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| <br>Nippon Asia Halal Association |  | <h1 style="color: green;">Nippon Asia Halal Association</h1>               |                     |                              |
| <b>Document Name</b>   |  | <b>Procedure for Certificate Issue, Suspension, Withdrawal and Renewal</b> |                     |                              |
| <b>Doc ref: NQP-10</b>   |  | <b>Issue: 01</b>   | <b>Revision: 00</b> | <b>Date: 10/01/2022</b>      |
| <b>Prepared by</b>   |  | <b>Technical Manager</b>   | <b>Approved by</b>  | <b>Certification Manager</b> |

## 1.0 Purpose

To describe a procedure for granting or refusing certification, expanding or reducing the scope of certification, Cancelling, suspending or restoring certification, withdrawing certification or renewing certification.

## 2.0 Scope

This procedure covers overall activity for certificate issue, suspension and withdrawal of certificate; expanding or reducing the scope of certification and renewal of the certification for all types of certification activities carried out by NAHA.

## 3.0 Responsibility

3.1 All certificates will be reviewed by technical manager and approved by Director / certification manager prior to issue. The Technical manager / Operation Manager is responsible to issue the certificate to the customer. CM/TM is authorized to communicate to the customer regarding Certification / Halal Islamic affairs committee's decision on granting or refusing certification; expanding or reducing the scope of certification; withdrawal or restoring certification and renewal of the certification.

## 4.0 Description of Activity

### 4.1 Receipt and Review of Audit Report


4.1.1 The audit team leader is responsible for submission of audit report documents, which will include at least the audit report, non-conformances, if any, identified during the audit, corrective action plans submitted by the customer along with the evidence/s in case of major non-conformances; assessor notes etc.

4.1.2 The audit reports are reviewed at multiple steps detailed below:

**Step-01:** includes an administrative review in which, the submitted set of documents are reviewed for completeness by the Technical Manager. A deviation note (N/33) will be issued to the team leader if he/she finds any variation / deviation in the completeness of the documents during the review. The documents along with the deviation note and the response from the team leader will be forwarded to the Certification / halal Islamic affairs committee for the technical review and decision-making process.

**Step-02:** includes a technical review, in which the member of the Certification / Halal Islamic affairs committee responsible for the technical review of the report. The technical reviewer shall not be the one who was part of the particular audit. The technical / halal Islamic affairs review will cover at least:

- Confirm that the information provided by the audit team is sufficient with respect to certification requirements and the scope of certification;
- The details of the non-conformities, if any, identified during the audit and the corrections and corrective actions taken by the client, if applicable.
- In case of any major non-conformities, the audit team has reviewed, accepted and verified the correction and corrective actions;
- Confirm that the audit objectives have been achieved

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If any deviations from the above stated are identified during the step-02, the technical reviewer shall issue a deviation note (N-33) to the audit team leader and response is sought. 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. On completion of the technical review, the report shall be presented in the certification committee for a decision-making process as detailed in Step-03.


**Step-03:** Includes decision making process by certification / halal Islamic affairs committee. Based on the outcome of the administrative and technical / halal Islamic affairs expert; decision will be taken by the committee members. 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 in the particular scheme under review, and the decision is put for voting. On decision which received the majority of vote shall be considered as the final decision of the Certification / halal Islamic affairs committee, which will be informed to the CM/TM to communicate to the customer. In case of routine surveillance audit reports, it may not be required to be reviewed by the Certification/ HIA Committee, except where the Audit team leader has identified major non-conformities which may lead to the suspension or withdrawal; expanding or reduction of the scope etc. In all such cases, the reports shall be reviewed by the Technical Manager and/or the technical member, where the technical manager was involved in the audit process. During the decision making by the Certification / HIA 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.

Halal certification the decision-making process by certification / HIA committee includes three members which including an Islamic affairs expert. Based on the outcome of the administrative and technical / HIA review; decision will be taken by the HIA committee members, the decision will be taken unanimously, not by majority of votes.

**Step-04:** Based on the outcome of the Step-03; if a new certificate needs to be issued, the TM/Operation Manager will prepare the certificate (Refer Clause 4.2) and forwarded to the Director / CM for review. A Draft copy of the certificate is also forwarded to the customer for verification. Upon getting the confirmation, the original certificate will be prepared and issued to the customer with the approval of the Director / Certification Manager. All certificates will 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. Along with the issue of the Certificate, the TM/Operation Manager will update the client database as per the latest certificate details.

## 4.2 Certificate Preparation and Issue

This document is the property of **Nippon Asia Halal Association**. No corrections / amendments are to be made except by the person authorized. The holder to return the manual when he leaves the organization or when he has no further use for it.

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4.2.1 Certificates are issued to clients following initial audit, extension or reduction to accredited scope, triennial audit, or change in company details (name, address etc). Prior to prepare the certification document, the person needs to check reference documents like N\_43 Basic certificate information to understand and confirm the customer and certification details which is specified in the document. In case of significant changes the information in certification agreement and contract review has to be verified before the preparation of certificate. Once the certification document prepared which is forwarded to Director / certification manager review and approval/ signature. Director / Certification manager needs to verify the prepared certificate which is based on the NAHA accreditation scope approval / service areas / certification covered geographical locations, final audit report (Stage -2 / verification audit / final audit or inspection) decision followed with the reference of documents like N\_43 Basic certificate information, Certification agreement and Contract Review.

4.2.2 Each certificate issued by NAHA will carry a unique certificate number of the format as follows:

The **18-character Alpha-Numeric Unique Certification Number** is proposed as below:


|                               |   |   |   |   |                                   |   |   |   |  |    |    |    |    |                |    |    |    |
|-------------------------------|---|---|---|---|-----------------------------------|---|---|---|--|----|----|----|----|----------------|----|----|----|
| 1                             | 2 | 3 | 4 | 5 | 6                                 | 7 | 8 | 9 | 10   | 11 | 12 | 13 | 14 | 15             | 16 | 17 | 18 |
| Certificate number<br>(00000) |   |   |   |   | Accreditation<br>number<br>(0000) |   |   |   | Scheme Digit<br>(Initial first two<br>letters of the<br>standard / scheme)<br>(eg. HALAL – HA) |    |    |    |    | Year<br>(0000) |    |    |    |

4.2.3 In case of re-certification; the initial certification date will be reflected in the certificate. The initial certification date will be applicable only when there is no gap between the initial certification expiry date and the re-certification date.

4.2.4 In case of Multi-site certifications (Not applicable for Halal Certification) operating a common system with the same scope of certification, all the addresses on the client locations, which are certified is included in the certificate. The client may request for individual certificate for each site or in case where the scope of activities at each location is different, in such cases, the serial number in the certificate shall be appended with ‘/1’ for the 1<sup>st</sup> site, ‘/2’ for the second site and so on.

4.2.5 Customers may have integrated system where certificates for multiple standards are issued, in such cases separate certificates are issued for each of the standard.

4.2.6 Once the Certification Decision has been made by the Certification / HIA Committee, no member has the authority to change the decision unless the decision is appealed formally in

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the Appeal Committee. The decision of the appeal committee will be binding to all the members as well as the customers.

4.2.7 One original of the signed certificate is sent to the client at his address or any other address specifically requested by the customer. Additional copies of the certificates may be issued depending on the contract agreement.

4.2.8 The certificate shall only be issued to authorized representative of the client unless the client has requested in writing to hand over to another representative.

4.2.9 Along with the issue of the certificate, the following document/s shall be submitted to the customer. The cover letter shall indicate all the attachments and acknowledgement of receipt from the client representative is obtained.

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>• Covering Letter</li> <li>• Certificate (Original)</li> <li>• Additional certificate copies (if requested)</li> </ul> | <ul style="list-style-type: none"> <li>• Customer Satisfaction Survey Form</li> <li>• NQP-11 - Procedure for certificate and logo usage.</li> </ul> |
|---|---|

4.2.10 A copy of the certificate together with all other documents supporting the approval and decision making will be maintained in

### 4.3 Change in Certificate


4.3.1 The client may request for change in certificate. This may be due to –

- ❖ Change in ownership
- ❖ Change in name of the company
- ❖ Change in location
- ❖ Increase or decrease in scope (products, services offered etc.)
- ❖ Increase or decrease in locations (opening / closing of site etc.)

4.3.2 Client may request for change in certificate or reduction / expansion in scope to CM /Technical Manager. CM/Technical Manager 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. Technical Manager also determines if the changed scope is within accreditation scope of NAHA.

4.3.3 The duration for the special visit shall be decided by CM/Technical Manager and communicated to the client. 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.)

### 4.4 Suspension and Withdrawal or Cancellation of Certificates


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4.4.1 This instruction covers suspension procedures through withdrawal or cancellation of the certification certificate and revision of the register of approved firms.

- Grounds for action are brought to the attention of the Certification Manager / Technical Manager, who reviews the information and forward to the Certification / HIA Committee for appropriate decision.
- If the committee agrees with the decision of the audit team; the customer shall be notified in writing for an immediate correction / corrective action to prevent a suspension / withdrawal of the certificate. Specific time period (usually 7 days, may be reduced to extended depending on the criticality, nature of the problem identified) is allocated for the customer to respond with the detailed correction and corrective actions taken.
- The affectivity of the actions taken by the customer shall be verified, if required onsite, the report shall be submitted to the Certification / HIA Committee to withdraw the decision of suspension.
- If the customer has not positively responded to the notification within the allocated time period; the committee will proceed with the decision of suspension of the certificate and shall inform the same to the client in writing. The suspension normally will be for a period of 7 days, within which customer is advised to take all the necessary corrections and corrective actions.
- The customer is also advised to avoid using the certificate or certification logo in any of the advertisements, or on labeling during the period of suspension.
- In the event of customer responding within the specified time period with the detailed corrections and corrective actions; the effectiveness of the actions shall be verified and confirmed by the audit team, if required, through on-site assessment.
- The recommendations of the audit team are forwarded to the Certification / HIA Committee, who shall review the evidences and take appropriate decision. The authority to resume the certification rests with the Certification / HIA Committee.
- Where in case the customer has not responded positively to the suspension notification and/or has not effectively implemented the corrective actions within the time frame; the certificate shall be withdrawn with immediate effect. The customer will be notified of the decision of withdrawal and advise the customer to return all the original copies of the certificates; refrain from using the certificate or certification mark / logo.
- Once the certificate has been withdrawn; the client needs to re-apply for certification which shall follow the same procedure as that of initial certification.
- In the event of withdrawal or cancellation of the certificate; NAHA, if required will publish the details of the certification cancelled through its website. The customer shall be removed from the list of the certified customers.

4.4.2 The following reason/s are considered grounds for suspension or cancellation:

- Major non-conformance(s) or effective corrective action not implemented within a specified time period.

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- Improper use of the certificate, symbol or logo not remedied to the satisfaction of NAHA
- Client ceases to supply product or service of the certified quality system for an extended period of time.
- Client's certified management system has persistently failed to meet any of the requirements for certification including requirements for the effectiveness of the management system.
- Client fails to meet financial obligations to NAHA
- Client makes a formal request to withdraw certification.
- Infringement by the client of any contractual conditions between the client and NAHA
- Client is unable or unwilling to ensure conformance to revisions of standards.
- Existence of a serious complaint, or a large number of second- or third-party complaints, which indicate that the quality management system is not being maintained.
- Client does not allow routine surveillance to be conducted at the required frequency.

4.4.3 The suspension or cancellation can be initiated if the client does not allow the routine surveillance to be conducted at the required frequency. The routine surveillance is carried out not more than 12 months from the last audit. In case the audit is not done within 12 months (13 months in case of yearly surveillance), the certificate is suspended, and a letter is sent to the client requesting him to agree for the audit. In case of a delay up to 3 months (15 months from the last audit), the audit time will be extended by 50% of the routine surveillance time (at least 1 man-day). Successful completion of the audit within 15 months shall not impact the certification.


In case the audit is not done within 15 months, the certificate is cancelled, and the client shall be considered as a fresh case for certification.

The above are for special conditions like strike, natural calamities, business operations (case to case basis) etc.

#### 4.5 **Conditions for Suspension or Cancellation of Client Certification\***

- 4.5.1 Subject to actions by the client, the following steps will be taken leading to possible suspension or cancellation of the client's certification:
- Unless a reply is received to the letter accompanying notification within 7 days, certification will be suspended, and a notification of suspension may be published at the discretion of NAHA
  - The client's response to the accompanying letter will be reviewed and the proceedings may be put on hold while clarification is sought.
  - Where mutually agreed-upon corrective action is to be implemented, a time period for implementation will be specified and a review of the corrective action undertaken at




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the appointed time. This may be the subject of a special surveillance visit or of review of submitted objective evidence, at the discretion of NAHA the corrective action not be considered adequate or not be completed by the appointed time, certification will be automatically suspended.

- In the case of serious circumstances, NAHA may invoke suspension during the period pending the implementation of corrective action.
- Where suspension has been invoked, unless otherwise specified, the client must advise NAHA every 7 days of the current situation of corrective action. Failure to meet this requirement will result in cancellation of the client's certification.
- Where suspension has been invoked due to failure to conduct surveillance audit, the client shall give justification for failure and offer suitable date. An additional man-day shall be added to routine surveillance days. The date shall not be later than 15 months from last audit. Failure to offer for audit within 15 months will result in cancellation of certification.
- When corrective action to resolve the problem(s) taken by the client has been verified, certification will be resumed. The period of certification will not be revised to cover the period of suspension.
- Cancellation of certification will be invoked where, following suspension of certification, the client fails to respond to NAHA communications within the 7 days grace period or fails to implement corrective action within the appointed time period.
- In extreme circumstances NAHA may invoke the cancellation of certification with immediate effect without recourse to initial certification suspension.
- Cancellation of certification will require the client to assume the status of non-approval and return all certification documentation to NAHA
- Use of certification documents, symbols, or logos by the client following certification cancellation may result in legal action being taken against the client.
- Re-approval after certification cancellation will be on the same basis, and follow the same process, as that of initial application for a new client. This will require a full assessment, with optional document review at the discretion of NAHA
- The de-certification will be published as a separate list and will be available at the NAHA office and made available upon request.
- The client has the right to appeal any decisions of NAHA and a copy of the appeals procedures will be made available upon request.
- AE shall remove the companies where the certificate has been cancelled. During suspension, suspension remark shall be placed in the registered of approved firms.
- The client files for all cancelled cases will be archived for a period of 3 months and then destroyed.

#### 4.6 Reduction in Scope of Certificates Issued

NAHA will wherever applicable reduce the scope of certification if during the time of routine surveillance audits / Re approval or Renewal audits it finds that the certified client

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has continually / seriously failed to meet the certification requirements for those parts of the scope of certification. The reduction in scope will be approved by the Certification / HIACCommittee.

**Note:** NAHA will inform government legal bodies (eg. GSO / SFDA / MoIAT / local Govt. authority) in case of certificate suspension, withdrawal and cancellation for HALAL certifications. The communication mode will be email/any other possible mode by CM/TM.

## 5.0 Reference

- 5.1 ISO/IEC 17021 - Conformity Assessment - Requirements for Bodies Providing Audit and Certification of Management Systems;
- 5.2 ISO/IEC 17065 - Conformity Assessment - Requirements for Bodies Certifying Products, Processes and Services;
- 5.3 ISO/IEC 17020 - Conformity Assessment - Requirements for the operation of various types of bodies performing inspection;
- 5.4 GSO 2055-2 & UAE.S 2055-2 - Halal Products - Part Two: General Requirements for Halal Certification Bodies;
- 5.5 ISO 19011 - Guidelines for Management Systems Auditing;

## 5.0 Enclosure

Nil

## 6.0 Formats / Exhibits

- 7.1 N/29 - Decision about Certificate Suspending
- 7.2 P/30 - Decision on Validity Renovation of Suspended Certificate
- 7.3 P/33 - Deviation Note
- 7.4 P/34 - Customer Satisfaction Survey Form
- 7.5 List of Registered Companies (Approved Firms / Withdrawn Firms / Suspended Firms)
- 7.6 NQP-11 – Usage of certificate and logo
- 7.7 Draft Certificate Formats