



**PROCEDURE FOR PROCESSING OF APPLICATION FOR HALAL PRODUCT  
CERTIFICATION**

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**1. PURPOSE**

To ensure proper evaluation, review and recommendation for certification in the halal product certification.

**2. SCOPE**

This covers planning and conduct of evaluation, review and recommendation for taking certification decision.

**3. RESPONSIBILITY**

CEO is responsible for defining criteria for evaluation, review and certification decision for management and personnel involved in halal product certification.

Audit Manager/ MR is responsible for developing criteria and procedures for evaluation, review and certification decision on application file to HIPL-CD.

TAD is responsible for arranging evaluation, review of findings and certification decision on application file to HIPL-CD.

**4. PROCEDURE**

**4.1 Audit Programme**

**4.1.1** An audit programme for the full certification cycle shall be developed to clearly identify the audit activity/activities required to demonstrate that the client's management system fulfils the requirements of the scheme within a complete certification cycle.

**4.1.2** The audit programme shall include a two-stage initial audit, surveillance audit in the first and the second years, 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.

**4.1.3** The audit programme and any subsequent amendments shall consider the size of the organization of the client, the scope and complexity of halal certification, products and processes as well as the demonstrated effectiveness of level of food safety management system and the results of any previous audits.

**4.1.4** HIPL is taking into account the certificate or other audits already granted to the client, it shall collect sufficient, verifiable information to justify, and record any adjustments to the audit programme.



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**4.1.5** The following list contains additional items that can be considered when developing or revising an audit programme, they might also need to be addressed when determining the audit scope and developing the audit plan:

- a) complaints received by the certification body about the client;
- b) combined, integrated or joint audit
- c) changes to the certification requirements;
- d) changes to legal requirements;
- e) changes to accreditation requirements;
- f) organizational performance data (e.g. defect levels, key performance indicators data);
- g) relevant interested parties' concerns.

**4.1.6** Surveillance audits shall be conducted at least once at least once in 12 months of marked products to assure ongoing validity of the demonstration of fulfilment of product requirements, the date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.

**4.1.7** HIPL is taking account of certification already granted to the client and to audits performed by another certification body, it shall obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity. The documentation shall support the fulfilling of the requirements of halal standard/scheme

**4.1.8** Where the client operates shifts, the activities that take place during shift working shall be considered when developing the audit programme and audit plans.

## **4.2 Determining audit time**

**4.2.1.** In determining the audit time by considering the following aspects:

- a) the requirements of the relevant Halal standard/Scheme.
- b) complexity of the client and its (internal) management system;
- c) technological and regulatory context;
- d) any outsourcing of any activities included in the scope of the halal certification,
- e) the results of any prior audits;
- f) size and number of sites, their geographical locations and multi-site considerations;
- g) the risks associated with the products, processes or activities of the organization;
- h) whether audits are combined, joint or integrated.

**4.2.2.** The time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) shall not count in the above established duration of the halal certification audit.

## **4.3 Planning audits**

### **4.3.1 Determining audit objectives, scope and criteria**



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**4.3.1.1** The audit objectives shall be determined, the audit scope and criteria including any changes, shall be established after discussion with the client.

**4.3.1.2** The audit objectives shall describe what is to be accomplished by the audit and shall include the following:

- a) determination of the conformity of the client's halal control and management system as per the (i-CAS) – Halal requirements or parts of it, with audit criteria;
- b) determination of the ability of the halal control and management system as per the (i-CAS) – Halal requirements to ensure the client meets applicable statutory, regulatory and contractual requirements;
- c) determination of the effectiveness of halal control and management system as per the (i-CAS) – Halal requirements to ensure the client can reasonably expect to achieving its specified objectives;
- d) as applicable, identification of areas for potential improvement of the halal control and management system as per the (i-CAS) – Halal requirements.

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

**4.3.1.4** The audit criteria shall be used as a reference against which conformity is determined, and shall include:

- a) the requirements of a defined normative document on halal control and management system as per the (i-CAS) – Halal requirements.
- b) the defined processes and documentation of the halal control and management system as per the (i-CAS) – Halal requirements developed by the client.

### **4.3.2 Audit team selection and assignments**

**4.3.2.1** The certification body shall have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality.

If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit.

**4.3.2.2** In deciding the size and composition of the audit team, consideration shall be given to the following:

- a) audit objectives, scope, criteria and estimated audit time;
- b) whether the audit is a combined, joint or integrated;



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- c) the overall competence of the audit team needed to achieve the objectives of the audit
- d) certification requirements (including any applicable statutory, regulatory or contractual requirements.
- e) language and culture.

**4.3.2.3** The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the direction of an auditor. Where translators or interpreters are used, they shall be selected such that they do not unduly influence the audit.

**4.3.2.4** Auditors-in-training may participate in the audit, provided an auditor is appointed as an evaluator. The evaluator shall be competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training.

**4.3.2.5** The audit team leader, in consultation with the audit team, shall assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities. Such assignments shall take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

**4.3.2.6** The audit team shall ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit.

**4.3.2.7** A technical expert shall not act as an auditor in the audit team, the technical experts shall be accompanied by an auditor.

**4.3.2.8** The audit team shall ensure that guides do not influence or interfere in the audit process or outcome of the audit.

### **4.3.3 Preparing the audit plan**

**4.3.3.1** After the application is registered, a application review for certification depending on the halal categories of the halal product certification and the requirements is prepared including evaluation of the halal control and management system as per the (*i-CAS*) – Halal requirements.

**4.3.3.2** The audit plan shall be appropriate to the objectives and the scope of the audit. The audit plan shall at least include or refer to the following:

- a) the audit objectives
- b) the audit criteria



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- c) the audit scope, including identification of the organizational and functional units or processes to be audited
- d) the dates and sites where the on-site audit activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate
- e) the expected duration of on-site audit activities
- f) the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.

**4.3.3.3** HIPL-CD evaluation process consists of preliminary inspection (where required) establishment evaluations and review and recommendation for certification and HIPL-CD performs this evaluation through its competent personnel. HIPL-CD ensures all needed information and/or documentation is made available for performing evaluation tasks. The evaluation tasks includes activities in accordance with respective certification scheme/ halal standards/sharia requirement such as documentation review, sampling, testing, inspection, audit, etc. of halal product certification scheme covering general food product.

**4.3.3.4** HIPL audit team leader responsibilities to prepare audit plan and communicate with applicant at least 5 working days (excluding Saturday, Sunday and national holyday) before the audit for both stage1 and stage 2 audit.

**4.3.3.5** HIPL concern audit team leader shall defined audit objective in audit plan shared to client covering the requirements of audit criteria and requirements which include product safety, evaluation, monitoring, reviewing and i-CAS halal requirements.

**4.3.3.6** The tasks given to the audit team shall be defined by the team leader communication

**4.3.3.7** The certification body shall provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client to object to the appointment of any particular audit team member and for the certification body to reconstitute the team in response to any valid objection.

#### **4.3.4 Preliminary visit / Initial certification audit (Stage-1)**

**4.3.4.1** HIPL-CD organizes a preliminary visit (stage-1) if asked for by the client/ based on halal category by appointing a technical Auditor to gather information for evaluation of applicant's capability to implement the certification scheme. And stage 1 audit should not exceed more than 30% of total audit time in case of CV category

- a) review the client's documents halal control and management system as per the (i-CAS) – Halal requirements information.
  - Halal policy
  - Food safety plan/HACCP and PRP /CCP management
  - Management of non compliant products
  - Raw material management
  - Labeling and packaging



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- Personal trainings
- b) Applicable statutory and regulatory requirements
- c) Evaluate client site specific condition and preparedness for stage 2 audit
- d) Client product safety management system documentation and validation and verification program
- e) Obtain necessary information regarding the scope of the halal control and management system as per the (i-CAS) – Halal requirements, including:
  - the client's site(s);
  - processes and equipment used;
  - levels of controls established (particularly in case of multisite clients);
  - applicable statutory and regulatory requirements;
- f) review the allocation of resources for stage 2 and agree the details of stage 2 with the client
- g) Review the client status and understanding about i-CAS Halal requirements
- h) Provide focus for planning stage 2 audit by gaining client management system, i-CAS halal requirements implementation and normative documents
- i) Evaluate internal audit and MRM
- j) Documented conclusion regarding full filament objective of stage 1 audit and readiness for stage 2 audit
- k) Determine the time for stage 2 audit by means of closing the concern area by client

**4.3.4.2** In determining the interval between stage 1 and stage 2, consideration shall be given to the needs of the client to resolve areas of concern identified during stage 1.

**4.3.4.3** Based on the stage 1 audit conclusion may also need to revise its arrangements for stage 2. If any significant changes which would impact the halal control and management system as per the (i-CAS) – Halal requirements occur and shall consider the need to repeat all or part of stage 1. The client shall be informed that the results of stage 1 may lead to postponement or cancellation of stage 2.

**4.3.4.4** The Auditor/ Inspector submits a preliminary inspection report on the prescribed format (HIPL-CD-PR7.4-01-FM-01) recommending whether the applicant is ready for Facility/Factory audit/inspection (Stage-2) inspection/ audit.

### **4.3.5 Facility/Factory audit/inspection (Stage-2)**

**4.3.5.1.** HIPL-CD based on the information provided in the preliminary visit (stage-1) required for the Facility/Factory audit/inspection (stage-2) based on category of product report format selected (HIPL-CD -PR7.4-01-FM-01 (01, 02 or 03). A team is then constituted of auditors competent to carry out audit in the halal product categories after ascertaining convenience of the applicant and it is intimated to the applicant for acceptance of the team for the audit. If any valid reasons for change in the team composition are received it is examined on the basis of any conflict of interest.



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**4.3.5.2** The purpose of stage 2 audit is to verify implementation and effectiveness of client management system and i-CAS halal requirements.

**4.3.5.3** The Audit Team carries out full facility/factory site visit of the products against the requirements covered by the scope defined in its application including requirements specified in the halal standards/ halal certification schemes. This includes among other things the following:

- a) Information and evidence about conformity to all requirements of product safety and halal control system as per the (i-CAS), halal standard or other normative documents.
- b) Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets.
  - Animal Reception & cleaning
  - Stunning
  - Slaughtering
  - Skinning
  - Evisceration
  - Maturation
  - Deboning
  - Primary packaging
  - Storage room
  - Visit to different functional areas comparing the organization set provided.
  - Establishing legal entity of the premises.
  - Establishing technical competence of personnel engaged in the manufacture of the product.
  - Establishing competence of quality control personnel,

c) Operational control of process

d) Internal audit and MRM

e) Management responsibility of client halal policy

**4.3.5.4** Confirmation of the status of findings of the previous review or audit for product safety management system and halal requirements as per the (i-CAS) which is already audited and fully implemented during stage 1 audit many not need to audit again (if applicable)

**4.3.5.5** The team will take samples for independent testing in accordance with HIPL-CD - G7.4-01 Guidelines for Drawl, Coding, Sealing and Dispatch of Samples or personally bringing to HIPL-CD.



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**4.3.5.6** A brief report of the evaluation especially indicating the nonconformities is provided to the client and seeking time taken for corrective action by the client. Based on the non-conformities informed the client to take carry out root cause analysis and ensure appropriate correction and corrective actions.

**4.3.5.7** Depending on the nature of nonconformities and if the client expresses interest in continuing the certification process, HIPL-CD shall decide whether additional evaluation tasks needed to verify that nonconformities have been corrected at site. Appropriate, competent person(s) within the HIPL's internal resources shall be authorised to take this decision.

**4.3.5.8** The audit team submits its report on the prescribed format within a week for taking subsequent application processing steps.

### **4.3.6 Review and recommendation**

**4.3.6.1** HIPL-CD assigns at least one person to review all information and results related to the evaluation. The review shall be carried out by personnel who have not been involved in the evaluation activities.

**4.3.6.2** The results of all evaluation activities as given below shall be documented prior to review. This documentation can provide opinion whether product requirements have been fulfilled:

- a) Preliminary inspection report,
- b) Facility/Factory technical audit report,
- c) Report of samples tested in an independent laboratory, when required.

**4.3.6.3** the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification

The reviewing officer submits review report including recommendations for being considered by the Certification Decision Committee/ Mark Committee (See HIPL-CD - PR7.6-01).

**4.3.6.4** HIPL do not out sourced the certification evaluation process and if HIPL rely on evaluation result related to halal certification completed prior to the application for certification, HIPL will verify and take responsibility for the results and satisfy itself that the HCB (halal certification body ) that perform halal certification evaluation fulfil the requirements as specify in scheme -i-CAS Halal

**4.3.6.5** HIPL ensure the root cause analysis and CAPA provided by the client shall be reviewed by concern auditor weather the verification of audit report , product sample test report etc shall be verified by Post audit technical reviewer





# HALAL INDIA PRIVATE LIMITED, CHENNAI

QUALITY  
PROCEDURE

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## 5. REFERENCES

- HIPL-CD-PR7.2-01 Procedure for Receipt, Review and Registration of Application
- HIPL-CD -PR7.6-01 Procedure for Grant of Certification
- HIPL-CD -PR7.4-02 Procedure for Calculation of Man Days for Technical Audit
- HIPL-CD -GL7.4-01 Guidelines for Drawl, Coding, Sealing and Dispatch of Samples
- HIPL-CD -PR7.4-01-FM-01 Form for Report Format for Preliminary Inspection
- HIPL-CD -PR7.4-01-FM-02 Form for Nomination of Team Leader/Audit Team Product Certification
- HIPL-CD-PR7.4-01-FM-03 TECHNICAL AUDIT PLAN
- HIPL-CD -PR7.4-01-FM-05 (01) Form for Facility/Factory Technical Audit/Inspection Report for Food Manufacturing
- HIPL-CD -PR7.4-01-FM-05 (02) Form for Facility/Factory Technical Audit/Inspection Report for chemicals
- HIPL-CD -PR7.4-01-FM-05 (03) Form for Facility/Factory Technical Audit/Inspection Report for Cosmetics and Personal Care.
- HIPL-CD -PR7.4-01-FM-09 Form for Nonconformity Report
- HIPL-CD -PR7.4-01-FM-10 Form for Request for Analysis
- HIPL-CD -PR7.4-01-FM-11 Form for Review and Recommendation for grant of License/certificate
- HIPL-CD -PR7.4-01-FM-12 Form for Product Certification Marks Decision
- HIPL-CD-PR7.4-01-FM-11 FORMAT FOR THE CERTIFICATION DECISION

## AMENDMENT SHEET

SL. No	Changes Incorporated	Page	Revision Status	Date	Remarks if any

APPROVE BY CEO

REVIEWED BY HO

PREPARED BY MR

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