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Procedure for Conducting the Halal Certification Audit



Prepared by: _____
DMR



Approved by: _____
Manager Commercial

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1. Purpose

The purpose of this procedure is to establish, implement and maintain the written guidelines which will be followed for conducting the Halal Certification audit.

2. Scope

This procedure applies to the PHDA Halal certification activities eg. Audit planning, selection of audit team, audit conducting and decision making process.


3. Responsibilities

- 3.1 The coordinator/DMR is responsible to register new client and get in touch with clients for receiving the application form.
- 3.2 Commercial department is responsible for initial screening of application form, generating commercial invoice and prepared audit plan.
- 3.3 Manager Commercial will carry out application / contract review, DMR calculates the man-days and code allocation is done and submitted to Manager Commercial for further evaluation and approval.
 - a. Relevant code expert will also carry out the application and products screening.
- 3.4 Manager Admin & Accounts shall sign the commercial invoice
- 3.5 Agency registrar & Manager Admin & Accounts shall sign the contract on the behalf of Agency.
- 3.6 The Lead Auditor, technical expert & Shariah Advisor will carry out the audit from Islamic perspective and as per PS: Halal Standards.
- 3.7 The Lead Auditor, Sharia Advisor & Technical Expert are not authorized to send Non-conformities & Audit report directly to the clients to maintain the impartiality & confidentiality. They are bound to send the Non-conformities & Audit report to Agency office.
- 3.8 Certification Department is responsible to share the Non-conformities and Audit reports with Clients.
- 3.9 After reviewing of audit package by technical department, Halal certification Board shall also evaluate the audit package and give their recommendation for certification issuance.
- 3.10 DMR/MR is responsible to manage all documentation related to certification activities.

4. Procedure

A proposal contained details of the certification services to be provided, shall be agreed and duly signed by the client organization. Outlined below are the key stages of certification process.

4.1 Document Review

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Commercial department will carry out client document review, which is designed to ensure that client's documented Halal management system have addressed the key areas of the specifications for which they seek certification. Sharia Advisor shall also evaluate the product ingredient for whom they seek certification.

4.2 Audit Planning

4.2.1 Commercial department will finalize the Audit Plan and communicate to the client in advance after approval. The client organization will be informed and agreed upon the members of audit team, audit date & time to conduct an effective audit of the client's product / service and/or HFMS. Following aspects will determine the audit time.

- a) Audit scope & criteria (Halal Food Management System (PS 3733, Statutory & Regulatory requirements, Company Own SOP's);
- b) Size and complexity of the organization & process;
- c) Technological and regulatory context;
- d) Outsourcing of any activity included in the scope of the production or process or HFMS;
- e) Results of any prior audits;
- f) Number of sites and multi-site considerations.

Related document:

- Audit Plan (PHDA/DOC-11, 11A, 11B)

4.3 Life Cycle of Halal Certification Audit



4.3.1 The life cycle of Halal certification audit is include a two-stage initial certification audit, surveillance audit in the first and second year, and a recertification audit in the third year prior to expiration of certification.

4.3.2 The three-year certification cycle begins with the certification or recertification decision.

4.3.3 The Halal Certificate is valid for one years and renewed by every year for the three cycle period and may be suspended or cancelled at any time when the certified organization is found to contravene the PS Halal Standard and related requirements.

4.3.4 The determination of the audit plan and any subsequent adjustments will be based on the size of organization, scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits. Where the organization is taking into account certification or other audits already granted to the client, it shall collect sufficient, verifiable information to justify and record any adjustments to the audit program.

4.4 Selection of Audit Team

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4.4.1 Based on document review, DMR/ MR will undertake the code allocation and shall recommend the audit team including the audit lead auditor considering the competence needed to achieve objectives of the audit. The tasks of the audit team shall be defined and made known to the client organization, and shall require the audit team:-

- a) to examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system,
- b) to determine that these meet all the requirements relevant to the intended scope of certification,
- c) to determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system, and
- d) to communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets (consistent with the expectations in the relevant management system standard or other normative document) and the results.
- e) To section of the new audit team if client identifies the revision; Technical manager shall analysis if revision is logical like auditor misbehavior or lack of technical knowledge then audit team change otherwise shall remain the same.

4.4.2 The audit team shall be composed of at least two personnel, one of whom is a lead auditor (Food technologist or sector specialist). Industry specific technical expert may be add to support the audit process. The other member of the team will be a Sharia expert.

Related document:

- Procedure for Selecting the Audit Team Members (PHDA/DOC-27)

4.5 Stage-I Audit

4.5.1 The stage 1 audit will be performed;

- a) to audit the client's management system documentation;
- b) to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;
- c) to review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
- d) to collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory

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aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);

- e) to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;
- f) to provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;
- g) to evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

4.5.2 Stage 1 audit findings shall be documented and communicated to the client, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audit. Audit report will be submitted within the week of audit conducted.

4.6 Stage-II Audit

4.6.1 Upon completion of the stage-1, an on-site audit (stage-2) is recommended.



4.6.2 The Stage-II will be conducted within 90 days from the last date of stage-I Audit.

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

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

Related document:

- Audit Guideline for Halal Auditors (PHDA/DOC-31)

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4.6.4 Initial certification audit conclusions

The audit team shall analyze all information and audit evidence gathered during the stage 1 and stage 2 audits and shall present an official Nonconformance Report along with Corrective Action Requests (CAR) to the applicant organization. The applicant shall respond to CAR(s) within 90 days.

Related Records:

- Nonconformance Report (PHDA/REC-17)

4.6.5 Information for granting initial certification

The information provided by the audit team for the certification decision shall include the following with a ‘Request for Certification’

- a) the audit report,
- b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client,
- c) confirmation of the information provided
- d) a recommendation whether or not to grant certification, together with any conditions or observations.

Related Records:

- Audit Report (PHDA/REC-20)

4.6.6 Decision for Certification


The Halal Certification Board (consisting one Sharia Experts, one industrial specialist & and one Sr. Food Technologist) shall give only their recommendation to Agency Chairman, to make the certification decision on the basis of an evaluation of the audit findings and conclusions and reviewing the complete audit package and any other relevant information (e.g. public information, comments on the audit report from the client). And the final decision will be taken by the Chairman PHDA. The Halal Certificate will be signed by those Sharia personnel who conducts the client audit

Related Records:

- Request for Certification (PHDA/REC-24)

4.7 Sampling

- Samples are taken as necessary for inspections and tests.

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- Sampling for certification of halal products is based on statistically proven techniques with stated confidence levels.
- Samples are sent to accredited laboratories (ISO/IEC 17025) or recognized by the halal competent authority.

4.8 Inspections and Tests

- Inspections and tests are conducted in accordance with halal product/service requirements and national/regional/international legal provisions.
- Laboratories conducting inspections/analyses must be accredited under ISO/IEC 17025 or recognized by the halal competent authority.
- When independent testing facilities are unavailable, PHDA ensures that specified controls are in place at the supplier's testing facilities.

4.9 Audit Report

- **Content:**
 - Name & logo of PHDA.
 - Name and address of the client and client's representative.
 - Type of audit (initial, surveillance, recertification, special audits, batch certification).
 - Type of certification (batch, unique product/process, serial production/manufacturing).
 - Audit standard or normative document or criteria.
 - Audit scope, including organizational/functional units audited and audit dates/times.
 - Deviations from the audit program and their reasons.
 - Identification of audit team roles (leader, members, technical experts, Islamic affairs expert, observers).
 - Audit locations (on-site, off-site, permanent/temporary sites).
 - Remote audit activities (if applicable).
 - Audit findings, objective evidence, and conclusions in accordance with audit standards.
 - Disclaimer statement regarding the sampling process of information.
 - Use of Halal certification documents and marks/symbols.
 - Confirmation of effectiveness of corrective actions for previous nonconformities.

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- Statement on the conformity and effectiveness of the Halal management system, including internal audits and management reviews.
- Conclusion on the appropriateness of the certification scope.
- Proposals for next audit (significant/critical points, concerns).
- Halal certification suggestion (granting, maintenance, renewal, scope extension/reduction, suspension/withdrawal).
- **Responsibility:** The audit team leader is responsible for the content of the audit report.

4.10 Surveillance Activities

- **Purpose:**
 - To monitor representative areas and functions covered by the scope of the management system on a regular basis.
 - To account for changes in the certified client and its management system.
- **Activities:**
 - On-site auditing of the certified client's management system.
 - Enquiries from PHDA to the certified client.
 - Reviewing certified client statements (promotional material, website).
 - Requesting documented information from the certified client.
 - Other means of monitoring client performance.
- **Surveillance Audit:**
 - Includes internal audits, management reviews, review of nonconformity actions, complaints handling, effectiveness of the management system, progress of planned activities, continuing operational control, review of changes, and use of marks.

4.11 Recertification

- **Purpose:** To confirm the continued conformity and effectiveness of the management system as a whole.
- **Activities:**
 - On-site audit addressing the effectiveness of the management system, commitment to maintain effectiveness, and effectiveness in achieving objectives.
 - Review of previous surveillance audit reports.

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- Stage 1 may be required for significant changes to the management system or organization.

- **Major Nonconformities:**

- Time limits for correction and corrective actions are defined.
- Actions must be implemented and verified before certification expiry.

- **Recertification Failure:**

- If recertification is not completed or major nonconformities are not addressed before expiry, certification is not renewed.

- **Recertification after Expiry:**

- Can be restored within 6 months if outstanding recertification activities are completed.
- Otherwise, at least a Stage 2 audit is required.

4.12 Special Audits

- **Expanding Scope:** Review of the application and determination of necessary audit activities.

- **Short-Notice Audits:**

- Conducted for investigations, responses to changes, or follow-up on suspended clients.
- Conducted with prior notice to the certified client.
- Requires careful audit team assignment.

4.13 Suspending, Withdrawing, or Reducing the Scope of Halal Certification

- **Nonconformity:**

- Appropriate action is determined based on the severity of the nonconformity.
- Actions may include:
 - Continuation of certification with specified conditions.
 - Reduction in the scope of certification.
 - Suspension of certification pending remedial action.
 - Withdrawal of certification.

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- **Suspension:** Actions needed to end suspension and restore certification are communicated to the client.
- **Termination:** Certification is terminated by client request. PHDA takes actions to ensure no indication of continued certification.
- **Scope Reduction:** PHDA takes actions to ensure the reduced scope of certification is clearly communicated.

5. Amendment Sheet

| Date | Initiated by | Page # | Section / Clause | Nature of amendment | Done by |
|------------|--------------|--------|------------------|-----------------------------------|---------|
| 29-08-2020 | | 2 | 3.3 a, 3.4 | Responsibilities | MR |
| 29-08-2020 | | 3 | 4.3.3 | Life Cycle of Halal certification | MR |
| 29-08-2020 | | 5 | 4.5.2 | Stage –I Audit | MR |
| 29-08-2020 | | 6 | 4.6.5 | Decision for Certification | MR |
| 30-09-2021 | | 2 | 3.1.3.3,3.10 | Responsibilities | DMR |
| 30-09-2021 | | 4 | 4.4.1 | Selecting the Audit Team | DMR |
| 17-10-24 | | | | Review and update as per 4992 | DMR |
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