



The following are specific Halal-specific scheme requirements for audits, in addition to the audit procedure and implementation of TIC QC. This document should be taken into account in conjunction with the aforementioned document.

Terminology: **Certification of Meat Processing Facility / Exporter/ unit certification is same as facility certification** or Halal certificate issued by TICQC

I. Additional Requirements:

a. **Stage I Audits:**

Note: Initial audits shall be conducted in 2 stages. Stage I and Stage II.

- The purpose of the Stage I audit is the following: -
 - To provide a focus for planning the stage 2 audit by gaining an understanding of the client's management system and site operations in the context of possible significant aspects
 - To review the allocation of resources for the stage 2 audit and agree with the client on the details of the stage 2 audit and to evaluate and validate the need for auditing work shifts other than the main work shift.
 - To verify and confirm the level of integration of the integrated management system, if applicable.
 - To identify any areas of concern that could be classified as nonconformity during the Stage II audit
 - To reach an agreement with the client regarding the details of the Stage II audit, including interval between stage 1 and stage 2 on the basis of needs of the client to resolve area of concerns identified, if applicable.
 - The client shall be informed that the results of the stage 1 may lead to postponement or cancellation of stage 2.
- Any part of the product safety management system that is audited during the stage 1 audit and determined to be fully implemented, effective and in conformity with requirements may not need to be re-audited during stage 2 audit. However, the certification body shall ensure that the already audited parts of the product safety management system continue to conform to the certification requirements. In this case, the stage 2 audit report shall include these findings and shall clearly state that conformity has been established during stage 1 audit.
- The stage I shall include the following: -
 - The review of the client's status and understanding regarding the requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;
 - The audit of the client's management system documentation;
 - The collection of the necessary information regarding the scope of the management system, processes, and location(s) of the client, and related statutory and regulatory aspects and compliance (i.e. quality, environmental and safety legal aspects of the client's operations, associated risks, etc.); processes and equipment used; levels of controls established (particularly in case of multisite clients)
 - Whether the organisation has identified (PRPs) that are appropriate to the business (e.g. regulatory and statutory requirements),



TIC Quality Control Pvt. Ltd. AUDIT PROCEDURE - HALAL

- Whether the product safety management system includes adequate processes and methods for the identification and assessment of the organization's safety hazards, and subsequent selection and categorization of control measures (combinations),
 - Availability of legislations regarding the safety of products in the areas relevant to the organization,
 - Whether the product safety management system is designed to achieve the organization's safety policy,
 - Whether the product safety management system implementation program justifies for further audit (stage 2),
 - The validation, verification and improvement programs conform to the requirements of the product safety management system standard,
 - The product safety management system documents and arrangements are in place to communicate internally and with relevant suppliers, customers and relevant parties
 - Any additional documentation that requires revision and/or knowledge that needs to be obtained in advance.
 - Knowledge Verification: Testing if workers understand which materials are Haram (forbidden) or Najis (impure).
 - Process Compliance: Confirming they follow specific cleaning and ritual cleansing protocols when switching production lines.
 - Training Proof: Verifying that the training records on file match the actual skills and knowledge of the employees.
 - Critical Control Points (CCPs): Ensuring staff in sensitive areas (like slaughtering or raw material receiving) know their specific Halal duties
- The evaluation of the client's preparedness for Stage II activity is based on:
 - Discussions with the client's personnel;
 - Evaluation that the internal audits and management review are being planned and performed;
 - The level of implementation of the management system based on the sampling of processes and relevant records;
 - The auditor's conclusion will include the fulfilment of the stage 1 objectives and the readiness for stage 2.
 - If any significant changes which would impact the management system occur, the need to repeat all or part of stage 1 may be considered.
 - The client shall be informed that the results of stage 1 may lead to postponement or cancellation of stage 2.
 - The interval between stage 1 and stage 2 shall not be longer than 6 months. Stage 1 shall be repeated if a longer interval is needed.
 - In exceptional circumstances or events, all or part of stage 1 can take place off-site or remotely through the use of remote techniques and shall be fully justified. The evidence demonstrating that stage 1 objectives are fully achieved shall be provided.

NOTE 1 Exceptional circumstances or events can include a very remote location, a natural disaster, a pandemic, a short seasonal production and other special situations.

NOTE 2 Any part of the i-CAS Halal that is audited during the stage 1 audit, and determined to be fully implemented, effective and in conformity with requirements, does not necessarily need to be re-audited during stage 2. In this case, the audit report includes these findings and clearly states that conformity has been established during the stage 1 of the audit.



TIC Quality Control Pvt. Ltd. AUDIT PROCEDURE - HALAL

- When outsourced control measures are applied, stage 1 audit shall review the documentation included in Halal the requirements and/or the product safety management system to determine if the combination of control measures is suitable for the organisation and conforms to requirements of i-CAS Halal standards. The availability of relevant licenses should also be verified when collecting information on compatibility with national or international regulatory aspects.
- Stage II shall includes the following:

The audit shall include at least the following: -

- Information and evidence about conformity to all requirements of the applicable management system standard or other normative document;
 - Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
 - The client's management system and performance as regards legal compliance;
 - Internal Auditing and Management Review
 - Operational control of the client's processes
 - Management responsibility for the client's policies;
 - Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.
 - Validation of the scope of the management system and any stated permissible exclusion.
 - Audit findings and/or conclusions from the Stage 1 audit.
 - The Lead Auditor shall confirm (Audit Programme) for three-years.
 - The auditor's conclusion and recommendation for initial certification will include an analysis of stage 1 and stage 2 audit results.
- In the event that personnel meetings are conducted in a separate room,
 - The room should not be a chamber that belongs to senior management.
 - Individuals should not be exposed to a situation that will influence the conversation from outside the interview room.
 - No apparatus that would infringe upon privacy, such as a camera or voice recorder, should be present.

While onsite, the following shall be verified along with Stage 2 checklist.

- **Animal Derivatives:** No traces of non-Halal animals or those not slaughtered according to Islamic law.
- **Substance Prohibition:** Zero presence of synthetic alcohols, liquors, wines, or narcotic drugs.
- **Processing Aids:** Verification that no *Haram* (forbidden) processing aids contact the product at any stage
- **Slaughtering Technicalities (Meat Sector):** Specific technical parameters for slaughter are observed on-site as per section 4.5 & 4.6 of per GSO 993:2022 and/or i-CAS Halal Part B, Clause B8.2 (slaughtering requirements MS 1500:2009)
- **Tool Compliance:** Pneumatic stunners for bovine must not exceed 225 psi, and the stunner head must be flat or slightly convex.



- **The Act:** Verification that the throat, oesophagus, trachea, and jugular veins are severed while leaving the spinal cord intact.
- **Slaughterman Qualification:** Verify that each slaughterman (a) is a practising Muslim who is mentally sound and understands the rules of Halal slaughter, and (b) holds a valid Halal slaughter certificate issued by the state/city/local authority,
- **Slaughter Ritual Requirements:** Confirm that (a) tasmiyyah (invocation of Allah's name) is made immediately before each slaughter, (b) slaughter is performed with niyyah (intention), (c) slaughter is recommended facing the qiblah, and (d) the slaughtering knife/blade is sharp and free from blood and impurities
- **Facility Hygiene & Segregation**

The physical environment is audited for contamination risks:

- **Najis Protection:** Any equipment contaminated with *Najis* (impurities) cannot be used in preparation, storage, or transport.
- **Packaging Safety:** Packaging materials must be non-toxic, free of Halal-prohibited materials, and physically separated from non-Halal stock.
- **Visual Integrity:** Artwork and labelling must not contain images that contravene Sharia principles or create confusion (e.g., using "ham" or "beer" terminology).

4. The "Halal Assurance System" (HAS) Documentation

Auditors scrutinise the facility's internal management:

- **Traceability:** Ability to trace ingredients back to their source, including laboratory test reports from **NABL-accredited labs** where applicable.
- **Mandatory Personnel:** Proof of at least one **permanent supervisory staff member** who is competent in Halal requirements. The management shall appoint a competent person(s), as its Authorized Officer(s), having knowledge concerning Halal, who is/are responsible to ensure the effectiveness in implementation of Halal principles and practices as required by i-CAS Halal Part B, Clause B4.5
- **Management Review:** Evidence of an annual management review showing senior management's commitment to the Halal system
- **APEDA Monitoring Compliance:** Verify that the certified facility is registered with APEDA and complies with APEDA monitoring requirements as required under the i-CAS Halal scheme (DGFT Notification). Facility shall hold a valid RCMC (Registration Cum Membership Certificate) and unit identification number issued by APEDA.

II. Accelerated Audit (Back-to-Back Stage I/Stage II):

- For accelerated audits, follow the instructions above for the Stage I segment. Please take note that a desk review of documentation needs to take place first.
- At the end of the Stage I phase, the audit team shall have a formal meeting with the organisation in order to inform client's management about the decision is to carry-on with the Stage II phase; in the case that the decision is not to proceed with the Stage II segment the audit team shall immediately notify the TIC HALAL INDIA office. The client is also to be reminded that it will incur any additional cost associated to the audit team travel arrangement, if applicable.
- Conditions not to proceed to stage 2 include but are not limited to:-
 - If the results of the Stage I activity indicate that information provided by the client regarding the scope of the management system, processes, location(s)/site(s), work shifts, number of employees of the client, and related statutory and regulatory aspects and compliance (i.e. quality, environmental and legal aspects of the client's operations, associated risks, etc.) is inaccurate to the point that the activity cannot take place as per the preliminary plan;
 - If the results of the Stage I activity provide a clear indication of a significant misunderstanding by the client of the requirements of the audit criteria (certification standard), indicating that the client is not ready for the Stage II activity;



TIC Quality Control Pvt. Ltd.
AUDIT PROCEDURE - HALAL

- If the corrective actions deemed necessary as a result of the above-mentioned off-site review activity have not been satisfactorily implemented;
- If the applicable legal and regulatory requirements have not been properly identified;
- In the case of integrated management system audits, failure to satisfy one of the conditions specified above for any of the standards/audit criteria covered by the scope of the management system may lead to the interruption of the audit after the Stage I activity

III. Surveillance Audits:

Follow section 6 of above in addition to below. TIC QC has to maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided that:-

- For any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body the need to initiate a review by competent personnel and different from those who carried out the audit, to determine whether certification can be maintained;
- Competent personnel of TIC QC monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity are operating effectively.
- Surveillance activities shall include on-site auditing of the certified client's management system's fulfilment of specified requirements with respect to the i-CAS standard to which the certification is granted.
- Surveillance audits will be conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date. The gap between subsequent surveillance assessments shall not exceed 15 months as required under NABCB i-CAS Halal accreditation criteria. Surveillance assessment shall include office assessment as well as witness of the audit of the certified organizations, as required by NABCB.

NOTE: It can be necessary to adjust the frequency of surveillance audits to accommodate factors such as seasons or management systems certification of a limited duration (e.g. temporary construction site).

- Surveillance audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that the certification body can maintain confidence that the client's certified management system continues to fulfil requirements between recertification audits e.g. 6 months of surveillance audit in the 3 years certification cycle may covers minimum ~50% of the entire system activities ensuring that all management system requirements are covered in the 3 years audit cycle once again (apart from Stage 2). However, surveillance for the i-CAS Halal standard shall include following in all surveillance audits:-
 - internal audits and management review;
 - a review of actions taken on nonconformities identified during the previous audit;
 - complaints handling;



TIC Quality Control Pvt. Ltd.
AUDIT PROCEDURE - HALAL

- effectiveness of the i-CAS Halal w.r.t achieving the certified client's objectives and the intended results of i-CAS Halal
- progress of planned activities aimed at continual improvement;
- In case of Halal production premises are audited and nonconformities that directly affect Halal product safety are detected, samples are taken for surveillance purposes
- continuing operational control;
- review of any changes;
- use of marks and/or any other reference to certification.

- For the last surveillance prior to recertification audit the lead auditor shall review the performance of the management system over the certification cycle by performing a review of all reports issued during the certification cycle as well as any other available information, such as complaints, in order to identify repetitive failures or improvement/degradation of the management system. Results of this review shall be recorded in the audit report and as a result of surveillance shall be determined by decision maker(s).

- If deemed necessary, a recommendation that could include the performance of a stage I activity at re-certification and/or increase or reduction of the audit time for the re-certification activity, based on significant changes, or performance issues with the client in the current cycle shall be documented under "Other or additional lead auditor recommendation if applicable.

Other surveillance activities may include:-

- enquiries from the certification body to the certified client on aspects of certification;
- Reviewing any certified client's statements with respect to its operations (e.g. promotional material, website);
- requests to the certified client to provide documented information (on paper or electronic media or social media);
- other means of monitoring the certified client's performance such as announced or unannounced site visits, feedback from site or their customers, confidential reporting system, complaint investigation, observing or witnessing an audit on request etc.

IV. Recertification Audits:

- A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document.
- This shall be planned and conducted in due time (well in advance i.e. 2-3 months before the due date, if possible) to enable for timely renewal before the certificate expiry date
- Client will submit a recertification or renewal application six (6) months prior to the expiry date of current Halal certificate.
- Halal certificate owners who failed to renew their certificates will not be allowed to use the Halal mark at the premises or on the manufactured products.

- Recertification audit shall include:-
 - A Stage I activity if recommended and in situations where there have been significant changes to the management system, the client or the context in which the organization operates (e.g.: changes to the legislation, the major processes, etc.)
 - The evaluation of the continued fulfilment of all of the requirements of the relevant audit criteria. The purpose is to confirm the continued conformity and effectiveness of the food safety management system as a whole, and its relevance and applicability for the scope of certification.



TIC Quality Control Pvt. Ltd. AUDIT PROCEDURE - HALAL

- A demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance
- The verification of whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.
- The assessment of all processes identified in (Audit Programme) (Three-Year).

V. Transfer Audits:

Transfer audits follow general audit process defined above with regards to type of audit identified by Audit programme of previous Certification Body. The Lead Auditor shall also consider the instructions, if any, provides in the Client information and approval form.

VI. Special Visits:

The scope and objective of the special visits shall be specified in the Client information and approval form and the audit plan

VII. Scope extension: -

An application for the scope extension is required from the existing certificated site. TIC QC undertake review of this application to determine the requirement of any audit activity i.e. Desktop review/On-site audit for deciding whether certification can be extended or not. This audit activity may be conducted with the surveillance audit or as a separate audit.

VIII. Short-notice/Unannounced Audit:-

- Visits being performed to investigate complaints, in response to changes, or as follow-up on suspended clients. It may be necessary for the certification body to conduct audits of certified clients at short notice or unannounced. In such cases:
- The certification body shall describe and make known in advance to the certified clients the conditions under which such audits will be conducted e.g. time, cost, expectations, outcomes etc.
- The certification body shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members. Selection of appropriate audit team members who are competent and free from any potential conflict of interest is required.

"Consignment Certification": Certificate that certifies a specific Shipment/consignment of meat/meat products, consider as halal under I-CAS scheme, and exported to any countries listed in DGFT notification. This certificate is issued to the client when shipment of meat or meat products takes place. Please refer to procedure to Issuance of i-CAS Consignment (Halal) Certificate (TIC-HAL-SOP-07)



Revision History

The following is a summary of the recent revisions to this document.

Date	Revision No.	Amended By	Description of Changes