



**ACCREDITATION CONDITIONS
FOR HALAL CERTIFICATION BODY-
PART 11**

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7 GENERAL REQUIREMENTS

7.1 General

The Halal Certification Body (HCB) should be a Muslim entity and shall have profound belief in the necessity of proper supply of Halal product/service and take all relevant steps to ensure Islamic responsibility have been observed in all activities. HCB shall have the responsibility for conformity with all Islamic requirements.

7.1.1 Legal and Islamic responsibility

The certification body shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its certification activities. A governmental certification body is deemed to be a legal entity on the basis of its governmental status.

7.1.2 Certification agreement

The certification body shall have a legally enforceable agreement for the provision of certification activities to its client. In addition, where there are multiple offices of a certification body or multiple sites of a client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification.

7.1.3 Responsibility for certification decisions

The certification body shall be responsible for, and shall retain authority for, its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.

7.2 Management of Impartiality

7.2.1 The certification body shall have top management commitment to impartiality in management system certification activities. The certification body shall have a publicly accessible statement that it understands the importance of impartiality in carrying out its management system certification activities, manages conflict of interest and ensures the objectivity of its management system certification activities.

7.2.2 The certification body shall identify, analyse and document the possibilities for conflict of interests arising from provision of certification including any conflicts arising from its relationships. Having relationships does not necessarily present a certification body with a conflict of interest. However, if any relationship creates a threat to impartiality, the certification body shall document and be able to demonstrate how it eliminates or minimizes such threats. This information shall be made available to the committee specified in 8.2. The demonstration shall cover all potential sources of conflict of interests that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organizations.

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NOTE: A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission or other inducement for the referral of new clients, etc.

7.2.3 When a relationship poses an unacceptable threat to impartiality (such as a wholly owned subsidiary of the certification body requesting certification from its parent), then certification shall not be provided.

NOTE: See Note to 7.2.2.

7.2.4 A certification body shall not certify another certification body for its management system certification activities.

NOTE: See Note to 7.2.2.

7.2.5 The certification body and any part of the same legal entity shall not offer or provide management system consultancy. This also applies to that part of government identified as the certification body.

7.2.6 The certification body and any part of the same legal entity shall not offer or provide internal audits to its certified clients. The certification body shall not certify a management system on which it provided internal audits within two years following the end of the internal audits. This also applies to that part of government identified as the certification body.

NOTE: See Note to 7.2.2.

7.2.7 The certification body shall not certify a management system on which a client has received management system consultancy or internal audits, where the relationship between the consultancy organization and the certification body poses an unacceptable threat to the impartiality of the certification body.

NOTE: 1 Allowing a minimum period of two years to elapse following the end of the management system consultancy is one way of reducing the threat to impartiality to an acceptable level.

NOTE: 2 See Note to 7.2.2.

7.2.8 The certification body shall not outsource audits to a management system consultancy organization, as this poses an unacceptable threat to the impartiality of the certification body (see 9.5). This does not apply to individuals contracted as auditors covered in 9.3.

7.2.9 The certification body's activities shall not be marketed or offered as linked with the activities of an organization that provides management system consultancy. The certification body shall take action to correct inappropriate claims by any consultancy organization stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used. A certification body shall not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used.

7.2.10 To ensure that there is no conflict of interests, personnel who have provided management system consultancy, including those acting in a managerial capacity, shall not be used by the certification body to take part in an audit or other certification activities if they have been involved in management system consultancy towards the client in question within two years following the end of the consultancy.

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7.2.11 The certification body shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations.

7.2.12 All certification body personnel, either internal or external, or committees, who could influence the certification activities, shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality.

7.2.13 Certification bodies shall require personnel, internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests. Certification bodies shall use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them, and shall not use such personnel, internal or external, unless they can demonstrate that there is no conflict of interests.

7.2.1 The certification body and any part of the same legal entity shall not offer or provide Halal consultancy or HFMS or Food Safety Management System (FSMS) consultancy or management system consultancy.

7.2.2 The term “management system consultancy” means “Halal consultancy, hazard analysis consultancy, HFMS/FSMS consultancy or management system consultancy”.

7.3 Liability and financing

7.3.1 The certification body shall be able to demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates.

7.3.2 The certification body shall evaluate its finances and sources of income and demonstrate to the committee specified in 8.2 that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality.

7.4 Operations

7.4.1 The certification body shall take all steps necessary to evaluate conformance with the relevant Halal standards according to the requirements of specific Halal certification system. The certification body shall specify the relevant standards or parts thereof and any other requirements such as sampling, testing and inspection requirements which form the basis for the applicable Halal certification system.

7.4.2 In conducting its Halal certification operations, the certification body shall observe, as appropriate, the requirements for the suitability and competence of body(ies) or person(s) carrying out testing, inspection and Halal certification as specified in ISO/IEC 17025, ISO/IEC 17020, PS 4992, PS 3733 etc.

8 STRUCTURAL REQUIREMENTS

8.1 Organizational structure and top management

8.1.1 The certification body shall document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees.

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When the certification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity.

8.1.2 The certification body shall identify the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:

- a. Development of policies relating to the operation of the body;
- b. Supervision of the implementation of the policies and procedures;
- c. Supervision of the finances of the body;
- d. Development of management system certification services and schemes;
- e. Performance of audits and certification, and responsiveness to complaints;
- f. Decisions on certification;
- g. Delegation of authority to committees or individuals, as required, to Undertake defined activities on its behalf;
- h. Contractual arrangements;
- i. Provision of adequate resources for certification activities.

8.1.3 The certification body shall have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification activities.

8.2 Committee for safeguarding impartiality

8.2.1 The structure of the certification body shall safeguard the impartiality of the activities of the certification body and shall provide for a committee

- a) To assist in developing the policies relating to impartiality of its certification activities, to counteract any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent objective provision of certification activities,
- b) To conduct a review, at least once annually, of the impartiality of the audit, certification and decision-making processes of the certification body.
- c) To advise on matters affecting confidence in certification, including openness and public perception, and
- d) Other tasks or duties may be assigned to the committee provided these additional tasks or duties do not compromise its essential role of ensuring impartiality.

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8.2.2 The composition, terms of reference, duties, authorities, competence of members and responsibilities of this committee shall be formally documented and authorized by the top management of the certification body to ensure

- a) representation of a balance of interests such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate),
- b) access to all the information necessary to enable it to fulfil its functions (see also 7.2.2 and 7.3.2), and
- c) that if the top management of the certification body does not respect the advice of this committee, the committee shall have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders). In taking independent action, committees shall respect the confidentiality requirements of 10.5 relating to the client and certification body.

8.2.3 Although this committee cannot represent every interest, a certification body should identify and invite key interests. Such interests may include: clients of the certification body, customers of organizations whose management systems are certified, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, or representatives of non-governmental organizations, including consumer organizations.

8.2.4 The Islamic institutes well recognized in the country (e.g., as described in Annex B, section 1, PS 4992:2010) in which the Certification body operates shall be represented in the committee for safeguarding impartiality. It shall play an active role in reviewing in the light of Islamic principles the impartiality of the Halal certification activities that are executed by the certification body and in determining rules, procedures and policies with regard to Islamic aspects of the Halal certification.

8.2.5 The Islamic institutes should take due regard of and analyse any concerns that arise out of the discrepancies in Islamic knowledge, practices and understanding that is likely to compromise the impartiality.

9 RESOURCE REQUIREMENTS

9.1 Competence of management and personnel

The certification body shall have processes to ensure that personnel have appropriate knowledge relevant to the categories (see Annex A) in which it operates.

9.1.1 The certification body shall have processes to ensure that personnel have appropriate knowledge relevant to the types of Halal management systems and geographic areas in which it operates.

9.1.1.1 It shall determine the competence required for each technical/shariah area (as relevant for the specific certification scheme), and for each function in the Halal certification activity.

9.1.1.2 It shall determine the means for the demonstration of competence prior to carrying out specific functions.

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9.1.2 In determining the competence requirements for its personnel performing certification, the certification body shall address the functions undertaken by management and administrative personnel in addition to those directly performing audit and certification activities.

9.1.3 The certification body shall have access to the necessary technical expertise for advice on matters directly relating to certification for technical/shariah areas, types of Halal management system and geographic areas in which the certification body operates. Such advice may be provided externally or by certification body personnel.

9.2 Personnel involved in the certification activities

9.2.1 General

The certification body shall have, as part of its own organization, personnel having sufficient competence for managing the type and range of audit programmes and other Halal certification work performed. The criteria for shariah Advisor/expert of certification bodies shall be as per requirements of Annex B of PS 4992

9.2.1.1 The certification body shall employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed.

9.2.1.2 The certification body shall make clear to each person concerning their duties, responsibilities and authorities.

9.2.1.3 The certification body shall have defined processes for selecting, training, formally authorizing auditors and for selecting technical experts used in the certification activity. The initial competence evaluation of an auditor shall include a demonstration of applicable personal attributes and the ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit.

9.2.1.4 The certification body shall have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge, as well as skills and knowledge appropriate for auditing in specific technical areas. This process shall be defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011.

9.2.1.5 The certification body shall ensure that auditors (and, where needed, shariah experts, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements. The certification body shall give auditors and shariah/technical experts access to an up-to-date set of documented procedures giving audit instructions and all relevant information on the certification activities.

9.2.1.6 The certification body shall use auditors and shariah/technical experts only for those certification activities where they have demonstrated competence.

NOTE: Assignment of auditors and shariah/technical experts to teams for specific audits is addressed in 9.1.3.

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9.2.1.7 The certification body shall identify training needs and shall offer or provide access to specific training to ensure its auditors, shariah experts, technical experts and other personnel involved in certification activities are competent for the functions they perform.

9.2.1.8 The group or individual that takes the decision on granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification shall understand the applicable Halal standard and certification requirements, and shall have demonstrated competence to evaluate the audit processes and related recommendations of the audit team.

9.2.1.9 The certification body shall ensure the satisfactory performance of all personnel involved in the audit and certification activities. There shall be documented procedures and criteria for monitoring and measurement of the performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs.

9.2.1.10 The documented monitoring procedures for auditors shall include a combination of on-site observation, review of audit reports and feedback from clients or from the market and shall be defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011. This monitoring shall be designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint.

9.2.1.11 The certification body shall periodically observe the performance of each auditor on-site. The frequency of on-site observations shall be based on need determined from all monitoring information available.

9.2.1.12 The certification body shall ensure that all personnel involved in the audit and certification activities possess the following personal attributes. The personnel shall be

- a) ethical (i.e. fair, truthful, sincere, honest and discreet),
- b) open-minded (i.e. willing to consider alternative ideas or points of view),
- c) diplomatic (i.e. tactful in dealing with people),
- d) observant (i.e. actively aware of physical surroundings and activities),
- e) perceptive (i.e. instinctively aware of and able to understand situations),
- f) versatile (i.e. adjust readily to different situations),
- g) tenacious (i.e. persistent, focused on achieving objectives),
- h) decisive (i.e. reach timely conclusions based on logical reasoning and analysis), and
- i) self-reliant (i.e. act and function independently while interacting effectively with others).
- j) committed (i.e. Commitment to all Islamic values related to Halal regarding product/service and/or certification issues)
- k) objective (i.e. for making the correct decision)

9.2.1.13 The personnel involved in Halal certification shall be competent for the functions they perform, including making technical and Islamic judgements, framing policies and implementing them.

9.2.1.14 The certification body shall employ preferably Muslim personnel.

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9.2.1.15 In order to ensure that audit and certification are carried out effectively and uniformly, the minimum relevant criteria for the competence of personnel shall be defined by the Halal certification body. These criteria shall include training on Pakistan Standard for Halal certification/ OIC Halal Standard and related documents.

9.2.1.16 The personnel of the certification body can include individual auditors who work for the certification body on a contract basis, or other external resources. The certification body shall be in a position to manage, control and be responsible for the performance of all its personnel and maintain comprehensive records controlling the competence of all the staff it uses in particular areas, whether they are employees, employed on contract or provided by external bodies.

9.2.1.17 The certification body shall require its personnel involved in the Halal certification to sign a contract or other documents by which they commit themselves:

- a) to comply with the rules defined by the certification body, including those relating to confidentiality and independence from commercial and other interest;
- b) to declare any prior and/or present association on their own part, or on the part of their employer, with a designer, producer or supplier of products to the Halal audit or certification of which they are to be assigned.

9.2.1.18 Information on the relevant qualifications, training and experience of each member of the personnel involved in the Halal certification process shall be maintained by the certification body.

9.2.2 Personnel Carrying Out Contract Review

9.2.2.1 Education

The certification body shall ensure that personnel carrying out contract review have the knowledge corresponding to at least secondary education.

9.2.2.2 Food safety and/or Halal related training

The certification body shall ensure that personnel carrying out contract review have successfully completed training in

- a) Pakistan Standard for Halal certification, or,
- b) OIC Halal Standard,
- c) Quality management system / product certification, or,
- d) relevant HFMS standards (e.g. PS 3733/ISO 22000).

9.2.2.3 Audit training

The certification body shall ensure that personnel carrying out contract review have successfully completed training in audit processes based on the guidance given in ISO 19011.

NOTE: - It is not mandatory for personnel carrying out contract review to have or to maintain audit experience.

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9.2.2.4 Competences

The certification body shall ensure that personnel carrying out contract review demonstrate the ability to apply knowledge and skills in the following areas:

- a) classification of applicants in food chain categories and other sectors;
- b) assessment of applicant products and/or services, processes and practices;
- c) deployment of Halal certification auditor competences and requirements;
- d) determination of audit time (see Annex B) and duration requirements;
- e) certification body's policies and procedures related to contract review.
- f) Relevant guidelines of PNAC.

9.2.3 Personnel Granting Certification

9.2.3.1 General

The certification body shall ensure that the personnel who take the decision on granting certification have the same relevant education, training on Halal certification, audit and/or work experience as required for an auditor in one category (see Annex A) according to ISO 19011.

The personnel taking the certification decision shall consist of a minimum of 03 persons, at least one of whom is a Shariah Expert. Decisions shall be taken unanimously, not by majority of votes.

9.2.3.2 Competences

The certification body shall ensure that personnel granting certification demonstrate the ability to apply knowledge and skills in the following areas:

- a) current guidelines of PNAC for Halal Certification;
- b) Islamic rules related to Halal Certification;
- c) current principles and understanding of HFMS;
- d) identification and assessment of risks for Halal requirements;
- e) corrections and corrective actions to be taken with regards to Halal matters;
- f) any laws and regulations relevant to the Halal product/services;
- g) products, processes and practices;
- h) relevant Halal food safety management system requirements where applicable,
- i) relevant standards;
- j) assessment and review of an audit report for accuracy and completeness;
- k) assessment and review of the effectiveness of corrective actions;
- l) the certification process;
- m) Good understanding of the fundamental rules and conditions related to Halal foods especially the slaughter of animals according to Islamic rules and the requirements of PS/OIC standards and guidelines.

9.2.4 Auditors

9.2.4.1 General

Halal certification auditors shall normally have adequate knowledge of Islamic rules with regard to Halal Certification and have received training on PS/OIC Halal certification documents and studying specifications and technical documentation.

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9.2.4.2 Education

The certification body shall ensure that auditors have the knowledge, the higher or corresponding to a post-secondary education that includes courses in the related industry categories (in Table A1) in which they conduct Halal certification audits.

9.2.4.3 Special Trainings

9.2.4.3.1 If the certification body gives Halal Food Certification services, then HCB shall ensure that auditors have successfully completed training in

- a) food safety management principles
- b) national and/or international regulations on relevant sector,
- c) PS/OIC Halal Standard and guidelines.

9.2.4.3.2 If the product/service is different from food or related sectors, then HCB shall ensure that auditors have successfully completed training in those sectors specific trainings including 9.2.4.3.1.b and c.

9.2.4.3.3 The training course(s) should be recognized by the National/regional/international body as being appropriate and relevant. The approval or certification of the training courses by an independent body with the relevant expertise can provide some assurance that the course meets specified criteria of PS/OIC Halal Certification.

9.2.4.5 Audit training

The certification body shall ensure that auditors have successfully completed training in

- a) audit techniques based on ISO 19011,
- b) relevant HFMS standards (e.g. PS 3733/ISO 22000),and
- c) Halal certification based on PS/OIC Halal Standard.

9.2.4.6 Work experience

For a first qualification of an auditor in one or more categories, the certification body shall ensure that the auditor has a minimum of five years of full-time work experience in the related industry, including at least two years of work in quality assurance. For the food-chain categories, the auditor shall have at least two years work experience in food safety functions within food production or manufacturing, retailing, inspection or enforcement, or the equivalent.

The number of years of total work experience may be reduced by one year if the auditor has completed appropriate post-secondary education.

9.2.4.7 Audit experience

For a first qualification, the certification body shall ensure that within the last three years the auditor has performed at least twelve management systems like HFMS/product/service certification audit days in at least four organizations under the leadership of a qualified auditor acting as a third party or as second party auditor.

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NOTE: - HFMS audit days include audit days dealing with ISO 9001 in the food industry or other FSMS audits.

9.2.4.8 Competences

9.2.4.8.1 The competences of auditors shall be recorded for each category and sector (see Annex A). The certification body shall provide evidence of a successful evaluation.

9.2.4.8.2 The certification body shall ensure that auditors demonstrate the ability to apply knowledge and skills in the following areas.

a) Audit principles, procedures and techniques: to enable the auditor to apply those appropriate to different audits and to ensure that audits are conducted in a consistent and systematic manner. An auditor shall be able

1. to apply audit principles, procedures and techniques,
2. to plan and organize the work effectively,
3. to conduct the audit within the agreed time schedule,
4. to prioritize and focus on matters of significance,
5. to collect information through effective interviewing, listening, observing and reviewing documents, records and data,
6. to understand the appropriateness and consequences of using sampling techniques for auditing,
7. to verify the accuracy of collected information,
8. to confirm the sufficiency and appropriateness of audit evidence to support audit findings and conclusions,
9. to assess those factors that can affect the reliability of the audit findings and conclusions,
10. to use work documents to record audit activities,
11. to prepare audit reports,
12. to maintain the confidentiality and security of information, and
13. to communicate effectively, either through personal linguistic skills or through an interpreter.

b) Product/service certification and/or management system and other reference documents i.e. PS Halal Standard and other PNAC Guidelines: to enable the auditor to comprehend the scope of the audit and apply audit criteria.

c) Organizational situations: to enable the auditor to comprehend the organization's operational context.

d) Applicable laws, regulations, and other legal and Halal requirements relevant to the discipline: to enable the auditor to work within, and be aware of, the requirements that apply to the organization being audited.

9.2.4.6.3 The certification body shall ensure that auditors demonstrate the ability to apply terminology, knowledge and skills in sector specific and the following areas:

- a)** products, processes and practices of the specific sector(s) (see Annex A);
- b)** relevant management system requirements if applicable;
- c)** relevant product/service standards;
- d)** relevant Halal requirements.

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9.2.5 Technical Experts

9.2.5.1 Education

The requirements in clause 9.2.4.2 shall apply.

9.2.5.2 Work experience

The certification body shall ensure that technical experts have at least 4 years work experience in their technical area.

9.2.5.3 Competences

The certification body shall ensure that technical experts demonstrate the ability to provide expertise in their technical area.

9.2.6 Shariah Experts

9.2.6.1 Education

The certification body shall ensure that Shariah experts have the knowledge corresponding to at least post-secondary education in the Islamic rules related to Halal issues in the sector and the processes being audited. These experts shall be recognized by the national or international Islamic institutes (see Annex B, Section 1, PS 4992).

9.2.6.2 Work experience

The certification body shall ensure that Shariah experts have at least 4 years work experience in the Islamic rules related to Halal certification area (See Annex B, Section 2, Part a, PS 4992).

9.2.6.3 Competences

The certification body shall ensure that Shariah experts demonstrate the ability to provide expertise in the Islamic rules related to Halal certification area.

9.2.7 Selection of the Audit Team

9.2.7.1 The certification body shall ensure that the Halal Certification audit team have competences in the specific sector required by the audit (see Annex A).

9.2.7.2 The audit team shall be composed of at least two personnel, one of whom is an auditor. The other member of the team may be an Shariah expert, where needed.

9.2.7.3 Auditing of the slaughter houses shall be carried out by at least one auditor and a shariah expert.

9.3 Use of individual external auditors and external technical experts/shariah experts.

9.3.1 The certification body shall require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and procedures as defined by the certification body. The agreement shall address aspects relating to confidentiality and to independence from commercial and other interests, and shall require the external auditors and external technical experts to notify the certification body of any existing or prior association with any organization they may be assigned to audit.

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9.3.2 All requirements for individual technical experts shall also apply for Shariah experts.

NOTE: Use of individual auditors and technical experts under such agreements does not constitute outsourcing as described under 9.5.

9.4 Personnel records

The certification body shall maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status, competence and any relevant consultancy services that may have been provided. This includes management and administrative personnel in addition to those performing certification activities.

9.5 Outsourcing

9.5.1 When a certification body decides to outsource work related to Halal certification (e.g. audit, testing or inspection) to an external body or person, a properly documented agreement covering the arrangements including confidentiality and conflict of interest shall be drawn up.

9.5.2 The certification body shall,

- a) take full responsibility for such outsourced work and maintain its responsibility for granting, maintaining, extending, suspending or withdrawing Halal certification;
- b) ensure that the outsourced body or person is competent and complies with the applicable provisions of these guidelines and the other related documents relevant to testing, inspection or other technical activities, and is not involved either directly or through the person's employer with the design or production of the Halal product/service in such a way that impartiality would be compromised; and
- c) obtain the applicant's consent on outsourcing.

9.5.3 The certification body shall have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place. The certification body shall have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services.

NOTE: 1. This can include outsourcing to other certification bodies. Use of auditors and technical experts under contract is addressed in 9.3.

NOTE: 2. For the purposes of this International Standard, the terms “outsourcing” and “subcontracting” are considered to be synonyms.

9.5.4 Decisions for granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification shall never be outsourced.

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9.5.5 The certification body

- a) shall take responsibility for all activities outsourced to another body,
- b) shall ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of PS Halal Standard, including competence, impartiality and confidentiality, and
- c) shall ensure that the body that provides outsourced services, and the individuals that it uses, is not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised.

9.5.6 The certification body shall have documented procedures for the qualification and monitoring of all bodies that provide outsourced services used for certification activities, and shall ensure that records of the competence of auditors and technical experts are maintained.

10 INFORMATION REQUIREMENTS

The certification documents shall identify in detail what activity or product is certified, referring to sectors (see Annex A).

10.1 Publicly accessible information

10.1.1 The certification body shall maintain and make publicly accessible, or provide upon request, information describing its audit processes and certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification, and about the certification activities, types of management systems and geographical areas in which it operates.

10.1.2 Information provided by the certification body to any client or to the marketplace, including advertising, shall be accurate and not misleading.

10.1.3 The certification body shall make publicly accessible information about certifications granted, suspended or withdrawn.

10.1.4 On request from any party, the certification body shall provide the means to confirm the validity of a given certification.

NOTE: 1. If the total information is split between several sources (e.g. in printed or electronic form or a combination of both), a system ensuring traceability and absence of ambiguity between the sources can be implemented (e.g. unique numbering system, or hyperlinks on Internet).

NOTE: 2. In exceptional cases, access to certain information can be limited on the request of the client (e.g. for security reasons).

10.2 Certification documents

10.2.1 The certification body shall provide certification documents to the certified client by any means it chooses.

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10.2.2 The effective date on a certification document shall not be before the date of the certification decision.

10.2.3 The certification document(s) shall identify the following:

- a) the name and geographic location of each client whose management system is certified (or the geographic location of the headquarters and any sites within the scope of a multi-site certification);
- b) the dates of granting, extending or renewing certification;
- c) the expiry date or recertification due date consistent with the recertification cycle;
- d) a unique identification code;
- e) the standard and/or other normative document, including issue number and/or revision, used for audit of the certified client;
- f) the scope of certification with respect to product (including service), process, etc., as applicable at each site;
- g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol) may be used provided they are not misleading or ambiguous;
- h) any other information required by the standard and/or other normative document used for certification;
- i) in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents.

10.3 Directory of certified clients

The certification body shall maintain and make publicly accessible, or provide upon request, by any means it chooses, a directory of valid certifications that as a minimum shall show the name, relevant normative document, scope and geographical location (e.g. city and country) for each certified client (or the geographic location of the headquarters and any sites within the scope of a multi-site certification).

NOTE: The directory remains the sole property of the certification body.

10.4 Reference to Halal certification and use of Halal marks/certificates

The certification documents shall identify in detail what activity or product is certified, referring to sectors (see Annex A).

10.4.1 A certification body shall have a policy governing any mark that it authorizes certified clients to use. This shall assure, among other things, traceability back to the certification body. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification.

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10.4.2 A certification body shall not permit its marks to be applied to laboratory test, calibration or inspection reports.

10.4.3 The certification body shall require that the client organization

- a) conforms to the requirements of the certification body when making reference to its certification status in communication media such as the internet, brochures or advertising, or other documents,
- b) does not make or permit any misleading statement regarding its certification,
- c) does not use or permit the use of a certification document or any part thereof in a misleading manner,
- d) upon suspension or withdrawal of its certification, discontinues its use of all advertising matter that contains a reference to certification, as directed by the certification body (see 11.6.3 and 11.6.6),
- e) amends all advertising matter when the scope of certification has been reduced,
- f) does not imply that the certification applies to activities that are outside the scope of certification, and
- g) does not use its certification in such a manner that would bring the certification body and/or certification system into disrepute and lose public trust.

10.4.4 The certification body shall exercise proper control of ownership and shall take action to deal with incorrect references to certification status or misleading use of certification documents, marks or audit reports.

10.4.5 The certification body shall exercise proper control over ownership, use and display of Halal certificates and Halal marks of conformity.

10.4.6 Guidance on the use of Halal certificates and Halal marks permitted by the certification body may be obtained from related PNAC documents.

10.4.7 Incorrect references to the Halal certification system or misleading use of Halal certificates or marks, found in advertisements, catalogues, etc., Shall be dealt by suitable/legal action.

10.4.8 Halal Certificate owners who failed to renew their Halal certificates will not be allowed to use the Halal mark at the premises or on the manufactured Halal products/services or inside the grocery shop or supermarkets corridors.

10.4.9 The Halal Mark should meet the required specifications which are accepted by the accreditation body.

10.4.10 Halal Mark should be printed clearly on all manufactured Halal products and labelled on each box/package.

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10.4.11 Organizations are not allowed to change colour of the mark.

10.4.12 The Halal Mark/certificate should be exhibited only at the entrance of the restaurant which has been certified.

10.4.13 The certificate holder shall not reproduce Halal certificate granted in part and/or in a way that would hinder the legibility, nor shall he tamper with the original copies or photocopies of the Halal certificate; he shall not translate the certificate and/or test reports in other languages without the control and consent of the certification body.

NOTE: Such action could include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.

10.5 Confidentiality

10.5.1 The certification body shall, through legally enforceable agreements, have a policy and arrangements to safeguard the confidentiality of the information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf.

10.5.2 The certification body shall inform the client, in advance, of the information it intends to place in the public domain. All other information, except for information that is made publicly accessible by the client, shall be considered confidential.

10.5.3 Except as required in PS Halal Standard/PANC guidelines, information about a particular client or individual shall not be disclosed to a third party without the written consent of the client or individual concerned. Where the certification body is required by law to release confidential information to a third party, the client or individual concerned shall, unless regulated by law, be notified in advance of the information provided.

10.5.4 Information about the client from sources other than the client (e.g. complainant, regulators) shall be treated as confidential, consistent with the certification body's policy.

10.5.5 Personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, shall keep confidential all information obtained or created during the performance of the certification body's activities.

10.5.6 The certification body shall have available and use equipment and facilities that ensure the secure handling of confidential information (e.g. documents, records).

10.5.7 When confidential information is made available to other bodies (e.g. accreditation body, agreement group of a peer assessment scheme), the certification body shall inform its client of this action.

10.6 Information exchange between a certification body and its clients

10.6.1 Information on the certification activity and requirements

The certification body shall provide and update clients on the following:

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- a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, maintaining, reducing, extending, suspending, withdrawing certification and recertification;
- b) the normative requirements for certification;
- c) information about the fees for application, initial certification and continuing certification;
- d) the certification body's requirements for prospective clients
 - 1) to comply with certification requirements,
 - 2) to make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints, and
 - 3) to make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation auditors or trainee auditors, or, sharia expert/technical expert etc);
- e) documents describing the rights and duties of certified clients, including requirements, when making reference to its certification in communication of any kind in line with the requirements in 10.4;
- f) information on procedures for handling complaints and appeals.

10.6.2 Notice of changes by a certification body

The certification body shall give its certified clients due notice of any changes to its requirements for certification. The certification body shall verify that each certified client complies with the new requirements.

NOTE: Contractual arrangements with certified clients could be necessary to ensure implementation of these requirements.

10.6.3 Notice of changes by a client

The certification body shall have legally enforceable arrangements to ensure that the certified client informs the certification body, without delay, of matters that may affect the capability of the management system to continue to fulfil the requirements of the standard used for certification. These include, for example, changes relating to

- a) the legal, commercial, organizational status or ownership,
- b) organization and management (e.g. key managerial, decision-making or technical staff),
- c) contact address and sites,
- d) scope of operations under the certified management system, and

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e) major changes to the management system and processes.

11 PROCESS REQUIREMENTS

11.1 General requirements

11.1.1 The certification body shall precisely define the scope of certification in terms of Halal product/service categories (e.g. primary (raw material or intermediate product) production, food processing, packaging material production etc.), category (ies) and sectors according to Annex A. The certification body shall not exclude part of the processes, sectors, products or services from the scope of certification when those processes, sectors, products or services have an influence on the Halal requirements of the end products.

11.1.2 The certification body shall have a process for choosing the audit day, time and season so that the audit team has the opportunity of auditing the organization operating on a representative number of product lines, categories and sectors covered by the scope. If the subject of the certification is Halal product certification, HCB shall review the results of all laboratory analysis in regards to Halal status for the product that produced or offered.

11.1.3 The audit programme shall include a two-stage initial audit, surveillance audit in the first and second year, and a recertification audit in the third year prior to expiration of certification. The three-year certification cycle begins with the certification or recertification decision. The determination of the audit programme and any subsequent adjustments shall consider the size of the client organization, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits. Where a certification body is taking account of certification or other audits already granted to the client, it shall collect sufficient, verifiable information to justify and record any adjustments to the audit programme. The Halal Certificate is valid for three years and will be suspended or cancelled at any time when the certified organization is found to contravene the PS Halal Standard and related requirements.

11.1.4 The certification body shall ensure that an audit plan is established for each audit to provide the basis for agreement regarding the conduct and scheduling of the audit activities. This audit plan shall be based on documented requirements of the certification body, drawn up in accordance with the relevant guidance provided in ISO 19011.

11.1.5 The certification body shall have a process for selecting and appointing the audit team, including the audit team leader, taking into account the competence needed to achieve the objectives of the audit. This process shall be based on documented requirements, drawn up in accordance with the relevant guidance provided in ISO 19011.

11.1.6 The certification body shall have documented procedures for determining audit time, and for each client the certification body shall determine the time needed to plan and accomplish a complete and effective audit of the client's product/service and/or HFMS. The audit time determined by the certification body, and the justification for the determination, shall be recorded. In determining the audit time, the certification body should consider Annex B and shall consider, among other things, the following aspects:

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- a) requirements of the PS Halal Standard;
- b) size and complexity of the organization;
- c) technological and regulatory context;
- d) any outsourcing of any activities included in the scope of the production or process or HFMS;
- e) results of any prior audits;
- f) number of sites and multi-site considerations.

11.1.7 Each site of a multisite organization to be certified needs a separate assessment and certification.

11.1.8 The tasks given to the audit team shall be defined and shall be made known to the client organization, and shall require the audit team

- a) to examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system,
- b) to determine that these meet all the requirements relevant to the intended scope of certification,
- c) to determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system, and
- d) to communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets (consistent with the expectations in the relevant management system standard or other normative document) and the results.

11.1.9 The certification body shall provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organization to object to the appointment of any particular auditor or shariah/technical expert and for the certification body to reconstitute the team in response to any valid objection.

11.1.10 The audit plan shall be communicated and the dates of the audit shall be agreed upon, in advance, with the client organization.

11.1.11 The certification body shall have a process for conducting on-site audits defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011.

NOTE: 1: In addition to visiting physical location(s) (e.g. factory), "on-site" can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system.

NOTE: 2: The term "auditee" as used in ISO 19011 means the organization being audited.

11.1.12 The certification body shall provide a written report for each audit. The report shall be based on relevant guidance provided in ISO 19011. The audit team may identify opportunities for improvement but shall not recommend specific solutions perceived as consultancy. Ownership of the audit report shall be maintained by the certification body.

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11.1.13 The certification body shall require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time.

11.1.14 The certification body shall review the corrections and corrective actions submitted by the client to determine if these are acceptable.

11.1.15 The audited organization shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to verify effective correction and corrective actions.

11.1.16 The certification body shall ensure that the persons or committees that make the certification or recertification decisions are different from those who carried out the audits.

11.1.17 The certification body shall confirm, prior to making a decision, that

- a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
- b) it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all nonconformities that represent
 - 1) failure to fulfil one or more requirements of the management system standard, or
 - 2) a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs;
- c) it has reviewed and accepted the client's planned correction and corrective action for any other nonconformities.

11.2 Initial audit and certification

11.2.1 Application

The certification body shall require the applicant organization to provide detailed information concerning legal status/entity, raw materials, process lines, HFMS related issues i.e., HACCP studies, the number of shifts and employee numbers in each shift etc.

11.2.1.1 The certification body shall require an authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:

- a) the desired scope of the certification;
- b) the general features of the applicant organization, including its name and the address(es) of its physical location(s), significant aspects of its process and operations, and any relevant legal obligations;
- c) general information, relevant for the field of certification applied for, concerning the applicant organization, such as its activities, human and technical resources, functions and

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relationship in a larger corporation, if any;

- d) information concerning all outsourced processes used by the organization that will affect conformity to requirements;
- e) the standards or other requirements for which the applicant organization is seeking certification;
- f) information concerning the use of consultancy relating to the management system.

11.2.2 Application review

11.2.2.1 Before proceeding with the audit, the certification body shall conduct a review of the application and supplementary information for certification to ensure that

- a) the information about the applicant organization and its management system is sufficient for the conduct of the audit;
- b) the requirements for certification are clearly defined and documented, and have been provided to the applicant organization;
- c) any known difference in understanding between the certification body and the applicant organization is resolved;
- d) the certification body has the competence and ability to perform the certification activity;
- e) the scope of certification sought, the location(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.);
- f) records of the justification for the decision to undertake the audit are maintained.

11.2.2.2 Based on this review, the certification body shall determine the competences it needs to include in its audit team and for the certification decision.

11.2.2.3 The audit team shall be appointed and composed of auditors (and shariah/technical experts, as necessary) who, between them, have the totality of the competences identified by the certification body as set out in 11.2.2.2 for the certification of the applicant organization. The selection of the team shall be performed with reference to the designations of competence of auditors and shariah/technical experts made under 9.2.5, and may include the use of both internal and external human resources.

11.2.2.4 The individual(s) who will be conducting the certification decision shall be appointed to ensure appropriate competence is available (see 9.2.1.8 and 11.2.2.2).

NOTE: In case of non-conformities found during the audit, the producer/service shall make a declaration that he has completely removed all the non-conformities detected in the audit, before he can renew its application. Following an unsuccessful certification process, the new application shall only be accepted if the client makes such a declaration. If the first

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application for certification which resulted unsuccessfully was made to a different certifying body, then the applicant shall make available detailed information regarding this first application for certification.

11.2.3 Initial certification audit

The initial certification audit of an HFMS shall be conducted in two stages: stage 1 and stage 2.

11.2.3.1 Stage 1 audits

11.2.3.1.1 The stage 1 audit shall be performed

- a) to audit the client's management system documentation;
- b) to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;
- c) to review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- d) to collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);
- e) to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;
- f) to provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
- g) to evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

For most management systems, it is recommended that at least part of the stage 1 audit be carried out at the client's premises in order to achieve the objectives stated above.

11.2.3.1.2 Where an organization has implemented an externally developed combination of control measures, the stage 1 audit shall review the documentation included in Halal requirements and/or HFMS to determine the control measures suitable for the organization, and they were developed in compliance with the requirements of PS Halal Standard, and is kept up to date.

The availability of relevant authorizations should be checked when collecting the information regarding the compliance to national or international regulatory aspects.

The client shall be informed that the results of the stage 1 audit may lead to postponement or cancellation of the stage 2 audit.

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11.2.3.1.3 The objectives of the stage 1 audit are to provide a focus for planning the stage 2 audit by gaining an understanding of the HFMS in the context of the organization's food safety hazard identification, analysis, HACCP plan and PRPs, policy and objectives, and, in particular, the organization's state of preparedness for audit by reviewing the extent to which

- a) the organization has identified PRPs that are appropriate to the business (e.g. regulatory and statutory requirements),
- b) the HFMS includes adequate processes and methods for the identification and assessment of the organization's food safety hazards, and subsequent selection and categorization of control measures (combinations),
- c) food safety legislation is in place for the relevant sector(s) of the organization,
- d) the HFMS is designed to achieve the organization's food safety policy,
- e) the HFMS implementation programme justifies proceeding to the audit (stage 2),
- f) the validation, verification and improvement programmes conform to the requirements of the HFMS standard,
- g) the HFMS documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and
- h) additional documentation needs to be reviewed and/or what knowledge needs to be obtained in advance.

11.2.3.1.4 For Halal certification, the stage 1 audit can be carried out at the premises of certification body or at the client organization premises according to complexity of production or service in order to achieve the objectives stated above.

- a) In categories A, B, G, H, I, J and K (see Annex A), it is not necessary that the stage 1 audit is an on-site audit. However, it is at the discretion of the audit team to decide to carry out an on-site audit. In categories C, D, E, F, L, M and N (see Annex A) it is obligatory that the stage 1 audit is on-site.
- b) Where the stage 1 audit has not been performed on-site, the duration of stage 1 audit may not exceed 20% of the total audit duration (see Annex B). Where it covers an on-site work, then the duration of the stage 1 audit may not exceed 30% of the total audit duration (see Annex 1).

11.2.3.1.5 **Stage 1** audit findings shall be documented and communicated to the client, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audit.

11.2.3.1.6 Any part of the HFMS that is audited during the stage 1 audit and determined to be fully implemented, effective and in conformity with requirements, may not need to be re-audited during the stage 2 audit. However, the certification body shall ensure that the already audited parts of the HFMS continue to conform to the certification requirements. In this case, the stage 2 audit report shall include these findings and shall clearly state that conformity has been established during the stage 1 audit.

11.2.3.1.7 In determining the interval between stage 1 and stage 2 audits, consideration shall be given to the needs of the client to resolve areas of concern identified during the stage 1 audit. The certification body may also need to revise its arrangements for stage 2.

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9.2.3.1.8 The interval between stage 1 and stage 2 audits is reasonably expected to be not longer than 6 months. The stage 1 audit should be repeated if a longer interval is needed.

11.2.3.2 Stage 2 audit

The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit shall take place at the site(s) of the client. It shall include at least the following:

- a) information and evidence about conformity to all requirements of the applicable management system standard or other normative document;
- b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- c) the client's management system and performance as regards legal compliance;
- d) operational control of the client's processes;
- e) internal auditing and management review;
- f) management responsibility for the client's policies;
- g) links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

11.2.4 Initial certification audit conclusions

The audit team shall analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the audit conclusions.

11.2.5 Information for granting initial certification

11.2.5.1 The information provided by the audit team to the certification body for the certification decision shall include, as a minimum,

- a) the audit reports,
- b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client,
- c) confirmation of the information provided to the certification body used in the application review (see 11.2.2), and

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- d) a recommendation whether or not to grant certification, together with any conditions or observations.

11.2.5.2 The certification body shall make the certification decision on the basis of an evaluation of the audit findings and conclusions and any other relevant information (e.g. public information, comments on the audit report from the client).

11.2.6 Sampling

11.2.6.1 Where necessary, the audit team shall ask for samples in sufficient quantities taken from production/service premises for the performance of the required inspections and tests.

11.2.6.2 If certification of Halal products is based on testing/inspection of batches of the Halal product, it shall be in accordance with a defined sampling schedule utilising statistically proven techniques with stated confidence levels. In specifying any requirements for sampling, the certification body shall establish documented procedures for the selection and control of samples to ensure traceability, and that they are representative of Halal production.

11.2.6.3 Samples taken by the audit team shall be sent for analysis to the accredited laboratory.

11.2.7 Inspections and tests

11.2.7.1 Inspections and tests on the Halal product/service shall be determined in accordance with the requirements of the Halal product/service and the applicable national and/or regional or international legal provisions.

11.2.7.2 Laboratories that shall undertake inspections and/or tests shall be accredited under ISO/IEC 17025 or shall satisfy the requirements of ISO/IEC 17025.

11.2.7.3 Inspections and tests undertaken by laboratories not accredited under ISO/IEC 17025 standard shall be recognized upon the approval of national and/or international recognised bodies or OIC.

11.2.7.4 Where independent testing facilities are not available, the certification body should ensure that specified controls are in place at the supplier's testing facilities, that they are managed in a manner which provides confidence in the results obtained from that records are available to justify the confidence.

11.3 Surveillance activities

11.3.1 General

11.3.1.1 The certification body shall develop its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system.

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11.3.1.2 Surveillance activities shall include on-site audits assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted. Other surveillance activities may include

- a) enquiries from the certification body to the certified client on aspects of certification,
- b) reviewing any client's statements with respect to its operations (e.g. promotional material, website),
- c) requests to the client to provide documents and records (on paper or electronic media), and
- d) other means of monitoring the certified client's performance.

11.3.2 Surveillance audit

11.3.2.1 Surveillance audits are office and on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management system continues to fulfil requirements between recertification audits. The surveillance audit programme shall include, at least

- a) internal audits and management review,
- b) a review of actions taken on nonconformities identified during the previous audit,
- c) treatment of complaints,
- d) effectiveness of the management system with regard to achieving the certified client's objectives,
- e) progress of planned activities aimed at continual improvement,
- f) continuing operational control,
- g) review of any changes, and
- h) use of marks and/or any other reference to certification.

11.3.2.2 Surveillance audits shall be conducted at least once a year. The date of the first surveillance audit following initial certification shall not be more than 12 months from the last day of the stage 2 audit.

11.3.3 Maintaining certification

The certification body shall maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that

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- a) for any nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body the need to initiate a review by appropriately competent personnel, different from those who carried out the audit, to determine whether certification can be maintained, and
- b) competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

11.3.4 The certification body shall conduct surveillance at certain time intervals according to clause 11.3.2.2 as it deems necessary in order to check the continuing compliance of Halal product/service with the requirements of the certification, giving due regard to the requirements of the Halal product/service standard to which the certification has been conducted and taking account of the nature of Halal product/service in question, requirements of the certification, any nonconformities detected in the Halal product/service or Halal production/service premises or any complaints received with regard to certified Halal product/service.

11.3.5 Where Halal production/service premises are audited and where nonconformities that directly affect Halal product/service safety are detected, samples may be taken for surveillance purposes.

11.3.6 In all cases, the procedures with regard to reports issued as a result of surveillance shall be determined by decision taker(s).

11.4 Recertification

11.4.1 Recertification audit planning

11.4.1.1 A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant Halal standard or other normative document. The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification.

11.4.1.2 The recertification audit shall consider the performance of the management system over the period of certification, and include the review of previous surveillance audit reports.

11.4.1.3 Recertification audit activities may need to have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation).

11.4.1.4 In the case of multiple sites or certification to multiple management system standards being provided by the certification body, the planning for the audit shall ensure adequate on-site audit coverage to provide confidence in the certification.

11.4.2 Recertification audit

11.4.2.1 The recertification audit shall include an on-site audit that addresses the following:

- a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of

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certification;

- b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
- c) whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.

11.4.2.2 When, during a recertification audit, instances of nonconformity or lack of evidence of conformity are identified, the certification body shall define time limits for correction and corrective actions to be implemented prior to the expiration of certification.

11.4.3 Information for granting recertification

The certification body shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

11.4.4 Halal certificate owners (certified organization) should submit a recertification or renewal application four (4) months prior to the expiry date of current Halal certificate.

11.4.5 Halal certificate owners who failed to renew their certificates will not be allowed to use the Halal mark at the premises or on the manufactured products.

11.5 Special audits

11.5.1 Extensions to scope

The certification body shall, in response to an application for extension to the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

11.5.2 Short-notice audits

It may be necessary for the certification body to conduct audits of certified clients at short notice to investigate complaints (see 11.8), or in response to changes (see 10.6.3), or as follow up on suspended clients (see 11.6). In such cases

- a) the certification body shall describe and make known in advance to the certified clients (e.g. in documents as described in 10.6.1) the conditions under which these short notice visits are to be conducted, and
- b) the certification body shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

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11.6 Suspending, withdrawing or reducing the scope of certification

11.6.1 The certification body shall have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification, and shall specify the subsequent actions by the certification body.

11.6.2 The certification body shall suspend certification in cases when, for example,

- a) the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,
- b) the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or
- c) the certified client has voluntarily requested a suspension.

11.6.3 Under suspension, the client's management system certification is temporarily invalid. The certification body shall have enforceable arrangements with its clients to ensure that in case of suspension the client refrains from further promotion of its certification. The certification body shall make the suspended status of the certification publicly accessible (see 10.1.3) and shall take any other measures it deems appropriate.

11.6.4 Failure to resolve the issues that have resulted in the suspension in a time established by the certification body shall result in withdrawal or reduction of the scope of certification.

NOTE: In most cases the suspension would not exceed 6 months.

11.6.5 The certification body shall reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.

11.6.6 The certification body shall have enforceable arrangements with the certified client concerning conditions of withdrawal [see 10.4.3.(d)] ensuring upon notice of withdrawal of certification that the client discontinues its use of all advertising matter that contains any reference to a certified status.

11.6.7 Upon request by any party, the certification body shall correctly state the status of certification of a client's management system as being suspended, withdrawn or reduced.

11.7 Appeals

11.7.1 The certification body shall have a documented process to receive, evaluate and make decisions on appeals.

11.7.2 A description of the appeals-handling process shall be publicly accessible.

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11.7.3 The certification body shall be responsible for all decisions at all levels of the appeals handling process. The certification body shall ensure that the persons engaged in the appeals handling process are different from those who carried out the audits and made the certification decisions.

11.7.4 Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

11.7.5 The appeals-handling process shall include at least the following elements and methods:

- a) an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;
- b) tracking and recording appeals, including actions undertaken to resolve them;
- c) ensuring that any appropriate correction and corrective action are taken.

11.7.6 The certification body shall acknowledge receipt of the appeal and shall provide the appellant with progress reports and the outcome.

11.7.7 The decision to be communicated to the appellant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.

11.7.8 The certification body shall give formal notice to the appellant of the end of the appeals-handling process.

11.8 Complaints

11.8.1 A description of the complaints-handling process shall be publicly accessible.

11.8.2 Upon receipt of a complaint, the certification body shall confirm whether the complaint relates to certification activities that it is responsible for and, if so, shall deal with it. If the complaint relates to a certified client, then examination of the complaint shall consider the effectiveness of the certified management system.

11.8.3 Any complaint about a certified client shall also be referred by the certification body to the certified client in question at an appropriate time.

11.8.4 The certification body shall have a documented process to receive, evaluate and make decisions on complaints. This process shall be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

11.8.5 The complaints-handling process shall include at least the following elements and methods:

- a) an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions are to be taken in response to it;
- b) tracking and recording complaints, including actions undertaken in response to them;
- c) ensuring that any appropriate correction and corrective action are taken.

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NOTE: ISO 10002 provides guidance for complaints handling.

11.8.6 The certification body receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.

11.8.7 Whenever possible, the certification body shall acknowledge receipt of the complaint, and shall provide the complainant with progress reports and the outcome.

11.8.8 The decision to be communicated to the complainant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint.

11.8.9 Whenever possible, the certification body shall give formal notice of the end of the complaints-handling process to the complainant.

11.8.10 The certification body shall determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

11.8.11 Applications in the case of any appeals or complaints regarding Halal certification services shall be made to the certification body. A committee for appeals and complaints shall be established and be responsible for resolving such cases and inform the related parties accordingly.

11.8.11.1 The members of this committee shall be independent from any phase of the Halal certification related to the subject of the complaint or appeal.

11.8.11.2 This committee shall consist of a minimum of 3 persons, at least one of whom is a shariah expert. Decisions regarding appeals shall be taken unanimously, not by majority of votes.

11.8.12 Complaints by consumers regarding a certified Halal product/service shall be evaluated by the certification body, which shall be responsible for making the necessary investigations. If, as a result of such evaluations, the complaint is found to be justified, the certificate holder shall be required to compensate for the damage caused under the relevant provisions of the contract.

11.9 Records of applicants and clients

11.9.1 The certification body shall maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn.

11.9.2 Records on certified clients shall include the following:

- a) application information and initial, surveillance and recertification audit reports;
- b) certification agreement;
- c) justification of the methodology used for sampling;
- d) justification for auditor time determination (see 11.1.6);

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- e) verification of correction and corrective actions;
- f) records of complaints and appeals, and any subsequent correction or corrective actions;
- g) committee deliberations and decisions, if applicable;
- h) documentation of the certification decisions;
- i) certification documents, including the scope of certification with respect to product, process or service, as applicable;
- j) related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts.

NOTE: Methodology of sampling includes the sampling employed to assess the specific management system and/or to select sites in the context of multi-site assessment.

11.9.3 The certification body shall keep the records on applicants and clients secure to ensure that the information is kept confidential. Records shall be transported, transmitted or transferred in a way that ensures that confidentiality is maintained.

11.9.4 The certification body shall have a documented policy and documented procedures on the retention of records. Records shall be retained for the duration of the current cycle plus one full certification cycle.

NOTE: In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.

12 MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES

12.1 General

The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of PS Halal Standard and PNAC guidelines for HCB's.

The certification body's top management shall establish and document policies and objectives for its activities. The top management shall provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of PS Halal Standard. The top management shall ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization.

The certification body's top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include

- a) ensuring that processes and procedures needed for the management system are established, implemented and maintained, and
- b) reporting to top management on the performance of the management system and any need

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for improvement.

12.2 Management system manual

All applicable requirements of PS Halal Standard and PNAC guidelines for HCB's shall be addressed either in a manual or in associated documents. The certification body shall ensure that the manual and relevant associated documents are accessible to all relevant personnel.

12.3 Control of documents

The certification body shall establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard. The procedures shall define the controls needed

- a) to approve documents for adequacy prior to issue,
- b) to review and update as necessary and re-approve documents,
- c) to ensure that changes and the current revision status of documents are identified,
- d) to ensure that relevant versions of applicable documents are available at points of use,
- e) to ensure that documents remain legible and readily identifiable,
- f) to ensure that documents of external origin are identified and their distribution controlled, and
- g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

NOTE: Documentation can be in any form or type of medium.

12.4 Control of records

The certification body shall establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard.

The certification body shall establish procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records shall be consistent with the confidentiality arrangements.

NOTE: For requirements for records on certified clients, see also 11.9.

12.5 Management review

12.5.1 General

The certification body's top management shall establish procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of PS Halal Standard and PNAC guidelines for HCB's. These reviews shall be conducted at least once a year.

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12.5.2 Review inputs

The input to the management review shall include information related to

- a) results of internal and external audits,
- b) feedback from clients and interested parties related to the fulfilment of Halal standard,
- c) feedback from the committee for safeguarding impartiality,
- d) the status of preventive and corrective actions,
- e) follow-up actions from previous management reviews,
- f) the fulfilment of objectives,
- g) changes that could affect the management system, and
- h) appeals and complaints.

12.5.3 Review outputs

The outputs from the management review shall include decisions and actions related to

- a) improvement of the effectiveness of the management system and its processes,
- b) improvement of the certification services related to the fulfilment of Halal standard, and
- c) resource needs.

12.6 Internal audits

12.6.1 The certification body shall establish procedures for internal audits to verify that it fulfils the requirements of PS Halal standard, PNAC guidelines for HCB's and that the management system is effectively implemented and maintained.

NOTE: ISO 19011 provides guidelines for conducting internal audits.

12.6.2 An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.

12.6.3 Internal audits shall be performed at least once every 12 months. The frequency of internal audits may be reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to PS Halal standard, PNAC guidelines for HCB's and has proven stability.

12.6.4 The certification body shall ensure that

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- a) internal audits are conducted by qualified personnel knowledgeable in certification, auditing and the requirements of PS Halal standard, PNAC guidelines for HCB's,
- b) auditors do not audit their own work,
- c) personnel responsible for the area audited are informed of the outcome of the audit,
- d) any actions resulting from internal audits are taken in a timely and appropriate manner, and
- e) any opportunities for improvement are identified.

12.7 Corrective actions

The certification body shall establish procedures for identification and management of nonconformities in its operations. The certification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the impact of the problems encountered. The procedures shall define requirements for

- a) identifying nonconformities (e.g. from complaints and internal audits),
- b) determining the causes of nonconformity,
- c) correcting nonconformities,
- d) evaluating the need for actions to ensure that nonconformities do not recur,
- e) determining and implementing in a timely manner, the actions needed,
- f) recording the results of actions taken, and
- g) reviewing the effectiveness of corrective actions.

12.8 Preventive actions

The certification body shall establish procedures for taking preventive actions to eliminate the causes of potential nonconformities. Preventive actions taken shall be appropriate to the probable impact of the potential problems. The procedures for preventive actions shall define requirements for

- a) identifying potential nonconformities and their causes,
- b) evaluating the need for action to prevent the occurrence of nonconformities,
- c) determining and implementing the action needed,
- d) recording the results of actions taken, and
- e) reviewing the effectiveness of the preventive actions taken.

NOTE: The procedures for corrective and preventive actions do not necessarily have to be separate.

Annex A

Classification of Halal product/service categories

The certification body shall use Table A.1

- a) to define the scope that it undertakes,
- b) to identify if any technical qualification of its auditors is necessary for that particular category or sector, and
- c) to select a suitably qualified audit team.

The examples given in Table A.1 are not exhaustive but are only an indication of relevant topics. The scope of one specific client organization may cover more than one category.

Table A.1 — Halal product/service categories

Category codes	Categories	Examples of sectors
A	Farming 1 (Animals)	animals; fish; egg production; milk production; beekeeping; fishing; hunting; trapping
B	Farming 2 (Plants)	fruits; vegetables; cereals; spices; horticultural products
C	Processing 1 (Perishable animal products)	including all activities after farming, e.g. slaughtering meat, poultry, eggs, dairy and fish products
D	Processing 2 (Perishable vegetable products)	fresh fruits and fresh juices; preserved fruits; fresh vegetables; preserved vegetables
E	Processing 3 (Products with long shelf life at ambient temperature)	canned products; biscuits; snacks; oil; drinking water; beverages; pasta; flour; sugar; salt
F	Feed production	animal feed; fish feed
G	Catering	hotels; restaurants
H	Distribution	retail outlets; shops; wholesalers
I	Services	water supply; cleaning; sewage; waste disposal; development of product, process and equipment; veterinary services
J	Transport and storage	transport and storage
K	Equipment manufacturing	process equipment; vending machines
L	(Bio)chemical manufacturing	additives; dietary supplements; cleaning agents; processing aids, biocultures and microorganisms
M	Packaging material manufacturing	packaging material
N	Other materials manufacturing	cosmetics, textile, leather products etc.

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**Annex B
(Informative)
Minimum audit time**

B.1 General

In determining the audit time needed for each site, the certification body should consider the minimum on-site duration for initial certification given in Table B.1. The minimum time includes stage 1 and stage 2 of the initial certification audit but does not include the time for preparation of the audit nor for writing the audit report .

The minimum audit time is established for the audit of an HFMS which includes only one HACCP study. A HACCP study corresponds to a hazard analysis for a family of products/services with similar hazards and similar production technology and, where relevant, similar storage technology. The minimum surveillance audit time should be one-third of the initial certification audit time, with a minimum of 1.0 audit day. The minimum renewal time should be two-thirds of the initial certification audit time, with a minimum of 1.0 audit day.

Where there is no relevant certified management system in place, additional time should be added for the audit. To be considered relevant, a management system certificate should cover the scope of food safety for the relevant product/service.

The number of employees should be expressed as the number of full-time equivalent employees (FTEs). Certain categories are subject to multi-site sampling and this may be taken into account when calculating the audit time.

Other factors may necessitate increasing the minimum audit time (e.g. number of product types, number of product lines, product development, number of CCPs, number of operational PRPs, building area, infrastructure, in-house laboratory testing, need for a translator).

B.2 Calculation of minimum initial certification audit time

B.2.1 Minimum audit time for single site, Ta:

$$T_a = B + H + (PV + FTE) * CC$$

where

B is the basis on-site audit time;

H is the audit days for each additional HACCP studies and applied only for products/services in food-chain.

PV is the audit days for product variety

FTE is the audit days per number of employees,

CC is the factor as multiplier for process or production complexity class

B.2.2 Minimum audit time for each additional site, Tasv:

$$T_{asv} = T_a * 50/100$$

Table B.1 — Minimum initial certification audit time

Category (See Annex A)	B Basic on-site audit time (in audit days)	H* for each additional HACCP studies (in audit days)	FTE Number of employees (in audit days)	CC Complexity Class (factor, multiplier)	PV** Product Variety (in audit days)	Tasv For each additional site visited (in audit days)
A	1,0	0.25	1 to 19 = 0.5 20 to 49 = 1.0 50 to 79 = 1.5 80 to 199 = 2.0 200 to 499 = 2.5 500 to 899 = 3.0 900 to 1299 = 3.5 1300 to 1699 = 4.0 1700 to 2999 = 4.5 3000 to 5000 = 5.0 > □5000 = 5.5	Low CC= 1	1 to 3 = 0.25 4 to 6 = 0.50 7 to 10 = 0.75 11 to 20 = 1 > 20 = 2	50 % of minimum on-site audit time
B	1,0	0.25				
C	1.75	0.50				
D	1.25	0.50		Medium CC= 1.25		
E	1.75	0.50				
F	1.75	0.50		High CC= 1.50		
G	1.25	0.50				
H	1.25	0.50				
I	1.25	0.25		Very High CC= 1.75		
J	1.25	0.25				
K	1.25	0.25				
L	1.75	0.50				
M	1.25	0.25				
N	1.75	0.50				

* H is applied only for products/services in food-chain.

** PV is used for only products not services.

Table B1 is based on four primary complexity classes of the nature of the processes or production of an organization that fundamentally affect the halal certification audit time, these are:

- **Very High** – very large number of detailed sub-processes with significant nature (typically manufacturing or processing type organizations with highly significant non-halal risks. It covers those products or service sectors that potentially have very high risks in terms of halal aspects, with a high variety of processes or sub-processes or with a very large number of raw materials or inputs);
- **High** – large number of processes with significant nature (typically manufacturing or processing type organizations with significant non-halal risks. It covers those products and service sectors that potentially have high risks in halal aspects, with many processes.);
- **Medium** – average number of processes with significant nature (typically manufacturing or service organizations. It covers products and services with moderate potential non-halal risks.);
- **Low** - small number of processes with significant nature (typically organizations with few significant nature. It covers products and services with low potential non-Halal risks.);

Table B1 covers the above four complexity classes. Table B2 provides the link between the four complexity classes above and the industry sectors that would typically fall into that class.

The certification body should recognise that not all organizations in a specific sector will always fall in the same complexity class. The certification body should allow flexibility in its contract review procedure to ensure that the specific activities of the organization are considered in determining the complexity class. For example: even though many business in the chemical production sector should be classified as “high complexity”, an organization which would have only a mixing free from chemical reaction, and/or high number or risky raw materials and/or advanced processing could be classified as “medium” or even “low complexity”.

All attributes of the organization’s system, processes, and products/services should be considered and a fair adjustment made for those factors that could justify more or less audit time for an effective audit. Additive factors may be offset by subtractive factors. In all cases where adjustments are made to the time provided in the audit time table (B1) and B2, sufficient evidence and records shall be maintained to justify the variation.

Table B.2 - Examples of linkage between business sectors and complexity classes.

Complexity Class	Business Sector
<i>Very High</i>	not elsewhere classified (n.e.c.) chemicals and pharmaceuticals, processed meat products, genetically modified products, food additives, biocultures, cosmetics, processing aids and microorganisms.
<i>High</i>	slaughtering meat and poultry; cheese products; biscuits; snacks; oil; beverages; hotels; restaurants; dietary supplements; cleaning agents; packaging material, textile
<i>Medium</i>	milk products; fish products; egg products; beekeeping; spices; horticultural products; preserved fruits; preserved vegetables; canned products; pasta; sugar; animal feed; fish feed; water supply; development of product, process and equipment; veterinary services; process equipment; vending machines, leather products
<i>Low</i>	fish; egg production; milk production; fishing; hunting; trapping; fruits; vegetables; grain; fresh fruits and fresh juices; drinking water; flour; salt ; retail outlets; shops; wholesalers, transport and storage;