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Halal certification procedure

1.0 Purpose : This procedure describes the roles, responsibilities, and processes in a Halal certification by GSO 2055-2:2015 , ISO/ IEC 17065 and 7021/UAE 2055-2:2015 – OIC SMIIC-2 and Malaysian, Singaporean , Indonesian standardization involved in the certification of products and halal Quality Assurance management systems.

1.2. The certification process consists of the phases:

- ❖ Receiving applications
- ❖ Application review
- ❖ Submitting proposals
- ❖ Contracting and contract review
- ❖ Audit preparation
- ❖ Performance of audit stage 1
- ❖ Performance of audit stage 2
- ❖ Audit follow up
- ❖ Audit Review
- ❖ Decision making
- ❖ Issue of the certificate
- ❖ Actions related to certification status
- ❖ Surveillance audits, and Audits special
- ❖ Recertification

1.3. The sequence is repeated at the end of the term of validity of the audit, except for audit stage 1. Recertification audit activities may need to have an audit stage 1 in situations where there have been significant changes to the products, raw materials, food safety and/or quality management system, process flow chart, legal status of the client or sites or the context in which the management system is operating.


1.4. The Technical Manager, Certification Manager, QA Officer, Halal Auditors, Technical Experts, Sales & Marketing, and all concerned staff at Global Halal systems are responsible for implementation and management of this procedure.


2.0 Scope


This procedure is applied to Global Halal systems and all its partners, franchisees, office all around the world.

3.0 Terms, Definitions & Abbreviations

Audit Stage 1	On-site or off-site assessment of the readiness for certification of a company's management system and planning of audit.
stage 2	This includes the review of management system documentation. An on-site assessment may not be needed as an exception
Audit Stage 2	On-site assessment of establishment, implementation and effectiveness of a product's safety management system and halal standard's requirements with respect to the issue of a


			
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	halal certificate.		
Surveillance Audit	Periodical (yearly, optionally half-yearly), post-certification on-site audit of management system implementation and effectiveness in representative areas and functions covered by the scope of the management system of the organization at defined intervals with respect to the maintenance of a halal certificate.		
Re-Certification Audit	Review of overall halal management system implementation and effectiveness in the organization with respect to new issue of the halal certificate		
Extension Audit	Evaluation of halal management system implementation and effectiveness in additional or changed areas or sites of the scope, or after removal of parts of the scope with respect to changes of the scope of a halal certificate.		
Short-notice Audit	Evaluation of halal management system implementation and effectiveness in additional or changed areas or sites of the scope, or after removal of parts of the scope with respect to changes of the scope of a halal certificate.		
Non-scheduled halal audits	Audits of certified clients at non-scheduled manners at certain conditions related to sensitivity of their products and risks associated		
Accreditation	Procedure by which a governmental entitled agency recognizes the competence of an inspection and/or certification body		
Accredited Certification Body	A certification body that was accredited by a governmental agency		
Appeal	Procedure whereby a customer or another person/institution requests to review a certification decision		
Applicant	The company that is requesting a certification		
Audit	A systematic, independent, and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled		
Audit Programme	Arrangements for a set of one or more audits planned for a specific time frame and directed towards a specific purpose		
Audit Scope	Extent and boundaries of an audit		
Audit Criteria	Set of requirements used as a reference against which objective evidence is compared		
Audit Findings	Results of the evaluation of the collected audit evidence against audit criteria. Audit findings indicate conformity or non-conformity, and it can lead to the identification of risks, opportunities for improvement or recording good practices		
Audit Team	one or more persons conducting an audit, supported if needed by technical experts. Note1 to entry: One auditor of the audit team is appointed as the audit team leader. Note2 to entry: The audit team can include auditors-in-training		
Non-scheduled halal audits	Audits of certified clients at non-scheduled manners at certain conditions related to sensitivity of their products and risks associated.		
Auditor	Person who is assigned by a certification body to perform certification services		
Certificate	Document issued by a certification body that confirms that a checked product/activity of a company/institute/organization is in accordance with the relevant standard(s)		
Certification	Procedure whereby global Halal systems (GHS) provides after successful checks written assurance that products are produced in accordance to a standard		
Certification body	Organization that was accredited and is responsible to check in a defined period if products meet the requirements of a standard		
Certification scheme	The certification scheme shows the single steps of the certification procedure		
Certified product	Any product that was successful certified by an accredited certifying body		
Client/customer	The company that applies for certification		
Conflict of interest	Means that an individual is due to financial or private interests influenced in his/her		

		
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	decision making what stands in conflict with the interest of the certification organization to perform impartial certification services	
Conformity	A requirement is fulfilled completely	
Consultancy	Supporting a company with actions in the fields of designing, implementing, manufacturing, installing, operating or maintaining a product/service that will be certified	
Evaluation	Professional assessment of the results from the performed on-site audit Halal Things or actions permitted by Shariah law without punishment imposed on the doer	
Impartiality	Means the absence of any conflicts that could have influence on the certification activities	
Internal Audit	A systematic review of the objectives and performance of the QMS that is undertaken by the certification body itself	
Management Review	The objective of the management review is to assess the continued suitability, effectiveness and efficiency of the management system for the implementation of the company policy and the achievement of the company objectives by the top management	
ISO	International Organization for Standardization – in independent body that provides neutral quality standards	
Labelling	Means any written, printed or graphic information that is on the label or is displayed near the food to give information about the product	
Laboratory	Body that performs tests and analyses. According this Quality Manual only analysis of bodies that have a valid ISO 17025 certification will be accepted	
Non-conformity	A requirement of a standard or regulation is not fulfilled	
Processed	Means in the case of food products that the product is canned, cooked, frozen, concentrated or otherwise prepared. This does not include the final usage as a meal in kitchens, restaurants or other establishments where foods are prepared for consumption	
Quality Manual	Document that contains the quality management system of a body	
HAQMS	Halal Assurance Quality Management System Manual	
Scope of certification	Specification of the product(s) and/or field(s) of production for that the certification is valid	
Standard	This word is used for standards and other normative references like technical regulations	
Third party/ third person	A person/organization that is independent of the parties involved concerning a special context	
Trade Mark	A protected word, symbol or design (or a combination of these) that is used to make goods or services of a company or person distinctive	
Contract	An agreement signed between the client and the Halal certification body, governing the rules for the right of use of logo granted to Halal product/service	
Complaints	An expression of dissatisfaction by any person or organization, to a Halal certification body, where a response is expected	
Halal Islamic affairs expert	A Muslim with profound and comprehensive knowledge of Islamic rules in the subject of Halal, approved, authorized by the relevant organization (the Halal competent authority), and appointed by the Halal certification body.	
Halal mark/ logo	An approved mark/ logo that is granted to the Halal product/service or management system which comply to this standard	
Qualified Personnel	Personnel that have demonstrated the capability of fulfilling specified requirements and are authorized to perform specified functions	
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	
Technical Expert	A person formally appointed by the Halal certification body who is technically competent in a particular processing technology or field	
Halal Assurance Quality Manual	A document stating the quality policy, quality system, and quality practices of an organization.	

			
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Objective Evidence	data supporting the existence or verity of something Note1 to entry : Objective evidence can be obtained through observation, measurement, test or by other means. Note2 to entry: Objective evidence for the purpose of the audit generally consists of records, statements of fact, or other information, which are relevant to the audit criteria and verifiable		
Performance	Measurable results. Note1 to entry: Performance can relate either to quantitative or qualitative findings. Note2 to entry: Performance can relate to the management of activities, processes, products, services, systems or organizations		
Scope of Certification	Identification of the product(s)/service(s) for which Halal certification is granted and the Standard to which it is judged that the product(s)/ service(s) complies with		
Test	A test is a technical operation that consists of the determination of one or more characteristic or performance of a given product, material, equipment, or physical phenomenon according to a specified procedure		
Islamic	The Revelation on Prophet Mohammad (PBUH) in relation to the beliefs, sentiments and acts of the ordered, whether conclusive or presumptive		
Halal Food	Food and drinks, which is allowed to be consumed according to Islamic rules by eating, drinking, injecting or inhaling		
Halal Certificate	Certificate confirms that the product, the service or the regulations specified meets Halal requirements in the Islamic Sharia such as Halal Tazkeya certificates, facilities and farms certificates, slaughterhouses certificates, facilities classified as Halal, primary products components, additives containing meat/poultry and their derivatives, rennet, gelatin, animal fats and oils and their derivatives		
Halal Certification bodies	The issuers of Halal certificates accredited by the accreditation authorities of the Halal certificate issuers		
The Accreditation Authorities of Halal Certification bodies	The official agencies which are authorized to accredit Halal Certification bodies		
Halal	is any object or action which is permissible to use or engage in, according to Islamic law		
Haram	Means prohibited. It is the opposite of halal		
Makruh	A term generally associated with someone's dislike for a food product or, while not clearly haram, is considered dislikeable by some Muslims		
Najs	are things regarded as ritually unclean		
Shubhah	Is something questionable or doubtful, either due to the differences in scholars' opinions or the presence of undetermined ingredients in a food product		
Islamic rules	It means what ALLAH legislates for Muslims as per the Holy Qur'an, and the practices (Sunnah) of honorable Prophet Mohammed (peace be upon him).		

4.0 References and Related Documents

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

			
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UAE.S 2055 -1: 2015	Halal products - Part one: General Requirements for Halal Food		
UAE.S 2055- 2: 2016	Halal products – Part two: General Requirements for Halal Certification Bodies		
UAE.S 2055- 4: 2014	Halal Products- Part 4:Requirements for Cosmetics and Personal care		
UAE.S 2055- 3: 2016	Halal products - Part three: General Requirements for halal accreditation bodies accrediting halal certification bodies		
UAE.S 993 :2015	Slaughtering Requirements According to Islamic Rules Animal		
GSO 2055-2:2021	Halal products – Part 2 : General Requirements for Halal Certification Bodies		
GSO 2055-1:2015	HALAL FOOD - Part 1 : General Requirements		
GSO 2055-3:2021	Halal Products – Part Three: General Requirements For Halal Accreditation Bodies Accrediting Halal		
GSO 2055-4:2021	Halal Products- Part 4: Requirements For Halal Cosmetics And Personal Care		
GSO 993:2015	Animal Slaughtering Requirements According To Islamic Rules		
OIC-SMIIC-1-2019	General Requirements for Halal Food.		
OIC/SMIIC 2: 2019	Conformity Assessment – Requirements for Bodies Providing Halal Certification		
OIC/SMIIC 4:2018			
ISO/TS 22003:2013	Food safety management systems — Requirements for bodies providing audit and certification of food safety management systems		
GSO 2470:2021	Halal Foods - Management System Requirements For Retailing		
GSO 2469:2021	Halal Foods-Management System Requirements For Warehousing And Related Activities		
GSO 2468:2021	Halal Food-Management System Requirements For Transportation Of Goods And/or Cargo Chain Services		
GSO9:2013	Labeling Of Prepackaged Food Stuffs		
ISO 9000:2015	Quality Management System — Requirements		
ISO 10002:2018	Quality management — Customer satisfaction — Guidelines for complaints handling in organizations		
EN ISO 19011:2018	Guidelines for auditing management systems		
ISO/IEC 17000:2020	Conformity assessment — Vocabulary and general principles		
ISO/IEC 17011:2017	Conformity assessment — Requirements for accreditation bodies accrediting conformity assessment bodies		
ISO/IEC 17020:2012	Conformity assessment — Requirements for the operation of various types of bodies performing inspection		

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ISO/IEC17021-1:2015	Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements			
ISO/IEC 17025:2017	General requirements for the competence of testing and calibration laboratories			
ISO/IEC 17065:2012	Conformity assessment — Requirements for bodies certifying products, processes and services			
ISO/IEC 17067:2013	Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes			
ISO/IEC 17030:2021	Conformity assessment — General requirements for third-party marks of conformity			
ISO/IECTR 17026:2015	Conformity assessment — Example of a certification scheme for tangible products			
HAS 23000	Requirements of Halal Food Certification			
MS1500:20019	Halal food- General requirements			

5.0 Workplace Health and Safety

Employee safety from infectious diseases

6.0 Responsibilities

6.1 Technical Manager

With respect to the scope of this procedure, the Technical Manager is ultimately responsible for:

- Application review in delegation
- Select and appoint auditors, senior auditors and appointed persons,
- Review and approval of certification files and by involving competent auditors if necessary. These auditors Will not have been part of the certification process activities,
- Approving the “A Team & Effort Approval” form or delegates the approval process to the competent auditors.
- Collecting and Initial review of Audit files and reporting to Decision making committee.

6.2 QA Officer / Impartiality Officer

Quality Assurance Officer / Impartiality Officer is responsible for make sure this procedure is being applied and impartiality is being safeguarded.

QA Officer with respect to the scope of this procedure Will make sure certificate granted after Decision making committee approval on certification is complete, scope is correct, and date is accurate.

6.3 Halal Lead Auditor/ Halal Auditors

Halal Auditors are responsible for the proper conduct of the certification process in line with this procedure and GSO 2055-2:2015 requirements within the audit team, the lead auditor has the following additional responsibilities:

- Halal lead Auditor main responsibilities, but not limited to - detailed responsibilities are found in job description, :
 - Assisting in selecting and Approving Audit Team and conduct appropriate trainings to audit teams prior auditing or during selection stage,
 - Management of audit activities,
 - Drafting of stage 1 audit plans, reports, checklists, documentation assessment and other audit related documents,

		
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- drafting of stage 2 audit plans, plans, reports, checklists and onsite assessment and other audit related documents in consultation with the audit team, assigning audit responsibilities during the audit,
- documentation of audit findings and any nonconformities in consultation with the audit team,
- draft his/her decision for issue / maintenance of the certificate or required corrective action and its scope, or decision to terminate an audit,
- in consultation with certification manager and/or technical manager, to assist in determination of scope of the management system in agreement with client,
- Resolving any issues arise in audits
- Submission of the complete certification documents to the Technical Manager and Decision making committee in planned time for review and decision making by Decision making committee
- Act as Auditor (i.e., performing audits)
- Halal Auditors are responsible to perform audit activities and techniques as per set in ISO/IEC 19011, collecting objective evidence about conformity or non-conformity to audit criteria and audit objectives
- Halal Auditors Will use the most current version of the related forms.

6.4 Technical Experts

Technical experts can be assigned to complete competence requirements for an audit team. They always act under the direction of lead auditor and do not contribute to audit time.

6.5 Islamic Affairs Experts

- A competent muslim with profound and comprehensive knowledge of Islamic rules as well as Ifta'a that can be assigned to complete competence requirements for an audit team.
- Islamic affairs expert conduct Share'a evaluation for products and processes as per Islamic rules and can be referred to in the case of existing unclear vision about a process and/or product or ingredient to give his Islamic opinion.
- Verification of Halal status of processes and materials
- Islamic Affairs Expert is a member of Decision making committee.

6.6 Marketing and Sales Team

- Marketing and salespersons are responsible for contact and follow with clients and presentation the company's services.


6.7 Finance and accounting personnel

Finance and accounting personnel are responsible for follow up payments and collection, budgeting etc.

7.0 Procedure

7.1 Initial Contact

- 7.1.1 Salesperson(s) are responsible for initial contact with potentials through sales channels – Online, direct contacts, social media etc.
- 7.1.2 Will make sure that all required documents delivered to interested potential clients such as certification manual if requested, fee's structure, marketing material – brochures, flyers etc.,

		
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7.1.3 Upon receive an official inquiry from potential client, sales team send Application form and requesting the client to fill in **Application Form [SOP14-F04]**

7.1.4 Sales team Will be competent to guide the client thus all the crucial information, which are used to determine the audit days, audit scope, etc., are completed

7.1.5 In certain cases, especially when client's scope of work is complex, it may require arranging a visit by a technical expert, the visit aims to:

- Assess the client's site
- verify client's eligibility
- describe halal certification process,
- Assists client to determine scope and standards requirements required to be met, and
- Assist in filling halal certification application form correctly

7.1.6 Sales will make sure that halal certification application form is filled, signed, and sealed by the authorized representative of the client

7.1.7 Upon receiving the halal certification application forms, application review procedure applies **[SOP14-F04]**

7.1.8 Upon completing review, the certification and/or with technical manager will calculate audit time using Audit Time Calculation Work Instruction **SOP14-F19 Audit Time Calculation**, audit cost sheet, availability of resources, audit related conditions such those related to scope, need for testing, locations, sites, need for travel, accommodation, special security concerns etc.

7.1.9 Certification Manager will prepare Halal Certification Proposal and Contract **[SOP14-F01 Service Contract for Halal Certification]**, based on data generated from 7.1.8, a full halal certification proposal and Contract to be submitted to applicant

7.1.10 Halal Certification Proposal and Contract Number will be used as a client identification number

7.1.11 Generally, except tenders and unless requested the applicant, the validity of Halal Certification Proposal and Contract Will not exceed 30 days from date of issue

7.1.12 The salespersons are responsible to follow up Halal Certification Proposal and Contracts with applicants

7.1.13 The salesperson is responsible to maintain the Original Record of Halal Application, Proposal and Contract for Certification and Halal Application Review Form, saved in a traceable client file and a copy taken to be saved on server electronically, secured and deal with it as a TOP Confidential Information

7.1.14 Technical Manager is responsible to answer all questions and inquiries related to techno-commercial proposal and halal certification contract submitted by the client. (Note: for only legal contractual clarifications, GHSTTM legal consultant may be involved),

7.1.15 For existing client who due for surveillance audit, the salesperson has to contact the client to ensure that the client's data is up to date

7.2 Halal Application

		
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7.2.1 In a manner that does not contradict what is stated in the application review procedure [**SOP-14 -1 Applications review procedure**]; an official Application is required to begin the certification process, GHS™ provides potential clients with Halal certification fee structure and an editable form of the GHS™ Halal certification Form in editable PDF format to be filled, signed, and sealed by the authorized representative of the potential client.

7.2.2 The Application form Will contain but not limited to:

- a) Identification of the products to be certified
- b) The scope of the product certification requested
- c) Corporate entity, name, legal status, address of its physical location(s) including laboratories and assessment facilities, and any relationships within a larger corporation
- d) Any other information relevant to the scope of certification for which is necessary for initial evaluation and surveillance

7.3 Application Review


7.3.1 In a manner that does not contradict what is stated in the application review procedure [SOP-14 -1 Applications Review procedure]; an official Application is required to begin the certification process, GHS™ provides potential], before proceeding with the audit GHS™ Will conduct a review of the application and supplementary information for halal certification to ensure that it has gathered all required information necessary to determine that it has the capabilities to undertake the certification process

7.3.2 The Technical Manager will review the application prior to entering into contract to ensure that:

- a) Sufficient information has been gathered to begin the certification process such as legal status/ entity, operations flowcharts, HACCP studies etc.
- b) the requirements for halal certification are clearly defined and documented, and have been provided to the client
- c) Any differences in understanding are resolved
- d) The scope of halal certification is precisely defined
- e) GHS™ has the competence and capability to perform all of the evaluation and halal certification activities
- f) The location(s) of the client's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, security and safety conditions, threats to impartiality, etc.)
- g) Records of the justification for the decision to undertake the audit are maintained

7.3.3 The scope of GHS™ services with respect to halal certification includes certification of processes (i.e., slaughtering), certification of products, verification of continuing compliance of certified standards, scope expansion/ reduction, validity extension and modifications of certified products


7.3.4 GHS™ Will decline to undertake the halal products evaluation and halal certification if there is a lack of competence or capability for any of the required halal certification activities. In this case, GHS™ should be careful not to act in conflict with the principles set out in **Halal Quality Management System Manual 001**.

		
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- 7.3.5 Additional models of the halal certified product may be authorized for certification without testing if the client provides scientific evidence to the satisfaction of GHS™ that the testing and evaluation of the certified model verifies that the additional models will comply with all of the requirements of the certification scheme set out in **Halal Quality Management System Manual 001**.
- 7.3.6 In the case of non-conformities found during the audit, the producer/service owner Will make a declaration before renewal of application, that he has completely removed all the non-conformities detected in the audit
- 7.3.7 In case of an unsuccessful certification process, the new application Will 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 Will make available detailed information regarding its first application for Halal certification

7.4 Quoting and Contracting

- 7.4.1 upon completing reviewing the halal certification application, the Certification Manager prepare Halal Certification Proposal and Contract for their review and acceptance by the client including financial proposal that basically designed at least considering the following factors:
- Administrative Fees
 - Fixed Application processing fees
 - Audit time calculations as per **SOP14-F19 Audit Time Calculation** .
 - Other audit expenses
- 7.4.2 Upon acceptance by the client, Halal Certification Proposal and Contract Will be signed and sealed by the technical manager and general manager or his representative
- 7.4.3 GHS™ Will not proceed without an official signed and sealed contract by the client. The authorized signee on behalf of the client Will make the signature. In case of another person has been signed the contract; GHS™ Will request a document supports his/her authorization, for example Authorization letter, to sign for the specific halal certification contract
- 7.4.4 Electronic seals and signatures can be accepted
- 7.4.5 The Technical Manager are responsible remove any misleading information or clauses that are not well understood in the contract to be concluded with the client and provide a clear answers and clarifications to all inquiries submitted by the client regarding the terms and conditions of the Contract.
- 7.4.6 English legal abiding contract [**SOP14-F01 Service Contract for Halal Certification / SOP14-F02 Confidentiality Agreement**] Will be sent to client as per signed and accepted contract to be signed and collected by the certification manager and/or technical manager
- 7.4.7 GHS™ Legal advisor maybe involved to clear any legal binding inquiries.

		
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7.4.8 All Contracts are three (1- 3) years-based contracts

7.5 Preparation for Certification

7.5.1 Planning for the audits

7.5.1.1 Certification and/or Technical Manager develops an audit programme, considering **Annex H of HQMSM-001 [Annex- H Considerations for the audit programme, scope or plan]** for the full halal certification cycle to clearly identify the audit activity(ies) required to demonstrate that the client's product's safety management system and halal management system fulfils the requirements for certification to the selected halal standard(s) or any other normative document(s)

7.5.1.2 The audit programme Will include a two-stage initial audit, surveillance audits in the first and second years, 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.

7.5.1.3 When determining of the audit programme and any subsequent adjustments the technical manager Will consider the size of the client organization, the scope and complexity of its management system, products and processes **Annex H of HQMSM-001 [Annex- H Considerations for the audit programme, scope or plan]** as well as demonstrated level of management system effectiveness and the results of any previous audits.

7.5.1.4 When GHS TM is taking account of certification or other audits already granted to the client, the technical manager should collect sufficient, verifiable information to justify, and record any adjustments to the audit programme.

7.5.2 Audit Plans

7.5.2.1 Certification and/or Certification manager Will ensure a documented audit plan for each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities.

7.5.2.2 The audit plan Will be appropriate to the objectives and the scope of the audit. The audit plan Will at least include or refer to the following:

- a) The audit objectives
- b) The audit criteria
- c) the audit scope, including identification of the organizational and functional units or processes to be audited
- d) the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate
- e) the expected time and duration of on-site audit activities

7.5.2.3 When planning audits, technical manager Will ensure audit objectives, scope and criteria for each stage of certification, after discussion with the client

		
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7.5.2.4 GHS™ has documented a high-level Work Instruction for determining audit time [SOP14-F19 Audit Time Calculation] for each client to determine the time needed to plan and accomplish complete and effective audit of the client's product, service, process, and/or FSMS.

7.5.3 Audit Objectives

7.5.3.1 The audit objectives Will describe what is to be accomplished by the audit and Will include, at least, the following:

- Determination of the conformity of the client's management system and products, or parts of it, with audit criteria
- Evaluation of the ability of the management system to ensure the client organization meets applicable Statutory, regulatory, and contractual requirements
- Evaluation of the effectiveness of the product's safety management system and relevant halal management Systems and procedures to ensure the client is continually meeting its specified halal standard(s), objectives; as applicable, identification of areas for potential improvements

7.5.3.2 When determining the halal audit scope, the scope Will describe the extent and boundaries of the audit, such as physical locations, organizational units, activities, and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g., covering different locations), the scope of an individual audit may not cover the full certification scope, but the totality of audits Will be consistent with the scope in the certification document

7.5.3.3 When determining audit criteria; it Will determine, and Will include:

- ❖ The requirements of a defined Halal standard(s) and document on client's management systems
- ❖ The defined processes and documentation of the management system developed by the client

7.5.4 Audit Team Selection

7.5.4.1 The Technical Manager is responsible to:

- Appointment of competent halal certification audit team from Approved Auditors/Experts List [**SOP 01-W01-1 Personnel Authorization**] who have been passed competency evaluation, records of evaluation Will be kept as per Auditor/Expert Evaluation Form **SOP 01-F10 Performance Monitoring** , and also taking into account Annex- E of **HQMSM-001**
- The term competent means appropriate qualifications, authorizations, training, and experiences
- When selecting the team, the confidentiality and impartiality requirements Will be followed where all auditors and expert Will sign Auditor/Expert 1- **SOP 01-F05 Declaration of Impartiality** 2- **SOP 01-F06 Declaration Of Confidentiality**
- The halal certification/audit team Will be composed of at least Two persons; One halal auditor, One Islamic Affairs Expert.
- The team must fulfil the requirements described in competency matrix of Auditors/Expert Competency [**SOP 01-F18 Comptency Matrix**]

		
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f) Inform the client about Halal audit team members using client intimation for audit team members [**SOP14-F06 Audit and certification process -All in one**]

g) clients must be informed in advance that they can object to any member of the audit team

7.5.5 Audit Team Audit team composing Criteria

7.5.5.1 The criteria for composing the halal certification team are:

- The audit will be performed under the leadership of a nominated Halal lead auditor
- Halal certification audit time calculated using GSO 20550-2,UAE2055-2 ,OIC/SMIC:2 see SOP14-W12 List of approved Halal Standards, Schemes and Guidelines
- At least one member of the audit team must have the technical sector competence with respect to the scope of the audit. This is also required for Stage 1 audits. In audits of more than one management system by the same team, the competence requirements must be fulfilled for each standard
- the auditor and other involved person, who are employed for the audit team, are free from conflict of interests
- The audit team leader is responsible for ensuring that technical competence is always present during the audit

7.6 Halal Certification Process

7.6.1 Stage 1 Audit

7.6.1.1 Stage 1 audit purposes

7.6.1.1.1 General

- the main purposes of stage 1 audit are to assess the location and the location-specific conditions such as PRPs and Product's safety management systems of the client and to discuss various aspects with staff at the client's organization in order to determine readiness for the Audit stage 2
- to assess the status of the client and also to assess the client's understanding of the halal standard, particularly with regard to identification of key items which must be fulfilled and also other important aspects, processes, objectives, and operation of the management system

		
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- c) to collect necessary information with regard to the scope of the management system, the processes, and the location(s) of the customer, as well as associated legal regulations and regulations related to official authorities, and to establish if the client is fulfilling these regulations; (e.g., relating to quality, environmental and legal aspects of the customer's activities, associated risks etc.)
- d) to evaluate the resources which have to be allocated to the Stage 2 audit and to discuss and agree on the details of the Stage 2 audit with the customer,
- e) to create a main focus for planning the Stage 2 audit by gathering sufficient understanding of the customer's management system and of the activities carried out on site and any significant aspects relating to these,
- f) to judge if internal audits and management reviews are planned and carried out and to ensure that the level of implementation of the management system proves that the client is ready for the Stage 2 audit.

7.6.1.1.2 Specific purposes to Halal Standard(s)

- a) to confirm that the Requirements for Halal Foods GSO 2055-1:2015, Halal Cosmetics GSO 2055-4:2015 and/or General Requirements of Slaughtering GSO 993:2015 has been planned to conform with all the requirements of the audit standard related with the documentation
- b) to confirm that the General Requirements for Halal Foods GSO 2055-1:2015, Halal Cosmetics GSO 2055-4:2015 and/or General Requirements of Slaughtering GSO 993:2015 is designed to achieve the organization's Halal policy & objectives
- c) to evaluate the capability of the General Requirements for Halal Foods GSO 2055-1:2015, Halal Cosmetics GSO 2055-4:2015 and/or General Requirements of Slaughtering GSO 993:2015 to manage compliance with statutory, regulatory, and contractual requirements
- d) to obtain pertinent information to provide for stage 2 audit effectiveness and planning, evaluation of the client's location and site-specific conditions, collection of information related to the products processes and operations within the scope of General Requirements for Halal Foods GSO 2055-1:2015, Halal Cosmetics GSO 2055-4:2015 and/or General Requirements of Slaughtering GSO 993:2015 and identification of high-risk products, key performance or significant aspects and objectives
- e) to evaluate the state of readiness of General Requirements for Halal Foods GSO 2055-1:2015, Halal Cosmetics GSO 2055-4:2015 and/or General Requirements of Slaughtering GSO 993:2015 for the stage 2 audit, including an evaluation of internal audit and management review planning and performance and a determination of the overall level of implementation of the management system

			
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f) to confirm the planned arrangements for the Stage 2 audit

g) to provide feedback to the organization to facilitate continual improvement.

7.6.1.2 Stage 1 Audit Planning and Performance

7.6.1.2.1 General

- The assigned audit team leader is responsible for preparing audit plan [**SOP14-F06 Audit and certification process -All in one**] which Will include all standards requirements for example auditee information, scope of audit, audit criteria, the names of the relevant units within the customer's organization, timescale for the audit, audit objectives, activities, the audit team, coordinates the audit plan with the audit team and the auditee organization's representative
- The auditors may work as a team or independently. However, if the full number of mandays is to be charged for, there must be demonstrable splitting of the auditors for approx. 50% of the audit time. The proof of splitting has to be provided in the audit plan (e.g., if 2 auditors per department/process are planned in, at least 2 representatives from the organization to be audited must appear in the audit plan)
- If work is performed in shifts, the different shifts must be taken into consideration during audit planning (processes and control mechanisms). If every shift is not audited, the reason must be stated in the audit report. In situations where a client provides a product or service at temporary sites (i.e., processing sites, locations etc.) it is important that evaluations of such sites are incorporated into the certification and surveillance program. The need for visits will depend on the relevance of these sites. The reasons for the selection of the specific sites must be documented in the audit report (reasons: special product-specific/service-relevant features, size, complexity, only site, results from previous audits).
- In case of integrated audits (i.e., more than one standard at one audit) where the audit team consists of more than one auditor, names, and roles of all auditors in the respective current audit are to be stated in the audit plan and in the audit reference data sheet (after the names of the auditors). This serves also as source of information for the customer.

7.6.1.2.2 Technical/ Certification Manager & Lead Auditor Responsibilities

Technical Manager and Lead Assessor are responsible to:

- Prepares Stage 1 audit plan for the halal certification activities
- Choose team, guides, etc.
- Conduct audit's feasibility

		
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- d) Identify risks to audit
- e) Identify Stage 1 audit objective
- f) Prepare audit schedule to implement the audit plan considering the availability of personnel and facilities.
- g) Review provided documents by the clients to better understand the scope of certification
- h) Inform the client of any deviations from planned activities. The evaluation plan will be documented and forwarded to the client

7.6.1.2.3 The following prerequisites must be fulfilled before performance:

- a) The client must be made aware of the risk that the audit may be broken off.
- b) A review of the management documentation must be performed before the Stage 1 audit in order to ensure than any nonconformities that are identified are rectified before the audit.
- c) GHS™ Will approve the way of proceeding
- d) The weaknesses that are identified that could lead to nonconformity in the Stage 2 audit are documented in the report of the Stage 1 audit

7.6.1.2.4 The Audit Team Leader decides based on the weaknesses that have been identified whether:

- a) the Stage 2 audit can be performed as planned without limitations
- b) the Stage 2 audit can be performed as planned following implementation of suitable actions to address the identified weaknesses
- c) the effective correction of the identified weaknesses has to be verified before the Stage 2 audit (re-conduct of Stage 1 audit)

7.6.1.2.5 The decision is documented in the report of the Stage 1 audit

7.6.1.2.6 The submission of an action plan and the assessment by the audit team leader is not required.

7.6.1.2.7 When determining the time interval between the Stage 1 and Stage 2 Audits, the requirements of the client should be taken into consideration, in order to find solutions to weaknesses that were identified during the Stage 1 Audit

7.6.1.2.8 It may also be necessary for GHS™ to modify the items to be audited in the Stage 2 Audit

7.6.1.2.9 The time interval between the two audit stages should generally not be longer than 3 months

7.6.1.2.10 At the end of the Stage 1 Audit, the exact formulation of the scope of the certificate must be established in agreement with the client not later than four weeks before the Stage 2 audit

7.6.1.2.11 Non-conformities arise Will be documented and provided to client and discussed in closing meeting.

7.6.1.2.12 To ensure that a comprehensive and complete evaluation is carried out, the Technical Manager provides the appropriate quality system documents and client information to GHS™ personnel involved in the evaluation and testing.

		
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7.6.1.2.13 The Technical Manager/Certification Manager ensures that evaluation activities performed by GHS™ personnel and subcontractors follow the evaluation plan.

7.6.2 Stage 2 Audit

7.6.2.1 Stage 2 audit purposes

- To determine if the management system conforms to the requirements of the Halal Foods (GSO 2055-1/2015)/ General Requirements of Slaughtering (GSO 993/2015) **and See 4.0**, and if it is competent and effective
- To evaluate the ability of the client to meet the applicable statutory, regulatory and contractual requirements
- To determine the commitment of the client to halal policies, objectives, targets and procedures
- To evaluate the effectiveness of the management system in achieving organizational targets
- To identify potential improvement areas of the management system where applicable

7.6.2.2 Stage – 2 Audit Activities

- 7.6.2.2.1 Audits are conducted based on methodology Annex- I Auditing Methodology
- 7.6.2.2.2 Audit principles Will be applied as per Annex – I, HAQMS 001, point 3.a
- 7.6.2.2.3 Auditors Will follow Possible evaluation methods during audits as per Annex – F of HAQMS 001
- 7.6.2.2.4 The audit officially commenced with an opening meeting
- 7.6.2.2.5 The task of the audit team is to review the practical application of the Halal Standard and to assess it for fulfilment of the requirements of the standard. This is carried out by means of questions put to the staff, viewing of other documents, records, orders and guidelines as well as by an on-site visit to the relevant areas
- 7.6.2.2.6 The audit record serves as a guide during this process. During the audit, the audit team Will periodically assess audit progress and exchange information. The audit team leader Will reassign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client (e.g.: daily closing meetings)
- 7.6.2.2.7 The client Will be given opportunity for questions. Any diverging opinions regarding the audit findings or conclusions between the audit team and the client Will be discussed and resolved where possible. Any diverging opinions that are not resolved Will be recorded and referred to the certification body.
- 7.6.2.2.8 At the end of the on-site audit, a final closing meeting takes place.

7.6.2.3 Audit Findings Documentation of the audit

- The auditors and if appropriate the expert (if used) record their findings during the audit either by hand or electronically. The requirements of the document “Standard Specific Documentation must also be taken into considerations
- Auditors uses the following documents:
 - SOP14-F05 Request for Information from Client
 - SOP14-F06 Audit and certification process -All in one
 - SOP14-F07 Raw materials and products matrix

		
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c) The findings are assigned to requirements of the standard and evaluated as regards the following:

- Full Conformity
- Nonconformity (NC A or NC B)
- Opportunity for improvement

d) The audit reports and documents are prepared based on actual audit findings

e) All GHS™ Auditors are aware, experienced, and competent to ensure and apply all following principles when auditing or reporting findings:

- **Integrity:** the foundation of professionalism
- **Fair presentation:** the obligation to report truthfully and accurately
- **Due professional care:** the application of diligence and judgement in auditing
- **Confidentiality:** security of information
- **Independence:** the basis for the impartiality of the audit and objectivity of the audit conclusions
- **Evidence-based approach:** the rational method for reaching reliable and reproducible audit conclusions in a systematic audit process

7.6.2.4 In all kinds of our Audit Reports, it contains the following minimum information “name of the halal certification body, i.e., GHS™, name and address of the client and the client’s representative for the audit, audit type, audit criteria, audit objectives, audit scope, dates and places for the audit, Audit Team Leader and Audit Team Members, nonconformities, potentials for improvement, audit findings/conclusions, unresolved aspects, combined/multisite/integrated audit (in so far as appropriate), note on the random sample nature of the audit, recommendation of the audit team, use of the halal mark, result of the verification of the actions from the previous audit, implementation of the internal audits and the management review, statement on the suitability of the scope, fulfilment of the audit objectives and capability of the management system to fulfil the relevant requirements)

The Audit Team Leader documents:


- each deviation from the Audit Plan and the reasons
- each significant aspect that has an impact on the audit programme
- Significant changes which have taken place since the previous audit, and which have an impact on the halal assurance system

7.6.3 Non-Conformities

7.6.4 General

7.6.4.1.1 A nonconformity is a failure to meet certification criteria [certification standard, requirements of regional/international organizations, management system requirements, halal standard/scheme that may:

- That leads to non-valid activity results, (and/or)

		
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- That results in the non-effectiveness of the Management System to ensure halal status, (and/or)
- That threatens the integrity of the certification

7.6.4.1.2 For a non-conformance to be closed out, CAB must provide root cause analysis, statement of the corrective action along with the supporting evidence within a defined time limit as agreed, timelines that can be followed in relation to a particular assessment are illustrated in the table below. Examples of Nonconformities include:

- something that contributes directly to the reliability of the conformity assessment result, for example, inadequate staff training or using someone who has been a consultant on the same object of conformity in the recent past.
- has the potential to compromise the conformity assessment result because it is always there, for example, a calibration deficiency, staff inexperience in relation to the conformity assessment activity being undertaken, inadequate quality control.
- is a systematic problem, for example, it is identifiable and not random such as the document control system does not ensure that all copies of manuals are current an issue that has been raised previously as observation/NC but has not been fully or appropriately addressed
- use or existence of haram products/ materials
- noticed haram behaviors and/or practices
- improper knowledge about Islamic rules
- inability of organization to maintain halal status
- etc.

7.6.4.1.3 Observation, which is a weakness, that if not treated, may lead to a non-conformity. The observations themselves do not prevent certification from being granted or maintained and require no specific immediate action by the auditee organization, it is required that the client provides at least the proposed corrective action and it can be closed with follow-up in the next assessment (i.e., on surveillance audit for example). However if a auditee organization provides the corrective action evidence(s) GHS™ or GHS™ assessment team will be obliged to evaluate the corrective action to close out the finding as deemed fit.

7.6.4.1.4 Once the assessment team and team leader have confirmed the categorization, the auditee organization Will be informed of the situation during the assessment and given an appropriate time-limit to outline and undertake corrective actions as appropriate

7.6.4.1.5 Nonconformities and potentials for improvement are documented in the audit report and separately in the audit non-conformity report NC/CAR [[SOP14-F06 Audit and certification process -All in one](#)]

7.6.4.1.6

7.6.4.2 Action plans for nonconformities are prepared by the client in coordination with the audit team leader

7.6.4.3 A finding of nonconformity Will be recorded against a specific requirement of the audit criteria, contain a clear statement of the nonconformity, and identify in detail the objective evidence on which the nonconformity is based

7.6.4.4

7.6.4.5 Nonconformities Will be discussed with the auditee organization to ensure that the evidence is accurate and that the nonconformities are understood. The auditor, however, Will refrain from suggesting the cause of nonconformities or solutions to them

7.6.4.6

		
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7.6.4.7 The action plan with root cause analysis, specific corrections and corrective actions regarding the NC A and NC B nonconformities must be submitted by the client within 30 calendar days following the last day of the audit

7.6.4.8 Type **NCA Nonconformities**: Verification of the effectiveness of the corrections and corrective actions can be performed on the basis of a review of the documented information submitted by the client or by means of a re-audit, if appropriate. The verification must be completed within 3 months after the last day of the audit. An evaluation of the actions taken with regard to the nonconformities is performed in the following audit.

7.6.4.9 If the nonconformities are not closed within the specified time, the certificate is suspended, or the decertification process is initiated in cooperation with the Specialist Management.

7.6.4.10 Type **NC B nonconformities**: Verification of the effectiveness of corrections and corrective actions can be performed on the basis of an action plan and if appropriate on the basis of documented information submitted by the client. The verification must be completed within 3 months after the last day of the audit. An evaluation of the actions taken with regard to the nonconformities is performed in the following audit.

7.6.4.11 Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk; (e.g., safety) the audit team leader Will report this to the client and, if possible, to the certification body to determine appropriate action. Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader Will report the outcome of the action taken to the GHS.

7.6.4.12 If the client chooses to proceed with completion of the additional evaluation tasks, the Certification/Technical Manager Will revise the evaluation plan, re-assign personnel, distribute additional documents and information, and repeat any other applicable requirements of the certification process

7.6.4.13 If an audit accounts more than one technique e.g. Surveillance with extension, normally the higher time limit to be followed. Depending on certification cycle it is possible to adjust lesser timeframe in case of an audit that accounts extension of scope with renewal audit to avoid affecting duration or impact on certification cycle

7.6.4.14 Closing Follow up status indicating classifications

- **Closed** means when evidence provided is good enough that it can be fully closed without the need of follow-up
- **pending** means when evidence provide is not enough to the satisfaction of the assessment team and requires further actions and submission of evidence
- **Closed but not at agreed date**: The client exceeded the agreed timeframe in closing out the finding, the late submission of evidences is to be dealt on case by case basis depending on the evaluation of the client, (seriousness of the client, if there's a valid delay e.g. public holidays or extraordinary event or if intentional no response), GHS [™] can proceed to decision making process who can determine the extent effect on the certification scope related to outstanding finings
- **Closed but needs follow up in next asst**: The evidence was good enough to close the finding however in assessment team determination it was needed to follow up in the next due audit to ensure proper implementation

		
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7.6.4.15 Time limits for closure NCs

Type of Assessment	Time Limits
Initial	3 months
Surveillance	1 month
Renewal	Normally 2-months but at least 1 month before end of cycle
Scope extension (including when with regular assessment e.g. surveillance, renewal...)	2 months
Follow-up	3 months
Special Assessment (Unannounced, reinstation.)	2 months

Time limit can be further extended upon GHS™ discretion, for other types of assessment time-limit can be decided on case-by-case basis considering the context of the assessment conducted.

7.7 Access

GHS™ and its designated auditors must be provided with access to the premises, documents, or persons in charge for whatever is referenced in the certification application

7.8 Interruption of Certification Process

At any point within the halal certification process preceding the certification decision of GHS™, the applicant may request that the processing of its application be stopped. The applicant Will, however, be liable for the costs of services provided up to the time of the withdrawal of its application. In such case GHS™ will not issue a decision regarding the products that were the subject of the Halal certification request.

7.9 Granting Halal Certification

7.9.1 Sole Authority for Decision

7.9.1.1 GHS™ Will not delegate authority for granting, maintaining, extending, and suspending or withdrawing certification to an outside person or body

7.9.1.2 GHS™ Halal Certification Decision Committee (HCDC) is the solely responsible for its decisions to grant, maintain, extend, suspend, withdraw or cancel certifications

		
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7.9.1.3 The GHS™ Top Management and Impartiality Committee exercises organizational control over the activities and decisions of GHS™

7.9.1.4 All members of the Board of Directors are required to abide by the confidentiality, impartiality, and quality management system requirements set forth in the halal assurance quality management system

7.9.2 Basis for Halal Certification Decision

- a) The decision as to whether or not to certify a product(s)/ service(s) and/or process(s) Will be made by the GHS™ HCDC based on the information gathered and reported during the auditing process and any other relevant information
- b) If GHS™ decides to rely on any evidence of conformance which was completed prior to the current evaluation or by other certification bodies, GHS™ must be able to take responsibility for those activities and results. The requirements Will be satisfied before any previous evaluation results are considered in the certification decision
- c) The GHS™ HCDC has the final decision on certification
- d) HCDC Will contains at least Three members: Tow Islamic affairs expert and one Technical auditor or technical expert .

7.9.3 Approval of Certificate

7.9.3.1 The HCDC is the sole responsible authority to grant halal certification

7.9.3.2 The Certification Manager/ Technical Manager is responsible to report HCDC in head office, Poland, with all certification records, which Will be reviewed by the decision committee, the certification records will at least include at least:

- a) SOP14-F01 Service Contract for Halal Certification
- b) SOP14-F02 Confidentiality Agreement
- c) SOP14-F03 Halal certification Offer
- d) SOP14-F04 Application Form and Application Review
- e) SOP14-F05 Request for Information from Client
- f) SOP14-F06 Audit and certification process -All in one
- g) SOP14-F07 Raw materials and products matrix
- h) SOP14-F08 Logo Agreement
- i) SOP14-F09 Material-Product Declaration
- j) SOP14-F09-1 Attachment to Declaration
- k) SOP14-F10 Pork-Free Facility Declaration
- l) SOP14-F11 Animal Feedstuff Declaration
- m) SOP14-F12 Halal Slaughtering Records
- n) SOP14-F13 List of Approved Slaughter Personnel
- o) SOP14-F14 List of Halal management team

		
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- p) SOP14-F15 Sampling – Test
- q) SOP14-F16 Customer Feedback
- r) SOP14-F17 Halal Product (Meat Processing) Records
- s) SOP14-F18 Halal Product (Manufacturing) Records
- SOP14-F19 Audit Time Calculation

7.9.3.3 The QA / Impartiality officer is responsible to make sure that all halal certification process has been met and halal certification records are completed duly

7.9.3.4 For branches the above records Will be submitted to head office for review. The branch manager in coordination with quality assurance officer Will make sure that all records and process has been met

7.9.3.5 Decision committee meeting activities are recorded in HCDC decision meeting minute [SOP14-F06

7.9.3.6 Upon acceptance of granting halal certificate, the decision committee for certification decision to applicant for whom it decides to grant certification, specifically with the intent of issuing a license authorizing the operator to use GHS TM Halal mark/logo under the conditions specified in Halal Logo Mark Usage Instructions [SOP14-F08

7.9.3.7 Technical manager upon receiving certificate release order Will issue draft certificate with no logos or ID and watermarked by the term (DRAFT).

7.9.3.8 The QA officer Will make sure that all draft certificate inputs (company name, addresses, scope, annexure of products etc.) are correct and approve the draft certificate by signing.

7.9.3.9 Each certificate Templates holds special mark, number, QR code (only when printing). access to certificate templates is forbidden except the formally authorized persons, which have been limited to general manager and QA officer for the purpose of periodic inventory (every three months)

7.9.3.10 The financial and accounting personnel make sure that the financial terms has been fulfilled before delivering the certificate in all forms (financial manager Will sign the order before delivery)

7.9.3.11 'Improper or low-quality certificate templates Will be reported and damaged under the supervision of a committee composed of at least four persons, the General Manager, certification/ technical manager, financial manager and QA officer

7.10 Certificate Release Protocol

7.10.1 The deadline is always calculated from the last day of the Stage 2 audit

7.10.2 Timeframe to issue halal certificate:

- ❖ Procedures without NC A/B: 1 Week.
- ❖ NC A: (1 month)
- ❖ NC B: (2 months)

		
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7.10.3 Upon issuing the halal certificate, the technical manager and QA officer Will review the issued final certificate and make sure all certificate data is correct prior dispatch to client.

7.10.4 QA officer will take a scanned copy of issued certificate for archiving purposes

7.10.5 Certificates Master List [**SOP14-F20 List of companies and slaughterhouses**] Will be kept up to date by technical/certification manager

7.10.6 Halal certificate release soft copy (Scanned Copies only, in a form that doesn't allow to amend contents using editing programmes

7.10.7 QA Assurance officer will issue Halal certificate hard-copy release notice to dispatch original certificate to client. The original certificate Will be dispatched to client sealed/ secured in GHS TM official A4 file.

7.11 Halal Certificate Validity

7.11.1 In general, the validity of the halal certificate does not exceed three years from the date of certificate decision and will be suspended or cancelled at any time when the certified client is found to contravene the approved halal standard and related requirements

7.11.2 The certificate Will hold a special ID Number/ Code .

Note: If the GHS relies on certifications it has already granted to the client, or has already granted to other clients, to omit any activities, then the GHS will reference the existing certification(s) in its records. If requested by the client, the certification body shall provide justification for omission of activities

7.12 Directory of Certified Products

7.12.1 GHS TM maintains a current directory of every halal product certified by GHS TM and authorized to bear the GHS TM mark. The directory identifies the client's name and address, manufacturing site, brand, HS code/Bar code, the product, the date of certification, and the Standard under which the product is certified.

These documents are part of the publicly available information and are available upon request

7.12.2 The halal certificates granted Will be uploaded to GHS TM website

7.12.3 Online Certificate Status Indicators legend:

		
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- a) Active Certificate Will be marked by the word “Active” in green color
- b) Suspended Certificate Will be marked by the word “Suspended” in Orange Color
- c) Withdrawn Certificate Will be marked by the word “Withdrawn/Cancelled” in Red color
- d) Expired Certificate Will be marked by the word “Expired” in dark brown color

The reasons of suspension and/or withdrawal/cancellation Will be mentioned in the Notes Field on website.

7.13 Post Halal Certification

- e) When certificate owner needs to use new materials/ingredients, or make any change, then a prior written permission and approval Will be required from GHS [™]
- f) New materials can only be used after the approval from GHS [™]
- g) All approved materials should be revaluated at the time of renewal process.

7.14 Change Affecting Certification

7.14.1 The halal certification requirements are established through the appropriate published halal Standards and the certification scheme. When the requirements of the Standards or interpretations of the requirements thereof change, GHS [™] clients will be informed through the GHS [™] website and in writing

7.14.2 All changes affecting certified products Will be addressed and evaluated to ensure continued compliance with the halal certification scheme. Types of changes include:

- a) Revision to the halal certification scheme or halal standards. The GHS [™] Technical Manager/ Certification manager will evaluate the changes to the appropriate published Standards to determine the time period for the client to meet the additional requirement if applicable
- b) Requests for approval of changes to halal certified products. The manufacturer Will make a written request and provide documentation and/or proposed drawings/ flowcharts/ maps showing these changes
- c) Requests for approval of scale-up systems within the approved series. The manufacturer Will provide documentation and scale-up flowcharts, which prove that the proposed product is directly proportional for the intended use
- d) Unapproved changes to certified products. Unapproved changes discovered during surveillance are treated as non-conformances

		
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- e) Scope extensions. Requests for a scope extension under additional halal certification schemes Will follow the procedures for initial application for halal certification
- f) The members of this committee will be independent from the Halal certification activities related to the subject complaint or appeal.

7.15 Amendments of halal certificate data

- g) If any amendment/change occurs in raw materials, ingredients products, facilities, or formulation, and an addition or reduction of products or material, the client Will inform GHS™ in writing for approval. This is responsibility will be done by the client representative to notify GHS™ immediately
- h) Issuance of Notification Letter/Extension Letter of On-Going Certification Process
- i) Notification Letter/extension letter will be issued to the applicant based on a request from them.
- j) For new registration, Notification Letter can be issued after the audit process is done.
- k) A Notification Letter will be valid for three months only and could not be renewed.
- l) Extension letter can be issued to the existing client only after the submission of the renewal application and renewal fee.
- m) An extension letter could be extended for the period of three months only.

7.16 Denial Certification

GHS™ Will issue a written notice of denial of certification to any applicant to whom it rejects to grant halal certification indicating the actual and scientific-based reasons of the decision. The applicant(s) has the right to:

- n) File an appeal of the denial
- o) Re-apply for certification to any accredited halal certifying body, including the one who refuses certification

7.17 Surveillance audits

7.17.1 GHS™ Will inform the client in written the date of surveillance at least 1 month prior surveillance audit date. Within the period of validity of the certificate (3 years), surveillance audits Will be conducted at least once per calendar year, with the exception of the years in which a recertification audit is performed. Surveillance audits Will be performed prior the due date / audit-relevant date

- Planning of the annual surveillance audits is based on the audit-relevant date, i.e. 12 / 24 months after the last day of the Stage 2 audit of the initial certification
- Deadlines for the release of the surveillance procedure:
 - Procedures without NC A/B: 1 Week.
 - NC A: (1 month)
 - NC B: (2 months)

7.17.2 The deadline is calculated from the last day of the Stage 2 audit in each case

		
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7.17.3 The Lead Auditor must participate in surveillance audits. The sector competence must be present in the audit team

7.17.4 During preparation of the audit, the audit team leader initiates an inquiry to the client regarding changes in the structural and procedural organization, the size of the company and the company activities. This includes in particular a review of the current system documentation. In addition, materials used for public relations (e.g., Internet, advertising material) can be used for preparation purposes. This inquiry is documented in the audit plan

7.17.4 In case of nonconformities, the halal lead auditor and audit team leader should proceed as in the certification audit.

7.17.5

7.17.6 The HCDC is the sole responsible authority to review surveillance audit documents and decide halal certification extension of validity.

7.17.7 The Technical Manager is responsible to report the decision committee in head office, Poland, with all surveillance audit records, which Will be reviewed by the decision committee, the certification records will at least includes at least:

7.17.8

- ❖ surveillance audit notice Audit/ Surveillance Notice
- ❖ approval record from client on surveillance audit notice
- ❖ audit team and audit plan approval
- ❖ audit plan
- ❖ hand-written or electronic records which allow identification of the requirements of the Halal standard and their evaluation, or halal audit protocol
- ❖ surveillance audit report,
- ❖ if necessary, management of nonconformities,
- ❖ audit time and costs

7.17.9 Technical Manger is responsible to make sure that all surveillance audit process has been met and certification records are completed duly

7.17.10 If review results are positive, the decision committee will decide to extend halal certificate validity. If Not, suspension/ Withdrawal process will be initiated.

7.18 Non-scheduled halal audits

7.18.1 General

- ❖ GHS™ may decide to conduct a non-scheduled inspection to companies holding Halal certificates
- ❖ Non-scheduled inspection will be conducted with or without prior notice to the company
- ❖ If any inappropriateness found in result of the audits, a follow up action will be taken in accordance with GHS™ stipulations.

7.18.2 Criteria for Non-scheduled Halal audits

		
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- p) For a company with high-risk products
- q) For A company with low-risk products based on report from auditors or information from consumer

7.19 Halal Recertification Audit Protocol

7.19.1 Halal Recertification audits have to be completed the expiry date of the halal certificate

7.19.2 The client who is going to renew its Halal certificate Will submit halal certification application where he application Will be submitted two months before the expiry of certificate

7.19.3 A certificate owner can only renew its certificate within three months after expiration of the certificate. After completion of three-month, certificate will be terminated, and client has to apply re-certification (if they are willing to continue GHS™).

7.19.4 The Certificate holder will receive renewal notification/reminder from GHS™ by mail when the certificate validity remains two months and notification/reminder will continue until completion of three months after expiration of the certificate

7.19.5 GHS™ has the right to announce to public if a certificate owner could not renew the certificate within three month of the expiration and marked online .

7.19.6 During re-certification period, the status of the affected client will be represented as "under-renewal" in Orange color

7.19.7 When the halal certification decision is made, the certificate is re-stated as “ Active”

7.19.8 when client decided to not renew halal certificate with GHS™, the original halal certificate Will be returned as activate certificate and logo use agreement. The status of client’s certification will remain stated as EXPIRED

7.19.9 Gap-free recertification is possible if the certification decision has been made 3 months at the most before the expiration date

7.19.10 Competence requirements for the halal audit team in a recertification audit will remain the same as for the initial audit

7.19.11 Within the context of the audit preparation, the technical manager and halal lead auditor, to ensure that the conditions of the contract still apply, must carry out a new calculation for the procedure

7.19.12 The auditor asks the client about any changes in the finished products, raw materials, process, complementary required materials, structural and procedural organization of the client, the size of the client, the client activities and the scope

		
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7.19.13 In determining the calculation of the audit effort / audit program, he Will take into account the results of previous audits and decides to waive the audit stage 1.

7.19.14 It may be necessary to perform a Stage 1 audit in the context of a recertification audit if there have been significant changes to the products, raw materials, halal standards, location, process flowchart, processing methods, management system or in relation to the activities of the company (e.g. changes in the law).

7.19.15 The documentation Will be in the calculation/ audit plan. Recertification audits include a review of client's halal management system documentation with confirmation of the review in the audit report. If there have been significant changes, the result of the review must be documented separately and an onsite audit carried out. The results of the previous surveillance audit(s) over the course of the certificate validity Will be taken into account.

7.19.16 All requirements of the halal standard must be audited. The audit methodology is equivalent to the methodology of a Stage 2 audit.

7.19.17 certification decision is equivalent to the methodology of a Stage 2 audit. Audit performance, documentation and also issue of certificates Will be performed in accordance with the rules applying to certification audit

7.19.18 normally the certification decision should be made before the expiration date of the certificate.

7.20 Extension/ Reduction audit

7.20.1 An extension audit can be performed to extend/ reduce the scope of an existing certificate (adding/ reducing new products, new sites, new services etc.)

7.20.1 The extension / reduction audit may be carried out within the scope of a surveillance audit, re-certification audit or on an independently selected date

7.20.2 The validity period of the certificate remains unaffected. Exceptions have to be justified in writing.

7.20.3 The audit team leader / audit team will review the halal documents concerning the extended areas / new locations and audit all requirements, which are affected by the extension. The further procedure with regard to the documentation and release of the audit procedure corresponds to a certification audit

7.21 Short-Notice audits

It may be necessary for the halal certification body to conduct audits of halal certified clients at short notice to investigate complaint, or in response to changes, or as follow up on suspended client. In such cases:

		
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- ❖ GHS™ Will describe the conditions under which these short notice visits are to be conducted,
- ❖ GHS™ Will 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.

7.22 Transfer Certificate from other Halal Certification Bodies

For all transfers, the whole procedure Will apply, and client(s) needs to transfer requires applying as a new applicant.

7.23 Suspension, withdrawal, and cancellation of the halal certification

7.23.1 General

7.23.1.1 Upon suspension, withdrawal, or a reduction in the scope of a certification, GHS™ immediately notifies the client of the decision in writing and modifies all formal certification documents to indicate as such

7.23.1.2 Any revised certification documents are provided to the client. The client Will be required to make the necessary changes to their production process regarding marked product(s) as stipulated in the logo use instruction agreement

7.23.1.3 It is the responsibility of the certification/ technical Manager to assemble a plan for reinstatement, which will allow the client to reconcile their certification status and communicate this plan to the client. The client is to be involved in the planning process. Documented rationale Will be provided in the plan and Will be in accordance with the certification scheme and halal standard (i.e., GSO 2055-1, GSO 2055-4, etc. and relevant standards)

7.23.1.4 If the plan for reinstatement involves complete re-evaluation of the product(s) and/or process(s) and/or services, all applicable processes of new halal certification Will be followed

7.23.1.5 Upon reinstatement of the certification status or a change in the scope of certification, the certification procedure Will start over. During this, the client is then allowed to resume marking the halal certified products

7.24 Conditions for Halal Certificates Withdrawal

7.24.1 GHS™ Will activate withdrawal, suspend, and cancel halal certificates when:

- ❖ Results of regular surveillance/short-notice surveillance audits are not meeting the halal standard(s) (Existing of Major Non-conformities)
- ❖ Non-elimination of serious non-conformities within agreed term (max 60 days) discovered during surveillance/short-notice surveillance audit
- ❖ Non-allowance of surveillance audit performance within the term according to certification agreement
- ❖ Non-allowance of short-notice surveillance audit performance

		
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- ❖ breaking of information duty – in communication of changes, which essentially halal status of products such as changing raw materials, packaging materials, product process etc. without prior approval from GHSTM
- ❖ Misuse or violation to GHSTM Certificate or halal mark/logo
- ❖ Expiry or cancelling of the halal standard the client certified against or expiry of transitional period of the updated halal standards (new releases)
- ❖ Failure to comply with any term or condition of halal certification contract
- ❖ Non-performance of any obligation against halal certification body – not even within 30 days after the fulfilling term
- ❖ If some aspects within the scope of the certification do not fulfil the halal standard's requirements to be certified on a permanent basis, the scope must be limited by removing these aspects.
- ❖ A violation of any clause of certification criteria
- ❖ reveal that the client uses a non-disclosed/ haram raw materials or process (such as stunning)
- ❖ providing inaccurate or fake or forger or false information about the company, raw materials, processing steps etc.
- ❖ Using of materials or processes that have been forbidden after the date of certification
- ❖ manufacturing/servicing site temporarily or permanently close or moving it to another location or changing its trade name whether for the company itself or the products/services
- ❖ It has been proven that the client uses a contaminated raw material or has been liberated reports for food safety violations by the regulatory authorities
- ❖ the client has been implicated in immoral or inhumane acts or violates code of ethics

7.24.2 Actions may include:

- ❖ Suspending Halal Certificates
- ❖ Increased surveillance intervals.
- ❖ Issue a recall or public notice regarding the affected products.
- ❖ Administrative hearing.
- ❖ Reduce the scope of certification.
- ❖ Suspend certification.
- ❖ As a last resort, withdrawal of the certification.

7.25 Suspending Halal Certificate

7.25.1 General

- ❖ The technical/ certification manager upon suspending decision made by GHSTM Decision committee will inform the client about the suspension decision

		
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- ❖
- ❖ Technical Manager specifies the requirements for Certificate renovation achievement. This decision is delivered to client and this information is published on GHS™ web page
- ❖
- ❖ certified client has no right to use halal mark/logo and certificate nor to refer to halal certification during Certificate suspending as per certificate and logo use agreement

- 7.25.2 Maximum term for Halal certificate suspending is 60 days. If the reason for halal certificate suspending continues also after the expiration of mentioned term, GHS™ is obligatory to withdraw the certificate definitely
- 7.25.3
- 7.25.4 If the action includes reduction in the scope, suspension, or withdrawal of certification, the Decision Committee Will provide their approval before the action is carried out
- 7.25.5
- 7.25.6 HCDC through technical/certification manager Will notify the client with the suspension decision in writing using Certificate Suspension/ Withdrawal Notice
- 7.25.7
- 7.25.8 Upon taking the suspension decision, the status of halal certificate on GHS™ web page Will be changed from ACTIVE to SUSPENDED with noting the reasons
- 7.25.9 In the event of appeals or client's complaints; Complaints and Appeals procedure applies [SOP-11 Complaints and Appeals]

7.26 Renovation of suspended halal certificate

- 7.26.1 If requirements specified in Decision on halal certificate suspending were fulfilled within appointed time, GHS™ HCDC Will issue an internal memo titled "Decision on Certificate renovation, This decision is delivered to client in writing
- 7.26.2 If the non-conformance is a change in which the client would like to be approved in the certification, GHS™ Will follow the procedure for change requests
- 7.26.3 Upon taking the suspension decision, the status of halal certificate on GHS™ web page Will be changed from SUSPENDED to ACTIVE.

7.27 Withdrawal Halal Certificate

7.27.1 Voluntary Withdrawal

- ❖ Clients has the right to withdrawal at any time, in this case the client must inform GHS™ of their withdrawal from the halal certification services.
- ❖ Apply certificate and logo agreement's terms and conditions
- ❖ Return original issued certificates
- ❖ The financial obligations on client as per halal certification contract Will remain active and Will not relieved or cancelled or negotiated.
- ❖ Halal certificate on GHS™ web page Will be changed "Voluntary Withdrawal".

		
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7.27.2 Decisional Withdrawal

- ❖ Following the confirmed determinations made by GHS™ Decision Committee, the technical manager Will issue the "Decision on Certificate withdrawal"
- ❖ The decision Will deliver to client in written using Certificate Suspension/ Withdrawal
- ❖ Apply certificate and logo agreement's terms and conditions
- ❖ Return original issued certificates
- ❖ he financial obligations on client as per halal certification contract Will remain active and Will not relieved or cancelled or negotiated.
- ❖ Halal certificate on GHS™ web page Will be changed "Withdrawal".
- ❖ when the client does not respond to withdrawal decision within a period of 15 business days and/or the client failed to correct the reason(s) of withdrawal during the agreed period and failed to comply with the requirements of the halal standard, the decision will be made to cancel the certificate.
- ❖ the client upon receiving the cancellation decision will be not entitled to request certificate renovation or reactivation.
- ❖ the client has the right to re-apply for halal certification as a new client.

7.28 Records on certified clients :

Records on certified clients Will include the following:

- a) application information and initial, surveillance and recertification audit reports;
- b) certification agreement;
- c) justification of the methodology used for sampling of sites, as appropriate;
- d) justification for auditor time determination
- 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;
- k) audit programmes.