

1. Purpose

The purpose of this procedure is to describe the methodology used to grant, maintain, renew, extend, reduce, modify, suspend/restore and cancel the certification of products according to the Halal requirements established by Islamic laws.

2. Scope

It is applicable to all certification services performed under the scope of the Management System described in item 2 of the MSG-01 Management System Manual.

3. References

- UAE.S GSO 2055-2 / GSO 2055-2 - Halal Products – Part two: General Requirements for Halal Certification Bodies,
- ISO / IEC 17065 - Conformity Assessment – Requirements for bodies certifying products, processes and services and other documents applicable to the product certification scheme,
- ISO/IEC 17021-1 - Conformity Assessment. Requirements for bodies providing audit and certification of management systems,
- IAF MD4 - Mandatory document for the use of information and communication technology (ICT) for auditing/assessment purposes,
- ISO/TS 22002-series - Technical Specification / Prerequisite Programs,
- MSG-01 - Management System Manual,
- PRC-02 - Methodology for Conducting Halal Certification Audits,
- PRC-04 - Certification Committee Operation,

4. Definitions

The definitions stated in the reference documentation in item 3 above are used.

5. Responsibilities

The responsibilities described in the Job Profiles and those stated in item 6 of this document.

6. Development

6.1 Halal Certification Application

The certification applicant must send the document RG-01-(PRC-01) "Halal Certification Application" signed by its legal representative and all the documents requested therein to The Halal Approval Global. Said application shall be deemed as duly submitted only when all applicable fields have been completed and all the specified documentation has been submitted.

The reception of this information by The Halal Approval Global does not imply the acceptance of the mentioned application.

6.2 Halal Application Review

The Operation Officer / Quality Manager / Technical Auditor is responsible for conducting both the application and the supplementary certification information reviews in order to ensure that:

- a. The information regarding the applicant, its management system and its products is sufficient to start planning the audits.

- b. The scope of the requested certification is defined, and the product category is specified according to Annex A of the standard UAE.S GSO 2055-2 / GSO 2055-2.
- c. No process, sector, product, or service which may affect the fulfillment of the Halal requirements of the final product is excluded from the scope.
- d. The Halal Approval Global is competent to carry out the requested certification activity and capable of doing so.
- e. All differences between The Halal Approval Global and the applicant, if any, have been solved.

Once this review has concluded, the Operation Officer / Quality Manager / Technical Auditor will decide if the application is accepted or rejected. In case it is not accepted, the reasons for said rejection shall be communicated to the applicant in writing.

If the application is acceptable, The Halal Approval Global will put a unique application number (HCA-MMY/XXX) that should appear "Halal Application Review", "Audit Programmer", "Certificate of Conformity" and in the start of client folder along with name of the applicant.

The review of application should be recorded in the RG-02-(PRC-01) "Halal Application Review", where the conclusion on the submitted application should be written.

6.3 Factors For Adjustments of Audit Time of Management Systems

The additional factors that shall be considered include but are not limited to:

Increase in audit time of all management systems:

- Complicated logistics involving more than one building or location where work is carried out, e.g. a separate Design Centre must be audited.
- Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently).
- Very large site for the number of personnel.
- System covers highly complex processes or relatively high number of unique activities.
- Outsourced functions or processes.
- Additional or unusual environmental aspects or regulated conditions for the sector.
- Organization with sites included in the scope in other countries than the mother site country (if legislation and language are not well known).

Decrease in audit time of management systems:

- Client is not "design responsible" or other standard elements are not covered in the scope
- Very small site for number of personnel (e.g. office complex only).
- Maturity of management system.
- Prior knowledge of the client management system (e.g. already certified to another standard by the same CAB).
- Client preparedness for certification (e.g. already certified or recognized by another 3rd party scheme)

All attributes of the client's system, processes, and products/services should be considered, and a fair adjustment made for those factors that could justify more or less audit time for an effective audit. Additive factors may be offset by subtractive factors.

6.4 Halal Certification Agreement

Once the Halal Application Review is approved and application is accepted, then the sales & marketing team or delegate will prepare the RG-03-(PRC-01) "Halal Certification Agreement" and send it to applicant for signing and stamping.

The sales & marketing team or delegate is responsible for collecting signed & stamped RG-03-(PRC-01) "Halal Certification Agreement" from applicant and invoicing according to agreed fees schedule mentioned in Halal Certification Agreement.

On behalf of THAG, CEO / MR is responsible for signing & stamping Halal Certification Agreement once client has agreed on all terms and fees schedule.

6.5 Audit Programme

Based on the review of the information detailed above, the Operation Officer or delegate is responsible for allocation of Audit Team members based on the "Qualified Auditors and Expert Record".

While allocation of audit team the following items are considered:

- a. The Audit Team shall consist of at least 2 (two) people; one of them shall be a technical auditor and the other one shall be a Halal Islamic affairs technical expert.
- b. In case of the technical auditor does not have enough experience in the audit category, the Operation Officer or delegate will add a technical expert in this category from the document RG-07-(PRQ-06) "Qualified Auditors and Experts Record." to the audit team.
- c. To determine the number of Audit Team members, the requested scope, sites, location and total audit time, which is defined according to The Annex B of the current UAE.S GSO 2055-2 / GSO 2055-2 should be recorded in RG-02- (PRC-01) "Halal Application Review".
- d. The Audit Team members shall not have any incompatibilities, which could cast doubts on the impartiality of the certification process.

The selected team must be recorded in the document RG-05-(PRC-01) "Audit Programme". The client should be informed of the proposed Audit Team (full name, position, organization of which they are part). The client can request their CVs, which will be sent only with the prior auditors' authorization. If the client objects to any Audit Team member, said objections will be duly found in writing and the Quality Manager shall make a decision on it.

Then the Lead / Technical Auditor is responsible to complete the "RG-05-(PRC-01)-v1 Audit Programme". 9. The Audit Programme for the full certification cycle will be developed to clearly identify the audit activities required to demonstrate that the applicant / client's Halal management system fulfils the requirements for certification to the applicable Halal Standard(s). The Audit Programme for the certification cycle will cover the complete Halal management system requirements.

The Audit Programme for the initial certification will include a two-stage initial audit (Stage-1 & Stage-2), surveillance audits in the first and second years following the Halal certification decision, and a recertification audit in the third year prior to expiration of Halal certification. The first three-year certification cycle begins with the Halal certification decision. Subsequent cycles begin with the Halla recertification decision.

The determination of the Audit Programme and any subsequent adjustments shall consider the size of the applicant / client, the scope and complexity of its Halal management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits.

6.6 Initial Halal Certification Audit

6.6.1 Stage 1 Audit

The general objective of the Stage 1 Audit is to obtain a global vision to plan the Stage 2 Audit effectively. To such end, the Audit Team must understand the product safety management system in the context of the food safety hazard identification, its analysis, HACCP (Hazard Analysis and Critical Control Point) plan and PRPs (Pre-Requirements Programs), policies and objectives, and the client's state of readiness for the audit by reviewing the extent to which:

- a. The organization has identified the PRPs appropriate to the scope (e.g. legal and statutory requirements).
- b. The product safety management system includes adequate processes and methods for hazards identification and assessment, and the subsequent selection and categorization of the related operational controls.
- c. Safety legislation is in place for the relevant sectors.
- d. The product safety management system is effectively implemented in order to achieve the safety policies of the organization.
- e. The level of the product safety management system implementation confirms that the client is prepared for 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 available internally in the organization and for relevant suppliers, customers and interested parties.
- h. The outsourced controls or services have the documentation related to the fulfillment of the Halal requirements and/or the product safety management system in order to determine if they are adequate and ensure the fulfillment of the Halal requirements.

For the product categories A and B, according to the standards UAE.S.GSO 2055-2 in force, it is not necessary that Stage 1 audit 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 and F, it is mandatory to conduct the Stage 1 Audit at the client's premises.

The Quality Officer is responsible for establishing the duration of the Stage 1 Audit according to Annex B of the current UAE.S GSO 2055-2 standard. Once the date of the Stage 1 Audit has been agreed on with the client, the technical auditor shall be responsible for planning and conducting the audit.

Conclusions regarding the fulfillment of Stage 1 objectives and the state of readiness for Stage 2 shall be communicated to the client. If it is not possible to continue with stage 2, the client shall send a description detailing how it will handle the non-conformities (correction, cause analysis and corrective action) and objective evidence which proves their resolution. The Quality Manager will evaluate if an additional on-site visit is appropriate.

When the interval between Stage 1 and Stage 2 Audits is determined, the client's needs to solve the problems identified at Stage 1 are considered. However, said interval shall never exceed 6 calendar months as from the Stage 1 Audit finish date. If a said situation occurs, the Stage 1 Audit shall be repeated in full. If there are significant changes that may have an impact on the management system in the period between Stages 1 and Stage 2 audits, the Quality Manager will decide if it is necessary to repeat the whole Stage 1 Audit or a part of it.

6.6.2 Stage 2 Audit

The objective of Stage 2 is to assess the implementation of the client's management system and its effectiveness. Stage 2 is conducted on the client's premises. At least the following items are verified:

- a. information and evidence on the conformity of all the Management System requirements
- b. monitoring, measuring, reporting and review in connection with the objectives and goals of the Management System
- c. the capacity of the client's management system and its performance in connection with the applicable legal, statutory and contractual requirements
- d. the operational control of the processes of the client (including any element for measuring)

- e. internal audits and management reviews
- f. management responsibility in connection with the policies

During application review the duration of the Stage 2 Audit is allocated according to Annex B of the current UAE.S GSO 2055-2 standard. Once the date of the Stage 2 Audit has been agreed on with the client, the technical auditor shall be responsible for planning and conducting the audit.

Conclusions regarding the fulfillment of Stage 2 objectives shall be communicated to the client. In the case of nonconformities, the client shall send a description detailing how it will handle those nonconformities (correction, cause analysis and corrective action) and objective evidence which proves their resolution. The Audit Team will review it and, together with the Quality Manager, will decide if an additional on-site visit is appropriate in order to verify their effective resolution.

The Quality Manager may not summon the Certification Committee until all nonconformities are solved. Any certification requirement audited at Stage 1 and confirmed as adequately implemented may not be audited again at Stage 2 provided its current fulfillment is confirmed. In such a case, the said situation must be stated in the Stage 2 Audit report and some reference to what was audited at Stage 1 must be included.

6.7 Conducting Audits

Audits are conducted in accordance with the document PRC-02 "Methodology for Conducting Halal Certification Audits" based on the guidelines established in the standard ISO 19011 in force.

6.8 Information for Granting Initial Halal Certification

The certification review and recommendation for final decision on the certification is made by the Certification Committee, whose operation is described in the document PRC-04 "Certification Committee Operation" and duly informed to the client.

The CEO / MR is authorized for final decision on Halal Certification based on the recommendation by Certification Committee and clearance of all pending payment by the applicant / client.

In the case it is decided to grant the certification, the document RG-01-(PRC-05) "Conformity Certificate" shall be given to the client and Conformity certificate will be signed by CEO/MR. The document RG-04-(PRC-01) "Certified Products List" will be updated".

6.9 Surveillance Activities

Surveillance audits are conducted to ensure continued compliance of Halal products/services under the scope of the certification with the requirements under which said certification was granted.

The certification cycle is valid for 3 (three) years as from the date on which the Certification Committee granted said certification. Scheduled surveillance audits are conducted annually, one in the first year and another one in the second year. Stage 1 is not required for this type of activity. Recertification takes place in the third year.

These surveillance audits are conducted in situ and include, at least, the verification of the following items:

- a. verification of the fulfillment of Halal product requirements
- b. internal audits
- c. management review

- d. review of the actions taken regarding the audit findings identified in the previous audit
- e. complaint handling
- f. management system effectiveness in connection with achieving the objectives and expected results of the management system
- g. actions regarding continual improvement
- h. continuity in operational control
- i. review of any significant change
- j. the use of marks and/or any other reference to the certification

6.10 Recertification

In contrast with surveillance audits, all the requirements of the management system under which the initial certification was granted must be verified in the recertification audits.

Clients must submit the document RG-01-(PRC-01) "Halal Certification Application" in case of renewal at least 6 months prior to the expiry date of the current certificate. The Halal Approval Global personnel shall previously give notice to the clients that are in such a situation.

They are on-site audits, in which provisions similar to the ones indicated in item 6.6.2 above shall be followed, as appropriate. In contrast with the initial certification audits, the Audit Team shall verify the fulfillment of all the contractual requirements between the client and The Halal Approval Global, including the use of marks and/or any other reference to the certification.

If any significant changes were made to the client's management system requirements, the Quality Manager might decide whether to include a Stage 1 Audit at this stage or not, according to item 6.6.1 above. The Operation Officer / Quality Manager / Technical Auditor is responsible for establishing the duration of the recertification audits, according to the provisions stated in the Annex B of the current UAE.S GSO 2055-2 standard.

The new certification cycle will expire 3 years upon the previous cycle expiry date. The Certification Committee shall make a decision prior to this latter date. Under no circumstance may the certification cycle be extended. The Quality Manager may not summon the Certification Committee until all nonconformities are solved.

Once the certification has expired, the client may not use conformity marks nor refer to its certification condition, as described in the document RG-03-(PRC-01) "Halal Certification Agreement."

6.11 Special Audits

6.10.1 Scope Expansion Audits

The clients that require an expansion of the certified scope shall send the document RG-01-(PRC-01) "Halal Certification Application" in case of extension, together with all and any necessary documentation, as the case may be. The application review as per 6.2 will be performed to determine whether it is necessary to coordinate an on-site audit or not, which may be scheduled with a follow-up audit. This type of audits does not require Stage 1.

6.10.2 Unscheduled Audits

In addition to surveillance audits, it may be necessary to conduct unscheduled audits to certified clients (in the form of short notice visits or unannounced visits) in order to investigate complaints, in response to changes or as suspension monitoring.

The specific terms under which these activities are carried out are described in the document RG-03-(PRC-01) "Halal Certification Agreement."

6.10.3 Remote Audit

In case of extraordinary events (e.g. pandemic), The Halal Approval Global (applicable in all branches) could make a remote audit, to verify the effective implementation of Halal management system through using online video or audio channels/resources.

6.12 Suspending, withdrawing or reducing the scope of Halal certification

Suspending the certification implies the temporary invalidity of the certification granted. The certification may be suspended when:

- The client's management system and/or the certified products persistently or seriously fail to fulfill the certification requirements.
- The client fails to comply with any of the terms included in the document RG-03-(PRC-01) "Halal Certification Agreement."
- The certified client voluntarily requests a suspension.
- When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, the THAG has considered and decided to take the appropriate action by applicant / client.
- The certified client/applicant does not allow surveillance or recertification audits to be conducted at the required frequencies.

The Certification Committee shall decide on suspensions and maximum time frames granted for their resolution, which may not exceed 6 months upon the suspension decision.

Based on the kind of issues that have resulted in the suspension, the Quality Manager shall decide what type of actions will be implemented, which may include the request for documentation and/or the coordination of unscheduled audits. If the resolution of the issue causing the suspension has not been verified after the suspension period expires, the Certification Committee will withdrawal or reduce the scope.

Reducing the scope of the certification implies the exclusion of the parts in which the certified client has persistently or seriously failed to fulfill the certification requirements. In any case, the Certification Committee shall decide on the scope reduction, taking into account that this does not affect the conditions established in the requirements under which the certification was granted.

The certification withdrawal constitutes the final exclusion of some or of all the certified scope. It may be decided by the Certification Committee if the contractual conditions under which the certification was granted are not fulfilled or if suspensions have exceeded the maximum time frame granted for their resolution.

The client may also request the partial or total withdrawing of the scope. In such case, the client shall request it in writing and the Certification Committee shall be informed of such request. In this latter case, the withdrawal date shall be established by the client that requested it.

7. Annexes

Annex 1: General Flowchart of Halal Certification

8. Records

- RG-01-(PRC-01) "Halal Certification Application"
- RG-02-(PRC-01) "Halal Certification Agreement"
- RG-03-(PRC-01) "Halal Application Review"
- RG-04-(PRC-01) "List of Certified Clients"
- RG-05-(PRC-01) "Audit Programme"



- RG-01-(PRC-05) "Conformity Certificate"
- RG-07-(PRQ-06) "Qualified Auditors and Experts Record"