, carry out the application review in accordance with all the requirements of Indonesia's BPJPH institution.

- 对于 SMIIC 方案，遵循土耳其 SMIIC 机构相关标准（如 SMIIC 2:2019 9.2.2）所有要求开展申请评审。

- For the SMIIC scheme, carry out the application review in accordance with all the requirements of the relevant standards of Turkey's SMIIC institution (e.g., SMIIC 2:2019 9.2.2).

b）公司要求申请方提供以下详细信息：法律地位证明、生产所用原辅料清单及资质、生产工序流程、食品安全管理制度、伊斯兰教法合规保障措施、工作班次及各班次员工数量等。

The company requires the applicant to provide the following detailed information: proof of legal status, list and qualifications of raw and auxiliary materials used in production, production process flow, food safety management system, Islamic Shariah compliance assurance measures, work shifts and the number of employees in each shift, etc.

d）申请评审后续工作需遵循对应方案要求。

The follow-up work of the application review must comply with the requirements of the corresponding scheme.

注：若审核中发现不符合项，申请方需在重新申请认证前消除所有不符合因素；若首次认证申请未通过，申请方向其他认证机构申请时，需提供本次认证申请的详细信息。

Note: If non-conformities are found in the audit, the applicant must eliminate all non-conforming factors before re-applying for certification; if the first certification application is not approved, the applicant must provide detailed information of this certification application when applying to other certification bodies.

5.3.2 初次认证审核 Initial Certification Audit

5.3.2.1 总则 General Provisions

公司根据受审核方的认证方案实施差异化审核流程：

The company implements a differentiated audit process according to the certification scheme of the audited party:

- GSO 方案：遵循 GSO2055-2 9.2.3.1 要求，初次审核分为第一阶段审核和第二阶段审核两个阶段；

- GSO Scheme: In accordance with the requirements of GSO2055-2 9.2.3.1, the initial audit is divided into two phases: Phase I Audit and Phase II Audit;

- UAE 方案：遵循 UAE.S GSO 2055-2 9.2.3.1 要求，初次审核分为第一阶段审核和第二阶段审核两个阶段；

- UAE Scheme: In accordance with the requirements of UAE.S GSO 2055-2

9.2.3.1, the initial audit is divided into two phases: Phase I Audit and Phase II Audit;

- MS 方案/BPJPH 方案：遵循对应标准要求，审核分为文件审核和现场审核两部分，其中现场审核要求与 GSO 方案第二阶段审核要求保持一致。

- MS Scheme/BPJPH Scheme: In accordance with the corresponding standard requirements, the audit is divided into two parts: Document Audit and On-site Audit, in which the on-site audit requirements are consistent with the Phase II audit requirements of the GSO scheme.

- SMIIC 方案：遵循土耳其 SMIIC 机构相关标准（如 SMIIC 2:2019）要求，审核分为文件审核和现场审核两部分，现场审核要求与 GSO 方案第二阶段审核要求保持一致。

- SMIIC Scheme: In accordance with the requirements of the relevant standards of Turkey's SMIIC institution (e.g., SMIIC 2:2019), the audit is divided into two parts: Document Audit and On-site Audit, in which the on-site audit requirements are consistent with the Phase II audit requirements of the GSO scheme.

5.3.2.2 第一阶段审核/文件审核要求

Phase I Audit/Document Audit Requirements

5.3.2.2.1 第一阶段审核要求 Phase I Audit Requirements

第一阶段审核的目标是理解出口 Halal 产品的要求及产品风险，为第二阶段审核制定计划提供依据，审核内容至少包括：

The objective of the Phase I audit is to understand the requirements and product risks of exported Halal products and provide a basis for formulating the Phase II audit plan. The audit content includes at least:

a）受审核方是否识别并确定伊斯兰教法规定、相关法律法规及申请范围内产品的 Halal 合规要求；

Whether the audited party has identified and determined the Islamic Shariah provisions, relevant laws and regulations and the Halal compliance requirements of products within the application scope;

b）评估出口 Halal 产品的教法合规、质量、食品安全等方面的风险，以及后续所需的验证、检测等工作；

Evaluate the risks of the exported Halal products in terms of Shariah compliance, quality, food safety, etc., and the subsequent verification, testing and other work required;

c）检查出口 Halal 产品认证的清真保障体系文件是否明确、全面、符合对应方案要求（BPJPH 方案需包含 SJPH 手册、自我声明、PPH 书面程序等）；

Check whether the Halal assurance system documents for the certification of exported Halal products are clear, comprehensive and in line with the requirements of the corresponding scheme (the BPJPH scheme must include SJPH manual, self-declaration, PPH written procedures, etc.);

d）验证受审核方是否具备出口 Halal 产品的合规生产流程、现场环境及基础条件；

Verify whether the audited party has the compliant production process, on-site environment and basic conditions for exporting Halal products;

e）收集第二阶段审核所需的附加文件及提前了解的信息；

Collect additional documents and pre-understood information required for the Phase II audit;

f）确认清真保障体系的岗位职责、改进方案是否清晰明确；

Confirm whether the job responsibilities and improvement plans of the Halal assurance system are clear;

g）检查出口 Halal 产品及相关原辅料的清真保障基础条件（Halal 认证、敏感原辅料控制），以及可追溯性体系的建立情况；

Check the Halal assurance basic conditions (Halal certification, control of sensitive raw and auxiliary materials) of exported Halal products and related raw and auxiliary materials, as well as the establishment of the traceability system;

h）明确第二阶段审核的关注点及所需的人力、物力资源；

Clarify the focus of the Phase II audit and the human and material resources required;

i）提出出口 Halal 产品认证范围的建议。

Put forward suggestions for the certification scope of exported Halal products.

j）全面核查企业全部外文资料中的哈拉禁忌英文词汇专项审查

Special review of Halal forbidden English words in all foreign-language documents of the auditee

核查覆盖资料：产品英文品名、内外包装英文标签、产品英文说明书、原辅材料英文清单、供应商英文 COA、出口备案英文资料、英文宣传册、工艺流程英文描述；

All documents covered: English product names, inner & outer packaging labels, English product specifications, English raw & auxiliary material lists, supplier English COAs, export filing documents, English brochures, English process descriptions.

核查清单：必须对照《非清真产品名称清单》，全覆盖排查哈拉禁忌英文词汇，不分大小写统一判定违规；

Checklist Requirement: All auditors shall conduct full screening for Halal-prohibited English terms by referring to the Checklist of Non-Halal Product Names. Any matching words, whether in upper or lower case, shall be uniformly ruled as non-compliant.

资料存在 PORK 等违禁英文，且实际使用猪源原料 / 与猪肉混产无隔离：列为严重不符合，终止本次审核，不予推荐认证。

If forbidden English words such as PORK exist together with actual porcine raw materials or unsegregated co-production with pork: classify as Major Non-Conformity, suspend the current audit and reject certification recommendation.

记录要求：在《第一阶段审核报告》单独增设“外文哈拉禁忌词汇核查结论”板块，列明检出词汇、文件位置、不符合分级、整改要求。

Recording requirement: Add independent section Conclusion of Halal Forbidden Foreign Word Inspection in Stage 1 Audit Report, record detected words, document locations, non-conformity grade and rectification requirements.

第一阶段审核的实施要求：

Implementation requirements for Phase I audit:

- 可根据审核目标，在公司内部或受审核方现场开展；

- Can be carried out inside the company or on the site of the audited party according to the audit objectives;

- 按产品品类分组（见《计算最短审核时间表》），A/B/F/G/H/J 组可非现场开展，C/D/E/I/K 组必须现场完成；

- Grouping shall be performed by product categories (refer to Calculation of the Shortest Audit Schedule). Audit for Groups A, B, F, G, H and J may be conducted off-site; audits for Groups C, D, E, I and K must be completed on-site;

- 非现场审核时长不超过总审核时长的 20%，现场审核时长不超过总审核时长的 30%；

- The off-site audit duration shall not exceed 20% of the total audit duration, and the on-site audit duration shall not exceed 30% of the total audit duration (see Annex B);

- 第一阶段与第二阶段审核的间隔不得超过 6 个月；

- The interval between Phase I and Phase II audits shall not exceed 6 months;

- 审核组需向受审核方提交书面《第一阶段审核报告》，明确审核目标是否达成、第二阶段审核是否具备条件，以及识别的潜在不符合项。

- The audit team must submit a written Phase I Audit Report to the audited party, clarifying whether the audit objectives have been achieved, whether the Phase II audit is conditional, and the potential non-conformities identified.

5.3.2.2.2 文件审核要求 Document Audit Requirements

MS 方案和 BPJPH 方案的文件审核无需编制《第一阶段审核报告》，其余审核要求与上述 5.3.2.2.1 第一阶段审核要求一致。

The document audit of the MS scheme and BPJPH scheme does not require the compilation of the Phase I Audit Report, and the other audit requirements are consistent with the Phase I audit requirements in 5.3.2.2.1 above.

5.3.2.3 第二阶段审核 Phase II Audit

第二阶段审核需严格遵循各国认证方案的要求，必须在受审核方生产现场开展，审核目的是评价受审核方出口 Halal 产品及清真保障体系的实施有效性，审核内容至少覆盖：

The Stage 2 audit shall be carried out in strict accordance with the requirements of certification schemes of respective countries and must be conducted on the auditee’s production site. The audit aims to evaluate the implementation effectiveness of the auditee’s exported Halal products and Halal assurance system, and the audit scope shall at least cover the following items:

a）受审核方的生产经营活动与 Halal 认证标准、相关规范性文件所有要求的符合情况及证据；

The compliance and evidence of the audited party’s production and operation activities with all the requirements of Halal certification standards and relevant normative documents;

b）依据出口 Halal 产品核心要求，对清真教法合规性的监视、测量、报告和评审情况；

The monitoring, measurement, reporting and review of Islamic Shariah compliance based on the core requirements of exported Halal products;

c）受审核方出口 Halal 产品的合规保障能力，以及满足法律法规、合同要求的绩效；

The audited party's compliance assurance capacity for exported Halal products, as well as the performance of meeting laws, regulations and contract requirements;

d）受审核方出口 Halal 产品生产过程的运作控制情况，包括关键控制点、敏感原辅料管理、交叉污染预防等。

The operation control of the audited party's production process of exported Halal products, including critical control points, management of sensitive raw and auxiliary materials, prevention of cross-contamination, etc.

5.3.2.4 初次认证审核结论 Initial Certification Audit Conclusion

审核组需遵循对应认证方案的审核结论要求，对第一阶段和第二阶段审核收集的所有信息、证据进行综合分析，评审审核发现，经审核组内部达成一致后，形成初次认证审核结论，明确是否推荐受审核方获得 Halal 认证注册资格。

The audit team must comply with the audit conclusion requirements of the corresponding certification scheme, conduct a comprehensive analysis of all information and evidence collected in the Phase I and Phase II audits, review the audit findings, and form the initial certification audit conclusion after the audit team reaches an internal agreement, clarifying whether to recommend the audited party to obtain the Halal certification registration qualification.

5.4 现场审核实施 On-site Audit Implementation

5.4.1 审核依据 Audit Criteria

审核组按照审核方案、《审核计划》和风险控制要求，对受审核方的清真保障体系及生产经营活动进行审核，确认其是否满足 Halal 认证条件。

The audit team audits the audited party's Halal assurance system and production and operation activities in accordance with the audit scheme, Audit Plan and risk control requirements to confirm whether it meets the Halal certification conditions.

5.4.2 审核证据收集 Audit Evidence Collection

审核期间，审核组需按照 ISO17021/ISO19011 标准要求，通过查阅文件记录、与相关人员面谈、现场观察实际操作、重复验证等方式收集客观审核证据，形成审核发现；对发现的不符合项，需出具《不符合项报告》，并征得受审核方对不符合事实的书面确认。

During the audit, the audit team must collect objective audit evidence by means of reviewing documents and records, interviewing relevant personnel, observing actual operations on site, and repeated verification in accordance with the requirements of ISO17021/ISO19011 standards to form audit findings; for the non-conformities found, it is necessary to issue a Non-conformity Report and obtain the written confirmation of the non-conformity facts from the audited party.

5.4.3 审核抽样与测试 Audit Sampling and Testing

公司遵循各国认证方案的要求制定各领域产品抽样方案，并据此开展审核抽样与测试工作：

The Company shall formulate product sampling plans for each product field in accordance with the requirements of certification schemes of various countries, and carry out audit sampling and testing activities on this basis:

a）必要时，审核员在受审核方生产/服务现场按规范抽取产品样本，开展检验和实验；

If necessary, the auditor takes product samples on the audited party's production/service site in accordance with the specifications to carry out inspection and testing;

b）抽样需依据出口 Halal 产品的检验批次，采用可靠的统计方法，确保样本具有代表性；

Sampling must be based on the inspection batches of exported Halal products and adopt reliable statistical methods to ensure the representativeness of the samples;

c）承担样本检测的实验室需符合 ISO/IEC17025 标准要求；

The laboratory undertaking sample testing must meet the requirements of ISO/IEC17025 standard;

d）检测方法需符合出口 Halal 产品要求及国家、地区或国际相关法律法规；

The testing method must comply with the requirements of exported Halal products and relevant national, regional or international laws and regulations;

e）公司选择具备资质和能力的实验室，开展酒精、DNA 等关键指标检测，确保审核结果的可信度。

The company selects a qualified and competent laboratory to carry out testing of key indicators such as alcohol and DNA to ensure the credibility of the audit results.

5.4.4 审核沟通 Audit Communication

审核组需及时向受审核方通报审核进展及结果，为受审核方提供针对审核结果及依据提出质疑的机会；审核期间，通过召开会议、现场沟通等方式，在审核组内部及审核组与受审核方之间开展必要的信息沟通。

The audit team must timely inform the audited party of the audit progress and results, and provide the audited party with an opportunity to question the audit results and their basis; during the audit, conduct necessary information communication within the audit team and between the audit team and the audited party by holding meetings, on-site communication and other means.

5.4.5 文件评审与第一阶段审核流程

Document Review and Phase I Audit Workflow

a）审核组在组长带领下，于 5 个工作日内完成认证申请材料的审阅及相关信息收集，按第一阶段审核要求获取证据，将符合项、不符合项及其他相关信息写入《第一阶段审核报告》；该报告经认证部主任审查批准后，转交受审核方，并上传至公司网盘对应流程文件夹。

Led by the team leader, the audit team completes the review of certification application materials and collection of relevant information within 5 working days, obtains evidence in accordance with the Phase I audit requirements, and writes the conformities, non-conformities and other relevant information into the Phase I Audit Report; the report is forwarded to the audited party after being reviewed and approved by the Director of the Audit Department, and uploaded to the corresponding process folder of the company's network disk.

b）对受审核方的文件审核需贯穿 Halal 认证审核的全过程，及时发现文件体系中的问题并要求整改。

The document review of the audited party must run through the entire process of Halal certification audit, and timely find problems in the document system and require rectification.

c）第一阶段审核需重点审查受审核方的清真保障体系，至少包括：基本标准引用及定义、清真保障小组成员管理、供应商管理程序、采购管理、设计研发（如

需）、Halal 证书及标识管理、隔离程序（如需）。

The Phase I audit must focus on reviewing the audited party's Halal assurance system, including at least: citation and definition of basic standards, management of members of the Halal assurance team, supplier management procedures, procurement management, design and development (if required), Halal certificate and logo management, and isolation procedures (if required).

d）敏感原辅料审核要求

Requirements for Audit of Sensitive Raw and Auxiliary Materials

1. 香精类、发酵类、复配类、含动物源成分类敏感原辅料，受审核方必须提供有效的 Halal 证书；审核组需评估证书的符合性和有效性，并按公司《敏感原辅料汇总要求》存档。

The audited party must provide valid Halal certificates for sensitive raw and auxiliary materials such as flavouring, fermentation, compounding and those containing animal source ingredients; the audit team must evaluate the conformity and effectiveness of the certificates and file them in accordance with the company's Summary Requirements for Sensitive Raw and Auxiliary Materials.

2. 对无有效 Halal 证书的敏感原辅料，审核组要求受审核方提供全部成分明细和工艺流程图等支持性文件，开展进一步合规性评价。

For sensitive raw and auxiliary materials without valid Halal certificates, the audit team requires the audited party to provide supporting documents such as complete ingredient details and process flow charts to conduct further compliance evaluation.

3. 审核组需对受审核方的原辅料申请进行审批，现场审核时确认实际使用的原辅料与获批原辅料的一致性；若存在不一致，要求受审核方提交变更申请并重新审批。

The audit team must approve the audited party's application for raw and auxiliary materials, and confirm the consistency between the actually used raw and auxiliary materials and the approved ones during the on-site audit; if there is inconsistency, the audited party is required to submit a change application and reapprove.

5.4.6 第二阶段现场审核流程 Phase II On-site Audit Workflow

5.4.6.1 审核计划审批与确认 Audit Plan Approval and Confirmation

审核组长拟定《现场审核计划》，经认证部主任批准后，转交受审核方并要求其出具书面确认意见；《现场审核计划》是现场审核实施的核心依据，未经双方确认不得擅自修改。

The Audit Team Leader shall draft the **On-site Audit Plan**. After being approved by the Director of the Certification Department, the plan shall be forwarded to the auditee with a request for written confirmation. The On-site Audit Plan serves as the fundamental basis for on-site audit implementation, and no unauthorized revision shall be made without confirmation from both parties.

5.4.6.2 差旅申请 Travel Application

审核组长及组员依据批准的《现场审核计划》，在公司 OA 系统中分别提交《出差申请》和《审核组行程单》；未经批准的差旅申请，公司不予报销相关费用。

According to the approved On-site Audit Plan, the audit team leader and members submit the Business Trip Application and Audit Team Itinerary in the company's OA system respectively; the company will not reimburse the relevant expenses for unapproved business trip applications.

5.4.6.3 首次会议 Opening Meeting

首次会议为正式会议，由审核组长主持，受审核方管理层及相关部门负责人参加，会议需记录参会人员并形成《首末次会议记录》，会议内容至少包括：

The opening meeting is a formal meeting chaired by the audit team leader, attended by the audited party's management and person in charge of relevant departments. The meeting must record the participants and form the Opening and Closing Meeting Record. The meeting content includes at least:

a）介绍审核组成员及职责、受审核方参会人员及所属部门；

Introduce the audit team members and their responsibilities, the audited party's participants and their affiliated departments;

b）再次确认 Halal 认证范围、审核计划及相关安排（如末次会议时间）；

Reconfirm the Halal certification scope, audit plan and relevant arrangements (such as the time of the closing meeting);

c）确认审核组与受审核方的正式沟通渠道、审核所需资源及设施；

Confirm the formal communication channels between the audit team and the audited party, and the resources and facilities required for the audit;

d）确认保密事宜、工作安全及应急程序；

Confirm confidentiality matters, work safety and emergency procedures;

e）说明审核报告的提交方式、审核发现的分级标准及可能提前终止审核的条件；

Explain the submission method of the audit report, the grading standard of audit findings and the conditions for possible early termination of the audit;

f）确认审核中使用的语言，为受审核方提供提问机会；

Confirm the language used in the audit and provide the audited party with an opportunity to ask questions;

g）审核组介绍公司概况及 Halal 认证相关法律法规，对会议现场进行拍照（照片需含日期水印及全体审核组成员）；

The audit team introduces the company's general situation and relevant laws and regulations on Halal certification, and takes photos of the meeting site (the photos must include a date watermark and all audit team members)；

h）确定受审核方现场陪同人员，明确现场审核的拍照/录像权限，宣布现场审核正式开始。

Determine the on-site accompanying personnel of the audited party, clarify the authority to take photos/videos of the on-site audit, and announce the official start of the on-site audit.

5.4.6.4 现场审核核心内容 Core Contents of On-site Audit

现场审核需覆盖受审核方生产经营全流程，采集足够的客观证据，重点审核以下内容：

The on-site audit must cover the entire production and operation process of the audited party, collect sufficient objective evidence, and focus on the following contents:

a）生产经营场所的一致性、环境卫生及布局合规性；

Consistency of production and operation sites, environmental sanitation and layout compliance;

b）生产加工设备、器具的配套性及合规性，混产企业的交叉污染隔离措施及记录；

Support and compliance of production and processing equipment and utensils, cross-contamination isolation measures and records of mixed production enterprises;

c）生产过程关键控制点的监控记录、敏感原辅料投料记录、设备/工器具清洗消毒记录；

Monitoring records of critical control points in the production process, feeding records of sensitive raw and auxiliary materials, cleaning and disinfection records of equipment/utensils;

d）原辅料仓库的出入库记录、敏感原辅料的 Halal 证书一致性、仓库隔离措施；

In and out warehouse records of raw and auxiliary material warehouses, consistency of Halal certificates of sensitive raw and auxiliary materials, and warehouse isolation measures;

e）成品仓库的 Halal 标识使用记录、产品包装合规性、成品隔离措施；

Halal logo use records, product packaging compliance and finished product isolation measures in the finished product warehouse;

f）认证产品的抽样（如需），严格遵循《认证产品取样操作规程》；

Sampling of certified products (if required), strictly following the Certified Product Sampling Operation Specification;

g）包装车间的环境卫生、Halal 标识使用管理、包装材料合规性；

Environmental sanitation of the packaging workshop, use and management of Halal logo, and compliance of packaging materials;

h）食品链加工企业的环境、运输、仓储、卫生及虫害防治情况；

Environment, transportation, storage, hygiene and pest control of food chain processing enterprises;

i）受审核方的自检自控能力、实验室质量管理体系及检测人员资质；

The audited party's self-inspection and self-control capacity, laboratory quality management system and the qualification of testing personnel;

j）产品多样性审核：按产品单元划分选取审核样本，每个单元至少选取 1 款产品，优先选取工艺复杂、含动物源的产品；

Product diversity audit: select audit samples according to product unit division, select at least one product for each unit, and give priority to products with complex processes and animal sources;

k）Halal 证书及标识使用审核：核查标识使用合规性、管理记录，对相关岗位人员进行教法知识考核，审核结果需写入审核报告并附相关证据。

Audit of the use of Halal certificates and logos: verify the compliance of logo use and management records, conduct Shariah knowledge assessment on relevant post personnel, and the audit results must be written into the audit report with relevant evidence attached.

5.4.6.5 审核发现汇总 现场审核收集的证据需满足有效期内（或半年以内） 要求，检测报告需为官方或具备资质的实验室出具；审核组需汇总、分析审核证据，形成审核发现，收集的核心证据包括：

The evidence collected in the on-site audit must meet the requirement of within the validity period (or within six months), and the test report must be issued by an official or qualified laboratory; the audit team must summarize and analyze the audit evidence to form audit findings. The core evidence collected includes:

a）清真保障体系文件及内审、培训等相关记录；

Halal assurance system documents and relevant records such as internal audit and training;

b）Halal 认证相关审核记录及证书（含其他机构颁发的）；

Audit records and certificates related to Halal certification (including those issued by other institutions);

c）合格供应商的 Halal 资质控制记录；

Halal qualification control records of qualified suppliers;

d）产品第三方质检报告、生产用水水质报告；

Third-party quality inspection reports of products and water quality reports of production water;

e）企业体系认证证书、员工健康证书；

Enterprise system certification certificates and employee health certificates;

f）《现场审核表》《现场面谈表》《现场审核计划》（需受审核方加盖公章）。

On-site Audit Form, On-site Interview Form, On-site Audit Plan (must be sealed by the audited party).

5.4.6.6 审核结论形成（Formulation of Audit Conclusions）

审核组长汇总审核发现，对存在不符合项的，填写《不符合项报告》，并与受审核方充分沟通，确保其理解不符合事实并签字确认；审核组与受审核方商定不符合项的整改时限，可识别改进机会但不提供具体解决方案。 审核组长依据审核发现及受审核方的整改承诺，形成最终审核结论，明确是否推荐受审核方获得/保持 Halal 认证注册资格。

The audit team leader summarizes the audit findings, and fills in the Non-conformity Report for existing non-conformities, and fully communicates with the audited party to ensure that it understands the non-conformity facts and signs for confirmation; the audit team agrees on the rectification time limit of the non-conformities with the audited party, and can identify improvement opportunities but not provide specific solutions. Based on the audit findings and the audited party's rectification commitment, the audit team leader forms the final audit conclusion, clarifying whether to recommend the audited party to obtain/maintain the Halal certification registration qualification.

5.4.6.7 末次会议 Closing Meeting

末次会议由审核组长主持，受审核方管理层及相关人员参加，会议需签到并拍照（照片含日期水印、企业名称/标志、审核组及受审核方代表），会议内容至少包括：

The closing meeting is chaired by the audit team leader, attended by the audited party's management and relevant personnel. The meeting must be signed in and photographed (the photos include a date watermark, enterprise name/logo, and representatives of the audit team and the audited party). The meeting content includes at least:

a）感谢受审核方对审核工作的配合与支持；

Thank the audited party for its cooperation and support for the audit work;

b）向受审核方反馈审核结果，评价合规性情况，宣读《不符合项报告》并展示客观证据；

Feed back the audit results to the audited party, evaluate the compliance status, read out the Non-conformity Report and display objective evidence;

c）与受审核方讨论并书面确定不符合项的具体整改时限；

Discuss with the audited party and determine in writing the specific rectification time limit of the non-conformities;

d）向受审核方告知认证决定的后续实施流程及时间安排；

Inform the audited party of the subsequent implementation process and time arrangement of the certification decision;

e）解答受审核方针对审核工作的疑问。

Answer the audited party's questions about the audit work.

5.4.6.8 《审核报告》编制与分发

Preparation and Distribution of the Audit Report

a）审核组需在末次会议后及时编制《审核报告》，如实反映现场审核实际情况，报告内容至少包括：审核人员信息、审核目的、受审核方基本信息、审核实施过程、不符合项证据、整改要求、审核结论等；

The audit team must compile the Audit Report in a timely manner after the closing meeting, which truthfully reflects the actual situation of the on-site audit. The report content includes at least: auditor information, audit purpose, basic information of the audited party, audit implementation process, non-conformity evidence, rectification requirements, audit conclusion, etc.;

b）《审核报告》分发给受审核方/认证申请方；

The Audit Report is distributed to the audited party/certification applicant;

c）公司为《审核报告》的所有权方，未经总经理批准，任何单位或个人不得擅自复印、分发该报告。

The company is the owner of the Audit Report, and no unit or individual may copy or distribute the report without the approval of the General Manager.

5.4.6.9 审核资料归档 Audit Document Filing

审核组完成现场审核后，将所有审核资料（申请资料、审核记录、报告、照片等）汇总整理，上传至公司网盘对应流程文件夹；审核组长通过 OA 系统将审核资料转交认证部主任审批，审批通过后转交监督与审核部进行复核。

After completing the on-site audit, the audit team summarizes and sorts out all audit materials (application materials, audit records, reports, photos, etc.) and uploads them to the corresponding process folder of the company's network disk; the audit team leader forwards the audit materials to the Director of the Audit Department for approval through the OA system, and forwards them to the Certification Decision Department for review after approval.

5.5 审核报告管理 Audit Report Management

为确保认证公正性，审核组不得为受审核方提供任何具有咨询性质的解决方案；若受审核方产品涉及供应链环节，《审核报告》需重点检查产品 Halal 属性的可追溯性管理情况。《审核报告》经公司授权人批准后，正式发放给认证委托方/受审核方；公司对《审核报告》拥有所有权，未经领导批准，不得随意散发、复制。

To ensure the impartiality of certification, the audit team shall not provide any solution of a consulting nature to the audited party; if the audited party's products involve the supply chain link, the Audit Report must focus on checking the traceability management of the Halal attribute of the products. After being approved by the company's authorized person, the Audit Report is officially issued to the certification client/audited party; the company has ownership of the Audit Report and shall not distribute or copy it at will without the approval of the leader.

5.6 整改措施验证 Verification of Rectification Measures

审核组需对受审核方针对不符合项提交的纠正措施、原因分析及整改结果进行审查和验证，确认整改措施的有效性和合规性；只有整改合格的，方可进入后续认证决定环节；整改不合格的，审核组可提出拒绝认证、暂停审核等意见。

The audit team must review and verify the corrective measures, cause analysis and rectification results submitted by the audited party for the non-conformities to confirm the effectiveness and compliance of the rectification measures; only those with qualified rectification can enter the subsequent certification decision link; for those with unqualified rectification, the audit team can put forward opinions such as refusing certification and suspending the audit.

6 监督审核要求 Requirements for Surveillance Audit

6.1 监督审核定义 Definition of Surveillance Audit

监督审核是指对获证组织的 Halal 认证合规性进行的现场或远程审核，旨在验证获证组织的清真保障体系持续有效运行，确保其产品始终符合 Halal 认证标准。

Surveillance audit refers to the on-site or remote audit of the Halal certification compliance of certified organizations, aiming to verify the continuous and effective operation of the Halal assurance system of certified organizations and ensure that their products always comply with Halal certification standards.

6.2 监督审核频次 Frequency of Surveillance Audit

a）证书有效期内，开展两次定期监督审核：首次监督审核自初审完成之日起 9-12 个月内进行，第二次监督审核自首次监督审核完成之日起 9-12 个月内进行，两

次审核间隔不得超过 12 个月；

During the validity period of the certificate, two regular surveillance audits shall be carried out: the first surveillance audit shall be carried out within 9-12 months from the date of completion of the initial audit, the second surveillance audit shall be carried out within 9-12 months from the date of completion of the first surveillance audit, and the interval between the two audits shall not exceed 12 months;

b）出现下列情况之一的，立即开展特殊监督审核：

If one of the following situations occurs, a special surveillance audit shall be carried out immediately:

1）清真保障体系发生重大变化；

Major changes in the Halal assurance system;

2）发生产品质量、食品安全等重大事故或投诉；

Major accidents or complaints such as product quality and food safety;

3）获证组织存在违法失信、行政处罚等不良信息；

The certified organization has adverse information such as illegal breach of trust and administrative penalties;

4）其他可能影响产品 Halal 属性的重大情况。

Other major situations that may affect the Halal attribute of the product.

c）对食品、医药等高危行业获证组织，可根据实际情况增加监督审核频次；

For certified organizations in high-risk industries such as food and medicine, the frequency of surveillance audit can be increased according to the actual situation;

e）审核人员安排原则：一个认证周期内审核人员不得调换（实习审核员、技术专家除外），下一个认证周期必须更换审核组长。

Principles for the arrangement of auditors: auditors shall not be replaced within one certification cycle (except trainee auditors and technical experts), and the audit team leader must be replaced in the next certification cycle.

6.3 监督审核内容 Content of Surveillance Audit

每次监督审核至少覆盖以下内容：

Each surveillance audit covers at least the following contents:

a）获证组织的内部审核和管理评审情况，核查《获证企业年度报告》；

The internal audit and management review of the certified organization, and verify the Annual Report of Certified Enterprises;

b）上次审核中不符合项整改措施的有效性验证；

Effectiveness verification of the rectification measures for non-conformities in the previous audit;

c）客户投诉的处理情况及整改措施；

Handling of customer complaints and corrective measures;

d）清真保障体系的运行有效性及持续改进情况；

Operation effectiveness and continuous improvement of the Halal assurance system;

e）生产工艺、原辅料、供应商、生产场所等关键要素的变更情况及合规性；

Changes and compliance of key elements such as production processes, raw and auxiliary materials, suppliers, and production sites;

f）Halal 证书及标识的使用、管理和控制情况；

The use, management and control of Halal certificates and logos;

g）敏感原辅料的使用管控及物料平衡情况；

Use control and material balance of sensitive raw and auxiliary materials;

h）获证组织的法律法规遵守情况。

Compliance of the certified organization with laws and regulations.

i）针对不同认证方案的专项核查：GSO 方案重点核查出口合规性文件，MS 方案核查原料清真资质更新，BPJPH 方案核查 PPH 程序执行记录，SMIIC 方案重点核查成分检测报告有效性及生产过程清洁验证记录，UAE 方案重点核查产品 ECAS 注册有效性、进口合规资质及清关符合性证明文件。

Special verification for different certification schemes: The GSO scheme focuses on verifying export compliance documents; the MS scheme verifies the renewal of raw material Halal qualifications; the BPJPH scheme verifies the implementation records of PPH procedures; the SMIIC scheme focuses on verifying the validity of ingredient test reports and production process cleanliness verification records; the UAE scheme focuses on verifying the validity of product ECAS registration, import compliance qualifications and customs clearance conformity documents.

j）获证企业产品标签、包装、对外英文资料持续性核查：确认企业未新增、未持续使用哈拉禁忌英文词汇；核查企业新增产品、改版包装、新出口订单配套英文资料，对变更后的外文文件开展专项复核，如新增违禁词汇，按监督审核不符合项管控，情节严重启动特殊审核。

Continuous inspection of foreign labels, packaging and external English documents of certified enterprises: confirm no new or continuous use of Halal forbidden English words. Review English documents for newly launched products, revised packaging and new export orders. If new forbidden words are detected, treat as surveillance audit non-conformity; launch special audit in severe cases.

6.4 监督审核流程 Surveillance Audit Process

6.4.1 审核准备 Audit preparation

a）综合部提前 3 个月与获证组织沟通，确定监督审核时间并制定审核计划；

The General Department communicates with the certified organization 3 months in advance to determine the surveillance audit time and formulate the audit plan;

b）按《审核材料归档清单》收集审核所需资料，仅收集获证组织发生变更的资料，避免重复提交；

Collect the materials required for the audit in accordance with the Audit Material Filing Checklist, and only collect the changed materials of the certified organization to avoid repeated submission;

c）其余审核准备工作按本规范 5.2 条款执行。

The remaining audit preparation work shall be implemented in accordance with Clause 5.2 of this specification.

6.4.2 审核实施 Audit implementation

a）审核组依据《获证企业年度报告》和上次审核不符合项，策划审核重点；

The audit team plans the audit focus based on the Annual Report of Certified Enterprises and the non-conformities of the previous audit;

b）验证上次审核不符合项的整改有效性，确认是否已有效关闭；

Verify the effectiveness of the rectification of the non-conformities in the previous audit and confirm whether they have been effectively closed;

c）对发生变更的获证组织，评价变更对产品 Halal 属性的影响，形成审核结论；

For the certified organization with changes, evaluate the impact of the changes on the Halal attribute of the product and form an audit conclusion;

d）对未发生变更的获证组织，验证其生产经营与认证声称的一致性，评价清真保障体系的持续有效性；

For the certified organization without changes, verify the consistency between its production and operation and the certification claims, and evaluate the continuous effectiveness of the Halal assurance system;

e）敏感原辅料审核按本规范 5.4.5d 条款执行，仅审核原辅料的变更情况，确认

最新原辅料清单；

The audit of sensitive raw and auxiliary materials shall be implemented in accordance with Clause 5.4.5d of this specification, only the changes of raw and auxiliary materials shall be audited, and the latest list of raw and auxiliary materials shall be confirmed;

f）现场审核实施按本规范 5.4 条款执行。

The implementation of on-site audit shall be carried out in accordance with Clause 5.4 of this specification.

6.5 监督审核结论 Surveillance Audit Conclusion

审核组根据现场审核结果进行综合评价，出具以下审核结论之一，报公司审批后正式生效：

Based on the on-site audit results, the audit team conducts a comprehensive evaluation and issues one of the following audit conclusions, which shall take effect officially after being submitted to the company for approval:

a）推荐保持认证资格：获证组织合规性良好，清真保障体系持续有效运行；

Recommend to maintain certification qualification: The certified organization has good compliance and the Halal assurance system operates continuously and effectively;

b）暂停证书使用：获证组织存在较严重不符合项，限期整改（整改期不超过 6 个月）；

Suspend the use of the certificate: The certified organization has relatively serious non-conformities and is required to rectify within a time limit (the rectification period shall not exceed 6 months);

c）撤销认证证书：获证组织存在重大不符合项，无法满足 Halal 认证标准；

Revoke the certification certificate: The certified organization has major non-conformities and cannot meet the Halal certification standards;

d）缩小认证范围：获证组织部分产品无法满足认证要求，删减不合格产品品类。

Narrow the certification scope: Some products of the certified organization cannot meet the certification requirements, and the unqualified product categories are deleted.

7 再认证活动 Recertification Activities

7.1 再认证申请 Recertification Application

获证组织应在现有 Halal 认证证书到期前 6 个月，向公司提交再认证申请；逾期未提交的，证书到期后自动失效，需按初次认证流程重新申请。

The certified organization shall submit a recertification application to the company 6 months before the expiration of the existing Halal certification certificate; if the application is not submitted within the time limit, the certificate will automatically become invalid after expiration and need to reapply in accordance with the initial certification process.

7.2 再认证审核流程 Recertification audit process

再认证审核的准备、现场审核、审核报告编制等流程与初次认证审核一致，审核组需重点验证：

The preparation, on-site audit, audit report compilation and other processes of the recertification audit are consistent with the initial certification audit. The audit team must focus on verifying:

a）获证组织清真保障体系的持续有效性和改进情况；

The continuous effectiveness and improvement of the Halal assurance system of the certified organization;

b）证书有效期内监督审核发现问题的整改情况；

The rectification of problems found in the surveillance audit during the validity period of the certificate;

c）生产经营、原辅料、供应商等要素的变更合规性；

Change compliance of elements such as production and operation, raw and auxiliary materials, and suppliers;

d）产品 Halal 属性的持续符合性。

Continuous compliance of the Halal attribute of the product.

e）不同认证方案的专项验证要求：GSO 方案验证出口目标国合规更新，MS 方案验证原料供应商清真资质延续，BPJPH 方案验证 SJPH 手册修订情况，SMIIC 方案验证成分检测报告更新及生产隔离措施的持续有效性，UAE 方案验证 ECAS 注册资质续期、进口合规文件更新及清真生产管控体系持续符合性。

Special verification requirements for different certification schemes: The GSO scheme verifies the compliance updates of exporting destination countries; the MS scheme verifies the continuation of Halal qualifications of raw material suppliers; the BPJPH scheme verifies the revision status of the SJPH manual; the SMIIC scheme verifies the update of ingredient test reports and the continuous effectiveness of production segregation measures; the UAE scheme verifies the renewal of ECAS registration qualification, the update of import compliance documents, and the continuous conformity of the Halal production control system.

f）获证企业产品标签、包装、对外英文资料持续性核查：确认企业未新增、未持续使用哈拉禁忌英文词汇；核查企业新增产品、改版包装、新出口订单配套英文资料，对变更后的外文文件开展专项复核，如新增违禁词汇，按审核不符合项管控，情节严重启动特殊审核。

Continuous inspection of foreign labels, packaging and external English documents of certified enterprises: confirm no new or continuous use of Halal forbidden English words. Review English documents for newly launched products, revised packaging and new export orders. If new forbidden words are detected, treat as audit non-conformity, launch special audit in severe cases.

审核组完成审核后，形成再认证审核结论，报公司审批后，确定是否为获证组织换发新的 Halal 认证证书。

After completing the audit, the audit team forms the recertification audit conclusion, which is submitted to the company for approval to determine whether to reissue a new Halal certification certificate to the certified organization.

8 特殊审核 Special Audit

8.1 扩大认证范围 Expanding the Scope of Certification

a）获证组织可在监督审核、再认证审核现场，或单独向公司提交扩大认证范围的申请；

The certified organization may submit an application for expanding the certification scope on the site of surveillance audit or recertification audit, or separately to the company;

b）综合部对申请资料进行评审，确认公司资质及能力是否覆盖新增认证范围；

The General Department reviews the application materials to confirm whether the company's qualifications and capabilities cover the new certification scope;

c）审核组根据新增范围制定审核计划，补充审核人员（如需），按对应认证方案要求开展现场审核；

The audit team formulates an audit plan according to the new scope, supplements auditors (if required), and carries out on-site audit in accordance with the requirements of the corresponding certification scheme;

d）审核合格的，公司为获证组织换发证书，更新认证范围；审核不合格的，驳回扩大认证范围申请。

If the audit is qualified, the company reissues the certificate to the certified organization and updates the certification scope; if the audit is unqualified, the application for expanding the certification scope is rejected.

8.2 缩小认证范围 Narrowing the Scope of Certification

8.2.1 获证组织主动申请 获证组织因生产调整等原因主动申请缩小认证范围的，可与监督审核、再认证审核合并进行，无需单独提交资料，公司审核后直接换发证书，更新认证范围。

If the certified organization takes the initiative to apply for narrowing the certification scope due to production adjustment and other reasons, it can be combined with the surveillance audit and recertification audit without submitting separate materials. The company reissues the certificate directly and updates the certification scope after the audit.

8.2.2 认证范围无法满足要求 若获证组织部分产品因原辅料、生产工艺等原因无法满足 Halal 认证要求，审核组应书面通知获证组织，要求其删减不合格产品；审核组需评估删减产品对其余认证范围的影响，确保剩余产品均符合认证要求，审核合格后换发证书。

If some products of the certified organization cannot meet the Halal certification requirements due to raw and auxiliary materials, production processes and other reasons, the audit team shall notify the certified organization in writing and require it to delete the unqualified products; the audit team must evaluate the impact of the deleted products on the remaining certification scope to ensure that the remaining products meet the certification requirements, and reissue the certificate after the audit is qualified.

8.3 提前较短时间通知的审核 Audits conducted with short advance notice

公司为调查客户投诉、验证整改效果、跟踪不良信息等，可在提前短时间通知或不通知获证组织的情况下开展现场审核；审核流程与监督审核一致，审核组需及时提交审核报告，公司根据审核结果采取相应措施（告诫、暂停、撤销证书等）。

For investigating customer complaints, verifying rectification effects, tracking adverse information, etc., the company may carry out on-site audit with short advance notice or without notifying the certified organization; the audit process is consistent with the surveillance audit, the audit team must submit the audit report in a timely manner, and the company takes corresponding measures (admonition, suspension, revocation of certificate, etc.) according to the audit results.

9 相关文件和记录 Relevant Documents and Records

9.1 相关文件 Relevant Documents

a）认证决定控制程序 Certification Decision Control Procedure

b）文件控制程序 Document Control Program

c）记录控制程序 Records control procedures

d）认证申请受理控制程序

Certification Application Acceptance Control Procedure

e）ISO/IEC17021:2015 合格评定 管理体系审核认证机构要求

ISO/IEC 17021-1:2015 Conformity assessment — Requirements for bodies providing audit and certification of management systems

f）出口目标国 Halal 认证标准

Halal Certification Standards of Export Destination Countries

9.2 相关记录（Relevant Records）

序号（No.）	记录编号（Record No.）	记录名称（Record Name）	英文名称（English Name）
1	ABC-QR-106	认证申请评审表	Review Form for Certification Application
2	ABC-QR-108	审核任务书	Audit Task Book
3	ABC-QR-109	第一阶段审核报告	Phase 1 Audit Report
4	ABC-QR-110	审核计划	Audit Plan
5	ABC-QR-111	首末次会议记录	opening and closing meeting record form

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