




# TASNEEF-RINA Business Assurance LLC

## RULES FOR DECISION MAKING IN HALAL CERTIFICATION


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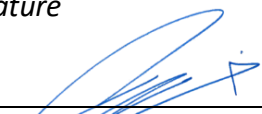

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 <p>تصنيف-رينا لضمان الأعمال TASNEEF-RINA Business Assurance</p>	MANAGEMENT SYSTEM	Effectivity Date: 10 October 2020
	<b>RULES FOR DECISION MAKING IN HALAL CERTIFICATION</b>	Revision no. 02

### 0.1 APPROVALS

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Process
Halal Certification Management System

 <p>Tasneef تصنيف رينا لضمان الأعمال TASNEEF-RINA Business Assurance</p>	MANAGEMENT SYSTEM	Effectivity Date: 01 November 2020
	<b>RULES FOR DECISION MAKING IN HALAL CERTIFICATION</b>	Revision no. 01


## 0.2 REVISION HISTORY

Revision No.	Date	Author	Main changes
00	15 January 2019	Irene Borlongan-Caisip	First issue
01	01 November 2020	Yasir Ali	Reference documents in Clause 6 (Annex)
01	01 November 2020	Elio Calidori	Added information in clause 4 & 5
02	10 October 2022	Yasir Ali	Changes in approval of certificates

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## 1. Purpose

To describe a procedure for review of audit documentation and decision-making for granting or refusing of Halal certification

## 2. Scope

This procedure covers overall activity of Halal certification decision process and issuance or change of certificate carried out by TRBA.

## 3. Responsibility

All certificates shall be reviewed by Technical Auditor / Halal Scheme Leader prior to approval from General Manager (GM). The regulatory affairs coordinator is responsible to issue the certificate to the customer. Halal Scheme Leader is authorized to communicate to the customer regarding Certification Committee's decision on granting or refusing certification; expanding or reducing the scope of certification; withdrawal or restoring certification and renewal of the certification.

## 4. Procedure

### Description of Processes

The main certification decision processes are described below and apply in cases where a certification proposal is to be managed by: First certification process, Recertification process, Transfer of certification from another certification body, Extension/modification of certification scope, Suspension process, Reinstatement process, Withdrawal process, Renunciation process and Contract cancellation process, Issuance and change of certificate

### 4.1 Certification Decision Process:

(First certification, Recertification, Transfer, Extension/modification of certification process)

When a certification proposal is received from client, certification audit is planned & performed, it is then verified and managed by certification department. Sub processes of a certification decision process includes: Receipt of audit documents, Administrative review, technical review and final decision


#### 4.1.1 Receipt of Audit Documents:

The audit team leader / auditor & PR is responsible for submission of audit documents to regulatory affairs coordinator, it may include following documents: certification proposal, previous audit report (transfer), current audit report, non-conformances (if any), corrective action plans submitted by the customer along with the evidences in case of major non-conformances; assessor notes, etc.

#### 4.1.2 Administrative Review:

4.1.2.1 During administrative review, the submitted set of documents are reviewed for completeness by regulatory affairs coordinator.

4.1.2.2 A deviation note (Email) will be issued to program reviewer /audit team leader if any variation / deviation is observed in the completeness of the documents during the review.

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4.1.2.3 The documents along with the deviation note and the response from auditor shall be forwarded to the technical auditor / Halal Scheme Leader for the technical review

#### 4.1.3 Technical Review:

4.1.3.1 The technical review of audit documents (Audit Plan, Audit Report etc) is conducted by the technical auditor / Halal Controller or Halal Scheme Leader or delegated (technical reviewer shall not be the person who has participated in audit).

4.1.3.2 The technical review shall ensure that Information provided by the audit team for new certification, transfer or extension is sufficient with respect to certification requirements and the scope of certification, Details of the non-conformities, (if any), corrections and corrective actions taken by the client. This process is based on fact that audit team has reviewed, accepted and verified the correction & corrective actions and finally audit objectives have been achieved.

4.1.3.3 If any deviations from the above stated are identified, the technical reviewer shall issue a deviation note (Email) to the PR or audit team leader and response is sought.

4.1.3.4 In case, where additional information's are required, which is inevitable to make a decision with regards to the certification; the technical reviewer may contact the audit team leader and / or the respective audit team member for further clarifications.

4.1.3.5 On completion of the technical review, the audit documents are presented in Halal certification decision committee for purpose of decision.


#### 4.1.4 Certificate Decision

4.1.4.1 The Halal Certification decision committee is comprised of five individuals, anyhow for making any decision minimum requirement is three individuals which is always met (two Halal Islamic Affairs Expert while one could be Halal Scheme Leader / Technical Auditor). The auditor participated in audit activity could not be part of certification decision committee. Based on the outcome of the administrative and technical review and review by decision committee, decision will be taken by the committee members which is based on unanimous opinion, not by majority of votes. Halal Scheme Leader is the chairman of the committee. Director Technical must be informed of decisions, having 3 working days to express any concern or clarification. In case of major concerns on the process, Director Technical may express his veto to proceed.

4.1.4.2 During the decision making by the Certification decision committee, factors such as complaints received against the customer, media reports; changes in the scope; new regulations or requirements; etc. are also taken into consideration. The committee along with the approval shall indicate the date of commencement of the certification and its validity period.

4.1.4.3 In the event of conflict of decision between the members of the committee; an additional member from the pool of the members for certification committee shall be added, who is competent enough in the scheme under review, the final decision of the Certification Committee will be taken unanimously, not by majority of votes, which shall be informed to the Halal Scheme Leader to communicate to the customer.

4.1.4.4 In case of routine surveillance audit reports, the review of audit documents by the certification decision committee is not required, except where the Audit team leader has identified

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major non-conformities which may lead to the suspension or withdrawal; expanding or reduction of the scope etc. In all such cases, the audit reports shall be reviewed by the Halal Scheme Leader.

## 4.2 Certification Suspension

4.2.1 Certification suspension may happen due to following reasons:

- Payment arrears by the organization;
- Impossibility to plan and perform the programmed periodic surveillance audits;
- Non-compliance with the deadlines to communicate the proposed corrective actions;
- Technical reasons, as for example:
  - major non-conformities not resolved by the established dates;
  - non-communication of the existence of convictions, legal proceedings, complaints or disputes concerning the mandatory requirements of the product or system; refusal to participate in or hinder participation in the audits and inspections of observers from the accreditation body;
- non-communication of changes to the organization or product certified;
- evidence of any justified and serious complaints and observations received by TASNEEF-RINA BUSINESS ASSURANCE;
- evidence of non-compliance with the applicable, mandatory laws and standards

4.2.2 PR is responsible for promptly informing the client, via fax/e-mail, that the suspension procedure has started along with reasons for suspension. If no positive feedback is received from the client within 10 working days, PR is responsible for adding the CERTIFICATION SUSPENSION PROPOSAL in TRBA record, attaching any relevant supporting documentation.

4.2.3 In all cases, the maximum suspension period is six months from the suspension decision.


4.2.4 In case of impossibility to plan and perform the programmed periodic surveillance audits the maximum suspension period can be up to the next planned audit but in any case, it should not be more than six months from the suspension decision.

4.2.5 Following validation of suspension by the Decision Makers or Halal Scheme Leader, PR updates the certificate status in record and sends the client the communication in writing (certified e-mail or equivalent method).

4.2.6 Except for the above cases for which it is necessary to start the suspension procedure, the mere intention of the client Organization to transfer its certification to another CB cannot be considered as one of the causes for suspension. In this case PR, if contacted by the new CB, must cooperate in order to complete the transfer activity.

## 4.3 Suspension Process requested by Client

4.3.1 After validation of the reasons for the suspension request, communication in writing by the client in accordance with the GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION and with the rules relevant to the specific schemes, PR is responsible for preparing the CERTIFICATION SUSPENSION PROPOSAL and sending it to Halal Scheme Leader who, in the case of approval, can grant a suspension period, generally of six months, calculated starting from

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the date of the request, which may in exceptional circumstances be extended to twelve months (civil work, procurement, approval from authority etc.).

4.3.2 Following validation of suspension by the Halal Scheme Leader, PR is responsible for updating the certificate status in record and informing the client by registered letter with return receipt and by fax/e-mail or PEC (certified electronic mail).

#### 4.4 Reinstatement Process after Suspension

4.4.1 Certification may be reinstated by the end of the period of suspension if the conditions which led to suspension have been resolved.

4.4.2 PR is responsible for sending the CERTIFICATION REINSTATEMENT PROPOSAL for approval, together with the documentation supporting the proposal (i.e. balance clearance or other reason etc.) to Halal Scheme Leader; and if suspension is due to technical reasons then proposal is forwarded to certification decision committee

- For all other cases (refer to SUSPENSION PROCESS PROPOSED BY TASNEEF-RINA BUSINESS ASSURANCE or SUSPENSION PROCESS REQUESTED BY CLIENT phases).

4.4.3 Following approval of the CERTIFICATION REINSTATEMENT PROPOSAL by the Halal Scheme Leader/Certification decision committee, PR is responsible for updating the certificate status in record and informing the client in writing (certified e-mail or equivalent method).

#### 4.5 Withdrawal of Certification

4.5.1 PR is responsible for promptly informing the client via fax/e-mail, that the withdrawal procedure has started along with the reasons for withdrawal.

4.5.2 After 10 working days, PR is responsible for preparing the WITHDRAWAL PROPOSAL in record, attaching any relevant supporting documentation to be approved by:

- Halal certification decision committee, in the case of withdrawal following suspension for technical reasons
- Halal Scheme Leader in the case of withdrawal following suspension, as per all other cases (refer to SUSPENSION PROCESS PROPOSED BY TASNEEF-RINA BUSINESS ASSURANCE or SUSPENSION PROCESS REQUESTED BY CLIENT phases).


4.5.3 Following approval of the WITHDRAWAL PROPOSAL by the Halal Scheme Leader/Halal Decision committee, PR is responsible for updating the certificate status in records and informing the client for withdrawal in writing (certified e-mail or equivalent method).

4.5.4 The mere intention of the client Organization to transfer its certification to another CB cannot be considered as one of the causes for withdrawal. In this case PR, if contacted by the new CB, must cooperate in order to complete the transfer activity.

#### 4.6 Renunciation Process

4.6.1 If a client communicates its intention to renounce its certificate, PR is responsible for promptly informing the client via fax/ e-mail that the renunciation process has begun, that the certificate is no longer valid as from the date of the communication and that the non-valid status of the certificate will be inserted in the list of certified organizations.



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4.6.2 PR is also responsible for updating the certificate status in record and confirming the client that the certificate has been renounced in writing (certified e-mail or equivalent method).

#### 4.7 Contract Cancellation Requested by Client

4.7.1 If a client sends a communication asking to terminate the certification contract, on expiry, the certificate will not be renewed.

4.7.2 Until the certificate expiry, TASNEEF-RINA BUSINESS ASSURANCE will continue to perform all the operations necessary to maintain certificate validity unless, at the time of the request to terminate the contract, the client communicates its intention to also renounce the certificate (please refer to RENUNCIATION PROCESS).

4.7.3 PR is responsible for sending a communication to the client confirming the request and checking whether it intends also to renounce its certificate.

4.7.4 Following this communication, PR is responsible for updating the certificate status in record and confirming to the client that the contract has been terminated in writing (certified e-mail or equivalent method).

### 5. Issuance / Change of Certificate

#### 5.1 Issuance of Certificate:

5.1.1 Certification issuance is based on the outcome of certification decision; the regulatory affairs coordinator shall prepare or modify the certificate as per requirements mentioned in CHECKLIST FOR CERTIFICATE DOCUMENT and forward to the Halal Scheme Leader for review.

5.1.2 After review of Halal scheme leader, Draft copy of the certificate is forwarded to the customer for verification.

5.1.3 Upon getting the confirmation, the original certificate shall be prepared and issued to the customer with the approval of the General Manager (GM).


5.1.4 All certificates shall be issued along with the procedure for use of certificate and certification mark and acknowledgement on receipt of the certificate and the procedure by the customer is maintained in the respective customer file.

5.1.5 Along with the issue of the Certificate, the regulatory affairs coordinator shall update the client database as per the latest certificate details.

#### 5.2 Change in Certificate

5.2.1 Client may request for change in certificate or reduction / expansion in scope to Halal Scheme Leader who will review the request and decide for a special audit if the next audit is not due in near future or if the next audit cannot be proposed. Halal Scheme Leader also determines if the changed scope is within accreditation scope of TRBA, the reasons to change certificate may be:

- Modification of the company name
- Change in ownership
- Modification of the registered address if it is not a site under certification
- Modification of Address of sites under certification
- Extension of certification to new sites
- Extension of the certification scope (new products/services/processes)

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- Reduction in the field of application of certification (i.e reduction of sites/processes/services)
- Increase or decrease in the number of employees involved in the already certified management system

5.2.2 In case of change in name of company or location without any change in management, the client shall submit approval for the change from concerned authority. Where the management has changed, the details of management and approval from concerned authority shall be submitted along with the request.

5.2.3 The duration for the special visit shall be decided by Program Reviewer (PR) / Application Reviewer (AR) and communicated to the client.

5.2.4 The lead auditor submits a descriptive report detailing the changes, justification for reduction / expansion of scope and review of the impact of change in the scope (use of logos etc.) Where expansion of scope is requested, the compliance to Halal management system for the respective activities and impact on other processes is verified. In case the special visit is carried out as a part of routine surveillance, the descriptive report is added to the surveillance report.

5.2.5 Any change in the certificate, as per the list of 5.2.1, must be approved by the Technical Committee.

#### 6. Annex:

- Halal Certification Decision Report (TRBA-RH-01-F-01-00-2020)
- Checklist for Technical Reviewer and Certification Decision Committee (TRBA-RH-01-F-02-00-2020)
- Checklist for Certificate Document (TRBA-R-04-F-01-00-2018)