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Conformity Assessment – Example of a Certification Scheme for Halal Products

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FOREWORD

The Standards and Metrology Institute for Islamic Countries (SMIIC) as an intergovernmental organization, aims to set common standards to be implemented across the OIC region and the world where the Institute aims to ensure the protection of consumers and the interoperability of products, and also to strengthen marketplace position of the OIC Member States in the global economy while fostering innovation and free trade initiatives.

This standard was developed by SMIIC Committee on Standards for Conformity Assessment (CCA) and adopted by SMIIC.

INTRODUCTION

Halal product certification is used ever more widely to provide confidence that products, processes and services fulfil specified halal requirements.

There are many different ways in which halal product certification is operated in practice. This standard does not prevent scheme owners, in consultation with other stakeholders, from adopting other measures or using them in different combinations to achieve a fit for purpose scheme. This standard serves as a foundation for facilitating the recognition and acceptance of halal certification in the interests of international trade.

In particular, the range of activities used, and the intensity with which they are applied, need to be proportionate to the consequences and likelihood of a product in service failing to fulfil specified halal requirements. Factors such as the particular characteristics of the marketplace, the product technology and the production methods related to the products also need to be taken into account.

The principal stakeholders, who are most affected by the rules, procedures and management of the scheme, are the following:

- the scheme owner,
- the certification body/bodies,
- the manufacturers of certified products,
- users of the certified product and entities that rely on certification.

NOTE 1 Where a certification body runs its own scheme, the certification body is the scheme owner.

Other stakeholders include, but are not limited to:

- regulatory authorities,
- specifiers, purchasers of certified products,
- conformity assessment bodies, such as testing laboratories and inspection bodies, involved in the product certification process,
- accreditation bodies and peer assessment groups,
- international certification schemes that facilitate the recognition of certification status from one scheme owner to another,
- consumers.

This standard contains neither normative requirements (expressed by “shall”) nor recommendations (expressed by “should”). It is intended solely as an example of a type 5 product certification scheme.

NOTE 2 International certification schemes may facilitate the recognition of certification status from one scheme owner to another.

CONFORMITY ASSESSEMENT – EXAMPLE OF A CERTIFICATION SCHEME FOR HALAL PRODUCTS

1 SCOPE

This standard describes the fundamentals of halal product certification and provides guidelines for understanding, developing, operating or maintaining certification schemes for halal products, processes and services.

This standard provides an example of a type 5 product certification scheme for halal products as described in ISO/IEC 17067 based on Islamic rules.

NOTE 1 The example provided in this standard relates to a certification scheme for halal products. However, if applicable, it can also be used as a basis for developing certification schemes for services and processes (see type 6 as described in ISO/IEC 17067).

NOTE 2 In the context of this standard, the assessment of a management system as part of product certification does not constitute the certification of the management system.

NOTE 3 This standard is intended to provide useful information to those involved in product certification on the application of ISO/IEC 17067.

2 NORMATIVE REFERENCES

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

- ISO/IEC 17000, Conformity assessment – Vocabulary and general principles
- ISO/IEC TR 17026, Conformity assessment – Example of a certification scheme for tangible products
- ISO/IEC 17065, Conformity assessment – Requirements for bodies certifying products, processes and services
- ISO/IEC 17067, Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes
- OIC/SMIIC 2, Conformity assessment – Requirements for Bodies Providing Halal Certification

3 TERMS AND DEFINITIONS

For the purposes of this document, the terms and definitions given in ISO/IEC 17000, ISO/IEC 17067, ISO/IEC 17065 and OIC/SMIIC 2 apply.

4 HALAL PRODUCT CERTIFICATION

4.1 Concept of halal product certification scheme

General provisions for the development and operation of a product certification scheme are stipulated in ISO/IEC 17067:2013, Clause 6. This standard provides an example of how those general provisions are implemented in a particular type 5 product certification scheme. The example is not intended to limit in any way the decisions of scheme owners when developing and operating their own schemes. They may develop alternative product certification schemes including those described in ISO/IEC 17067.

4.2 Objectives of halal product certification scheme

This example of a halal product certification scheme reflects a type 5 product certification scheme as explained in ISO/IEC 17067. It includes the following functions, activities and elements, which are further described in this standard:

a) selection (see 4.5), including:

- 1) specified requirements (only halal requirements) for the halal products covered by the scope of the scheme (e.g. those in a standard or other normative document),
- 2) elements of the production process to be assessed and of the management system to be audited,
- 3) determination activities, and the basis on which those activities be undertaken (e.g. reference ISO/IEC 17065 and OIC/SMIIC 2 for product certification bodies, and to the applicable requirements of ISO/IEC 17025 for testing, ISO/IEC 17020 for inspection and ISO/IEC 17021-1 for management system auditing),
- 4) sampling methods and frequency;
- 5) requirements which the client has to fulfil in order to gain and maintain certification of the halal product (e.g. signing a certification agreement, the ongoing operation of a management system, maintaining control over the use of the mark of conformity, advising the certification body of changes affecting product conformity),
- 6) any other certification requirements,

b) determination (see 5.2), including:

- 1) evaluation of the halal raw materials, primary packaging materials and product,
- 2) assessment of the production process and audit of other elements of the client's management system critical to managing halal product conformity through document review and onsite assessment,

c) review of the evaluation results,

- d) decision on certification and attestation of conformity (see 5.7 and 5.8),
- e) licensing and control of the halal mark (see 5.9), including:
 - 1) mark of conformity,
 - 2) publicity to clients,
 - 3) misuse of certificate and marks of conformity,
- f) surveillance (see 5.10), including:
 - a) testing and inspection of halal product samples,
 - b) assessment of the production process and audit of the management system,
- g) suspending or withdrawing a halal certification and license (see 5.9.5),
- h) managing changes affecting halal certification (see Clause 7).

NOTE These functions are consistent with the requirements specified in ISO/IEC 17065 and OIC/SMIIC 2, in which the functions selection and determination are together referred to as "evaluation". A description of the functions listed above appears in ISO/IEC 17000:2004, Annex A.

4.3 Scope of the scheme

The scope of the scheme is defined in terms of the types of halal product, the halal product requirements and other requirements specified by the certification scheme and the geographical areas within which it operates.

4.4 Parties involved in the scheme

The main parties involved in the operation of the scheme are:

- a) the scheme owner,
- b) the certification body,
- c) the organization that has a certification agreement with the halal certification body, or that has applied for (this organization is referred to as "the client").

NOTE 1 For further information on the certification agreement, see ISO/IEC 17065:2012, 4.1.2. and OIC/SMIIC 2: 2019, 5.1.2.

All product certification schemes have a scheme owner. The scheme owner can be a halal certification body, a regulatory authority, an industry group, a group of halal certification bodies or others. The scheme owner is responsible for the rules, procedures, management and integrity of the scheme in conformity with Islamic rules.

NOTE 2 Further information on scheme owner can be found in ISO/IEC 17067:2013.

The halal certification body may outsource some activities to other halal organizations which have the requisite qualifications described in Clause 5.1.1 of OIC/SMIIC 2 Standard, but always retains responsibility for the outcome. The review, decision and attestation cannot be outsourced. The outsourcing shall be in compliance with the Clause 7.5 of OIC/SMIIC 2.

The client is often the manufacturer, who may use sub-contractors for some of the production operations, but sometimes the manufacturer's agent or another organization in the supply chain (e.g. a distributor) can act as the client and seek certification. In such cases, the client may not have control of the manufacturing processes nor access to the production facilities. The client needs to be able to ensure that the halal certification body can perform all necessary assessment activities of the production processes and the manufacturer's quality management system.

4.5 Selection elements in the scheme

Within the declared scope (see 4.3), the scheme specifies the requirements that the halal products, production process and management system are intended to fulfil. These requirements are specified by reference to standards, technical specifications or other normative documents that have been developed in accordance with the guidance in ISO/IEC 17007.

Certification requirements are comprised of:

- product requirements (as defined in ISO/IEC 17065:2012, 3.8) and OIC/SMIIC 2, (5.1.2),
- other requirements for the client to fulfil, including the following:
 - signing a certification agreement,
 - meeting arrangements for the selection and sampling processes, testing, assessments and auditing,
 - payment of necessary fees,
 - signing a licensing agreement for the use of the halal certification mark on their halal products,
 - providing product information.

The halal product requirements are a subset of the certification requirements.

4.6 Sampling processes in the scheme

This scheme specifies the sampling method(s) to be used for evaluation. Sample(s) need to be:

- a) representative of halal products to be certified,

- b) made using components and sub-assemblies approved for use in halal production,
- c) made using halal production tools and assembled using methods established for the halal products to be certified.

4.7 Determination procedures of the scheme

This scheme provides details of the procedures to be used for determination activities, e.g.

- a) sampling, testing and other evaluation activities, where these have not been adequately specified in the halal product requirements or other normative documents,
- b) assessing the production process,
- c) auditing those elements of the client's management system which are identified as critical to ongoing halal product conformity.

5 SEQUENCE OF A HALAL CERTIFICATION CYCLE AND INVOLVED ACTIVITIES

5.1 Application for halal certification and certification agreement

The halal certification body provides the potential client with all information necessary to understand and follow the rules for the specific halal certification scheme. These rules are publicly available.

The client makes an application to the halal certification body for certification of its specified halal products. The application provides the halal certification body with all necessary information to enable it to plan the evaluation and certification process.

ISO/IEC 17065:2012, 7.2 and OIC/SMIIC 2, 9.2.1, gives examples of the information needed and it constitutes the basis for the application information listed in Annex A.

Once the application is received from the client, the halal certification body checks that the information provided by the client is clear and sufficient and, if it is not, asks the client for the necessary clarification or additional information.

The halal certification body establishes a legally enforceable agreement with the client (see ISO/IEC 17065:2012, 4.1.2 and OIC/SMIIC 2, 5.1.2)

5.2 Determination

5.2.1 General

During this function, the halal certification body gathers information to determine the extent to which the client demonstrates its fulfilment of halal certification requirements.

5.2.2 Evaluation plan

From the information provided in the application, the halal certification body ascertains that it has the competence and capability to undertake the work.

Based on the requirements of the scheme, the halal certification body prepares an evaluation plan setting out:

- a) the halal product for which certification is sought,
- b) the standards and other normative documents that specify the halal product requirements,
- c) the evaluation methods and procedures to be used where these are not specified in the standards,
- d) the halal certificate/MSDS/COA's etc. required for Raw Material and packaging evaluation,
- e) the halal product samples and/or the sampling procedures required for evaluation,
- f) the methods and procedures to be used when assessing the production process,
- g) the coverage and the extent of the auditing of the management system,
- h) the personnel and other resources, including outsourcing, to be used for the evaluation.

The evaluation plan can be a generic plan that can be used for all certification evaluation activities under this scheme, or an individual plan for each client or individual evaluation.

The halal certification body advises the client of the plan, including any financial and timescale aspects required by the scheme, and ensures that the client has completed, or has undertaken to complete, the halal certification agreement.

After confirmation of the acceptance of the application, the halal certification body makes the necessary arrangements with the client for the initial assessment in accordance with the evaluation plan.

Under this certification scheme, the following determination activities are used:

- evaluation of raw material, packaging and initial testing (if required) and examination of the halal product,
- assessment of the production process,
- audit of the elements of the management system that are critical to halal product conformity.

The halal certification body is responsible for all actions included in the particular certification scheme, including sampling, testing, assessment of the production process, auditing of the management system, and surveillance of the certified halal product.

5.2.3 Acceptance of conformity results generated prior to the application or provided by the client

This scheme accepts conformity assessment results (including such items as test results and management system certification) which are generated prior to the application, or are provided by the client. In accordance with ISO/IEC 17065:2012, 6.2 and 7.4.5 and OIC/SMIIC 2, 9.1.7 the halal certification body takes responsibility for these conformity assessment results.

In order to cover this responsibility under this scheme, the halal certification body:

- a) checks that the conformity assessment results relate to the certification requirements,
- b) identifies whether the conformity assessment results come from a body that fulfil the applicable requirements of ISO/IEC 17020 or ISO/IEC 17021-1 or ISO/IEC 17025, or are accredited or peer evaluated to these standards with a scope relevant to the certification requirements.

5.2.4 Initial product evaluation

The product evaluation is carried out in accordance with the methods specified in the applicable standard(s) or requirement(s), and with the procedures specified by the scheme. The objective is to ascertain if the product fulfils the halal specified requirements.

Testing facilities used in product evaluation demonstrate to the halal certification body that they meet the applicable requirements of ISO/IEC 17025. This can be demonstrated by:

- a) the testing facility having a current accreditation as fulfilling the requirements of ISO/IEC 17025 with a scope of testing covering the test methods established by the normative document for the product being certified, or
- b) the assessment of the competence of the testing laboratory by the certification body using a suitably competent laboratory assessor, including the witnessing of testing on a periodic basis, or
- c) the testing laboratory having a peer assessment recognition by a competent organization with a scope covering the product being certified.

If test results are accepted, test reports and samples are examined together to ensure that test results are applicable to product samples under consideration.

5.3 Assessment of the production process and audit of the management system

5.3.1 General

Assessment of the client's production process and audit of the elements of the management system critical to halal product conformity forms part of the initial assessment in accordance with this product certification scheme.

The client designates:

- a responsible person as the main contact with the halal certification body;
- a person(s) with management responsibility for the technical performance of the production processes and management system.

5.3.2 Initial document review

The first stage of undertaking an assessment of the production process and audit of the management system is a document review.

The halal certification body conducts a document review of the client's management system in order to determine the readiness for the onsite assessment.

To facilitate the document review, the client provides information on the management system pertinent to the production process. An example of the pertinent information is shown in Annex B. The client makes available to the halal certification body records that demonstrate the effective implementation of the management system.

The halal certification body may, at its discretion, take into account the client's current management system certification, provided that the certification covers:

- a) the scope of halal products being considered,
- b) the sites where the activities take place.

Consideration is also given to the extent that the management system certification is mutually recognized, through it originating from a halal certification body that is accredited and/or peer assessed in accordance with relevant International Standards (e.g. ISO/IEC 17021 and/or ISO/IEC 17040).

The halal certification body evaluates the information provided, requests additional information as needed, and determines whether the application can proceed to the onsite stage of the determination function.

5.3.3 On-site assessment

5.3.3.1 General

The halal certification body arranges a date for a visit to each of the client's site(s) where the certified product is manufactured and forms an assessment team that includes persons competent in:

- a) the applicable product requirements,
- b) appropriate test and/or inspection procedures and techniques,
- c) conformity assessment procedures,
- d) the management system requirements and audit methodologies as included in the scheme,
- e) OIC/SMIIC 2, Clause 7.2 "Personnel involved in the halal certification activities".

NOTE For additional information on audit activities and knowledge and skills of auditors, reference can be made to ISO/IEC 17021-1 and OIC/SMIIC 2, 7.2 and ISO/TS 22003 – Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems.

The audit team shall consist of at least two (2) personnel. One of them shall be technical auditor who has lead auditor qualification and competence or authorization and the other one shall be an Islamic affairs expert.

The matters to be investigated by the assessment team at the client's facilities include:

- determine that all information provided in the application is correct and complete,
- assessment of the production process,
- audit of the elements of the management system critical to product conformity.

Annex B provides an example of information to be provided on production process and management system.

5.3.3.2 Production process

Assessment of the production process includes direct observation and examination of the halal production line and communicating with production personnel to demonstrate:

- a) that the client has the necessary facilities, equipment, personnel and procedure for carrying out the tasks associated with producing the halal product in accordance with the halal product requirements,
- b) the client's capability and competence to monitor, measure and test the halal product during and after production so as to ensure conformity with the specific halal product requirements used in the scheme,

- c) that the client sampling and testing (whether it be in-house or outsourced) is undertaken in accordance with the halal certification requirements (including the specific halal product standards and methods of tests) and the applicable requirements of ISO/IEC 17025 and the certification requirements,
- d) quality control of the halal product through the production process in accordance with the certification requirements, from the receipt of inputs, through all transformation processes, through to dispatch of the completed products,
- e) the ability of the client to identify and quarantine nonconforming product and to maintain halal product traceability where there is a certification requirement.

The halal certification body takes samples from the halal production line for subsequent verification.

5.3.3.3 Elements of the management system critical for halal product conformity

Matters to be covered in the audit of the elements of the management system critical for halal product conformity include reviewing the following:

- a) procedures covering the production processes, including quality control, production resources and personnel competence that can affect halal product conformity,
- b) documents and records control in relation to production processes and halal product conformity,
- c) existing management system certifications and associated audit reports,
- d) internal audits and management reviews,
- e) procedures and records associated with product nonconformance, corrective and preventive actions,
- f) the identification, marking, and marketing of conforming products in accordance with certification requirements and license agreements.

NOTE The certification body gives consideration to the amount of audit time when the client's management system is certified by an accredited or peer assessed quality management system certification body.

5.4 Nonconformities

It is important that the scheme specifies how nonconformities are managed resolved.

If the halal certification body does not have sufficient evidence that the client has demonstrated that certification requirements have been fulfilled, it informs the client of those aspects which do not comply with applicable requirements as nonconformities.

If the client undertakes corrective actions these have to be completed within a specified time limit (i.e. maximum 90 days) set by the halal certification body. The halal

certification body may repeat the necessary parts of the initial product evaluation, assessment and audit to verify the nonconformity has been adequately addressed.

5.5 Evaluation report

Following the initial product evaluation, assessment of production process and audit of the elements of the management system, and after satisfactory action on any nonconformities, a report on the assessment team's findings is prepared. The report will be considered as part of the total package of evidence to demonstrate compliance with the certification requirements by the halal certification body's person or group responsible for making the certification decision. (see 5.3.3.1)

5.6 Review

Once all determination activities have been completed, the results of initial product evaluation and the on site assessment are reviewed to ensure that they provide a suitable, adequate and effective demonstration that the halal product and the system for managing halal product quality fulfil the specified requirements. The review is carried out by a person (or group of people) who has not been involved in the determination activities. If the evidence is sufficient, a recommendation for certification is made.

5.7 Decision

When the outcome of the review is positive, a decision is made to grant certification. When the outcome of the review is negative, a decision is made not to grant certification. The client is informed with the reasons for the negative decision. The decision is made by a person (or group of persons) who has not been involved in the evaluation activities. The review and decision may be made by the same person or group of persons. The personnel taking the certification decision shall consist of a minimum of three (3) persons, at least one to be employed by the halal certification body and at least one of whom is an Islamic affairs expert. Decisions shall be taken unanimously, not by majority of votes.

5.8 Attestation

Following the decision to grant certification, the certification body issues a statement of conformity.

Under this scheme, the statement of conformity is in the form of a certificate and a subsequent listing of the halal certificate on the scheme owner's website by the halal certification body, and on the halal certification body's website if the halal certification body wishes.

Annex C gives an example of information to be included in a certificate of conformity. In addition the certified client may place the scheme's halal certification mark on the halal product subject to a licensing agreement being entered into with the halal certification body.

5.9 Licensing use of halal certificates and marks of conformity

5.9.1 General

The use of the halal certificate and mark of conformity is controlled through a licence issued by the halal certification body to each organization which uses them on, or in conjunction with, certified products.

The organization holding the licence (referred to in this clause as the licensee) may be different from the client to which the halal certificate was issued. Circumstances under which a different organization might be involved include the following:

- a) the client sub-contracts the manufacture of the halal product, including the placing of the mark on the product, to another organization (the manufacturer shall need to be a licensee),
- b) a customer of the client applies its own label, including the mark, to the halal product under an agreement with the client (the customer shall need to be a licensee),
- c) other cases.

In all cases, the client ensures that the halal certification body has access to the licensee's premises for the purposes of assessment of the production process and audit of the management system, initially and during surveillance.

5.9.2 Mark of conformity

In accordance with ISO/IEC Guide 23 and ISO/IEC 17030, the certificate and mark of conformity are distinctive and are:

- a) proprietary in nature, with legal protection as regards composition and control of use, and
- b) so coded or otherwise designed as to aid in the detection of counterfeiting or other forms of misuse.

The mark of conformity is directly applied to each individual product except where the physical size of the unit or the type of product does not permit this, in which case the mark may be applied to the smallest package in which the unit is marketed.

5.9.3 Other labelling

In certain circumstances, it may be appropriate to use other labelling in association with the certificate or mark of conformity, e.g.

- a) the name or logo of the halal certification body where such cannot be determined from the halal certificate or mark of conformity used,
- b) the name of the halal product classification where such is not completely obvious,

c) identification of the relevant standard(s).

The halal certificate and labelling are used in accordance with the halal product certification scheme.

5.9.4 Issuing of a licence

The halal certification body submits a licensing agreement to the licensee for signature. When the licence agreement has been signed, the halal certification body issues a licence. An example of the information to be included in an agreement and a licence are included in Annexes D and E.

NOTE If the provisions addressed by the licensing agreement are incorporated in the application form (if the scheme requires an application form) or the halal certification agreement, the “licensing agreement” might not be necessary.

The licensing agreement addresses conditions under which the halal mark or certificate will be used, and establishes rules in the case of misuse.

5.9.5 Suspending or withdrawing a licence

5.9.5.1 Suspension

The applicability of the licence to a specific halal product may be suspended for a limited period, for example in the following cases:

- a) if the surveillance shows nonconformity with the requirements of such a nature that immediate withdrawal is not necessary,
- b) if a case of improper use of the halal certificate or the mark (e.g. misleading publications or advertisement) is not solved by suitable retractions and appropriate corrective actions by the licensee,
- c) if there has been any other contravention of the halal product certification scheme or the procedures of the certification body.

The licensee is prohibited from identifying as halal certified any product that has been manufactured under a suspension of the licence as applicable to that halal product.

A licence may also be suspended after mutual agreement between the halal certification body and the licensee for a limited period of non-production or for other reasons.

An official suspension of a licence is confirmed by the halal certification body in a registered letter to the licensee (or by equivalent means).

The licensee may give notice of appeal, and the halal certification body when considering the appeal may or may not (depending on the nature of the case) decide to proceed with its decision to suspend the licence.

The halal certification body indicates under which conditions the suspension would be removed, such as for example corrective action taken in accordance with 5.9.6.

At the end of the suspension period, the halal certification body investigates whether the indicated conditions for re-instituting the licence have been fulfilled.

On fulfilment of these conditions, the suspension is removed by notifying the licensee.

5.9.5.2 Withdrawal

Apart from the suspension of a licence, a licence is withdrawn in the following cases:

- a) if the surveillance shows that the nonconformity is of a serious nature;
- b) if the licensee fails to comply with the due settlement of financial obligations;
- c) if there is any other contravention of the licensing agreement;
- d) if inadequate measures are taken by the licensee in the case of suspension.

In the above cases, the halal certification body has the right to withdraw the licence by informing the licensee in writing. Concerning the specification of a time limit, see j) of the example licensing agreement (Annex D).

The licensee may give notice of appeal, and the halal certification body when considering the appeal may or may not (depending on the nature of the case) decide to proceed with its decision to withdraw the licence.

Prior to withdrawal of a licence, the halal certification body decides upon the consequences in relation to halal products certified under the licence, whether the mark of conformity needs to be removed from all products in stock, and perhaps even, if practicable, from halal products already sold, or whether a clearance of the stock of marked products is permissible within a short period of time. The halal certification body decides if other actions are required, including (if necessary in cases of a serious nature) informing the clients of the licensee, by the licensee or by the halal certification body.

Furthermore, the licence may be withdrawn in the following cases:

- if the licensee does not wish to maintain the licence,
- if the standard or rules are changed and the licensee either will not or cannot ensure conformity with the new requirements (see 7.1),
- if the halal product is no longer made or the licensee goes out of business,
- on the grounds of other provisions specified in the licensing agreement.

5.9.6 Misuse of the mark

The halal certification body takes action when unauthorized, incorrect, or misleading use of the certificates or marks of conformity is found.

Incorrect references to the certification scheme or misleading use of halal certificates or the mark found in advertisements, catalogues, ...etc. are dealt with by suitable actions, which could include legal or corrective action or publication of the transgression.

In cases of misuse of halal certificates or the mark of conformity by clients, corrective action is taken in accordance with ISO Guide 27. Withdrawal of a licence due to misuse of the halal certification mark may be published by the halal certification body.

5.10 Surveillance

The halal certification body carries out surveillance as defined in the scheme in order to provide confidence that halal products manufactured after the initial certification continue to fulfil the specified requirements.

The surveillance activities are selected according to the nature of the halal product and the consequences and probability of non-conforming products. The frequency with which the activities are carried out is specified in the scheme and can be adjusted in the light of the results of previous surveillance cycles. For example, if non-conformities in products or the management system have been found, surveillance may be carried out more frequently until the necessary level of confidence is restored.

Surveillance activities cover all sites where manufacturing takes place and include one or more of the following:

- a) inspection of halal product samples taken either from the point of production, or from the market, or from both for conformity with the certified type,
- b) testing of halal product samples taken either from the point of production, or from the market, or from both to check that they fulfil the specified halal requirements,
- c) assessment of the production process and auditing of the management system, including examination of the client's quality records relating to the production process,
- d) verification and review of any changes.

It may not be necessary to repeat all of the elements of the initial product evaluation. This could be the case with custom-built products and could be applied to cases where the initial testing is very complicated or where the samples are very expensive. In such cases, the surveillance may be based on examination only, or combined with more simple identification tests which ensure that the product is in conformity with the certified type. Such identification tests are described in the halal product certification scheme.

The client is informed about the results of the surveillance.

If surveillance reveals nonconformity with the certification requirements which cannot be readily remedied by the client, the halal certification body considers what action to take.

The client keeps a record of any complaints relating to compliance with the certification requirements and documents the remedial actions taken. The client makes the records available to the halal certification body on request. If non-conforming products have been released onto the market, the client informs the halal certification body so that it can agree on the action to be taken.

6 PUBLICITY BY CLIENTS

The client has the right to publish the fact that:

- a) an identified halal product has been certified,
- b) the client has been authorized to
 - use a valid halal certificate of conformity, and
 - apply a mark of conformity for halal products and facility to which the licence applies.

In every case, the client takes sufficient care of its publications and advertising so that no confusion arises between certified and non-certified halal products.

The client does not specify any function or make any claim or the like in user information that could lead purchasers to believe that performance of the halal product or its use is covered by the certification when in fact it is not.

In this example the scheme requires the halal certification body to approve instruction books, manuals and other user information accompanying the product.

7 CHANGES AFFECTING CERTIFICATION

7.1 Changes to product requirements

When a standard or another normative document that is part of the certification requirements is changed, there are a number of factors that have to be considered by the scheme owner when he fixes the date on which the new halal product requirements of the changed document will come into force (effective date reflecting the transition period).

NOTE See also Clause D.2, bullet (k).

The effective date of obsolescence of a standard or other normative document is communicated by the halal certification body to all applicable clients to allow them adequate time to take appropriate action.

In those cases when the standard development organization responsible for the standard or other normative document defines the transition period until which the superseded document is valid, this date defines the obsolescence of the superseded document unless otherwise stated by law or by the scheme.

Further factors that are considered when choosing the effective date include, but are not necessarily restricted to, the following:

- a) compliance with regulations or contractual obligations,
- b) the urgency of complying with revised health, safety, or environmental requirements,
- c) the length of time and financial costs for retooling and manufacturing a halal product complying with the revised requirements,
- d) the extent of stock on hand and whether it can be reworked to meet the revised requirements,
- e) avoidance of unintentional commercial advantage given to a particular manufacture or design,
- f) operational constraints of the halal certification body.

7.2 Changes to other scheme requirements

The scheme owner advises the halal certification bodies, and their clients if necessary, of other changes to the scheme requirements, such as:

- a) test and examination procedures where these are not contained in the standards or other normative documents that specify the halal product requirements,
- b) criteria and procedures for assessment of production processes and audit of management systems,
- c) conditions for licensing of the certification mark,
- d) qualification criteria and procedures for conformity assessment bodies participating in the scheme.

7.3 Changes by client

The client informs the halal certification body about any intended modification to the product, production process or management system or ownership which may affect the conformity of the halal product. The halal certification body determines whether the announced changes require another initial testing and assessment or other further investigations. In such cases, the client is not permitted to release halal products under the halal certificate resulting from such changes until the halal certification body has notified the client accordingly.

A client wishing to extend the scope of certification to additional types or models of products, to the same specified requirements as the halal products for which a certification is already granted, applies to the halal certification body using an application form (Annex A). In such cases, the halal certification body may decide not to carry out an assessment of production process or management system but to require or select test samples of the additional types of products to determine that they comply with the specified halal requirements. If the tests are successful, the scope of halal certification is extended and the licence agreement may be modified.

If the client wishes to apply the halal certification to additional types of products, but to different specified halal requirements, or if the client wishes to apply for an extension of the halal certification to cover an additional facility that is not covered by the earlier licence, it will be necessary to perform only those parts of the original application procedure which do not cover the new circumstances.

8 CONFIDENTIALITY

The halal certification body is responsible for ensuring that confidentiality of information is maintained by its employees and those of its subcontractors concerning all information obtained as a result of their contacts with the client; this applies also to information obtained at the application stage.

9 PRODUCT LIABILITY

In this scheme, all questions related to halal product liability are dealt with on the basis of the relevant legal system(s).

10 COMPLAINTS AND APPEALS

The client has a right to complain to the halal certification body about aspects of the service provided. The client may also appeal to the halal certification body against its decisions on issuing, maintaining, extending, suspending and withdrawing halal certification. In all of these cases, the halal certification body's complaints and appeals process will apply, as described in ISO/IEC 17065:2012, 7.13 and OIC/SMIIC 2, 9.7.

Annex A (informative)

Example of information provided with an application for halal product certification

A.1 General

The information given in this annex is based on ISO/IEC 17065:2012, 7.2, Note 1 and OIC/SMIIC 2. The information could be collected by various methods and media such as completion of an application or by inputting to an online database.

A.2 Example of information provided

A.2.1 Date of application

A.2.2 Information regarding applicant

- Legal name of the applicant, address of its registered office, contact details
- Name and function of the person acting as contact to the halal certification body and authorized to sign on behalf of the applicant
- Business address and contact details
- Role of applicant organization (manufacturer, designer, distributor, agent, etc.)

A.2.3 Information regarding intended halal certificate holder (if different from applicant)

- Legal name of company, address of registered office, contact details
- Name and function of the person acting as contact to the halal certification body and authorized to sign on behalf of the applicant
- Business address and contact details
- Role of intended certificate holder (manufacturer, designer, distributor, etc.)

A.2.4 Designation of halal product(s) for which certification is requested

- Description of halal product(s), including catalogue number(s), type designation(s) or other descriptive identifier(s)
- Standard(s) and other normative document(s) to which certification is requested: number, title, year of issue

A.2.5 Manufacture of halal product(s)

- Place(s) (physical address(es)) of manufacture of the halal product(s)

- Name and title of person responsible for halal product quality
- Business address and contact details

A.2.6 Halal certification and licensing agreements

- Declaration of willingness, on satisfactory completion of evaluation, to conclude the applicable certification agreement and licensing agreement, if not previously concluded
- Name (in block letters, of the person nominated in A.2.2 or A.2.3)
- Signature

Annex B (informative)

Example of information on production process and management system

B.1 General

This example provides preliminary information on the production process used to manufacture the halal products for which certification is sought and on the management system which is used to control activities critical to product conformity. It is intended to help the halal certification body in its preparation of the initial on site evaluation the facility or facilities involved. If the halal product is manufactured at different locations, the information for each location is supplied.

The amount of preliminary information to be provided by the applicant depends on the nature and complexity of the halal product/production process.

B.2 Example of information provided

B.2.1 General

In this example, B.2.2 and B.2.3 list possible aspects where information can be provided on the production processes and management systems.

B.2.2 Production process

B.2.2.1 Production companies

- All information about the manufacturing sites necessary for the halal certification body to plan the assessments
- Organization having the product ownership and bearing overall responsibility for the halal product to be certified (including contact persons and contact details)
- All sites where the final halal product to be certified is manufactured (addresses and contact persons and contact details)

NOTE Where applicable, this information is required also for subcontracted manufacturers.

- Principal activities carried out at all these locations

B.2.2.2 Production Organization

- Relationship of all production sites to the product owner organization
- Information about the production organization having the halal product ownership
- Organization chart showing key personnel involved in production and their roles

- Authorization and training of personnel managing production activities
- Information about the initiation and control of halal production

B.2.2.3 Purchased materials, components and services

- Main materials, components and services purchased, relating to halal product(s) to be certified
- Purchasing specifications
- Supplier qualification process
- Control of quality of incoming materials, components and services

B.2.2.4 Production

- Description of production process (key stages, flow chart)
- Sub-contracted operations (description of operation, name and address of sub-contractor, details of contract relevant for halal product conformity)
- Description of production resources and equipment (principal items only) (proprietary and specially made or adapted)
- Control of inventory
- Control of work in progress
- Control of finished products
- Control of defective materials, components, sub-assemblies and finished products

B.2.2.5 Quality control inspection and test and existing conformity assessment attestations

- Inspections and tests carried out on purchased major components during manufacturing-processes and on finished halal products
- Inspection and test equipment
- Calibration of the measurement equipment
- Responsibility for inspection and test
- Existing conformity assessment attestations from internal or external laboratories, halal inspection bodies or halal certification bodies for the product to be certified or for essential components

B.2.2.6 Documentation and records

- Halal product and production specification (drawings, parts lists, work instructions)
- Control of changes to the halal product and production process

B.2.2.7 Certificates and control of marks of conformity

- Stage at which halal mark is applied to the product
- Control of the halal products ensure that only those covered by the certificate are marked
- Copies of existing certificates of conformity issued by a halal certification body

B.2.3 Management system**B.2.3.1 Management system specification**

- Conformity with ISO 9001, ISO 22000 or equivalent (provide reference)
- Copy of quality manual and/or quality management system documentation
- Certification of management system (name of certification body, scope of halal certification, site(s) covered (related to production of halal product(s) to be certified), copy of halal certificate(s))

B.2.3.2 Organization

- Management structure
- Key personnel
- Responsible quality manager
- Competence records for key personnel

B.2.3.3 Management system maintenance

- Documentation and records
- Internal audit
- Management review
- Improvements (corrective and preventive action)

- Change management

B.2.3.4 Product realization

See B.2.2.

Annex C
(informative)

Example of information to be included in a halal certificate of conformity

- Certificate number or other unique identification
- Name of scheme under which the halal certificate is issued
- Name and address of halal certification body
- Name and address of client (certificate holder)
- Reference to certification agreement
- Statement of conformity, including:
 - name and unique designation of halal product
 - standard(s) and other normative document(s) (including dates of publication) the requirements of which the halal product is attested to fulfil
 - production sites and other details of assessment, e.g. quality system, production inspection
- If applicable, reference to the accreditation or recognition status of the halal certification body
- Date of expiry of halal certificate
- Date of issue of halal certificate
- Legally binding signature(s) of person(s) authorized to sign on behalf of the halal certification body

NOTE In some economies, legally binding authorization of document is accomplished by other means, e.g. by legally binding seals.

Annex D (informative)

Example of contents of a licensing agreement for the use of a halal certificate and mark of conformity

D.1 Parties

- Halal Certification body (name, address, contact details)
- Licensee (name, address, contact details)

NOTE In some schemes, the scheme owner is a party to the licensing agreement.

D.2 Grant of licence

To use halal certificate of conformity and halal mark of conformity on products listed in the licence under the following conditions.

a) Regulations for halal certification and assessment

Reference to the general rules for the certification scheme as well as the standard(s) and the specific rules specified in the licence.

b) Rights and obligations of licensee

Certified halal products manufactured and supplied by it will fulfil the requirements stated in the standards and general and specific rules specified in the licence.

Persons representing the halal certification body will have unobstructed access without prior notification to the premises of the facility covered by the licence.

The halal products for which the licence is granted will be manufactured to the same specifications as the sample that the halal certification body found by the initial testing to be in conformity with the standard.

c) Surveillance

The halal certification body carries out continuing surveillance of the licensee's conformity with the licensee's obligations, in accordance with the conditions stated in the general and specific rules for the scheme as specified in the licence.

Surveillance is carried out by the halal certification body personnel or by personnel of agencies on behalf of the certification body.

d) Information on modifications in halal production

The licensee to inform the halal certification body of any intended modification in the halal product, the production process or the management system and any organisational changes which could affect the licensee's ability to continue to produce the certified halal product.

e) Complaints

The licensee to keep records and report to the halal certification body any complaints regarding those aspects of the halal products covered by the licence.

f) Publicity

The licensee has the right to publish the fact that it has been authorized to offer and sell the halal certified products to which the licence applies.

The halal certification body gives publicity in its directory to the authorization of the licensee to use halal certificates and marks of conformity and to cancellation of this agreement with the licensee, as appropriate.

g) Confidentiality

The halal certification body ensures that confidentiality is maintained by all personnel involved on its behalf concerning all confidential information with which they become acquainted as a result of their contacts with the licensee. When the halal certification body is required by law or authorized by contractual arrangements to release confidential information, the client or person concerned is, unless prohibited by law, notified of the information provided.

h) Payment

The licensee pays to the halal certification body all expenses in relation to the surveillance, including sampling, test, assessment and administration costs.

i) Agreement period

- Date of commencement
- Date of termination
- Conditions for prior termination

j) Termination of licence

Specification of notice periods for termination of licence according to different circumstances, e.g.

- licensee wishes to terminate,
- halal certification body determines that the product no longer complies with halal product certification requirements,
- failure to fulfil other halal certification requirements, e.g. non-payment of fees.

k) Changes to halal product requirements

The halal certification body to inform the licensee of changes to halal product requirements and to specify the date by which changes will become effective; also to advise the licensee of any need for a supplementary examination of the halal products which are subject to this agreement.

The licensee to inform the halal certification body whether it is prepared to implement the changes by the specified date.

If the licensee gives confirmation of acceptance of the changes and provided the result of any supplementary examination is favourable, a supplementary licence will be issued or other modifications of the halal certification body's records will be made.

If the licensee advises the halal certification body that it is not prepared to implement the changes by the specified date, or if the licensee allows the terms for acceptance to lapse, or if the result of any supplementary examination is not favourable, the licence covering the particular halal product ceases to be valid on the date on which the changes become effective, unless otherwise decided by the halal certification body.

l) Liability

All questions related to halal product liability are dealt with on the basis of the relevant legal system(s)

m) Appeal or complaints

All appeals and complaints that may arise in connection with this agreement are first directed to the halal certification body to be settled in accordance with the applicable procedures of the halal certification body.

Annex E
(informative)

Example of information to be included in a licence for the use of a Halal certificate or mark of conformity

- Halal Certification body (name, address, contact details)
- Licence number
- Reference to licensing agreement
- Licensee (name, address, contact details)
- Manufacturer address if occurring at different places.
- Illustration of the mark of conformity
- Table showing:
 - Product designation
 - Certificate number
 - Standard(s) and/or other normative document(s)
 - Specific scheme rules (if applicable)
 - Date of issue
 - Date of expiry

Annex F
(informative)
Example of contents of a halal certification agreement

- a) Recitals
- b) Parties to the agreement:
 - name and addresses of the parties
 - authorized representatives under the agreement (refer to Schedule A)
- c) Defined terms and interpretations:
 - defined terms
 - headings
- d) Services to be provided (refer to Schedule B)
- e) Commitments of the client (see the listed items in ISO/IEC 17065:2012, 4.1.2.2 and OIC/SMIIC 2, and also add commitments on the client where it is not the actual producer of the product, e.g. where the client is a distributor/importer, etc.)
- f) Use of license, certificates and marks of conformity
- g) Surveillance of certification
- h) Suspension and withdrawal of certification
- i) Complaints
- j) Appeals
- k) Use of subcontractors
- l) Changes by the client
- m) Changes to the scheme and specified requirements
- n) Transfer of certification
- o) Fees and charges (refer to Schedule C)
- p) Ownership of samples
- q) Intellectual property:
 - vests in the certification body

- ownership of pre-existing material
- third-party material
- moral rights
- ownership of certification documentation and marks of conformity
- r) Confidentiality
- s) Insurance and liability
- t) Termination
- u) Force majeure
- v) Survival and severability
- w) Dispute resolution
- x) Alteration of this agreement
- y) Serving notice under this agreement
- z) Governing law and jurisdiction
- aa) Authorized representatives
- bb) Services to be provided:
 - scheme name
 - specified requirements
 - products to be covered
 - locations of production to be covered
- cc) Fees and charges:
 - general
 - incidental expenses
 - invoicing and payment

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