

THE ORGANISATION OF THE ISLAMIC CONFERENCE (OIC)

**GUIDELINES FOR BODIES PROVIDING
HALAL CERTIFICATION**

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FOREWORD

Halal certification for products services or management systems is carried out to ascertain the halal status of the products, and hence, they can provide a spiritual tranquillity for Muslim consumers. On the producers' side, halal certification can prevent any confusions and disputes on the halal status of the commodity they produce.

INTRODUCTION

Certification of a halal product or service or management system of an organization is one means of providing assurance that the product or service in question complies with specified standards and other normative documents and the organization has implemented a system for the management of the relevant aspects of its activities, in line with its policy in conformity with Islamic rules.

This guidelines specify requirements for halal certification bodies. Observance of these requirements is intended to ensure that halal certification bodies operate halal product or service or management system certification in a competent, consistent and impartial manner, thereby facilitating the recognition of such bodies and the acceptance of their certifications on a national and international or OIC basis. This guidelines serve as a foundation for facilitating the recognition of halal certification in the interests of international trade.

This guidelines draw on ISO/IEC Guide 65, ISO/IEC 17021:2006 and ISO/TS 22003:2007 and aims at defining requirements for halal certification bodies, rules for the execution of halal certification activities at national and international level, and the rules and procedures for the use of certificates and mark granted as a result of halal certification.

For the purposes of this guidelines, the terms "Management system standard" or "Requirements" found in the relevant clauses of ISO/IEC 17021:2006 and herein referred to shall be taken to mean "OIC halal standard or halal requirements" and/or "Management system standard" or "Requirements".

GUIDELINES FOR BODIES PROVIDING HALAL CERTIFICATION

1 SCOPE

1.1 This guidelines specify the rules that the halal certification bodies shall satisfy and the requirements for the execution of halal certification activities.

1.2 The halal certification system used by the halal certification body may include one or more of the following, which could be coupled with production surveillance or assessment and surveillance of the supplier's management system like food safety management system (FSMS) and/or both, as described in ISO/IEC Guide 53:

- a) type testing or examination;
- b) testing or inspection of samples taken from the market or from supplier's stock or from a combination of both;
- c) testing or inspection of every product or of a particular product, whether new or already in use;
- d) batch testing or inspection; and
- e) design appraisal.

This guidelines contain principles and requirements for the competence, consistency and impartiality of the audit and certification of halal product/service and/or management systems for bodies providing these activities.

Certification of halal product/service and/or management systems (named in this guidelines "halal certification") is a third-party conformity assessment activity. Bodies performing this activity are therefore third-party conformity assessment bodies (named in this guidelines "halal certification body/bodies").

NOTE 1 - A halal certification body can be non-governmental or governmental.

NOTE 2 - This OIC Guidelines can be used as a criteria document for accreditation or peer assessment or other audit processes.

2 NORMATIVE REFERENCES

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

- OIC: 20XX, OIC general guidelines on halal food,
- ISO/IEC Guide 23, Methods of indicating conformity with standards for third-party certification systems,
- ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories,
- ISO/IEC 17020, General criteria for the operation of various types of bodies performing inspection,
- ISO/IEC Guide 53, Conformity assessment - Guidance on the use of an organization's quality management system in product certification,
- ISO/IEC 17021, Conformity assessment - Requirements for bodies providing audit and certification of management systems”,
- ISO 9000, Quality management systems - Fundamentals and vocabulary,
- ISO 19011, Guidelines for quality and/or environmental management systems auditing,
- ISO 22000, Food safety management systems - Requirements for any organization in the food chain,
- ISO/IEC 17000, Conformity assessment - Vocabulary and general principles,
- ISO/IEC Guide 65, General requirements for bodies operating product certification systems,
- ISO/TS 22003, Food safety management systems - Requirements for bodies providing audit and certification of food safety management systems.

3 TERMS AND DEFINITIONS

For the purposes of this document, the terms and definitions given in ISO 9000:2005, ISO/IEC 17000, ISO/IEC 17021, ISO 22000, ISO/TS 22003 and the following apply.

NOTE - In this OIC guidelines, the terms “product” and “service” are used separately, which is not in accordance with the definition of product given in ISO/IEC 17000.

3.1 Halal certification

Activities conducted by halal certification bodies to certify halal products/services.

3.2 Halal competent authority

An entity supervising matters relating to halal issues on the basis of Islamic values of OIC related standards designated by the member countries.

3.3 Contract

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

3.4 Technical auditor

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

3.5 Technical expert

A person technically competent in a particular processing technology or field, formally appointed by the halal certification body.

3.6 Islamic affairs expert

A Muslim with profound and comprehensive knowledge of Islamic rules in the subject of halal and non-halal whose competency has been approved and authorised by the relevant organization (the halal competent authority) and appointed by the halal certification body.

3.7 Halal mark/label/logo

OIC approved mark/label/logo, the right of use of which has been granted by the halal certification body for the halal product/service or management system in question.

3.8 Suspension

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

3.9 Applicant

Private person or legal entity that applies for certification of halal product/service.

3.10 Certificate owner/certified client/supplier

Private person or legal entity that supplies halal product/service or management system certified according to halal requirements.

4 PRINCIPLES

4.1 The principles given in Clause 4 of ISO/IEC 17021:2006 are the basis for the subsequent specific performance and descriptive requirements in this guidelines. These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations. Principles are not requirements.

4.2 Islamic sensitivity

The halal certification body (HCB) shall adhere to the basic principles of Islam or Islamic rules. 'Adherence' and 'approaching the Islamic sensitivities and concerns with utmost respect' imposes upon the party different emphasis and compulsion for compliance.

4.3 Commitment to Islamic values

The halal certification body and all of its employees shall be committed to all Islamic values especially to those related to halal.

5 GENERAL REQUIREMENTS

5.1 General

All the requirements given in Clause 5.1 of ISO/IEC 17021:2006 apply.

5.1.1 Legal and Islamic responsibility

All the requirements given in Clause 5.1.1 of ISO/IEC 17021:2006 and the following apply.

The halal certification body shall be a Muslim entity and shall have profound belief in the necessity of proper supply of halal product/service for Muslims and take all relevant steps to ensure Islamic responsibility have been observed in all activities. The halal certification body shall have the responsibility for conformity with all Islamic requirements.

5.1.2 Halal certification agreement

All the requirements given in Clause 5.1.2 of ISO/IEC 17021:2006 apply.

5.1.3 Responsibility for halal certification decisions

All the requirements given in Clause 5.1.3 of ISO/IEC 17021:2006 apply.

5.2 Management of impartiality

All the requirements given in Clause 5.2 of ISO/IEC 17021:2006 and the following apply.

5.2.1 The halal certification body and any part of the same legal entity shall not offer or provide halal consultancy or food safety management system (FSMS) consultancy or management system consultancy.

5.2.2 The term “management system consultancy” mentioned in Clause 5.2 of ISO/IEC 17021:2006 shall be replaced in the context of this guidelines by “halal consultancy, hazard analysis consultancy, FSMS consultancy or management system consultancy”.

5.3 Liability and financing

All the requirements given in Clause 5.3 of ISO/IEC 17021:2006 apply.

5.4 Operations

5.4.1 The halal certification body shall take 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 standards or parts thereof and any other requirements such as sampling, testing and inspection requirements which form the basis for the applicable halal certification system.

5.4.2 In conducting its halal certification operations, the halal certification body shall observe, as appropriate, the requirements for the suitability and competence of body(ies) or person(s) carrying out testing, inspection and halal certification as specified in ISO/IEC 17025, ISO/IEC 17020, ISO/IEC 17021 and/or ISO/TS 22003.

6 STRUCTURAL REQUIREMENTS

6.1 Organizational structure and top management

All the requirements given in Clause 6.1 of ISO/IEC 17021:2006 apply.

6.2 Committee for safeguarding impartiality

All the requirements given in Clause 6.2 of ISO/IEC 17021:2006 and the following apply.

6.2.1 The Islamic authority recognized in the country in which the halal certification body operates shall be represented in the committee for safeguarding impartiality. It shall play an active role in reviewing in the light of Islamic principles the impartiality of the halal certification activities that are executed by the halal certification body and in determining rules, procedures and policies with regard to Islamic aspects of the halal certification.

6.2.2 The Islamic authority should take due regard of and analyse any concerns that arise(s) out of the discrepancies in Islamic knowledge, practices and understanding that is likely to compromise the impartiality.

7 RESOURCE REQUIREMENTS

7.1 Competence of management and personnel

All the requirements given in Clause 7.1 of ISO/IEC 17021:2006 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

7.2.1.1 All the requirements given in Clause 7.2 of ISO/IEC 17021:2006 and the following apply.

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

7.2.1.3 In order to ensure that audit and certification are carried out effectively and uniformly, the minimum relevant criteria for the competence of personnel shall be defined by the halal certification body. These

criteria shall include training on OIC related documents for halal certification, OIC halal standard and related documents, quality management system, product certification and food safety management system (FSMS),

7.2.1.4 The personnel of the halal certification body can include individual auditors who work for the halal certification body on a contract basis, or other external resources. The halal certification body shall be in a position to manage, control and be responsible for the performance of all its personnel and maintain comprehensive records controlling the competence of all the staff it uses in particular areas, whether they are employees, employed on contract or provided by external bodies.

7.2.1.5 The halal certification body shall require its personnel involved in the halal certification to sign a contract or other documents by which they commit themselves:

- a) to comply with the rules defined by the halal certification body, including those relating to confidentiality and independence from commercial and other interest
- b) to declare any prior and/or present association on their own part, or on the part of their employer, with a designer, producer or supplier of products to the halal audit or certification of which they are to be assigned.

7.2.1.6 Information 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 carrying out contract review

7.2.2.1 Education

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

7.2.2.2 Food safety and/or halal related training

The halal certification body shall ensure that personnel carrying out contract review have successfully completed training(s) in;

- a) OIC halal standard and related documents for halal certification,
- b) quality management system and product certification,
- c) relevant FSMS standards (e.g. ISO 22000).

7.2.2.3 Audit training

The halal certification body shall ensure that personnel carrying out contract review have successfully completed training in audit processes based on the guidance given in ISO 19011.

NOTE - It is not mandatory for personnel carrying out contract review to have or to maintain audit experience.

7.2.2.4 Competences

The halal certification body shall ensure that personnel carrying out contract review demonstrate the 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 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 certification

7.2.3.1 General

The halal certification body shall ensure that the personnel who take the decision on granting certification have the same education, training on halal certification, audit and work experience as required for an auditor in one category (see Annex A) according to ISO 19011.

The personnel taking the certification decision shall consist of a minimum of three (3) persons, at least one of whom is an Islamic affairs expert. Decisions shall be taken unanimously, not by majority of votes.

7.2.3.2 Competences

The halal certification body shall ensure that team granting certification demonstrate the ability to apply knowledge and skills in the following areas:

- a) current principles of OIC for halal certification;
- b) Islamic rules related to halal certification;
- c) current principles and understanding of relevant management systems
- d) identification and assessment of risks for halal requirements;
- e) corrections and corrective actions to be taken with regards to halal matters;
- f) any laws and regulations relevant to the halal product/services;
- g) products, processes and practices;
- h) relevant standards;
- i) assessment and review of an audit report for accuracy and completeness;
- j) assessment and review of the effectiveness of corrective actions;
- k) the certification process;
- l) good understanding of the fundamental rules and conditions related to halal foods especially the slaughter of animals according to Islamic rules and the requirements of OIC standards and guidelines.

7.2.4 Technical auditors

7.2.4.1 General

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

7.2.4.2 Education

The halal certification body shall ensure that technical auditors have the knowledge, the higher or corresponding to a post-secondary education that includes courses in the 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 technical auditors have successfully completed training in;

- a) relevant management principles,
- b) regulations on relevant sector,
- c) OIC halal standard and guidelines.
- d) sector specific training.

7.2.4.3.2 The training course(s) should be recognized by the halal competent authority as being appropriate and relevant. The approval or certification of the training courses by an independent body with the relevant expertise can provide some assurance that the course meets specified criteria of OIC halal certification.

7.2.4.4 Audit training

The halal certification body shall ensure that technical auditors have successfully completed training in;

- a) audit techniques based on ISO 19011,
- b) relevant FSMS standards (e.g. ISO 22000),
- c) halal certification based on OIC halal standard.

7.2.4.5 Work experience

a) For a first qualification of a technical auditor in one or more categories, 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 in quality assurance. For the food-chain categories, the technical auditor shall have at least two (2) years work experience in food safety functions within food production or manufacturing, retailing, inspection or enforcement, or the equivalent.

b) The number of years of total work experience may be reduced by one (1) year if the auditor has completed appropriate post-secondary education.

7.2.4.6 Audit experience

For a first qualification, 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 FSMS/product/service) in at least four (4) organizations under the leadership of a qualified auditor acting as a third party or as second party auditor.

NOTE - FSMS audit days include audit days dealing with ISO 9001 in the food industry or other FSMS audits.

7.2.4.7 Competences

7.2.4.7.1 The competences of technical auditors shall be recorded [see Clause 5.5 c) of ISO 19011:2002] for each category and sector (see Annex A). The halal certification body shall provide evidence of a successful evaluation.

7.2.4.7.2 The halal certification body shall ensure that technical auditors demonstrate the ability to apply knowledge and skills in the following areas.

- a) Audit principles, procedures and techniques: to enable the auditor to apply those appropriate to different audits and to ensure that audits are conducted in a consistent and systematic manner. A technical auditor shall be able;
 - to apply audit principles, procedures and techniques,
 - to plan and organize the work effectively,
 - to conduct the audit within the agreed time schedule,
 - to prioritize and focus on matters of significance,
 - to collect information through effective interviewing, listening, observing and reviewing documents, records and data,
 - to understand the appropriateness and consequences of using sampling techniques for auditing,
 - to verify the accuracy of collected information,
 - to confirm the sufficiency and appropriateness of audit evidence to support audit findings and conclusions,
 - to assess those factors that can affect the reliability of the audit findings and conclusions,
 - to use work documents to record audit activities,
 - to prepare audit reports,
 - to maintain the confidentiality and security of information, and
 - to communicate effectively, either through personal linguistic skills or through an interpreter.
- b) Product/service certification and/or management system and other reference documents i.e. OIC Halal Standard and other OIC Guidelines: 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: to enable the technical auditor to work within, and be aware of, the requirements that apply to the organization being audited.

7.2.4.7.3 The halal certification body shall ensure that technical auditors demonstrate the 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 in Clause 7.2.4.2 shall apply.

7.2.5.2 Work experience

The halal certification body shall ensure that technical experts have at least four (4) years work experience in their technical area.

7.2.5.3 Competences

The halal certification body shall ensure that technical experts demonstrate the ability to provide expertise in their technical area.

7.2.6 Islamic affairs experts

7.2.6.1 Education

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

7.2.6.2 Work experience

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

7.2.6.3 Competences

The halal certification body shall ensure that Islamic affairs experts demonstrate the 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 competences 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 an Islamic affairs expert.

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

All the requirements given in Clause 7.3 of ISO/IEC 17021:2006 apply. Additionally, all requirements for individual technical experts shall also apply for Islamic affairs experts.

7.4 Personnel records

All the requirements given in Clause 7.4 of ISO/IEC 17021:2006 apply.

7.5 Outsourcing

All the requirements given in Clause 7.5 of ISO/IEC 17021:2006 and the following apply.

7.5.1 When a halal certification body decides to outsource 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 withdrawing halal certification;
- b) ensure that the outsourced body or person is competent and complies with the applicable provisions of this guidelines 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 17021:2006 apply.

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

8.1 Publicly accessible information

All the requirements given in Clause 8.1 of ISO/IEC 17021:2006 apply.

8.2 Halal certification documents

All the requirements given in Clause 8.2 of ISO/IEC 17021:2006 apply.

8.3 Directory of certified clients

All the requirements given in Clause 8.3 of ISO/IEC 17021:2006 apply.

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

All the requirements given in Clause 8.4 of ISO/IEC 17021:2006 and the following 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 OIC documents.

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

8.4.4 Halal certificate owners who failed to renew their halal certificates will not be allowed to use the halal mark at the premises or on the manufactured halal products/services or inside the grocery shop or supermarkets corridors.

8.4.5 The halal mark should meet the required specifications which are approved by the OIC.

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

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

8.4.8 The halal mark/certificate should be exhibited only at the entrance of the restaurant which has been certified.

8.4.9 The certificate holder shall not reproduce halal certificate granted in part and/or in a way that would hinder the legibility, nor shall be tamper with the original copies or photocopies of the halal certificate; he shall not translate the certificate and/or test reports in other languages without the control and consent of the halal certification body.

8.5 Confidentiality

All the requirements given in Clause 8.5 of ISO/IEC 17021:2006 apply.

8.6 Information exchange between a Halal certification body and its clients

All the requirements given in Clause 8.6 of ISO/IEC 17021:2006 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.), category(-ies) 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 have an influence on the halal requirements of the end products.

9.1.2 The halal certification body shall have a process for choosing the audit day, time and season so that the audit team has the opportunity of 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 certification body shall review the results of all laboratory analysis in regards to halal status for the product that produced or offered.

9.1.3 The audit programme shall include a two-stage initial audit, surveillance audit in the first and the second year, and a recertification audit in the third year prior to expiration of certification. The three years certification cycle begins with the certification or recertification decision. The determination of the audit programme and any subsequent adjustments shall consider the size of the client organization, the 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 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 OIC halal standard and related requirements.

9.1.4 All the requirements given in Clause 9.1.2 to 9.1.3 of ISO/IEC 17021:2006 apply.

9.1.5 The halal certification body shall have documented procedures for determining audit time, and for each client the halal certification body shall determine the time needed to plan and accomplish a 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 shall consider, among other things, the following aspects:

- a) requirements of the OIC halal standard;
- b) size and complexity of the organization;
- c) technological and regulatory context;
- d) any outsourcing of any activities included in the scope of the production or process or FSMS;
- e) results of any prior audits;
- f) number of sites and multi-site considerations.

9.1.6 Each site of a multisite organization to be certified needs a separate assessment and certification.

9.1.7 All the requirements given in Clause 9.1.6 to 9.1.9 of ISO/IEC 17021:2006 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 17021:2006 apply.

9.2 Initial audit and halal certification

9.2.1 Application

a) All the requirements given in Clause 9.2.1 of ISO/IEC 17021:2006 apply.

b) The halal certification body shall require the applicant organization to provide detailed information concerning legal status/entity, raw materials, process lines, FSMS related issues i.e. HACCP studies, the number of shifts and employee numbers in each shift etc.

9.2.2 Application review

All the requirements given in Clause 9.2.2 of ISO/IEC 17021:2006 apply.

NOTE - In case of non-conformities found during the audit, the producer/service shall make a declaration that he has completely removed all the non-conformities detected in the audit, before he can renew its application. Following an unsuccessful certification process, the new application shall only be accepted if the client makes such a declaration. If the first application for certification which resulted unsuccessfully was made to a different certifying body, then the applicant shall make available detailed information regarding this 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: stage 1 and stage 2.

9.2.3.1 Stage 1 audit

9.2.3.1.1 All the requirements given in Clause 9.2.3.1.1 of ISO/IEC 17021:2006 and the following apply. Where an organization has implemented an externally developed combination of control measures, the stage 1 audit shall review the documentation included in halal requirements and/or the FSMS to determine if the combination of control measures is suitable for the organization, and if they were developed in compliance with the requirements of OIC halal standard, and is kept up to date.

The availability of relevant authorizations should be checked when collecting the information regarding the compliance to national or international regulatory aspects.

9.2.3.1.2 The objectives of the stage 1 audit are to provide a focus for planning the stage 2 audit by gaining an understanding of the FSMS in the context of the organization's food safety hazard identification, analysis, HACCP plan and PRPs, policy and objectives, and, in particular, the organization's state of preparedness for audit by reviewing the extent to which

- a) the organization has identified PRPs that are appropriate to the business (e.g. regulatory and statutory requirements),
- b) the FSMS includes adequate processes and methods for the identification and assessment of the organization's food safety hazards, and subsequent selection and categorization of control measures (combinations),
- c) food safety legislation is in place for the relevant sector(s) of the organization,
- d) the FSMS is designed to achieve the organization's food safety policy,
- e) the FSMS implementation programme justifies proceeding to the audit (stage 2),
- f) the validation, verification and improvement programmes conform to the requirements of the FSMS standard,
- g) the FSMS documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and
- h) additional documentation needs to be reviewed and/or what knowledge needs to be obtained in advance.

9.2.3.1.3 For halal certification, the 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 categories A, B, G, H, I, J and K (see Annex A), it is not necessary that the stage 1 audit is an on-site audit. However, it is at 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 the stage 1 audit is on-site.
- b) Where the stage 1 audit has not been performed on-site, the duration of stage 1 audit may not exceed 20% of the total audit duration (see Annex B). Where it covers an on-site work, then the 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 17021:2006 apply. The applicant shall be informed that the results of the stage 1 audit may lead to postponement or cancellation of the stage 2 audit.

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

9.2.3.1.6 All the requirements given in Clause 9.2.3.1.3 of ISO/IEC 17021:2006 apply.

The interval between stage 1 and stage 2 audits is reasonably expected to be not longer than 6 months. The stage 1 audit should be repeated if a longer interval is needed.

9.2.3.2 Stage 2 audit

All the requirements given in Clause 9.2.3.2 of ISO/IEC 17021:2006 apply.

9.2.4 Initial halal certification audit conclusions

All the requirements given in Clause 9.2.4 of ISO/IEC 17021:2006 apply.

9.2.5 Information for granting initial halal certification

All the requirements given in Clause 9.2.5 of ISO/IEC 17021:2006 apply.

9.2.6 Sampling

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

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

9.2.7 Inspections and tests

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

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

9.2.7.3 Where independent testing facilities are not available, the halal certification body should ensure that specified controls are in place at the supplier's testing facilities, that they are managed in a manner which provides confidence in the results obtained from that records are available to justify the confidence.

9.3 Surveillance activities

All the requirements given in Clause 9.3 of ISO/IEC 17021:2006 and the following 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 check the continuing 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 Where halal production/service premises are audited and where nonconformities that directly affect halal product/service safety are detected, 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 the requirements given in Clause 9.4 of ISO/IEC 17021:2006 and the following 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 the requirements given in Clause 9.5 of ISO/IEC 17021:2006 apply.

9.6 Suspending, withdrawing or reducing the scope of halal certification

All the requirements given in Clause 9.6 of ISO/IEC 17021:2006 apply.

9.7 Appeals and complaints

All the requirements given in Clause 9.7 and 9.8 of ISO/IEC 17021:2006 and the following 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 independent from any phase of the halal certification related to the subject of the complaint or appeal.

9.7.3 This committee shall consist of a minimum of three (3) persons, at least one of whom is an Islamic affairs expert. Decisions regarding appeals shall be taken unanimously, not by majority of votes.

9.7.4 Complaints by consumers regarding a certified halal product/service shall be evaluated by the halal certification body, which shall be responsible for making the necessary investigations. If, as a result of such evaluations, the complaint is found to be justified, 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 the requirements given in Clause 9.9 of ISO/IEC 17021:2006 apply.

10 MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES

10.1 General

All the requirements given in Clause 10.3.1 of ISO/IEC 17021:2006 apply.

10.2 Management system manual

All the requirements given in Clause 10.3.2 of ISO/IEC 17021:2006 apply.

10.3 Control of documents

All the requirements given in Clause 10.3.3 of ISO/IEC 17021:2006 apply.

10.4 Control of records

All the requirements given in Clause 10.3.4 of ISO/IEC 17021:2006 apply.

10.5 Management review

All the requirements given in Clause 10.3.5 of ISO/IEC 17021:2006 apply.

10.6 Internal audits

All the requirements given in Clause 10.3.6 of ISO/IEC 17021:2006 apply.

10.7 Corrective actions

All the requirements given in Clause 10.3.7 of ISO/IEC 17021:2006 apply.

10.8 Preventive actions

All the requirements given in 10.3.8 of ISO/IEC 17021:2006 apply.

Annex A (Normative)

Classification of halal product/service categories

The halal certification body shall use Table A.1

- a) to define the scope that it undertakes,
- b) to identify if any technical qualification of its auditors is necessary for that particular category or sector, and
- c) to select a suitably qualified audit team.

The examples given in Table A.1 are not exhaustive but are only an indication of relevant topics. The scope of one specific client organization may cover more than one category.

Table A.1 — Halal product/service categories

Category codes	Categories	Examples of sectors
A	Farming 1 (Animals)	animals; fish; egg production; milk production; beekeeping; fishing; hunting; trapping
B	Farming 2 (Plants)	fruits; vegetables; cereals; spices; horticultural products
C	Processing 1 (Perishable animal products)	including all activities after farming, e.g. slaughtering meat, poultry, eggs, dairy and fish products
D	Processing 2 (Perishable vegetable products)	fresh fruits and fresh juices; preserved fruits; fresh vegetables; preserved vegetables
E	Processing 3 (Products with long shelf life at ambient temperature)	canned products; biscuits; snacks; oil; drinking water; beverages; pasta; flour; sugar; salt
F	Feed production	animal feed; fish feed
G	Catering	hotels; restaurants
H	Distribution	retail outlets; shops; wholesalers
I	Services	water supply; cleaning; sewage; waste disposal; development of product, process and equipment; veterinary services, Islamic financial services
J	Transport and storage	transport and storage
K	Equipment manufacturing	process equipment; vending machines
L	(Bio)chemical manufacturing	additives; dietary supplements; cleaning agents; processing aids, bio-cultures and microorganisms
M	Packaging material manufacturing	packaging material
N	Other materials manufacturing	cosmetics, textile, leather products etc.

Annex B (Informative)

Minimum audit time

B.1 General

In determining the audit time needed for each site, as required in Clause 9.1.4, the halal certification body should consider the minimum on-site duration for initial certification given in Table B.1. The minimum time includes stage 1 and stage 2 of the initial certification audit (see Clause 9.2.3) but does not include the time for preparation of the audit nor for writing the audit report.

The minimum audit time is established for the audit of an FSMS which includes only one HACCP study. A HACCP study corresponds to a hazard analysis for a family of products/services with similar hazards and similar production technology and, where relevant, similar storage technology. The minimum surveillance audit time should be one-third of the initial certification audit time, with a minimum of 0,5 audit days. The minimum renewal time should be two-thirds of the initial certification audit time, with a minimum of 0,5 audit days.

Where there is no relevant certified management system in place, additional time should be added for the audit. To be considered relevant, a management system certificate should cover the scope of food safety for the relevant product/service.

The number of employees should be expressed as the number of full-time equivalent employees (FTEs). Certain categories are subject to multi-site sampling (see Clause 9.1.5.2 in ISO/IEC 17021:2006) and this may be taken into account when calculating the audit time.

Other factors may necessitate increasing the minimum audit time (e.g. number of product types, number of product lines, product development, number of CCPs, number of operational PRPs, building area, infrastructure, in-house laboratory testing, need for a translator).

B.2 Calculation of minimum initial certification audit time

B.2.1 Minimum audit time for single site, T_a :

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

where

B is the basis on-site audit time;

H is the audit days for each additional HACCP studies and applied only for products/services in food-chain.

PV is the audit days for product variety

FTE is the audit days per number of employees,

CC is the factor as multiplier for process or production complexity class

B.2.2 Minimum audit time for each additional site, T_{asv} :

$$T_{asv} = T_a * 50/100$$

Table B.1 Minimum initial certification audit time

Category (See Annex A)	B Basic on-site audit time (in audit days)	H* for each additional HACCP studies (in audit days)	FTE Number of employees (in audit days)	CC Complexity Class (factor, multiplier)	PV** Product Variety (in audit days)	Tasv For each additional site visited (in audit days)
A	1,0	0.25	1 to 19 = 0.5 20 to 49 = 1.0 50 to 79 = 1.5 80 to 199 = 2.0 200 to 499 = 2.5 500 to 899 = 3.0 900 to 1299 = 3.5 1300 to 1699 = 4.0 1700 to 2999 = 4.5 3000 to 5000 = 5.0 > 5000 = 5.5	Low CC= 1	1 to 3 = 0.25 4 to 6 = 0.50 7 to 10 = 0.75 11 to 20 = 1 > 20 = 2	50 % of minimum on-site audit time
B	1,0	0.25				
C	1.75	0.50				
D	1.25	0.50				
E	1.75	0.50		Medium CC= 1.25		
F	1.75	0.50				
G	1.25	0.50		High CC= 1.50		
H	1.25	0.50				
I	1.25	0.25				
J	1.25	0.25		Very High CC= 1.75		
K	1.25	0.25				
L	1.75	0.50				
M	1.25	0.25				
N	1.75	0.50				

* H is applied only for products/services in food-chain.

** PV is used for only products not services.

Table B1 is based on four primary complexity classes of the nature of the processes or production of an organization that fundamentally affect the halal certification audit time, these are:

- **Very High** – very large number of detailed sub-processes with significant nature (typically manufacturing or processing type organizations with highly significant non-halal risks. It covers those products or service sectors that potentially have very high risks in terms of halal aspects, with a high variety of processes or sub-processes or with a very large number of raw materials or inputs);
- **High** – large number of processes with significant nature (typically manufacturing or processing type organizations with significant non-halal risks. It covers those products and service sectors that potentially have high risks in halal aspects, with many processes.);
- **Medium** – average number of processes with significant nature (typically manufacturing or service organizations. It covers products and services with moderate potential non-halal risks.);
- **Low** - small number of processes with significant nature (typically organizations with few significant nature. It covers products and services with low potential non-halal risks.);

Table B1 covers the above four complexity classes. Table B2 provides the link between the four complexity classes above and the industry sectors that would *typically* fall into that class.

The halal certification body should recognise that not all organizations in a specific sector will always fall in the same complexity class. The halal certification body should allow flexibility in its contract review procedure to ensure that the specific activities of the organization are considered in determining the complexity class. For example: even though many business in the chemical production sector should be classified as “high complexity”, an organization which would have only a mixing free from chemical reaction, and/or high number or risky raw materials and/or advanced processing could be classified as “medium” or even “low complexity”.

All attributes of the organization’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. In all cases where adjustments are made to the time provided in the audit time table (B1) and B2, sufficient evidence and records shall be maintained to justify the variation.

Table B.2 - Examples of linkage between business sectors and complexity classes.

Complexity Class	Business Sector
Very High	not elsewhere classified (n.e.c.) chemicals and pharmaceuticals, processed meat products, genetically modified products, food additives, bio cultures, cosmetics, processing aids and microorganisms.
High	slaughtering meat and poultry; cheese products; biscuits; snacks; oil; beverages; hotels; restaurants; dietary supplements; cleaning agents; packaging material, textile
Medium	milk products; fish products; egg products; beekeeping; spices; horticultural products; preserved fruits; preserved vegetables; canned products; pasta; sugar; animal feed; fish feed; water supply; development of product, process and equipment; veterinary services; process equipment; vending machines, leather products
Low	fish; egg production; milk production; fishing; hunting; trapping; fruits; vegetables; grain; fresh fruits and fresh juices; drinking water; flour; salt ; retail outlets; shops; wholesalers, transport and storage;

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II-

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