**Details from the CAB:**

|  |  |
| --- | --- |
| Name and address: |  |
| Authorized Representative: |  |
| Applicant ENAS ID: |  |
| Date(s) of assessment: |  |

**Location of the CAB:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| CAB with several locations: | | | Yes | | No |
| Assessed locations: | | | | | |
| (Name)/Address: |  | | |  | |
| (Name)/Address: |  | | |  | |
| (Name)/Address: |  | | |  | |
| **Details of the assessment team:** | | | | | |
| Lead Assessor: | |  | | | |
| Quality Assessor(s): | |  | | | |
| Technical assessor(s)/expert(s): | |  | | | |
| Observers or others: | | **-** | | | |

**Conformity Assessment Body Instructions:**

* The first and the second column refers to the related standard text of UAE.S 2055:2016. The notes are not requirements.
* This checklist must be completed and submitted as part of the application for accreditation in order to help both the Halal Certification Body (HCB) and assessor(s) prepare for the assessment.
* Complete the document reference identifiers in the checklist's third column for all requirements. The appropriate “reference” must identify the document (quality manual, HCB manual, SOPs, etc) and include an indication to the appropriate portion(s) of the relevant document (page number, section number, etc.) The quality system documentation and supporting records must be available for the assessor's review.

**ENAS Assessor Instructions:**

* Review the Halal Certification Body (HCB) documented management system to verify compliance with the applicable UAE.S 2055:2016 documentation requirements. Assess to verify that the documented management system is indeed implemented as described.
* Place a tick mark in the (C: Compliant / NC: Not Compliant / NA: Not Applicable) space for each checklist item. Please note that for all N/A indications, you must document the reason why this requirement is N/A in the comments section.
* List the Non-conformities in the table in Annex 1.

| **Clause** | **Requirement** | **- Implementation -**  **Documents/Records references** | **Reserved for ENAS Assessors ONLY** | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **C** | **NC** | **NA** | **Comments** |
| **4** | **General Principles** | | | | | |
| 4.1 | Principles in Clause 4 of ISO/IEC 17011:2004 and Annex A of ISO/IEC 17065:2012 |  |  |  |  |  |
| 4.2 | Responsibility and integrity  The Halal certification body (HCB) and its employees shall adhere to the basic principles ofHalal Islamic rules. Utmost respect and ‘Adherence’ shall be followed. |  |  |  |  |  |
| **5** | **General Requirements** | | | | | |
| 5.1 | 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 in addition to that;  The halal certification body shall ensure the proper supply of halal products/services to Muslims and shall take appropriate steps that ensure Islamic responsibilities are fulfilled in all  the activities. |  |  |  |  |  |
| 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 17021:2015 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 perform all steps 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 tandards or parts thereof and any other requirements such as sampling, testing and inspection requirements according to 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 Committee must include at least one Halal Islamic affairs expert. The Committee must actively review work perferomance of Halal Certifciation body in accordance with the requirements of Halal in Islamic law; check integrity of issuance of Halal Certificate and  determine the procedures, systems, methods of work and Halal body policies. |  |  |  |  |  |
| 6.3 | **Halal Islamic Affairs Expert Committee** | | | | | |
| 6.3.1 | To ensure that the basic principles of Halal Islamic rules apply optimally, a committee include at least three Halal Islamic affairs expert should be formed legitimacy to provide advice and guidance and decisions concerning sharia issues, the committee shall meet  periodically to review and evaluate the certificates that have been issued and to ensure commitment the halal requirements in Islamic sharia and take decisions unanimously , in the case of non-agreements with any of the decisions it is done by committee they must inform a Committee for safeguarding 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 the personnel involved in technical auditing, halal audit requirements and decision to grant a certificate are Muslim technical specialists, (a non-Muslim technical expert in specific field and quality management systems auditors can be used), It is preferred that all staff involved in certification activities are Muslims. |  |  |  |  |  |
| 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 standards 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, monitor personnel work and be  responsible for the efficiency of their performance. By maintaining comprehensive records to monitor personnel competence, whether they are essential employees, employed on contract basis or coming from 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 related to  confidentiality and independence from commercial and other interest(s).  b) Declare any previous and/or present activities with associations whether belonging to them or they were working for them as designers, producers, suppliers of Halal products or Halal certificate providers 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 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 havedemonstrated 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 to grant a certificate are educated and trained on Halal certification procedures, and have relevant experience in audits as required for an auditor of the given category (see Annex A) according to ISO 19011.  The team making the certification decision shall not be less than 3, at least 2 of which are Islamic affairs experts. 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) Standards’ requirements for Halal products;  b) Islamic rule requirements 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) Evaluating and reviewing audit report for accuracy and completeness;  j) Evaluating and reviewing effectiveness of corrective actions;  k) The certification process;  l) Good understanding of the fundamental rules and conditions related to Halal, particularly animal slaughtering according to Islamic rules and the requirements of relevant Halal 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 certificate related Technical Standards and should have studied other relevant regulations and Technical  Standards. |  |  |  |  |  |
| 7.2.4.2 | **Education**  The Halal certification body shall ensure that the technical auditors have the adequate knowledge equivalent 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 of relevant sectors,  c) Approved Halal standards and Technical regulations. |  |  |  |  |  |
| 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 Halal standard. |  |  |  |  |  |
| 7.2.4.5 | **Work experiences**  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) premises under the leadership of a qualified auditor.  NOTE: Audit days include working days as per ISO 9001 in the industry or other product  safety management system audits. |  |  |  |  |  |
| 7.2.4.7 | **Competencies** | | | | | |
| 7.2.4.7.1 | The competencies 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 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,   * Plan and organize the work effectively, * Conduct the audit within the agreed time schedule, * Prioritize and focus on matters of significance, * Collect information through effective interviewing, listening, observing and reviewing documents, * Keep records and data, * Understand the appropriateness and consequences of using sampling techniques for auditing, * Verify the accuracy of collected information, * Confirm the sufficiency and appropriateness of audit evidence to support audit findings and conclusions, * Assess those factors that can affect the reliability of the audit findings and conclusions, * Use work documents to record audit activities, * Prepare audit reports, * Maintain the confidentiality and security of information, and * Communicate effectively, either through personal linguistic skills or through an interpreter.   b) Product/service certification and/or management system and other reference 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 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 equivalent to a diploma or Bachelor, in the same field and knowledge of the procedures that are audited. |  |  |  |  |  |
| 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 halal certification activities. |  |  |  |  |  |
| 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 expert’s/Halal Islamic affairs experts**  All the requirements given in Clause 7.3 of ISO/IEC 17021:2015 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 17021:2015 shall apply. |  |  |  |  |  |
| 7.5 | **Outsourcing**  All the requirements given in Clause 7.5 of ISO/IEC 17021:2015 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; UAE.S STANDARD UAE.S 2055-2 :2016 9  b) ensure that the outsourced body or person is competent and complies with the applicable provisions of this standard 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 17021:2015 shall apply.  The certification documents shall identify in details the type of certified activity or product, referring to scope (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 certificate Template**  All the requirements given in Clause 7.7 of ISO/IEC 17065:2012 shall apply. |  |  |  |  |  |
| 8.3 | **Directory of certified clients and their certified products**  All the requirements given in Clause 8.3 of ISO/IEC 17021:2015 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 17021:2015 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 Halal certificates and Halal marks permitted by the Halal certification body may be obtained from related standard. |  |  |  |  |  |
| 8.4.3 | Incorrect references of the Halal certification system or misleading use of licences, Halal certificates or marks found in dvertisements, 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 approved standard. |  |  |  |  |  |
| 8.4.6 | The Halal mark may be be printed clearly on all certified Halal products and labelled on each box/package. |  |  |  |  |  |
| 8.4.7 | Companies may 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 may be exhibited at the entrance of the certified establishment. |  |  |  |  |  |
| 8.4.9 | The certificate holder shall not copy the granted Halal certificate in a way that would hinder its legibility, nor shall tamper the original copies or photocopies of the Halal certificate. He shall not translate the certificate and/or test reports to other languages without prior review and consent from the Halal certificaton body. |  |  |  |  |  |
| 8.5 | **Confidentiality**  All the requirements given in Clause 8.5 of ISO/IEC 17021:2015 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 17021:2015 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 reports 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 ecertification 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 halal standard  and related requirements. |  |  |  |  |  |
| 9.1.4 | All the requirements given in Clause 9.1.2 to 9.1.3 of ISO/IEC 17021:2015 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 Halal standards;  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 multi-site establishment. |  |  |  |  |  |
| 9.1.6 | Each site of a multi-site establishment needs 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 17021:2015 and Clause 7.2 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 17021:2015 and Clause 7.5 and 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 9.1.1 of ISO/IEC 17021:2015 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 9.1.2 of ISO/IEC 17021:2015 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 9.3.1 of ISO/IEC 17021:2015 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 readiness 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 requires revision and/or knowledge that needs 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 17021:2015 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 9.3.1.2 of ISO/IEC 17021:2015 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 9.3.1.3 of ISO/IEC 17021:2015 shall apply. |  |  |  |  |  |
| 9.2.4 | Initial Halal certification audit conclusions  All requirements given in Clause 9.3.1.4 of ISO/IEC 17021:2015 shall apply. |  |  |  |  |  |
| 9.2.5 | Information for granting initial Halal certification  All requirements given in Clause 8.2 of ISO/IEC 17021:2015 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 a laboratory accredited in accordance with ISO/IEC 17025 by a competent Halal authority in the country. |  |  |  |  |  |
| 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 analysis shall be accredited in accordance with ISO/IEC 17025 by a competent Halal authority in the country. |  |  |  |  |  |
| 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 9.6.2 of ISO/IEC 17021:2015 and Clause 7.9 and 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 9.6.3 of ISO/IEC 17021:2015 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 9.6.4 of ISO/IEC 17021:2015 shall apply. |  |  |  |  |  |
| 9.6 | **Suspending, withdrawing or reducing the scope of Halal certification**  All requirements given in Clause 9.6.5 of ISO/IEC 17021:2015 and Clause 7.11 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 17021:2015, Clause 7.13 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 them must be 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 17021:2015 Clause 7.8 of ISO/IEC 17065:2012. |  |  |  |  |  |
| 10 | **Management System Requirements For Certification Bodies**  All requirements given in Clause 10.3.2 to 10.3.4 of ISO/IEC 17021:2015 shall apply. |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Summary on the Results of document/record review:** | | | | |
|  | | | | |
| **Refer to Annex 1 for list of nonconformities** | | | | |
| **Total number of nonconformitieS:** |  | **Total number of observations:** | |  |
| **Maximum time allowed for submitting satisfactory corrective actions:** | | **Four Weeks only** | | |
| **Recommendation to Proceed for:**  **On-site Assessment:**  **Pre-assessment**  Remark (if any): | | | | |
| **Lead Assessor Name and signature:** | | | **Date:** | |

**Annex 1: List of Non conformities**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NC #** | **NC Statement** | **HCB Response & Corrective Action** | **Lead Assessor Evaluation of CA submitted** | | **NC Status**  **(closed, Pending)** |
|  |  |  |  | |  |
|  |  |  |  | |  |
|  |  |  |  | |  |
|  |  |  |  | |  |
|  |  |  |  | |  |
|  |  |  |  | |  |
|  |  |  |  | |  |
|  |  |  |  | |  |
| **Lead Assessor Name and signature:** | | | | **Date:** | |