Halal Certification Bodies

Update History
Table A shows the changes that have been made to each version of this document and who made them:

TABLE A			
Version	Issued	Modified by	Comments
1	18 February 2015	B.Houla	

Contents

0   Introduction

0.1   these requirements are complementary to the requirements for Product Certification Bodies included in the GAC FAD 04.

0.2   The requirements against which conformity of Certification bodies in General are found in ISO/IEC 17065. This guidance document does not include the text of ISO/IEC 17065 neither the text of GAC FAD 04.

0.3   Notes are used for matters of an explanatory, advisory or informative nature.

0.4   Product certification bodies that wish to be accredited by the GAC must demonstrate fulfilment of both the ISO/IEC 17065 requirements, and the supplementary requirements found in this document and GAC FAD 04.

0.6   The term "shall" is used throughout this document to indicate those provisions which, reflecting the requirements of ISO/IEC 17065, are mandatory. The term "should" is used to indicate guidance, which, although not mandatory, is provided as a recognized means of meeting the requirements. Certification bodies whose systems do not follow this guidance in any respect will only be eligible for accreditation if they can demonstrate to GAC that their solutions meet the relevant clause of ISO/IEC 17065 in an equivalent way.

0.7   This document has been prepared and is used by the Accreditation Centre of the Cooperation Council for the Arab States of the Gulf (GAC) in the delivery of its accreditation services.

0.8   Information and the supplementary accreditation requirements in this document are intended to assist organizations seeking or holding accreditation with the GAC. They are regarded as requirements for accredited Halal certification bodies for products.

0.9   Accreditation is formal third-party recognition of the competence of certification bodies. Such recognition offers benefits for many parties interested in the outcomes of accredited certification activities.

0.10   Accreditation allows Halal certification bodies to demonstrate that they meet the requirements of the relevant standard(s), that they systematically manage their practices, and identify and manage their technical competence.

0.11   Accreditation results in Halal certification bodies being publicly identified as being competent to perform defined scopes of certification. Accreditation offers users of certification services, stakeholders and the community added assurance regarding the independence, impartiality and competence of the certification body.

0.12   Any references to the GAC Rules, Fee Schedule, Technical Notes, and other documents etc imply the current version of such documents.

0.13   Where the words 'policy' and 'procedure' are used it is possible that one document may meet the requirements of the standard. This will be determined at assessment.

1   Scope

1.1   This Application document specifies the requirements that Halal certification bodies shall satisfy and the requirements for the execution of Halal certification activities, such as certification of Halal product/service and/or processes for bodies providing these activities.
The material contained below is mainly directed at certification of tangible Halal products. It can also be applied to certification of non-tangible Halal products (e.g. software, service) and to Halal process certification.   Unless otherwise noted, the word "product" is intended to include services and processes.

1.2   In establishing a Halal certification system the purpose is to demonstrate to the marketplace and/or regulators that a supplier can and does produce Halal products in conformity with GCC requirements.

2   References

2.1   This document must be read in conjunction with all relevant requirements that comprise the GAC accreditation requirements for Product certification bodies:

a)   this document;

b)   all requirements of ISO/IEC 17065;

c)   the GCC regulations, standards, codes or guidelines detailed in the field of Halal;

d)   specific industry application guidance published and identified by GAC;

e)   the GAC Rules;

f)   relevant GAC technical notes and any other policies or requirements that may be issued from time to time; and

g)   relevant statutory requirements.

2.3   The GAC website contains the most up to date list of applicable accreditation requirements (see www.gcc-accreditation.org).

2.4   Technical Notes are made available by GAC to assist facilities in relation to particular technical issues. They are intended to provide guidance and therefore do not contain requirements for accreditation, unless specifically indicated. Copies may be obtained from GAC offices or from the GAC website.

2.5   The following standards are also applicable for reference and guidance:

a) ISO/IEC 17067 Conformity assessment -- Fundamentals of product certification and guidelines for product certification schemes;

b) ISO/IEC 17000 Conformity assessment – Vocabulary and general principles;

c)   ISO/IEC 17011 Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies;

d) ISO/IEC 17020 General criteria for the operation of various types of bodies performing inspection;

e)   ISO/IEC 17021 Conformity assessment – Requirement for bodies providing audit and certification of management systems

f) ISO/IEC 17025 General requirements for the competence of testing and calibration laboratories;

g) ISO/IEC 17030 Conformity assessment – General requirements for third-party marks of conformity;

h) ISO/IEC 19011 Guidelines for auditing management systems.

i) GSO 993: Animal Slaughtering Requirements According to Islamic law.

j) GSO 9: Labeling of pre-packaged foodstuffs.

k) ISO 9000: Quality management systems - Fundamentals and vocabulary.

l) ISO/IEC Guide 53: Conformity assessment - Guidance on the use of an organization's quality management system in product certification.

m) ISO 19011: Guidelines for auditing management systems.

3. DEFINITIONS

For the purposes of this document the following definitions shall apply:

3.1 Islamic rules

It means what ALLAH legislates for Muslims as per the Holy Qur'an, and the practices (Sunnah) of honourable Prophet Mohammed (peace be upon him).

3.2 Halal Certificate

The document endorses that product or service or systems identified match the provisions of Islamic rules regarding the Halal aspects and include :Halal slaughtering certificates, Halal certificates for facilities and farms, slaughterhouses and facilities classified as "Halal" certificates of food components, food additives and ingredients containing meat and essences, rennet, gelatine, fat and animal oils and their derivatives.

3.3 Contract

An agreement signed between the applicant and the Halal certification body, governing the rules for the right of use of logo granted to Halal product/service.

3.4 Technical auditor

A person that is technically competent in auditing Halal procedures and requirements in a particular processing technology or field that is formally appointed by the Halal certification body.

3.5 Technical expert

A person formally appointed by the Halal certification body who is technically competent in a particular processing technology or field.

3.6 Halal Islamic affairs expert

A Muslim with profound and comprehensive knowledge of Islamic rules in the subject of Halal and approved and authorised by the relevant organization (the Halal competent authority) and appointed by the Halal certification body.

3.7 Halal mark/ logo

An approved mark/ logo that is granted to the Halal product/service or management system which comply to this document.

3.8 Assessment

A process undertaken by a Halal certification body to assess the competence of specific product or services, based on particular standard(s) and/or other normative documents.

3.9 Assessor

person assigned by Halal certification body to perform, alone or as part of an assessment team, an assessment of a Halal certification body.

3.10 Complaint
An expression of dissatisfaction by any person or organization, to a Halal certification body, where a response is expected

3.11 Conformity Assessment Body
A body that performs conformity assessment services within its accreditation scope.

3.12 Halal Certification Body
An independent legal entity , or part of a legal entity , that applies the requirements of this document and have an Islamic awareness activities where its human resources conducting the auditing and decision making activities are Muslims and committed to ethically Islamic rules.

3.13 Suspension
Rendering the right of use of mark ineffective for a specified period by the decision of the Halal certification body in relation to the Halal certificate previously granted.

3.14 Applicant
A person or a legal entity who applies for certification of Halal for a product/service.

3.15 Certificate Owner/certified client/supplier
A certified person or a legal entity who supplies the product/service or management system as per the halal requirements.

4.   General Principles

4.1   The principles given in Clause 4 of ISO/IEC 17021:2011 and Annex A of ISO/IEC 17065:2012 are the basis for the subsequent specific performance and descriptive requirements in this document. These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations.

4.2 Responsibility and integrity
The Halal certification body (HCB) and its employees shall adhere to the basic principles of Halal Islamic rules. Utmost respect and 'Adherence' shall be followed.

5.   GENERAL REQUIREMENTS

5.1   General
All the requirements given in Clause 4.1 of ISO/IEC 17065:2012 shall apply.

5.1.1 Legal and Islamic responsibility
All the requirements given in Clause 4.1.1 of ISO/IEC 17065:2012 and the following shall apply: The halal certification body shall be with profound understanding of the proper

supply of halal products/services to Muslims and shall take appropriate steps that ensure Islamic responsibilities are fulfilled in all the activities. The halal certification body shall have the responsibility for complying with all Islamic requirements.

5.1.2 Halal certification agreement
All the requirements given in Clause 4.1.2 of ISO/IEC 17065:2012 shall apply.

5.1.3 Responsibility for Halal certification decisions
All the requirements given in Clause 5.1.3 of ISO/IEC 17021:2011 and Clause 4.1.3 of ISO/IEC 17065:2012 shall apply.

5.2   Management of impartiality
All the requirements given in Clause 4.2 of ISO/IEC 17065:2012 and the following shall apply.

5.2.1 The Halal certification body and any part of the same legal entity shall not offer or provide Halal consultancy, quality system consultancy nor any management system consultancy.

5.3   Liability and financing
All the requirements given in Clause 4.3 of ISO/IEC 17065:2012 shall apply.

5.4   Operations

5.4.1 The Halal certification body shall take all steps that are necessary to evaluate conformance with the relevant Halal product standards according to the requirements of specific Halal product certification system. The Halal certification body shall specify the relevant GCC 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.

5.4.2 While conducting the halal certificate operations, the halal certification body shall ensure that the suitability and competence of body(ies) and person(s) carrying out testing, inspection, and halal certification fulfil the requirements, whichever applicable, stated in ISO/IEC 17025, ISO/IEC 17020, ISO/IEC 17021 and/or ISO/TS 22003.

6.   STRUCTURAL REQUIREMENTS

6.1   Organizational structure and Senior management
All the requirements given in Clause 5.1 of ISO/IEC 17065:2012 shall apply.

6.2   Committee for safeguarding impartiality
All the requirements given in Clause 5.2 of ISO/IEC 17065:2012 and the following shall apply.

6.2.1 The recognised Islamic authority of the country in which the halal certification body operates shall be represented in the committee for ensuring the 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 halal certification body and in deciding the rules, procedures and policies for halal certification from Islamic point of view.

6.2.2 The Islamic authority shall take due care of any concerns that arise due to discrepancies in Islamic knowledge, practices and understanding which are likely to compromise the impartiality.

7.   RESOURCE REQUIREMENTS

7.1   Competence of management and personnel
All the requirements given in Clause 6.1 of ISO/IEC 17065:2012 shall apply. Additionally, the Halal certification body shall have processes to ensure that personnel have appropriate knowledge relevant to the categories (see Annex A) in which it operates.

7.2   Personnel involved in the Halal certification activities

7.2.1 General requirements

7.2.1.1 All the requirements given in Clause 6.2 of ISO/IEC 17065:2012 and the following shall apply.

7.2.1.2 The Halal certification body shall ensure that all personnel involved in the audit and certification activities are Muslims who are technically competent and ethically committed to Islamic values.

7.2.1.3 In order to ensure that the audit and certification procedures are carried out effectively and uniformly, the minimum criteria for the competence of personnel shall be defined by the Halal certification body. These criteria shall include training on Halal standard and related documents application as well as quality management system, product certification conformity and safety management system.

7.2.1.4 The personnel of the halal certification body can be individual auditors who work for the halal certification body on a contract basis, or from other external sources. The halal certification body shall be in a position to manage, control and 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 basis or provided by external bodies.

7.2.1.5 The Halal certification body shall require its personnel involved in the Halal certification to sign a contract or other documents in which they commit themselves to:
a) Comply with the rules defined by the Halal certification body, including those relating to confidentiality and independence from commercial and other interest(s).

b) Declare any previous 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.

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

7.2.2 Personnel that Review contracts

7.2.2.1 Education
The halal certification body shall ensure that the personnel carrying out contract review shall have the knowledge corresponding to secondary education.

7.2.2.2 Safety and/or Halal related training
The Halal certification body shall ensure that the personnel carrying out contract review shall have successfully completed training(s) in:
a) Relevant Halal standard and related documents required for halal certification .

b) Quality management system and product conformity.

c) Relevant product safety Management (e.g. ISO 22000).

d) Training in audit processes based on the guidance given in ISO 19011.

7.2.2.3 Competencies
The Halal certification body shall ensure that the personnel carrying out contract review have demonstrated 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's 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) Halal certification body's policies and procedures related to contract review.

7.2.3 Personnel granting Halal certificates
7.2.3.1 General requirements
The Halal certification body shall ensure that the personnel who make the decision on granting certification have the same education, training on Halal certification, audit and work experience as required for an auditor of the given category (see Annex A) according to ISO 19011.

The team taking the certification decision shall not be less than 3, including an Islamic affairs expert. Decisions shall be taken unanimously, not by majority of votes.

7.2.3.2 Competencies

The Halal certification body shall ensure that the team granting certification has demonstrated ability to apply knowledge and skills in the following areas:

a) principles for Halal certification;

b) Islamic rules related to Halal certification;

c) current principles and understanding of relevant management systems;

d) identification and assessment of risks for Halal requirements;

e) corrections and corrective actions to be taken with regards to Halal matters;

f) laws and regulations relevant to the Halal product/services;

g) products, processes and practices;

h) relevant legislation and regulations;

i) review and assessment of an audit report for accuracy and completeness;

j) review and assessment of the effectiveness of corrective actions;

k) the certification process;

l) good understanding of the fundamental rules and conditions related to Halal, especially about the slaughtering of animals according to Islamic rules and the requirements of relevant GCC standards.

7.2.4 Technical auditors

7.2.4.1 General requirements

Halal certification technical auditors shall have relevant knowledge of Islamic rules with regard to Halal certification and should have received training on the Halal certification documents and studying specifications and technical documentation.

7.2.4.2 Education

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

7.2.4.3 Special trainings
7.2.4.3.1 The Halal certification body shall ensure that the technical auditors have successfully completed training in:
a) relevant management principles,
b) regulations on relevant sector,
c) approved GCC Halal standard.
d) sector specific training.

7.2.4.3.2 The training course(s) should be recognized by the Halal competent authority as being appropriate and relevant.

7.2.4.4 Audit training
The Halal certification body shall ensure that the technical auditors have successfully completed training in:
a) audit techniques based on ISO 19011,

b) relevant product safety management system standards (e.g. ISO 22000),

c) Halal certification based on approved GCC Halal standard.

7.2.4.5 Work experience
The halal certification body shall ensure that the technical auditor has a minimum of five (5) years of full-time work experience in the related industry, including at least two (2) years of work experience in quality assurance. The technical auditor shall have at least two (2) years of work experience in product safety functions during production or manufacturing, retailing, inspection or enforcement, or the equivalent.

7.2.4.6 Audit experience
The Halal certification body shall ensure that within the last three (3) years the technical auditor has performed at least twelve (12) certification audit days (like product/service) in at least four (4) organizations under the leadership of a qualified auditor.

NOTE -audit days include audit days dealing with ISO 9001 in the industry or other product safety management system audits.

7.2.4.7 Competencies
7.2.4.7.1 The competences of technical auditors shall be recorded [see Clause 7.4.5 c) of ISO 19011:2011] for each category and sector (see Annex A). The Halal certification body shall provide evidence of the successful evaluation.

7.2.4.7.2 The Halal certification body shall ensure that the technical 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. A technical auditor shall be able;

- to apply audit principles, procedures and techniques,

- to plan and organize the work effectively,

- to conduct the audit within the agreed time schedule,

- to prioritize and focus on matters of significance,

- to collect information through effective interviewing, listening, observing and reviewing documents,

- to keep records and data,

- to understand the appropriateness and consequences of using sampling techniques for auditing,

- to verify the accuracy of collected information,

- to confirm the sufficiency and appropriateness of audit evidence to support audit findings and conclusions,

- to assess those factors that can affect the reliability of the audit findings and conclusions,

- to use work documents to record audit activities,

- to prepare audit reports,

- to maintain the confidentiality and security of information, and

- to communicate effectively, either through personal linguistic skills or through an interpreter.

b) Product/service certification and/or management system and other reference GCC Halal Standard: to enable the auditor to comprehend the scope of the audit and apply audit criteria.
c) Organizational situations: to enable the technical auditor to comprehend the organization's operational context.
d) Applicable laws, regulations, and other legal and Halal requirements relevant to the discipline.

7.2.4.7.3 The Halal certification body shall ensure that the technical auditors demonstrate their 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.

7.2.5 Technical experts
7.2.5.1 Education
The requirements of Clause 7.2.4.2 shall apply.

7.2.5.2 Work experience
The Halal certification body shall ensure that the technical experts have at least four (4) years of work experience in their technical area.
7.2.5.3 Competencies
The Halal certification body shall ensure that the technical experts demonstrate the their ability to provide expertise in their technical area.

7.2.6 Halal Islamic affairs experts
7.2.6.1 Education
The Halal certification body shall ensure that the Halal Islamic affairs experts have the knowledge corresponding to at least post-secondary education in the Halal Islamic rules in the sector and the processes being audited. These experts shall be recognized by the Halal competent authority.

7.2.6.2 Work experience
The Halal certification body shall ensure that the Islamic affairs experts have at least four (4) years of work experience in the Halal Islamic rules related to Halal certification area.

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

7.2.7 Selection of the audit team
7.2.7.1 The Halal certification body shall ensure that the Halal certification audit team have competencies in the specific sector required by the audit (see Annex A).

7.2.7.2 The audit team shall consist of at least two (2) personnel. One of them shall be technical auditor and the other one shall be a Halal Islamic affairs expert.

7.3 Use of individual external technical auditors and external technical experts/Halal Islamic affairs experts

All the requirements given in Clause 7.3 of ISO/IEC 17021:2011 shall apply. Additionally, all requirements for individual technical experts shall also apply for Halal Islamic affairs experts.

7.4 Personnel records

All the requirements given in Clause 7.4 of ISO/IEC 17021:2011 shall apply.

7.5 Outsourcing

All the requirements given in Clause 7.5 of ISO/IEC 17021:2011 and the following shall apply:

7.5.1 When a Halal certification body decides to outsource the 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.

7.5.2 The Halal certification body shall,

a) take full responsibility for such outsourced work and maintain its responsibility for granting, maintaining, extending, suspending or withdrawal of Halal certification;

b) ensure that the outsourced body or person is competent and complies with the applicable provisions of this document 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.

8. INFORMATION REQUIREMENTS

All the requirements given in Clause 8 of ISO/IEC 17021:2011 shall apply.

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

8.1 Publicly accessible information

All the requirements given in Clause 4.6 of ISO/IEC 17065:2012 shall apply.

8.2 Halal certification documents

All the requirements given in Clause 7.7 of ISO/IEC 17065:2012 shall apply.

8.3   Directory of certified clients

All the requirements given in Clause 8.3 of ISO/IEC 17021:2011 and Clause 8.7 of ISO/IEC 17065:2012 shall apply.

8.4   Reference to Halal certification and use of Halal marks/licences

All the requirements given in Clause 4.1.3 of ISO/IEC 17021:2011 and the following shall apply.

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

8.4.2 Guidance on the use of GCC Halal certificates and Halal marks permitted by the Halal certification body may be obtained from related standard.

8.4.3 Incorrect references to the Halal certification system or misleading use of licences, Halal certificates or marks, found in advertisements, catalogues, etc., shall be dealt with by suitable action.

8.4.4 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.

8.4.5 The Halal mark should meet the required specifications as per the the approved GCC standard.

8.4.6 The Halal mark should be printed clearly on all certified Halal products and labelled on each box/package.

8.4.7 Companies are allowed to print the coloured mark suitable to its packaging as long as it does not change the original specification(s) of the mark.

8.4.8 The Halal mark/certificate should be exhibited only at the entrance of the certified restaurant.

8.4.9 The certificate holder shall not reproduce the granted Halal certificate in part and/or in a way that would hinder the legibility, nor shall 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 Halal certificaton body.

8.5   Confidentiality

All the requirements given in Clause 8.5 of ISO/IEC 17021:2011 shall apply.

8.6   Information exchange between a Halal certification body and its clients

All the requirements given in Clause 8.6 of ISO/IEC 17021:2011 shall apply.

9. PROCESS REQUIREMENTS

9.1 General requirements

9.1.1 The Halal 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.), and sectors according to Annex A. The Halal 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 influence the Halal requirements of the end products.

9.1.2 The Halal certification body shall have a process for selecting the audit day, time and season so that the audit team has the opportunity for 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, the Halal certificaton body shall review the results of all laboratory analyses with regard to the Halal status of the product that is produced or offered.

9.1.3 The audit programme shall include a two-stage initial audit, surveillance audit in the first and the second years, and a recertification audit in the third year prior to expiration of certification. The three years certification cycle begins with the certification or recertification decision. The determination of the audit programme and any subsequent amendments shall consider the size of the organization of the client, the scope and complexity of its management system, products and processes as well as the demonstrated effectiveness of level of management system and the results of any previous audits. When a halal 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 approved GCC halal standard and related requirements.

9.1.4 All the requirements given in Clause 9.1.2 to 9.1.3 of ISO/IEC 17021:2011 shall apply.

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

a)   requirements of the approved GCC Halal standard;

b)   size and complexity of the organization.

c)   technological and regulatory context.

d)   outsourced activities included in the scope of the production or process.

e)   results of any prior previous audit(s).

f)   number of sites or establishments with multiple sites.

9.1.6 Each site of a multisite organization to be assessed and certified separately.

9.1.7 All the requirements given in Clause 9.1.6 to 9.1.9 of ISO/IEC 17021:2011 and Clause 7.4 to 7.4 of ISO/IEC 17065:2012 shall apply.

9.1.8 The Halal 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 Halal certification body.

If the product/service is in the food-chain operations, the report shall include references to issues relevant to the FSMS.

9.1.9 All the requirements given in Clause 9.1.11 to 9.1.15 of ISO/IEC 17021:2011 and Clause 7.5 to 7.6 of ISO/IEC 17065:2012 shall apply.

9.2   Initial audit and Halal certification

9.2.1 Application
a) All the requirements given in Clause 9.2.2 of ISO/IEC 17021:2011 shall apply.
b) The Halal certification body shall require the applicant for the Halal certificate to provide detailed information concerning its legal status/entity, raw materials, operations, product safety management system related issues i.e. HACCP studies, the number of shifts and number of employee in each shift etc.

9.2.2 Application review
All the requirements given in Clause 9.2.2 of ISO/IEC 17021:2011 shall apply.

NOTE - In case of non-conformities found during the audit, the producer/service owner shall make a declaration, before renewal of application, that he has completely removed all the non-conformities detected in the audit, In case of an unsuccessful certification process, the new application shall only be accepted if the client makes such a declaration. If the first application for certification is unsuccessful and the client wishes to approach another certification body, then the applicant shall make available detailed information regarding its first application for certification.

9.2.3 Initial Halal certification audit

The initial certification audit of Halal product/service/management system shall be conducted in two stages:

9.2.3.1 Stage 1 audit

9.2.3.1.1 All the requirements given in Clause 9.2.3.1.1 of ISO/IEC 17021:2011 and the following shall apply:

When outsourced control measures applied, stage 1 audit shall review the documentation included in Halal requirements and/or the product safety management system to determine if the combination of control measures is suitable for the organization, and conform to requirements of Halal standards.

When collecting the information regarding the compliance to national or international regulatory aspects, relevant authorizations must be present.

9.2.3.1.2 The objectives of stage 1 audit is to provide an illustration for planning stage 2 audit by gaining an understanding of the product safety management system 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 product safety management system includes adequate processes and methods for the identification and assessment of the organization's safety hazards, and subsequent selection and categorization of control measures (combinations),

c) safety legislation is in place for the relevant sector(s) of the organization,

d) the product safety management system is designed to achieve the organization's safety policy,

e) the product safety management system implementation program justifies for the audit (stage 2),

f) the validation, verification and improvement programs conform to the requirements of the product safety management system standard,

g) the product safety management system documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and

h) any additional documentation that require revision and/or knowledge that need to be obtained in advance.

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

a) In the case of categories A, B, G, H, I, J and K (see Annex A), it is not necessary that stage 1 audit to be on-site. However, it is 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 stage 1 audit is done on-site.

b) Where stage 1 audit has not been performed on-site, the duration of stage 1 audit may not exceed 20% of the total audit time (see Annex B). Where it covers an on-site work, duration of the stage 1 audit may not exceed 30% of the total audit duration (see Annex B).

9.2.3.1.4 All the requirements given in Clause 9.2.3.1.2 of ISO/IEC 17021:2011 shall apply. The applicant shall be informed that the results of stage 1 audit may lead to postponement or cancellation of stage 2 audit.

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

9.2.3.1.6 All requirements given in Clause 9.2.3.1.3 of ISO/IEC 17021:2011 shall apply.
The interval between stage 1 and stage 2 audits is reasonably expected to be not longer than 6 months. Stage 1 audit should be repeated if a longer interval is needed.

9.2.3.2 Stage 2 audit
All the requirements given in Clause 9.2.3.2 of ISO/IEC 17021:2011 shall apply.

9.2.4 Initial Halal certification audit conclusions
All requirements given in Clause 9.2.4 of ISO/IEC 17021:2011 shall apply.

9.2.5 Information for granting initial Halal certification
All requirements given in Clause 9.2.5 of ISO/IEC 17021:2011 shall apply.

9.2.6 Sampling

9.2.6.1 When necessary, the audit team shall take samples in sufficient quantities from production/service premises for the performance of the required inspections and tests.

9.2.6.2 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 scheme utilising statistically proven techniques with stated confidence levels. In specifying any requirements for sampling, the Halal certification body shall establish documented procedures for the selection and control of samples to ensure traceability, and that they are representative of Halal production.

9.2.6.3 Samples taken by the audit team shall be sent for analysis to the laboratory accredited under ISO/IEC 17025 or recognized upon the approval of Halal competent authority.

9.2.7 Inspections and tests

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

9.2.7.2 Laboratories that undertake inspections and/or analyses shall be accredited under ISO/IEC 17025 or shall be recognized upon the approval of Halal competent authority.

9.2.7.3 When independent testing facilities are not available, the Halal certification body shall ensure that the specified controls are in place at the supplier's testing facilities, and are managed in a manner which provides confidence in the results obtained and that records are available to justify the confidence.

9.3 Surveillance activities
All requirements given in Clause 9.3 of ISO/IEC 17021:2011 and Clause 7.9 to 7.10 of ISO/IEC 17065:2012 and the following shall apply:

9.3.1 The Halal certification body shall conduct surveillance at certain time intervals according to ISO/IEC 17021, Clause 9.3.2.2 as it deems necessary in order to ensure continued 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.

9.3.2 When Halal production/service premises are audited and if nonconformities that directly affect Halal product/service safety are detected,then samples may be taken for surveillance purposes.

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

9.4 Recertification
All requirements given in Clause 9.4 of ISO/IEC 17021:2011 and the following shall apply:

9.4.1 Halal certificate owners (certified organization) should submit a recertification or renewal application six (6) months prior to the expiry date of current Halal certificate.

9.4.2 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.

9.5 Special audits
All requirements given in Clause 9.5 of ISO/IEC 17021:2011 shall apply.

9.6 Suspending, withdrawing or reducing the scope of Halal certification
All requirements given in Clause 9.6 of ISO/IEC 17021:2011 and Clause 11.7 of ISO/IEC 17065:2012 shall apply.

9.7 Appeals and complaints
All requirements given in Clause 9.7 and 9.8 of ISO/IEC 17021:2011 , Clause 13.7 of ISO/IEC 17065:2012 and the following shall apply.

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

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

9.7.3 This committee shall consist of a minimum of three (3) persons, at least one of whom is a Halal Islamic affairs expert.

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

9.8 Records of applicants and clients
All requirements given in Clause 9.9 of ISO/IEC 17021:2011 Clause 8.7 of ISO/IEC 17065:2012.

10. MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES

10.1 General
All requirements given in Clause 10.3.1 of ISO/IEC 17021:2011 shall apply.

10.2 Management system manual
All requirements given in Clause 10.3.2 of ISO/IEC 17021:2011 shall apply.

10.3 Control of documents
All requirements given in Clause 10.3.3 of ISO/IEC 17021:2011 shall apply.

10.4 Control of records
All requirements given in Clause 10.3.4 of ISO/IEC 17021:2011 shall apply.

10.5 Management review
All requirements given in Clause 10.3.5 of ISO/IEC 17021:2011 shall apply.

10.6 Internal audits
All requirements given in Clause 10.3.6 of ISO/IEC 17021:2011 shall apply.

10.7 Corrective actions
All requirements given in Clause 10.3.7 of ISO/IEC 17021:2011 shall apply.

10.8 Preventive actions
All requirements given in 10.3.8 of ISO/IEC 17021:2011 shall apply.

Annex A: Classification of Halal product/service categories

The Halal certification body shall use Table A.1
a) to define the scope of its work ,
b) to identify technical qualification (if any) of its auditors that 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 the given 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;
B	Farming 2 (Plants)	fruits; vegetables; cereals; spices; horticultural products
C	Processing 1 (Perishable animal products)	includes all activities after farming, e.g. animal slaughtering , poultry, eggs, dairy and fish products
D	Processing 2 (Perishable vegetable products)	fresh fruits' fresh juices; preserved fruits; fresh vegetables; preserved vegetables
E	Processing 3 (Products with long shelf life at room temperature)	canned products; biscuits; snacks; oil; drinking water; beverages; pasta; flour; sugar; salt
F	Feed production	animal feed; fish feed
G	Food Service	hotels; restaurants
H	Distribution	retail outlets; shops; wholesalers
I	Services	water supply; cleaning; sewage; waste disposal; product development , process and equipment; veterinary services, Islamic financial services
J	Transport and storage	transport and storage
K	Equipment manufacturing	Industrial equipment; vending machines
L	Chemical and Biochemical manufacturing	Food additives; dietary supplements; cleaning agents; processing aids, microorganisms
M	Packaging and wrapping material manufacturing	packaging and wrapping material
N	Other materials manufacturing	cosmetics, textile, leather products etc.

Annex B: Minimum Audit Time

B.1 General

In determining the audit time needed for each site as required in Clause 9.1.5, the Halal certification body should consider the minimum required time on-site for initial certification given in Table B.1. The minimum time includes stage 1 and stage 2 of the initial certification audit (see Clause 9.2.3) but does not include the required time for the preparation of the audit nor the time for writing the audit report.

The minimum audit time is established for the audit of a Food System Managements System which includes only one HACCP study. A HACCP study corresponds to a hazard analysis for a group 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 half audit day. The minimum renewal time should be two-thirds of the initial certification audit time, with a minimum of half audit day.

In the absence of 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 (see Clause 9.1.5.2 in ISO/IEC 17021:2011) 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**:

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

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**:   **Tasv = Ta * 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 Medium CC= 1.25 High CC= 1.50 Very High CC= 1.75	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				
E	1.75	0.50				
F	1.75	0.50				
G	1.25	0.50				
H	1.25	0.50				
I	1.25	0.25				
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 the following 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 Halal certification body should recognise that not all organizations in a specific sector will always fall in the same complexity class. The Halal 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 a mixing that is free from chemical reaction, and/or high number or risky raw materials and/or advanced processing, may be classified as "medium" or even "low complexity".

All attributes of an organization's system, processes, and products/services should be taken in consideration , and a fair adjustment made for those factors that could justify high or low 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
Very High	chemicals and pharmaceuticals "not elsewhere classified", processed meat products, genetically modified products, food additives, bio cultures, cosmetics, processing aids and microorganisms.
High	slaughtering animals and poultry; cheese products; biscuits; snacks; oil; beverages; hotels; restaurants; dietary supplements; cleaning agents; packaging and wrapping material, textile.
Medium	Dairy 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.
Low	fish; egg production; milk production; fishing; hunting; fruits; vegetables; grain; fresh fruits and fresh juices; drinking water; flour; salt ; retail outlets; shops; wholesalers, transport and storage.