



# World Halal Trust

## QUALITY MANUAL

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## SCOPE

World Halal Trust Group (WHT Group) is a group of companies specialising in the certification and control of halal products' manufacturing.

Our main goal is to ensure the honest and qualified production of all halal products. We work hard to make sure that the certified products are made in accordance with all the rules and standards of halal production under the Islamic (Shariah) Law. WHT Group provides Halal certification services in the fields of agriculture, food, chemical and biochemical products' production and processing, animal feed production and other materials' production as well as the provision of services. It is the responsibility of WHT head office and its subsidiaries to ensure the accurate Halal Certification of products according to the applicable standards, procedures and instructions defined in this Manual.

Our goal is to provide the services which fully comply with the requirements of Islam, as well as the principles of fairness, responsibility, confidentiality and impartiality. This Manual is designed to ensure the fair, honest and effective performance of our organisation.

All requirements specified in this Manual, as well as in the documents specified in the Manual, must be strictly observed by all WHT group employees.

## 1. REFERENCES

1. GSO 2055-1:2015	Halal food - Part 1: General Requirements
2. UAE.S GSO 713:1997	Hygienic regulations for poultry processing abattoirs and their personnel
3. UAE.S GSO 21:1984	Hygienic Regulations For Food Plants And Their Personnel
4. UAE.S 9:2017	Labelling of prepacked food stuffs
5. GSO 2055-2:2021	Halal Products – Part 2: General Requirements for Halal Certification Bodies
6. GSO 993/2015	Animal Slaughtering Requirements According to Islamic Rules
7. OIC/SMIIC 1: 2019	General requirements for Halal food
8. OIC/SMIIC 2: 2019	Guidelines for Bodies Providing Halal Certification
9. MS 1500:2019	Halal food – production, preparation, handling and storage – general guidelines (third revision)
10. Malaysian Protocol	For Halal meat and poultry production
11. ISO 19011:2018	Management systems audit guide
12. WHT.G:2022 (internal document)	World Halal Trust. General Requirements for Halal Production and Certification

## **2. DEFINITIONS**

The following definitions apply for the purpose of this Manual:

### **2.1 Agreement**

The Halal Certification Agreement is signed between the Client and the Certification Body, stating the rules for the right to use Halal Certificate/halal mark and governing the main certification conditions.

### **2.2 Certification Body**

The Certification Body is the party that is responsible for ensuring that products meet the halal requirements on which the certification is based according to certification standards as well as the Certification Scheme and continue to meet them during the validity of the issued Halal Certificate. In terms of this document the Certification Body is equivalent to WHT Group.

### **2.3 Certification Scheme**

The Certification Scheme is the qualification criteria stipulated in WHT group's policies and procedures, certification standards and the Certification Agreement.

### **2.4 Certification standards**

The relevant requirements for the production of Halal products selected by the Client for compliance when filling out the Application for Certification (GSO 2055-1:2015, MS 1500:2019, OIC SMIIC 1:2019 or WHT.G:2022).

### **2.5 Client**

The entity that passed WHT's Certification Procedure and has a valid Halal Certificate issued by the Certification Body or the person applying for certification in accordance with Halal certification standards and certification scheme.

### **2.6 Conformity**

Fulfilment by a product of specified requirements of the Certification Scheme.

### **2.7 Continuous Monitoring**

Periodic check of Client's actions, Halal mark/logo usage, Client's reputation, surveillance audits of the Client's production facility and documentation.

### **2.8 Evaluation**

Systematic examination of the extent to which the Applicant or the Client fulfils specified requirements.

### **2.9 Exception**

Approved limited non-compliance with applied Standards and/or Procedures.

### **2.10 Halal Certificate**

A document endorsing that identified product conforms with the requirements of Halal as per Islamic (Shariah) Law and selected certification standard.

### **2.11 Halal Mark/Logo**

An approved mark/logo that is granted to the product/service which comply with the Halal standards and selected certification standard.

## **2.12 Head Office**

World Halal Trust, located in Lithuania, acting as the Head office for all its subsidiaries, integrating its Quality Management System into the activity of all its subsidiaries.

## **2.13 WHT group**

Means World Halal Trust and all its subsidiaries acting in accordance with the same rules and procedures under the management of the Head office.

## **2.14 Impartiality**

The presence of objectivity and the absence of conflicts of interests which may influence the certification activities.

## **2.15 Islamic Law (Shariah)**

What ALLAH legislates for Muslims as per the Holy Qur'an, and the practices (Sunnah) of honourable Prophet Mohammed (peace be upon Him).

## **2.16 Qualified Personnel**

Personnel that have the capability of fulfilling specified requirements and are authorised to perform specified actions.

## **2.17 Quality Manual**

A document stating the Quality Policy, Quality System and Quality Practices of WHT group.

## **2.18 Subsidiary**

The official subsidiary of World Halal Trust in another country, acting in accordance with the Quality Management System of the Head office.

# **3. GENERAL REQUIREMENTS**

## **3.1 Legal and Contractual Matters**

### **3.1.1 Legal Responsibility**

World Halal Trust, UAB is a legal entity registered as a Limited Liability Company to do business in Republic of Lithuania and can be held legally responsible for its activities.

World Halal Trust, OOO is a legal entity registered as a Limited Liability Company to do business in Republic of Russia and can be held legally responsible for its activities.

World Halal Trust, P.C. is a legal entity registered as a Limited Liability Company to do business in Republic of Greece and can be held legally responsible for its activities.

World Halal Trust, MCHJ is a legal entity registered as a Limited Liability Company to do business in Republic of Uzbekistan and can be held legally responsible for its activities.

World Halal Trust, CLG is a legal entity registered as a Limited Liability Company to do business in the United Kingdom and can be held legally responsible for its activities.

World Halal Trust, TOO is a legal entity registered as a Limited Liability Company to do business in Republic of Kazakhstan and can be held legally responsible for its activities.

The activities and responsibilities of WHT subsidiaries are established by the WHT Group Top Management and are determined by the appropriate document. *(QMS-20)*

The activities and responsibilities of WHT departments and committees for the Head office and subsidiaries are established by the WHT Group Top Management and are determined by the appropriate document. *(QMS-02)*

The Terms of Reference, formal rules of appointment and operations of WHT committees for the Head office and subsidiaries are derived in the appropriate document. *(QMS-14)*

The duties, responsibilities and authorities of the members of WHT committees and departments the Head office and subsidiaries are established by the WHT Group Top Management and determined by the relevant document. *(QMS-03)*

WHT Group takes all the steps necessary to ensure that products supplied to Muslims meet all Islamic requirement at all stages of manufacturing and supply and to assess product compliance with the requirements of a specific Halal product certification scheme. In carrying out certification activities, WHT is responsible for ensuring the suitability and competence of testing, inspection and Halal certification bodies in accordance with the requirements set forth in the relevant standards (such as ISO/IEC 17025, ISO/IEC 17020, ISO/IEC 17021 and/or ISO/TS 22003). WHT carries responsibility for complying with all Islamic requirements.

### **3.1.2 Certification Agreement**

WHT Group and their Clients enter into an agreement for the provision of the Halal Certification services. The Agreement is legally binding, outlines the responsibilities of both WHT Group and the Client and requires that both parties comply with all certification and continuous monitoring responsibilities. The right to perform the periodic production facilities' audits and/or tests is granted by the Client. WHT Group will also accept the right granted by other certification bodies to perform audits and/or tests at the permission of the Client. WHT Group requires that its Clients:

- a. Comply with all requirements stated in this Manual, selected certification standards, the Agreement, the Certification Scheme and the Halal Certification Application form. In the event of a change in WHT Group's requirements, Clients undertake the responsibility to make the necessary changes in their activities/production in accordance with the new (modified) requirements when they are communicated by WHT Group;
- b. Make necessary arrangements for the conduction of surveillance and certification audits (with the participation of observers, if necessary), which include the inspection of the production facility, staff interviewing and checking documents (including analysis of complaints/appeals received) and the inspection the Client's subcontractors. In

addition, the Client has to agree to periodic and sudden evaluation visits of WHT Group's representatives;

- c. Agree that certified products will be constantly manufactured to conform with the scope of certification and the relevant Standards, stated in the Agreement and/or Halal certificate;
- d. Use the issued Halal certificate and Halal logo/mark only for certified products and do not use the Certificate in misleading or unauthorized ways or ways that could negatively affect the activities and/or reputation of the Certification Body;
- e. Make sure that the all the links and references to product certification in the media comply with the requirements of WHT Group;
- f. Discontinue the use of the Halal Certificate and the Halal logo/mark, as well as the spread of information about the availability of the Halal Certificate immediately after the expiration/suspension or revocation of the Halal Certificate and act in accordance with the requirements specified in paragraph 6.17 of this Manual;
- g. If the case of a change in the Halal certification field, to accordingly change the information on Halal Certification in all the sources that contain information on Halal Certification;
- h. Immediately inform the Certification Body of any changes that may affect its ability to conform with the certification requirements;
- i. When providing a copy of the Halal Certificate to others, provide a copy exactly corresponding to the original of the issued Halal Certificate.
- j. When using and distributing information on the issued Halal Certificate or the copies of the Halal Certificate and/or the Halal Mark, use this information exactly as it is provided in these documents;
- k. Comply with all the requirements that are prescribed in the certification scheme and/or the Certification Agreement regarding the use of Halal mark/logo and information related to the certified product;
- l. The Client's responsibilities include keeping records of all complaints/appeals received in relation to the compliance with the Halal requirements and recording all actions taken regarding complaints/appeals received. Documentation on complaints/appeals should be provided to the Certification Body upon request.

The term of the contract should not exceed one year for WHT.G:2022 and MS 1500:2019 standards and three years for GSO 2055 – 1:2015 ir OIC/SMIIC 1:2019 standards.

### **3.1.3 Decision Responsibility for Halal Certification**

WHT subsidiary, responsible for Halal Certification process of a specific Client bears and retains authority for all decisions on the provision, refusal, renewal, control, expansion/reduction of the scope, suspension, revocation and maintaining of Halal certification for this Client. All of the above decisions are made by the Halal Certification Committee of a specific subsidiary after the certification process or analysis and evaluation of new information received during surveillance audits and / or from external sources.



### 3.1.4 Implementation of activities

WHT Group carries out all its activities on the basis of this Manual and all the documents specified in this Manual. In turn, this Manual and all documents specified in it are based on the following standards:

- a. UAE.S GSO 713:1997 – Hygienic regulations for poultry processing abattoirs and their personnel;
- b. UAE.S GSO 21:1984 – Hygienic Regulations for Food Plants and Their Personnel;
- c. UAE.S 9:2017 – Labelling of prepacked food stuffs;
- d. GSO 2055 – 2:2021 – Halal Products – Part 2: General Requirements for Halal Certification Bodies;
- e. GSO 993/2015 – Animal Slaughtering Requirements According to Islamic Rules;
- f. GSO 2055 – 1:2015 – HALAL FOOD – Part 1: General Requirements;
- g. OIC/SMIIC 1:2019 – General requirements for Halal food;
- h. OIC/SMIIC 2:2019 – Guidelines for Bodies Providing Halal Certification;
- i. MS 1500:2019 – Halal food – production, preparation, handling and storage – general guidelines (third revision);
- j. Malaysian Protocol for Halal meat and poultry production;
- k. ISO 19011:2018 – Management systems audit guide;
- l. WHT.G:2022 – General Requirement for Halal Production and Certification.

Consequently, all WHT Group’s activities (including staff competencies, certification processes, audits and reports) are based on the above standards and their requirements.

### 3.1.5 Halal Logo/Mark

Each WHT subsidiary owns and controls a Halal Mark that is registered with the Patent office of the relevant country. Each WHT subsidiary maintains the control of the use of its Halal Logo through the Certification Agreement, policies and surveillance of Halal Mark use. Prompt and well-defined action based on options defined in Agreement and the associated policies is carried out for any misuse or unauthorised use of the Halal Mark. Appropriate legal action will be taken for any misuse of the Halal Mark not bound by the Agreement in place. In addition, each WHT subsidiary will obtain a legal advice and notify appropriate governmental, regulatory and public bodies of relevant countries with regard to the misuse of the Halal mark. Each WHT subsidiary is fully capable of financing the legal defence of its Halal logo.





## **3.2 Management of Impartiality**

**3.2.1** Managing impartiality effectively is one of the critical aspects in delivering high quality certification services that our Clients and the community can rely on. We must understand and manage threats to impartiality to support the objectivity of our actions. WHT Group is dedicated to and is responsible for undertaking certification activities impartially and also eliminating risks to impartiality which arise from its activities and the activities of its personnel. Conflicts of interest can doubt on the accuracy and validity of product certifications and cannot be allowed to influence certification activities.

**3.2.2** Salaries of WHT Group's employees do not depend upon the commercial or any other success of any specific commercial activity of the Certification Body.

**3.2.3** WHT Group regularly identifies risks to impartiality that arise from its activities and relationships, and the activities and relationships of its personnel. Risks are identified and evaluated through the following means:

- a. Audit reports are periodically evaluated by the WHT Group Shariah Committee and the Head of the Halal Certification Unit;
- b. All our employees sign confidentiality and code of ethics agreements;
- c. Personnel are required to report all threats, offers of bribery or potential conflicts of interest to the WHT Group Top Management;
- d. The WHT Group Top Management is obliged to investigate each report and take appropriate actions, such as termination of cooperation with a compromised Client, removal/dismissal of compromised personnel, report to the relevant authorities, legal processes;
- e. The personnel performing the conformity assessment should not have personal relationships with the personnel of the Client. If there is such a relationship, an employee should immediately inform the WHT Group's Top Management and the WHT Group's Impartiality Committee about this and should be suspended from work with this Client;
- f. All WHT Group's staff is regularly trained on impartiality as a part of WHT Group's training program;
- g. The decision on certification is taken by the Halal Certification Committee of the relevant WHT subsidiary, which members are not involved in the certification process itself and, when making decisions, rely on information provided by the Halal Certification Unit of the relevant WHT subsidiary.
- h. An impartiality risk assessment is periodically (at least once a year) carried out by the WHT Group's Impartiality Committee to ensure that risks are minimized and controlled;
- i. No commercial or financial pressure is allowed within WHT Group. In case of such pressure, the employee who is exerted such pressure should immediately inform WHT Group Impartiality Committee about this. In turn, the WHT Group Impartiality Committee is obliged to investigate each such report and take appropriate actions to resolve the risk that has arisen, in a way such as the removal/dismissal of compromised personnel, a report to the relevant authorities, legal processes;

- j. WHT Group does not provide any advisory services to any organizations to avoid conflicts of interest;
- k. WHT Group does not stand on the side of its Clients/Partners in any disputes, litigations or other events requiring giving recommendations to the Client/Partner;
- l. The activities of WHT Group's Clients/subcontractors/Partners are regularly assessed on impartiality risks. If such risks are found, the WHT Group Top Management and the WHT Group Impartiality Committee develop and implement measures to reduce/eliminate risks, such as: additional clauses in service/cooperation agreements, termination of cooperation with a compromised Client/subcontractor/Partner, report to the relevant authorities, legal processes.

**3.2.4** When risks to impartiality are identified, WHT Group takes steps to eliminate or minimise those risks: *(QMS-04)*

- a. Restrictions may be imposed on compromised personnel and/or Clients;
- b. Change of staff if the original staff is compromised;
- c. Labour and/or certification agreements may be suspended or terminated;
- d. Making changes to the organizational activity, for example, the exclusion of the most critical areas;
- e. The identified threats to impartiality may be reported to the relevant authorities.

**3.2.5** WHT Group ensures its Top Management and staff are free from any commercial, financial and other pressures which might influence the results of the certification process and does not offer or provide advice in Halal or consultancy in Quality or any other management system. The Top Management of each WHT subsidiary has issued and signed the Impartiality Declaration that drives all activities and decisions of the Certification Body and was communicated to all personnel of WHT. *(DC-01)*

**3.2.6** WHT Group does not:

- a. Design, manufacture, install, distribute or maintain products of the type it evaluates;
- b. Provide any other products or services which are similar to the type it certifies which could compromise the confidentiality, objectivity or impartiality of its evaluation processes and decisions;
- c. Advise or provide consultancy services to the Clients as to methods of dealing with barriers to the desired certification;
- d. Advise or provide management system consultancy or internal auditing to its Clients;
- e. Provide certification services to other Halal certification bodies.

**3.2.7** WHT Group is an independent group of entities and does not form a part of any other legal entities and/or organisations.

**3.2.8** WHT Group's personnel cannot be used to review or make a certification decision for a product for which they have provided consultancy for a period of 2 (two) years since the provision of the consultancy.

**3.2.9** WHT Group cannot recommend any organisation to a Client for consultancy purposes. The activities of WHT Group will not be marketed or linked with any organisation which activities are those defined in section 3.2.6.

**3.2.10** Personnel who have any identified risks to impartiality shall be subject to restrictions on work assignments.

**3.2.11** In order to safeguard the integrity and reputation of Certification Body, WHT Group takes actions to respond to any identified risk to impartiality.

**3.2.12** WHT Group checks and analyses any actual or potential risks that may arise due to the presence of obstacles in the application of Halal requirements in the Islamic Shariah, and to do the appropriate procedures and practices and present solutions in such a way as to resolve the issue neutrally.

**3.2.13** Participants of WHT Group's certification activities shall sign the Independence Document to commit to being free from any commercial, financial and other internal and external pressures that may adversely affect the quality, accuracy or impartiality of their work.

### **3.3 Liability and Financing**

**3.3.1** The legal activities of World Halal Trust Head office and its subsidiaries are insured for the amount of EUR 500,000.

**3.3.2** WHT Group supports the certification activities with funds received from its Clients. These funds are adequate for covering all required activities to meet the procedures defined in WHT Group's Quality Manual, hence the financial status of WHT Group does not compromise its impartiality.

### **3.4 Operations**

**3.4.1** WHT Group takes all necessary steps in order to evaluate the Client's conformance with the requirements of Halal production and relevant Halal Certification standard. WHT Group specifies the relevant Halal production standards or parts thereof and any other requirements such as sampling, testing and inspection requirements which form the basis of the relevant Halal Certification scheme.

**3.4.2** When conducting Halal Certification operations, in addition to the requirements of standards for Halal certification bodies, WHT Group follows the requirements of the following standards (where applicable): ISO/IEC 17025, ISO/IEC 17020, ISO/IEC 17021, ISO/IEC 17065 and/or ISO/TS 22003.

### **3.5 Non-discriminatory conditions**

**3.5.1** All companies that meet the conditions stated in this Manual are eligible to apply for Halal Certification. WHT Group does not discriminate against Clients in any way other than outlined in standards GSO 2055 – 2:2021 and OIC/SMIIC 2:2019 to ensure high quality results

in certification. The success of WHT Group depends on the fair and equitable treatment of all Clients.

**3.5.2** WHT Group's services are available to all Clients which activities meet the requirements of Halal Certification.

**3.5.3** Access to certification is not conditional upon the size of the Client or membership in any association or group, nor is the certification conditional upon the number of certificates already issued. There are no undue financial or other conditions.

**3.5.4** WHT Group confines its requirements, evaluations, surveillance, review and decisions concerning certification to the scope defined in standards GSO 2055–1:2015, UAE.S 713:1997, UAE.S GSO 21:1984, UAE.S 9:2017, GSO 2055 – 2:2021, GSO 993/2015, MS 1500:2019, OIC/SMIIC 1:2019, OIC/SMIIC 2:2019, ISO 19011:2018, WHT.G: 2022, ISO/IEC17025, ISO/IEC 17020, ISO/IEC 17021-1, ISO/IEC 17065 and ISO/TS 22003. These specific Standards outline the criteria used in certifying products.

### **3.6 Traceability**

**3.6.1** WHT Group's Clients shall use a secure tracking and traceability system to ensure proper traceability back to WHT Group. In this system, each produced and Halal certified product, intended to be sold as Halal, shall be marked separately. This marking mechanism shall include non-copiable security features. The system shall ensure that the product is original and Halal at all stages of the supply chain, and that it can be accessed by both Clients and consumers. At the same time, the system should also allow the relevant authority to make more detailed checks for the market surveillance.

**3.6.2** It is mandatory for all unit packages of Halal Certified products, which are intended to be sold as Halal and outer shipping packages to be marked with a unique identifier.

**3.6.3** Exclusive identifiers shall be secure, stamped/glued, inaccessible and indelible, and shall not cause any or all of the opening of the package, including the product identifier label and the price tag, to be completely or partially covered by the identifiers.

**3.6.4** The exclusive identifiers shall enable the determination of:

- a. the date and place of production of the product;
- b. product expiration date;
- c. allergens may be found in the product;
- d. the compound of the product;
- e. product description (brand, name, etc.);
- f. laboratory test results (if applicable and available);
- g. Client Unique Identification number;
- h. importer (if applicable);
- i. the validity of the label;
- j. label serial number.

### **3.7 Confidentiality**

**3.7.1** WHT Group and its personnel are legally obligated to keep confidentially all information provided to it by the Client, as well as the data, records and information obtained during audits, inspections, surveillance activities and any other means except for information required or considered to be publicly available unless authorised by the Client. WHT Group shall inform the Client in advance about any information it in turns to make publicly available unless prohibited by law. All WHT Group's personnel sign a confidentiality agreement that resides in their personnel files. Confidentiality is maintained by the use of computer passwords, locks on doors filling cabinets as well as observation by WHT personnel. *(PD-02)*

**3.7.2** Where the law or contractual agreements require information to be made public or disclosed to any other party, the Client shall be informed in advance of what information was provided unless the law prohibits such notification.

**3.7.3** Any information about the Client which was obtained from any outside source shall be treated as confidential.

**3.7.4** When any confidential information is made available to other bodies (e.g. accreditation bodies) WHT Group informs its Clients of this action.

**3.7.5** Client folders on the WHT Group's SharePoint as well as the physical folders in the offices of the relevant WHT subsidiaries can be accessed only by the personnel involved on the Halal Certification activities of the subsidiary performing the Halal Certification of these Clients.

### **3.8 Publicly Available Information**

**3.8.1** WHT Group maintains the following information publicly available on its website [www.worldhalaltrust.group](http://www.worldhalaltrust.group) through published relevant procedures and documents or is available upon the request:

- a. Information about the certification schemes, including evaluation procedures, audit process, rules and procedures for granting, maintaining, extending or reducing the scope of, suspending, withdrawing, maintaining or refusing Halal Certification;
- b. List of all WHT subsidiaries;
- c. Geographical areas in which WHT Group operates;
- d. Types of certification schemes in which WHT operates;
- e. Description of the means by which WHT Group obtains financial support and general information on the fees charged to Clients; *(QMS-11)*
- f. Description of the rights and duties of Clients, including requirements, restrictions or limitations on the use of WHT Group's name and Halal mark and on the ways of referring to the Halal Certification granted;
- g. Information about procedures for handling requests for information, complaints and appeals;
- h. Directory of certified Clients as well as expired and withdrawn Certification;

### **3.9 Information Exchange**

**3.9.1** WHT Group provides the following information to its Clients and potential Clients (in a case of any changes the updated information is provided):

- a. A detailed description of the entire certification process, including the Application, review of documents, certification audit, surveillance audits, conditions for issuing, refusing, updating, controlling, expanding/reducing the scope, suspension, revocation and renewal of the Halal certificate and all other necessary information;
- b. Requirements on the production of Halal products and all requirements for obtaining a Halal Certificate;
- c. The pricelist of all Halal certification services including the procedure for determining the price of a Halal certification activities;
- d. WHT Group's requirements for the Client to comply with all Halal production and certification requirements, the Client's obligation to inform WHT Group of any changes in the compound and/or production of the certified product, requirements for the arrangement of all necessary conditions for conducting production audits (including providing all the required documentation during the audit), requirements for the Client to compensate the transportation costs and accommodation expenses of WHT auditors;
- e. Template of Halal Certification Agreement, stating the rights and obligations of the Client;
- f. Complaints and Appeals management policy.

**3.9.2** WHT Group undertakes the responsibility to inform its Clients about any changes in the requirements on the production of Halal products and/or the Halal Certification requirements also changes in the design of issued documents (Halal certificate, Halal logo, etc.). WHT Group is obligated to provide its Clients with a reasonable amount of time to implement the necessary changes in the production/documentation. This time frame is pre-agreed with each Client individually in order to find the best solution for both parties.

**3.9.3** Based on the Halal Certification Agreement, the Client is obliged to promptly inform WHT Group of any changes that may affect compliance with the requirements on Halal Certification, including but not limited to:

- a. Legal, commercial, organisational structure or ownership of the Client;
- b. Client's organisation and/or management;
- c. Address or production facilities;
- d. Scope of activities related to Halal certification;
- e. Major changes in the management systems and/or processes;

WHT Group must take appropriate actions depending on the information received.

### **3.10 Risk-based approach**

WHT Group takes into account the risks associated with providing competent, consistent and impartial certification. Risks include, but are not limited to:

- a. The objectives of the audit;

- b. The sampling used in the audit process;
- c. Real and perceived impartiality;
- d. Legal, regulatory and liability issues;
- e. The Client organisation being audited and its operating environment;
- f. Impact of the audit on the Client and its activities;
- g. Health and safety of the audit teams;
- h. Perception of interested parties;
- i. Misleading statements by the certified Client;
- j. Use of marks.

WHT Group regularly reviews all potential risks arising and implements control and management measures to minimise these risks.

## **4. STRUCTURE OF THE CERTIFICATION BODY**

### **4.1 Organisational Structure and Top Management**

**4.1.1** Overall structural impartiality is ensured through the WHT Group's Quality System and Impartiality Committee. No single person within WHT Group has the authority to grant certification. To issue a Halal Certificate, participation of all members of the Halal Certification Committee of the relevant WHT subsidiary are required. The WHT Quality System ensures that the person different from the one who performed an audit reviews each decision on inspections and audits:

- a. inspections and audits are conducted by the authorised auditors. These inspections and/or audits are regularly reviewed by the WHT Group's Shariah Committee;
- b. surveillance of the certification process is conducted by the WHT Group's Head of Halal Certification;
- c. the WHT Group's Head of the Halal Certification coordinates and monitors the evaluation process and the transfer of evaluation data and its results to the Halal Certification Committee of the relevant WHT subsidiary, so that its members can decide on Halal certification;
- d. the WHT Group's Head of Halal Certification shall use the GSO 2055–1:2015, GSO 2055 – 2:2021, GSO 993/2015, MS 1500:2019, OIC/SMIIC 1:2019, OIC/SMIIC 2:2019, ISO 19011:2018, WHT.G:2022 and other relevant standards as well as the Certification Scheme (section 6) as the technical basis for the planning and development of certification activities;
- e. Halal Certification Committee of the relevant WHT subsidiary makes the final decision on certification issues including granting, suspending, withdrawing, and refusing certification and also extending or reducing the scope of certification.
- f. members of the WHT Group's Impartiality Committee regularly (at least once a year) assess the activities and documentation of WHT and make their decisions regarding risks to impartiality.



**4.1.2** The organisational structure is defined in the WHT organisational chart for each separate subsidiary. *(QMS-12)*

**4.1.3** WHT Group maintains job descriptions for all personnel which define the responsibilities and authority of each position within the Certification Body: *(QMS-03)*

#### 4.1.3.1 Top Management of WHT Group

Is also the Top Management of the Head office. Consists of the CEO, the Head of Shariah Committee and the WHT Group's Head of Halal Certification. Is responsible for:

- a. management of WHT Group's units and activities;
- b. establishing requirements for the qualifications and competencies of all personnel within the WHT Group; *(QMS-06)*
- c. development and review of the certification procedures and requirements of WHT Group;
- d. monitoring implementation of established policies, procedures and requirements within the WHT Group.

#### 4.1.3.2 Top Management of a WHT subsidiary

Is determined for each subsidiary separately dependent on the activities of the subsidiary, its needs and local country requirements and regulations. Is responsible for:

- a. management of the WHT subsidiary;
- b. management of the subsidiary in accordance with the WHT Group's QMS and other requirements;
- c. approval of qualification requirements for personnel within the subsidiary;
- d. hiring of all personnel within the subsidiary;
- e. appointment of all units and committees within the subsidiary.

#### 4.1.3.3 CEO of WHT Group

The CEO is responsible for:

- a. the successful leadership and management of WHT Group according to the set strategic direction;
- b. setting the objectives for WHT Group, management of human resources, financial and strategic decisions, coordination of WHT Group's work;
- c. necessary qualification of all personnel and organisation of regular trainings for the employees;
- d. delegating an authority to other employees and approval of all committees within the WHT Group to perform certain activities and actions;
- e. making the decisions on WHT Group's pricing;
- f. approving the reviews of the organisation's policies and documents and their changes.

#### 4.1.3.4 Halal Certification Committee

Halal Certification Committee shall be separately appointed for each subsidiary by the Top Management of the subsidiary and approved by WHT Group's Top Management. Is responsible for:

- a. review of all information and results related to Halal Certification;
- b. decisions on granting/refusal to issue Halal certificates;
- c. decision on maintenance of the issued Halal certificates;
- d. decisions to reduce/expand the scope of the Halal certificate;
- e. suspension/revocation of Halal certificate.

#### 4.1.3.5 Shariah Committee of the WHT Group

A single Shariah Committee is established on a Group level and is responsible for the activity of all WHT subsidiaries. Is responsible for:

- a. directing the development of guidelines, processes and products consistent with Shariah law that will be used by the WHT Group;
- b. acting as subject matter experts on regulatory, governance and Sharia law issues;
- c. regularly checking the actions of all employees of the WHT Group and evaluating their compliance with Sharia law;
- d. checking documents submitted by certified companies within all subsidiaries to ensure that their products meet all Halal requirements;
- e. periodic review of audit reports submitted by auditors of all WHT subsidiaries. If necessary, together with the auditors assesses the need for constant monitoring and the necessary frequency of inspections;
- f. periodic review of all Halal Certificates issued by all WHT subsidiaries to ensure compliance to the Halal requirements in Islamic Shariah;
- g. informing the WHT Group's Impartiality Committee of any disagreement regarding decisions made and/or the activities of the Certification Body.

#### 4.1.3.6 Impartiality Committee of WHT Group

A single Impartiality Committee is established on a Group level and is responsible for the activity of all WHT subsidiaries. The Impartiality Committee must include at least one interested party from each country, where WHT subsidiaries are established. Is responsible for:

- a. monitoring the impartiality of auditors and members of the Top Management for the whole WHT Group. In case of any violations, has the right to report problems to the relevant authorities (e.g. accreditation bodies or local Islamic authorities);
- b. regular review of WHT Group's Halal Certification documents to identify potential and/or real risks to impartiality;
- c. in a case of identifying risks to impartiality, shall immediately take the necessary actions to eliminate the identified risks.

*(QMS-04)*

#### 4.1.3.7 Complaints and Appeals Committee of WHT Group

Complaints and Appeals Committee is established on a Group level and is responsible for:

- a. receival and registration of complaints/appeals within the WHT Group;
- a. review of complaints/appeals received within the WHT Group;
- b. taking of the necessary actions on the received complaints/appeals. *(QMS-05)*

#### 4.1.3.8 Halal Certification Unit

The Halal Certification Unit shall be separately appointed for each subsidiary by the Top Management of the subsidiary and approved by WHT Group's Top Management. Is responsible for the certification process of the organisation's Clients:

- a. collection of necessary information and documentation from the Client of the relevant WHT subsidiary;
- b. conduction of the necessary audits and checks;
- c. evaluation of all the collected information's compliance to the Shariah law.

#### 4.1.3.9 Project Manager

The Project Manager is appointed on a Group level and is responsible for:

- a. control of the implementation of standards, quality systems and regulations within the WHT Group;
- b. training of WHT Group's personnel on audit, production and certification standards and regulations;
- c. monitoring of external standards' requirements;
- d. WHT accreditations' obtaining and control;
- e. regular competence assessment of all WHT Group's personnel;
- f. performance of WHT Group's internal audits.

#### 4.1.3.10 Accountant

The accountant shall be separately appointed for each subsidiary by the Top Management of the subsidiary and approved by WHT Group's Top Management. Is responsible for:

- a. preparation of asset, liability, and capital account entries for a relevant WHT subsidiary by compiling and analysing account information. Documents financial transactions by entering account information;
- b. maintenance of financial security of a relevant WHT subsidiary by following internal controls;
- c. dealing with tax authorities, invoices, financial institutions in a relevant country;
- d. issuance of the invoices for the relevant WHT subsidiary.

#### 4.1.3.11 Administrator

The administrator (in case of an arisen need) can be separately appointed for each subsidiary by the Top Management of the subsidiary and approved by WHT Group's Top Management. Is responsible for:

- a. management of the emails and post of the relevant WHT subsidiary, forwarding the emails, letters and documents to the relevant people;
- b. response to general enquiries regarding Halal Certification for the relevant WHT subsidiary;
- c. forwarding all received documentation on Halal Certification to the Halal Certification Unit of the relevant WHT subsidiary;
- d. Administration of all documentation of the relevant WHT subsidiary.

#### 4.1.3.12 HR Manager of WHT Group

A single HR manager is appointed on a Group level. Is responsible for:

- a. employment and dismissal of all personnel within WHT;
- b. preparation and registration of holidays, sick leaves and other documentation for all personnel within WHT;
- c. all WHT personnel documentation management;
- d. WHT Group's HR management.

## 4.2 Safeguarding Impartiality

*(QMS-05)*

**4.2.1** WHT Group utilises a 'mechanism' which is designed to safeguard impartiality in the certification process. Individuals involved in the mechanism provide input concerning the WHT policies, tendencies to be biased and the matters which may affect confidence in certification.

**4.2.2** WHT Group's Impartiality Committee is responsible for constant monitoring of impartiality matters within the organisation.

**4.2.3** The WHT Group's Impartiality Committee includes the balanced representation of significantly interested parties, such that no single interest predominates. The Impartiality Committee must include at least one interested party from each country, where WHT subsidiaries are established. The Islamic authority recognised in Lithuania is represented in the Committee for ensuring the impartiality. The representative of the authority plays an active role in reviewing in the light of Islamic principles the impartiality of Halal Certification activities that are executed by WHT and in deciding the rules, procedures and policies for Halal Certification from Islamic point of view.

**4.2.4** WHT Group's Top Management ensures the Impartiality Committee's access to all the information necessary to enable it to fulfil its functions.

**4.2.5** Members of the Committee have the right to take independent action if concerns regarding impartiality are not satisfied. Any input which is in conflict with the necessary operating procedures of WHT Group or any other mandatory requirements shall not be

followed. In this case WHT Group's or a subsidiary's Top Management shall document the reasoning behind the decision not to follow the input and maintain the document for review by appropriate personnel and/or authorities. If independent action is taken, the confidentiality requirements of section 3.7 shall be respected.

## **5. CERTIFICATION BODY'S RESOURCES**

### **5.1 Personnel**

#### **5.1.1 General principles**

5.1.1.1 The WHT Group's CEO as well as each subsidiary's Top Management ensure that WHT has a sufficient number of qualified personnel to assess and fulfil the requirements defined in this Manual, applicable Halal certification and accreditation standards and in the document deriving the requirements for the qualifications and competencies of the staff.

*(QMS-06)*

5.1.1.2 All personnel involved in the Halal Certification activities in each subsidiary shall be practicing Muslims with sufficient technical competence.

5.1.1.3 All personnel employed within WHT Group shall have relevant qualifications for their positions and be competent for the functions they perform, including making required technical judgements defining policies and implementing them. Halal Certification personnel are formally authorised to perform work on project after the successful completion of internal training courses according to their position. All new WHT Group's personnel is required to complete the internal training on halal standards and certification.

5.1.1.4 Each WHT Group's employee signs an employment agreement or a services contract, as well as a confidentiality agreement with the relevant WHT subsidiary. By signing these documents, employees undertake responsibility to adhere to all WHT Group's rules, guidelines, certification standards, to consider any information received as strictly confidential and take all necessary steps to ensure its safety. Also, all employees of the WHT Group sign a document confirming that they are independent from any commercial and other interests, are not employees, consultants and/or partners of other interested parties, undertake to carry out their activities impartially, in accordance with the guidelines and requirements of WHT Group and certification standards and pledge to inform the Top Management of the relevant WHT subsidiary as well as the WHT Group's Impartiality Committee of any situations that may lead to a conflict of interest and/or a threat to impartiality. WHT Group's uses this information as input into identifying risks to impartiality raised by the activities of such personnel or by organisations that employ them.

5.1.1.5 Employees involved in the Halal Certification activities within the WHT Group are obligated to declare any previous and/or present association on their own part, or on the part of their employer, with a designer, producer or supplier of products to be Halal audited or certified to which they are to be assigned.

5.1.1.6 All WHT Group's personnel involved in the Halal certification activities must undergo detailed training on Halal certification requirements, certification process, certification

standards (GSO 2055 – 2:2021, OIC/SMIIC 2:2019), audit (ISO 19011:2018) and production standards (GSO 2055–1: 2015, GSO 993/2015, MS 1500:2019, OIC/SMIIC 1:2019, WHT.G:2022 and other relevant standards) as well as relevant quality management system, Product Certification Conformity and Product Safety Management System (PSMS) standards. Personnel not involved in the certification process, when hiring, must take a short course on the requirements of Halal certification. All WHT Group’s staff must have a valid course certificate. In addition, auditors within all subsidiaries must take regular qualification courses and competence assessments in order to do their job properly.

5.1.1.7 Each new WHT Group’s employee must pass the necessary courses during the first week of employment. If the member of staff feels the need for the course to be repeated, they shall inform the WHT Group’s project manager about it and pass the course again. The WHT Group’s project manager is responsible for making the regular training plan, proper and detailed training program and conducting the training to all members of staff.

5.1.1.8 WHT Group’s personnel can be individual auditors or Shariah experts who work for a relevant WHT subsidiary on an employment agreement or a services’ contract basis. Each WHT subsidiary always remains in a position to manage, control and be responsible for the performance of all its personnel and maintains comprehensive records controlling the competence of all its personnel, whether they are employees, employed on contract basis or provided by external bodies.

5.1.1.9 Each WHT subsidiary maintains up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status and competence. This includes personnel involved in the Halal Certification activities as well as management and administrative personnel.

5.1.1.10 See section 3.7 regarding confidentiality requirements for WHT personnel.

## **5.1.2 Management of Competence** *(QMS-06)*

5.1.2.1 WHT Group has a procedure which defines the required competence criteria and the need for regular training based on the person’s position within the organisation.

5.1.2.2 WHT Group’s provides its employees with the ability and the recourses for the completion of any external trainings relevant for the employees’ functions.

5.1.2.3 The competence and performance of employees in the Halal Certification Unit (including the performance during the on-site audits) is constantly monitored by the Top Management of the relevant WHT subsidiary, WHT Group’s Shariah Committee and WHT Group’s Impartiality Committee.

5.1.2.4 Personal records are maintained for each employee which contain their name and address; employer(s) and position(s); educational qualification and professional status; employment agreement; experience and training, competence assessment and performance monitoring records; authorisations held within WHT Group as well as the date of most recent record update.

5.1.2.5 Competence assessment is regularly (at least once a year) performed for all WHT Group's personnel involved in Halal Certification activities. Personnel with a score less than 85% may be suspended from work until completing additional training and raising their competence in the relevant field.

5.1.2.6 Before hiring, the competence of each new WHT Group's employee should be assessed by the project manager as follows: *(QMS-09)*

- a. Consideration of the qualifications of a potential employee (diplomas, certificates, and so on);
- b. Interview with a potential employee in the framework of the position for which they apply, the study of their knowledge and competence in the framework of this position;
- c. Examination of existing work experience through interviews with potential employees and interviews with their previous and/or current employers;
- d. Evaluation of written recommendations from a previous or current employer.

### **5.1.3 Obligations of Personnel**

WHT Group requires that all personnel commit themselves to the compliance with the rules and procedures defined in the WHT Group's Quality Management System, as well as the requirements specified in certification standards.

WHT Group requires all personnel to declare any situations which may cause a conflict of interest to exist. This information is provided in the mechanism for safeguarding impartiality. See section 4.2.

## **5.2 Resources for Evaluation**

### **5.2.1 Internal Resources**

WHT Group follows the requirements of internal and external standards in all its certification activities.

Surveillance of certified product manufacturers and products are done in conformance with the relevant certification standards.

WHT Group follows the requirements of certification standards for its Quality System auditing.

WHT follows the product evaluation requirements defined in the certification standards. See section 6.

### **5.2.2 External Resources**

All external personnel/subcontractors/Partners involved in the Halal certification should:

- a. Meet the requirements of WHT Group (all external personnel shall fully comply with WHT Group's requirements for equivalent positions), certification standards and



comply with the provisions regarding impartiality, confidentiality and independence, at the stage of concluding of an agreement with the relevant WHT subsidiary;

- b. Have a written agreement with the relevant WHT subsidiary by which they commit themselves to comply with applicable policies, and implement processes as defined by WHT Group. The agreement shall address issues relating to confidentiality and impartiality and shall require the external resources to notify the WHT subsidiary of any existing or prior relationship with any WHT Group's Clients.
- c. Not to be connected directly or through another employer with the organisation being audited in such a way as to affect their impartiality and compromise the results;
- d. They must agree to fulfil all the requirements specified in this Manual, as well as in the documents specified in the Manual.

WHT Group ensures that all activities performed by external resources are managed in a manner which provides confidence in the results, and that all relevant records are available to justify the confidence. WHT Group bears all responsibility for work completed by external resources and keeps the records for all external resources used (including the evidence of their competence). WHT Group or any of its subsidiaries never outsource any decisions on Halal Certification, take full responsibility for the outsourced work and maintain responsibility for granting, maintaining, extending, suspension or withdrawal of Halal Certification.

*(QMS-13)*

In a case of using of any external resources, WHT Group shall have a list of approved providers of outsourced activities. This also relates to the WHT Group personnel when providing services for different WHT subsidiaries.

In a case of any breaches in the contract or any requirements by the external resources immediate corrective actions are taken by the WHT subsidiary regarding the breach.

All WHT Group's Clients are informed in advance in case of using any external resources and a Client is provided with an opportunity to object such use or provide a consent to it.

## **6. CERTIFICATION PROCESS**

### **6.1 General principles**

**6.1.1** WHT Group only certifies production that has a valid veterinary certificate issued by the State Food and Veterinary Service of the relevant country.

**6.1.3** The certified company must comply with the requirements of standards which it selected.

**6.1.4** Halal certification includes review of the Certification Application and all related documents, certification audit and regular production audits (the frequency of these audits depends on the complexity of production).

### **6.2 Application for Certification Services**

The Client shall pay the fee for the review of the Application Documents. After paying the invoice the Client should provide the following documents:

**6.2.1** A detailed production flowchart, preferably in English language, which shows the full production process of a product (including main Critical Control Points) and amount of HACCP studies, which needs to be certified;

**6.2.2** A filled in and signed Application Form, stating the following:

- a. Name and legal status of the Client, country of registration, contact details, address of the main office and production facilities;
- b. The scope and standards of certification;
- c. Countries of export;
- d. The number of personnel involved in the production of Halal products;
- e. Will any subcontractors be involved in the production of Halal products;
- f. Available quality certificates, management system evaluations, etc.;
- g. List of certified products;
- h. Description of the delivery scheme of raw materials and production process;
- i. A complete list of all ingredients and raw materials used in the manufacture of products;
- j. Whether consultation services were provided to the Client and if yes, by whom.

In the Application Form the Client confirms that no alcohol or its derivatives and pork or its derivatives will be used in the production of certified products and that the risk of certified products' cross-contamination with alcohol and pork is completely eliminated at all stages of manufacturing. The Client undertakes the responsibility to immediately inform WHT Group about any changes in the production of certified product;

The Client is also asked if they received any consultation services on Halal Certification and if so, from whom.

**6.2.3** A completed ingredients' description form indicating the full compound of each product, the manufacturer and supplier of each ingredient and the availability of Halal certificates for these ingredients.

### **6.3 Application Review**

**6.3.1** The Certification Body's administrator ensures that all necessary documents are provided by the Client, they are filled in and signed, and forwards all the documents to the Halal Certification Unit of the relevant WHT subsidiary.

**6.3.2** The auditors of the relevant WHT subsidiary establish the stated scope of certification and determine if it falls within the scope of certified production areas of the relevant WHT subsidiary. If the relevant WHT subsidiary has sufficient resources and competence to certify the declared production, the auditors check the documents provided and check all the ingredients listed in the Application form:

- a. Identify the nature and compound of each ingredient, raw material or product directly or indirectly involved in the production process;

- b. Identify all ingredients raw materials or products that are unacceptable or questionable under the Shariah law;
- c. Make the list of ingredients raw materials and products for which the Halal certificates are required;
- d. Make sure, that in the Application Form there are no questionable or unclear compounds or ingredients;
- e. In case of any questions or uncertainties auditors shall refer to the Shariah Committee for consultation. If the nature of some ingredient is unclear, food technologist shall take all necessary steps to identify the nature of this ingredient.

**6.3.3** Additionally, auditors of the relevant WHT subsidiary study the information provided and publicly available about the Client (the number of employees in the company, the availability of veterinary and international certificates, technical resources, activities, the use of external resources, the availability of available Halal certificates, etc.) necessary to establish the audit time and develop an audit program. In the absence of the necessary information, the auditors request this information from the Client.

**6.3.4** Before proceeding with the audit, the Certification Body shall conduct a review of the application and supplementary information for certification to ensure that:

- a. the information about the Client and its production is sufficient for the conduct of the audit;
- b. the requirements for certification are clearly defined and documented, and have been provided to the Client;
- c. any known difference in understanding between the WHT Group and the Client is resolved;
- d. the relevant WHT subsidiary has the competence and ability to perform the Certification activity (if not the Application is either forwarded to another WHT subsidiary having the relevant competence to perform the Halal Certification or is refused);
- e. the scope of certification sought, the location(s) of the Client's operations, time required to complete audits and any other points influencing the Certification activity are taken into account (language, safety conditions, threats to impartiality, etc.);
- f. records of the justification for the decision to undertake the audit are maintained.

**6.3.5** After reviewing the Application, the relevant WHT subsidiary decides whether to accept the Application or not. If the WHT Group does not accept the Application for Certification due to the lack of necessary resources and/or competence of the Certification Body or non-compliance of the Client's production with the requirements on Halal production, the relevant WHT subsidiary informs the Client about this and explains the reasons for the refusal (in all cases the Application review fee is non-refundable). WHT Group does not provide any advice on the achievement of compliance of the Client's products with the Halal standards.

**6.3.6** If WHT Group accepts an Application for Certification, the auditors of the relevant WHT subsidiary provide Client with the following:

- a. The list of the ingredients, raw materials or products that are not acceptable for the Halal Certified product. In this case the certification process is paused until the Client removes / replaces unacceptable or questionable products and fills in the new Application form. The review of the newly filled Application form is not charged;
- b. The list of ingredients, raw materials and products for which the Halal Certificates are needed. In this case the certification process is paused until the Client provided all necessary valid Halal Certificates from the acceptable halal certification bodies;
- c. Any shortcomings, non-conformances found in the documentation.

**6.3.7** The Halal Certification Unit of the relevant WHT subsidiary continues further communication with the Client until all the necessary actions are made and/or documents are provided. All provided documents shall be reviewed by the auditors. After all the required documents are submitted, the relevant WHT subsidiary determines the further certification process, calculates the preliminary audit time and develops an audit program taking into account the necessary resources for the audit.

**6.3.8** Based on this review, the relevant WHT subsidiary shall determine the competences it needs to include in its audit team.

**6.3.9** Once all necessary documentation is provided and the auditors of the relevant WHT subsidiary make sure it meets the Halal requirements, the date of the on-site inspection can be agreed with the Client.

## **6.4 Audit program**

**6.4.1** The certification audit program should demonstrate the actions necessary to establish the compliance of the Client's production with Halal production requirements and the selected certification standard. The audit program should cover all points of the requirements.

**6.4.2** The audit program should include a two-stage initial certification audit, surveillance audits (not rarer than every 12 months), and a certification audit before updating the Halal certificate. The audit program depends on the size of the Client's company, the scope and complexity of the certified production, production shifts, the selected standard and the results of previous audits (if any).

**6.4.3** If the certification already granted to the Client is taken into account, auditors of the relevant WHT subsidiary shall obtain and retain sufficient evidence such as reports and documentation on corrective actions to any non-conformance. The documentation shall support the fulfilment of the requirements of the chosen Halal certification standard. Based on the information obtained auditors of the relevant WHT subsidiary shall justify and record any adjustments to the existing audit program and follow up the implementation of corrective actions concerning previous non-conformances.

**6.4.4** If the Client operates shifts, the activities that take place during shift working shall be considered when developing the audit program and audit plans.

**6.4.5** Each individual production site must be evaluated and certified separately.

## **6.5 Audit planning**

**6.5.1** The audit date is selected by reaching a mutual agreement between the audit team and the Client, by choosing the most suitable day to ensure the most complete audit team's access to the production process of the certified product, personnel and Client's documentation as well as a representative number of product lines, categories and sectors covered by the scope. The presence and functions of observers, interns, technical experts and guides is also agreed with the Client prior to the audit.

**6.5.2** The duration of the 1st stage of the audit should not exceed 20% of the total duration of the audit.

**6.5.3** The audit objectives are set by the audit team. The scope and criteria of the audit (including any changes) are established by the audit team after agreement with the Client.

**6.5.4** The objectives of the audit describe what should be accomplished during the audit and include the following:

- a. Compliance of certified products with the audit criteria;
- b. Determination of the possibility of conformity of production with applicable regulatory measures and requirements of the Agreement;
- c. The prospect of bringing production into the line with the necessary requirements.

**6.5.5** The scope of the audit describes the extent and scope of the audit: audited production facilities, processes and products.

**6.5.6** Audit criteria should be used as a reference to determine the conformity of production and include:

- a. Halal production requirements and selected certification standard;
- b. Scheme and production process of certified products.

**6.5.7** The audit team is selected by the Head of Halal Certification taking into account the competence needed to achieve the objectives of the audit. The audits should be carried out by at least 2 auditors, one of them is a technical auditor (having a lead auditor qualification) and another is a Shariah auditor.

**6.5.8** In deciding the size and composition of the audit team, as well as choosing the lead auditor, consideration is given to the following:

- a. Audit objectives, scope, criteria and estimated audit time;
- b. Whether the audit is combined, joined or integrated;
- c. The overall competence of the audit team needed to achieve the objectives of the audit;
- d. Requirements of the applicable certification standard (including any applicable statutory, regulatory or contractual requirements);
- e. Language and culture.

**6.5.9** The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the

direction of an auditor. Where translators or interpreters are used, they are to be selected such that they do not unduly influence the audit.

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

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

**6.5.12** Where multi-site sampling is used for the audit of a Client's production covering the same activity in various locations, the audit team develops a sampling programme to ensure the proper production audit. The rationale for the sampling plan is documented for each Client.

**6.5.13** The tasks given to the audit team shall be defined, shall be made known to the Client and shall require the audit team to:

- a. examine and verify the structure, policies, processes, procedures, records and related documents of the Client relevant to the production;
- b. determine that these meet all the requirements relevant to the intended scope of certification;
- c. determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the Client's production;
- d. communicate to the Client, for its action, any inconsistencies between the information provided by the Client on its production and the actual results.

**6.5.14** Relevant WHT subsidiary provides the name and, if requested, makes available background information on each member of the audit team, with sufficient time for the Client to object to the appointment of any particular auditor or technical expert and for the certification body to reconstitute the team in response to any valid objection.

**6.5.15** The audit plan is communicated and the dates of the audit are agreed with the Client in advance.

## **6.6 Audit plan**

**6.6.1** The audit plan is established for each audit identified in the audit program to provide the basis for agreement regarding the conduct and scheduling of the audit activities and includes:

- a. Audit objectives;
- b. Audit criteria;
- c. Audit scope, including audited processes and production;
- d. Audit dates and production sites;

- e. Production audit duration;
- f. Roles and responsibilities of auditors and accompanying persons (if any).

**6.6.2** The audit plan is sent to the Client after agreeing the date and time of the audit. The audit plan indicates the data of all audit participants (including their names, surnames and positions).

**6.6.3** The audit objectives for the audit team include:

- a. determination of the conformity of the Client's production with audit criteria;
- b. evaluation of the Client's ability to ensure the production meets applicable statutory, regulatory, contractual and certification requirements;
- c. verification of all documents and certificates of the Client: journals for instructing staff on the Halal production requirements; documentation of cleaning agents and disinfectants used in the production; certificates of compliance of the Client with veterinary requirements and international requirements for production safety and management system; registration of complaints and appeals received by the Client; necessary Halal certificates for ingredients;
- d. presence of all the required documents, registrations, licenses, diplomas, related certification, and their validity;
- e. review of laboratory test analyses (if necessary) with regard to the Halal status of the product;
- f. interviews with staff - questions about the production process, company activities, its effectiveness. Checking if the answers of all employees match;
- g. detailed inspection of all ingredients, raw materials and products directly or indirectly involved in the production process. Comparing them with the information provided in the Application and determining their compliance with the requirements for the production of Halal products;
- h. throughout the verification of the production process – checking whether the production line is intended only for a certified product, if there are any risks of cross-contamination with non-Halal products at any stage of production, storage or transportation;
- i. a full check of the production line of certified products: from the receipt of ingredients at the warehouse to the finished products storage;
- j. as applicable, identification of areas for potential improvement of the production;
- k. If necessary, auditors have the right to take samples of products/ingredients/other materials during audits.

## **6.7 Audit time**

**6.7.1** WHT Group has a documented procedure for setting audit time. *(QMS-07)*

**6.7.2** When determining the audit time, the following criteria are taken into account:

- a. requirements of the selected certification standard;
- b. the complexity of the production and compound of certified products;



- c. technological and regulatory context;
- d. the participation of subcontractors in the production of products;
- e. results of previous audits;
- f. size and number of production facilities, production at several facilities;
- g. risks associated with certified products, processes of their production and activities of the Client;
- h. whether the audit is joined, combined or integrated.

**6.7.3** Each site of a multisite organisation is assessed and certified separately.

**6.7.4** Records about the duration of the audit and its justification are kept in the Client's file.

**6.7.5** Time spent by any team member that is not assigned as an auditor (e.g. technical experts, translators, interpreters, observers or interns) shall not count in the determined audit time.

## **6.8 Production audit**

**6.8.1** For GSO 2055-1:2015 and OIC/SMIIC 1:2019 standards the certification audit is carried out in two stages: Stage 1 and Stage 2. Any part of the product safety management system that was verified at the stage 1 of the audit and defined as fully implemented, effective and consistent with the requirements does not need to be checked again at stage 2. However, the relevant WHT subsidiary needs to make sure that the already tested parts of the product safety management system continue to meet certification requirements. For MS 1500:2019 and WHT.G:2022 standards Stage 1 and Stage 2 are combined into one audit.

### **6.8.2 Stage 1**

6.8.2.1 The objectives of stage 1 audit is to provide an illustration for planning stage 2 audit by gaining an understanding of the product safety management system in the context of the Client's food safety hazard identification, analysis, HACCP plan and PRPs, policy and objectives, and, in particular, the Client's state of preparedness for audit by reviewing the extent to which:

- a. the organization has identified PRPs that are appropriate to the business (e.g. regulatory and statutory requirements);
- b. the product safety management system includes adequate processes and methods for the identification and assessment of the Client's safety hazards, and subsequent selection and categorization of control measures (combinations);
- c. safety legislation is in place for the relevant sector(s) of the organization;
- d. the product safety management system is designed to achieve the Client organisation's safety policy;
- e. the product safety management system implementation program justifies for the audit (stage 2);
- f. the validation, verification and improvement programs conform to the requirements of the product safety management system standard;

- g. the product safety management system documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties;
- h. any additional documentation that require revision and/or knowledge that need to be obtained in advance.

6.8.2.2 Stage 1 is always carried out in the Client's production facility and includes:

- a. review and analysis of Client documents, determination of their compliance with the information specified in the Application;
- b. assessment of the Client's production conditions and discussion with the Client's staff about the readiness of production for the second stage of the audit;
- c. evaluation of product safety management system;
- d. if there are external measures to control production and/or safety, assessment of documentation and its compliance with the requirements of the selected Halal certification scheme;
- e. assessment of the status of the Client, his understanding of the requirements of the standards;
- f. identification of critical moments;
- g. obtaining the necessary information on the production facility, processes and equipment, production control and regulatory requirements in the declared scope of certification;
- h. reviewing the allocation of resources for the second stage of the audit and discussing the details of the second stage of the audit with the Client;
- i. determination of the main aspects of the second stage of the audit by collecting information about the production of the Client, understanding of its activities and determining the readiness of production for the second stage of the audit;
- j. assessment of the results of internal audits, course and briefing journals, as well as the system for managing incoming complaints and appeals;
- k. evaluation of the available certificates of assessment of management systems and quality, a superficial assessment of the compliance of production with the requirements of the standards specified in these certificates.

6.8.2.3 When part of the production process is outsourced, stage 1 audit reviews the documentation included in Halal requirements and/or the product safety management system to determine if the combination of control measures is suitable for the Client and conform to requirements of Halal standards.

6.8.2.4 A detailed report on the stage 1 of the audit showing the audit results (consistent with the Client's production objectives for the stage 1 of the audit) as well as potential areas of concern that can be identified as non-conformances during the stage 2 of the audit is granted to the Client and after that the date of the stage 2 of the audit is agreed with the Client. If there are serious non-conformances during the first stage of the audit, the Client is given some time to correct these non-conformances and the stage 1 of the audit is repeated. In this case, the stage 2 of the audit is postponed. The stage 2 of the audit is possible only after the Client has successfully passed the first stage of the audit.

6.8.2.5 The interval between the stage 1 and stage 2 of the audit is established taking into account the interests of the Client and giving them time to correct potential non-conformances (but cannot exceed 6 (six) months). If non-conformances are not eliminated and/or this elimination is not accepted by the relevant WHT subsidiary within this period, the Stage 2 audit is cancelled.

### **6.8.3 Stage 2**

6.8.3.1 The purpose of the stage 2 of the audit is to check the effectiveness of implementation of the requirements for the production of Halal products by the Client and verification of compliance with the stated standards. The stage 2 is always carried out in the Client's production facility and includes the following:

- a. collection of information and evidence of compliance of production with Sharia Law and the requirements of the declared standards;
- b. monitoring, measuring, reporting and reviewing of compliance with the basic requirements and objectives of the stated standard;
- c. verification of the production ability to comply with regulatory and legal requirements and the requirements specified in the Halal Certification Agreement;
- d. internal auditing and management review;
- e. management responsibility for the client's policies
- f. links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable certification standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions;
- g. verification of Halal production control products;
- h. checking of the non-conformances/faults management system.

6.8.3.2 The audit team analyses the results and evidence gathered during both phases of the certification audit to review the audit findings, agree on the audit conclusions and draw up an audit report.

## **6.9 Remote audits**

Due to the COVID-19 pandemic the face-to-face communication in the whole world was disrupted. WHT Group faced difficulties in conducting physical on-site audits, this is why a separate procedure on conducting remote online audits had to be developed. *(QMS-19)*

## **6.10 Conducting audits**

### **6.10.1 Opening meeting**

6.10.1 A formal opening meeting should be held with the management of the Client and the personnel responsible for the quality of production. The purpose of this meeting, which is conducted by the head of the audit team is to explain the objectives of the audit and the audit process. Opening meeting includes:

- a. presentation of the members of the audit team, their roles;
- b. confirmation of the scope of certification;
- c. confirmation of the audit plan (including the type of audit, its scope, goals and criteria), any changes in the audit plan and any other arrangements with the Client, such as the date and time of the meeting, any intermediate meetings with the management of the Client;
- d. setting formal methods of communication between the audit team and the Client;
- e. confirmation that all resources and facilities required by the auditors are available;
- f. confirmation of confidentiality issues;
- g. definition of work safety procedures, emergency situations and security procedures for the audit team;
- h. roles and functions of observers;
- i. reporting method, including any assessment of audit results;
- j. informing on the conditions under which the audit may be interrupted earlier than the established time;
- k. confirmation that the audit team (including the head) is responsible for conducting the audit and monitoring the implementation of the audit plan;
- l. information on the status of the results of previous audits/inspections;
- m. informing on the methods and procedures to be used during the audit;
- n. establishment of the language to be used during the audit;
- o. confirmation that throughout the audit the Client will be informed about the progress of the audit;
- p. providing opportunity to the Client to ask questions.

### **6.10.2 Communication during the audit**

6.10.2.1 During the audit, the audit team should periodically evaluate the progress of the audit and exchange information. The audit team lead should distribute the work among the auditors and periodically inform the Client about the progress of the audit and areas of concern.

6.10.2.2 In cases where the evidence gathered indicates that the audit objectives are unattainable or there is an immediate and significant risk (for example, a security risk), the audit team lead should inform the Client and, if possible, the relevant WHT subsidiary, to determine the necessary actions. Such actions may include making changes to the audit plan, changing the objectives or scope of the audit, and terminating the audit. The audit team lead must inform the Client and the relevant WHT subsidiary about the actions taken.

6.10.2.3 The audit team lead should review with the Client the need to make changes to the audit scope that arose during the audit and inform the relevant WHT subsidiary about the changes.

### **6.10.3 Collection and confirmation of information**

6.10.3.1 During the audit, information related to the objectives, scope and criteria of the audit should be collected by observation, collection of samples and their processing for them to become evidence.

6.10.3.2 Information sampling methods include:

- a. Interview;
- b. Supervision of the production process;
- c. Revision of documentation and records.

6.10.3.3 Product samples (if necessary) should be collected in accordance with international practices and submitted for analysis to laboratories accredited on ISO 17025 and conducting the tests necessary to establish compliance of products with Halal certification requirements and certification standards. When independent testing facilities are not available, the relevant WHT subsidiary shall ensure that the specified controls are in place at the supplier's testing facilities, and are managed in a manner which provides confidence in the results obtained and that records are available to justify the confidence.

6.10.3.4 Inspections and tests on the Halal product shall be determined in accordance with the relevant requirements of the Halal product and the national and/or regional or international legal provisions.

6.10.3.5 If certification of Halal products is based on testing/inspection of batches of the Halal product, the sampling is done in accordance with a defined sampling scheme utilising statistically proven techniques with stated confidence levels.

#### **6.10.4 Definition and documentation of audit results**

6.9.4.1 Audit results that summarize compliance and detail non-compliances should be identified, classified and documented to make an informed decision on Halal certification.

6.9.4.2 Opportunities for improvement can be identified and documented (unless the selected certification standard prohibits this).

6.9.4.3 The found non-conformity should be documented with respect to the relevant requirement and should contain complete information about the discovered non-conformity and evidence supporting it. All discrepancies found are discussed with the Client to ensure that the evidence collected is accurate and that the details of the discrepancy are clear to the Client. At the same time, the auditors do not comment or suggest the reasons for the inconsistencies and do not propose solutions to correct the inconsistencies found.

6.9.4.4 The audit team lead seeks to resolve any disputes and misunderstandings between the audit team and the Client regarding the audit results and the evidence gathered. If no solution is found, the details of the dispute/misunderstanding are documented.

#### **6.10.5 Preparation of an audit report**

Prior to the closing meeting, the audit team:

- a. Reviews the audit findings and all information collected during the audit regarding the objectives and criteria of the audit and classifies non-conformities;
- b. Comes to an agreement regarding the audit findings, taking into account the uncertainty inherent in the audit process;
- c. Comes to an agreement regarding the necessary follow-up actions;
- d. confirms the appropriateness of the audit program or identifies any modification required (e.g. scope, audit time or dates, surveillance frequency, competence).

#### **6.10.6 Closing meeting**

6.9.6.1 A formal closing meeting, taking into account all participants, should be held with the management of the Client and the personnel responsible for the production quality. The purpose of this meeting, which is conducted by the audit team lead, is to present the audit findings including an explanation of the non-conformances found. During the closing meeting, the audit team and the Client come to an agreement regarding the time frame for correcting the discovered inconsistencies.

6.9.6.2 The final meeting also includes:

- i. Notification to the Client that the evidence collected during the audit is based on information samples, thus taking into account the element of uncertainty;
- j. Method and time frame for reporting, including classification of audit results;
- k. The process of processing non-conformities by the Certification Body, including any consequences related to the certification status of the Client;
- l. The time frame for the Client's provision of a plan for the implementation of measures to eliminate non-conformities discovered during the audit;
- m. Actions of the Certification Body after the audit;
- n. Information on the complaints and appeals process.

6.9.6.3 The Client is given an opportunity for questions. Any diverging opinions regarding the audit findings or conclusions between the audit team and the Client are discussed and resolved where possible. Any diverging opinions that are not resolved are recorded and referred to the relevant WHT subsidiary.

6.9.6.4 If one or more non-conformances have arisen and if the Client expresses interest in continuing the Certification Process, audit team provides information regarding the additional evaluation tasks needed to verify that non-conformances have been corrected.

6.9.6.5 If the Client agrees to completion of the additional evaluation tasks, the production audit and/or document evaluation process shall be repeated to complete the additional evaluation tasks.

6.9.6.6 The results of all evaluation activities shall be documented prior to review.

#### **6.10.7 Audit report:**

6.9.7.1 The audit team provides the Client with a written report on each audit. The report describes inconsistencies found and opportunities for improvement but does not provide advice on correcting inconsistencies. Ownership of the audit report is always maintained by the relevant WHT subsidiary.

6.9.7.2 If the product is in the food-chain operations, the report shall include references to issues relevant to FSMS (Food Safety Management System).

6.9.7.3 The audit team is responsible for the preparation and content of the audit report. The audit report should contain correct, understandable and concise information about the audit in order to make an informed decision on Halal certification. The audit report contains the following information:

- a. details of the Certification Body;
- b. details of the Client (name, address) and its representative (name, surname);
- c. type of audit (certification, surveillance);
- d. audit criteria;
- e. audit objectives;
- f. audit scope (certified products, audited production facilities, processes and audit time);
- g. any deviations from the audit plan and their reasons;
- h. any significant factors affecting the audit process and program;
- i. the details of the audit team members, the head of the audit team and all accompanying persons;
- j. the date(s) and place(s) where audit activities were conducted;
- k. audit results, links to evidence and conclusions in accordance with the requirements of the selected standard;
- l. any significant changes in the Client's activity and/or production of products that have occurred since the last audit (if applicable);
- m. any unresolved issues/misunderstandings;
- n. a statement that the audit results are based on samples of information available during the audit;
- o. confirmation of compliance of production with Halal requirements and the selected certification standard;
- p. conclusions regarding the selected certification area and recommendations from the audit team;
- q. confirmation of the achievement of audit objectives;
- r. if the Client is effectively controlling the use of the certification documents and marks;
- s. assessment of the effectiveness of measures to eliminate previous non-conformances conducted by the Client (if applicable).

6.9.7.4 The Client shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to verify effective correction and corrective actions.



### **6.10.8 Analysis of reasons for non-conformance**

WHT Group obliges its Clients to analyse the reasons for the discovered non-conformances and to describe the measures to eliminate these non-conformances that will be taken within the agreed period.

In case of non-conformances found during the audit, the Client has to make a declaration, before renewal of application, that all the non-conformances detected in the audit were fully removed. In case of an unsuccessful Certification process, the new application is only accepted if the Client makes such a declaration. If the first Application for Certification is unsuccessful and the Client wishes to approach another certification body, then the Client shall make available detailed information regarding its first Application for Certification.

### **6.10.9 Effectiveness of Corrective Actions**

6.9.9.1 The audit team analyses the causes of non-conformances established by the Client and the planned measures to eliminate these non-conformances developed by the Client and determines whether they are acceptable. The audit team must confirm the effectiveness of each corrective action. The audit team documents evidence obtained in support of correction of all conformances. The Client is informed of the results of the review and approval of measures to eliminate non-conformances. The Client is also informed about the need for an additional full or partial audit and/or provision of documentation to confirm the measures taken to eliminate non-conformances and their effectiveness.

6.9.9.2 After the application of all necessary changes, an official confirmation from the Client on taking measures to eliminate all non-conformances and verification of the effectiveness of these measures by the audit team, the documents are handed to the Head of Halal Certification for the evaluation. The audit team makes recommendations for a certification decision based on the gathered evidences.

6.9.9.3 The Halal Certification Committee of the relevant WHT subsidiary reviews all information and results related to the evaluation as well as the recommendation on the certification provided by the Halal Certification Unit. The Halal Certification Committee of the relevant WHT subsidiary makes a decision on Halal certification based on all the documents and the results of the evaluation, its review and any other relevant information.

## **6.11 Certification decision**

**6.11.1** Decisions on granting, suspension, revocation and refusal of certification, as well as expanding or reducing the scope of certification are made by the Halal Certification Committee of the relevant WHT subsidiary.

**6.11.2** WHT Group has a procedure on granting, suspension, revocation and refusal of certification, as well as expanding or reducing the scope of certification. *(QMS-08)*

**6.11.3** The procedure includes:

- a. assessment of the sufficiency of the information provided by the audit team of the relevant WHT subsidiary to make a decision on Halal certification;
- b. verification of the assessment of all detected non-conformances, their analysis and documentation, consideration and approval of measures to eliminate them;
- c. verification of the assessment of non-conformance measures.

**6.11.4** In order to make a decision regarding Halal Certification, the Halal Certification Committee of the relevant WHT subsidiary shall be provided with the following information:

- a. audit report;
- b. comments regarding detected non-conformances and, if applicable, measures to eliminate these non-conformances undertaken by the Client;
- c. report on the analysis of information provided in the Client's Application;
- d. confirmation of the information provided to the certification body used in the application review;
- e. confirmation of the achievement of audit objectives;
- f. recommendations regarding a Halal certification decision, including special conditions and observations.

**6.11.5** Halal Certification Committee of the relevant WHT subsidiary shall confirm, prior to making a decision, that:

- a. the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
- b. it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for all non-conformances that represent failure to fulfil one or more requirements of the certification standard, or a situation that raises significant doubt about the ability of the Client to achieve its intended outputs;
- c. it has reviewed and accepted the Client's planned correction and corrective action for any other non-conformances.

**6.11.6** Halal Certification Committee of the relevant WHT subsidiary makes the certification decision on the basis of an evaluation of the audit findings and conclusions and any other relevant information (e.g. public information, comments on the audit report from the Client).

**6.11.7** If the Client's non-conformance measures were not taken within the specified time period, the certification process is cancelled and if the Client wishes to continue the certification process, it must be restarted.

**6.11.8** In case of a refusal to provide a Halal certificate, the Halal Certification Committee of the relevant WHT subsidiary provides a report indicating the reasons for the refusal and the Halal Certification Unit of the relevant WHT subsidiary informs the Client in writing of the decision with the reasons for the refusal.

## **6.12 Certification Documents**

**6.12.1** If all certification requirements are fulfilled and a positive decision on the provision of Halal certificate is made, the relevant WHT subsidiary issues the Halal Certification invoice to the Client. Once the invoice is paid and the Agreement between the relevant WHT subsidiary and the Client is signed and the Halal Certificate is issued. Halal Certificate is issued by the relevant WHT subsidiary on the basis of the requirements specified in the Halal Certification Agreement and the selected standard. The issued Halal certificate contains the following information:

- a. the name and address of the Certification Body;
- b. the relevant WHT subsidiary's logo;
- c. the date the Halal Certificate is issued (the date shall not precede the date on which the certification decision was completed);
- d. the name and address of the Client;
- e. the scope of certification (provided in the Halal Certificate or its Annex);
- f. the standard, according to the requirements of which the Client is certified;
- g. the expiry date of the Halal Certificate
- h. the unique identification code of the Certificate;
- i. the unique identification number of the Client.

**6.12.2** The validity of Halal certificate depends on the selected certification standard:

- a. 3 (three) years for GSO 2055-1:2015 and OIC/SMIIC 1:2019 standards;
- b. 1 (one) year for MS 1500:2019 and WHT.G:2022 standards.

**6.12.3** Each Halal Certificate is assigned a unique identification number consisting of the first letters of the Client's name, month and day of the Halal Certificate issue and the serial number. For WHT Lithuanian subsidiary (Head office), WHT Greece subsidiary and WHT UK subsidiary issued Halal Certificates are signed by the CEO of the relevant subsidiary as well as the WHT Group's Head of Shariah Committee. Halal Certificates issued by WHT Uzbekistan subsidiary and WHT Russia subsidiary are signed solely by the relevant subsidiary's CEO due to regulations of the respective countries. Halal Certificate is signed by the CEO of the relevant WHT subsidiary and the WHT Group Head of Shariah Committee. The original Halal Certificate is posted to the Client only after the receipt of the original Halal Certification Agreement.

## **6.13 Directory of Certified Products**

**6.13.1** WHT Group maintains a current directory of every product certified by each WHT subsidiary and authorised to be marked by the WHT Halal Logo. All products are certified in accordance with the requirements of this Manual and the requirements of certification standards selected by Clients. The directory maintains the Client name and address, the name of the certified product, scope of certification, certification standard, the date of certification and the Halal Certificate expiry date. These documents are part of the publicly available information (section 3.8) and are available upon the request.

**6.13.2** The employees of the relevant WHT subsidiary regularly review the directory and, in accordance with the selected certification standard, send a reminder about updating the Halal Certificate to Clients by e-mail: 6 months before the expiration of the Halal Certificate issued according to the GSO 2055–1:2015 and OIC/SMIIC 1:2019 standards and 2 months before the expiration of the Halal certificate issued according to the standards MS 1500:2019 and WHT.G:2022 standards.

**6.13.3** The process of updating the Halal Certificate is identical to the process of the initial Halal certification.

## **6.14 Usage of Halal Certificate and Halal Logo**

**6.14.1** The decision regarding the use of Halal logo and Halal Certificate is always maintained by the relevant WHT subsidiary.

**6.14.2** When providing a copy of the issued Halal Certificate to the third parties/uploading it in various sources, the Client is obliged to provide a copy exactly corresponding to the original Certificate issued Halal Certificate (including all annexes to the Certificate);

**6.14.3** The Client is obliged to use only the Halal logo provided by the relevant WHT subsidiary on its products and in all external and internal documents. WHT Group Halal logo can be used for certified products, documentation directly related to the production of certified products and marking of the premises/tools/equipment used for the production of certified products.

**6.14.4** All Client's label/package designs with the WHT Group's Halal logo must be pre-approved with the relevant WHT subsidiary via email;

**6.14.5** WHT Group's Halal logo can only be used on the products for which the Halal Certificate is issued and that are listed in the Certificate or its Annex;

**6.14.6** The Halal logo is provided to Clients by the relevant WHT subsidiary in a working format. Its design/ratio of parameters cannot differ from those provided by the relevant WHT subsidiary, the logo should be clearly visible on the labels/packages of the product and cannot be covered by other inscriptions/logos;

**6.14.7** In case the WHT Group Halal logo and/or the issued Halal Certificate is used incorrectly, the relevant WHT subsidiary informs the Client about the need to immediately stop the unauthorised usage of the Halal logo and/or the issued Halal Certificate and imposes a penalty stated in the Halal Certification Agreement. If the Customer misuses the WHT Group Halal logo and/or the issued Halal Certificate again, the Halal Certificate is suspended or cancelled. In the absence of immediate corrective actions from the Client's side, WHT appeals to the District Court of the relevant country.

**6.14.8** In a case of unauthorised usage of the WHT Group Halal logo and/or the Halal Certificate by the third parties not bounded with any of WHT's subsidiaries by the Halal Certification Agreement the relevant WHT subsidiary immediately appeals to the District Court of the relevant country.

## **6.15 Surveillance and Special Audits**

**6.15.1** The activity of the Client must be constantly monitored. The onsite inspections must be conducted as often as it is specified in the Halal Certification Agreement (at least once a year) giving due regard to the requirements of the Halal certification standard to which the certification has been conducted and taking account of the nature of Halal product in question, requirements of the certification, any non-conformances detected in the Halal product or Halal production premises or any complaints received with regard to certified Halal product.

**6.15.2** The relevant WHT subsidiary develops its surveillance activities so that representative areas and functions covered by the scope of the certification are monitored on a regular basis and takes into account changes to its certified Client and its production.

**6.15.3** These audits are divided into three types: surveillance audits (see clause 6.8), audits to expand the scope of certification (see clause 6.8 for the audit procedure, a scope extension audit can be conducted in conjunction with a surveillance audit and does not require stage 1 audit), and audits that the Client is noticed about shortly before the audit. These short-notice audits are aimed for checking the integrity of the Client, investigation of complaints, performed changes, or for follow up of suspended Clients. The relevant WHT subsidiary describes and makes known in advance to the Clients the conditions under which these short notice visits are to be conducted and exercises additional care in the assignment of the audit team because of the lack of opportunity for the Client to object to audit team members.

**6.15.4** Regular surveillance audits are carried out on the same principle as certification audits, but the audit duration can be much shorter, depending on the complexity of the audited production, the results of previous audits and the established frequency of surveillance audits. Surveillance audits are on-site audits, but are not necessarily full system audits, and are planned together with the other surveillance activities so that the relevant WHT subsidiary can maintain confidence that the certified production continues to fulfil requirements between recertification audits. The surveillance audit programme shall include, at least:

- a. a review of actions taken on nonconformities identified during the previous audit;
- b. treatment of complaints;
- c. effectiveness of the production with regard to the chosen certification standard;
- d. progress of planned activities aimed at continual improvement;
- e. continuing operational control;
- f. review of any changes
- g. the use of Halal logo and/or any other reference to certification.

**6.15.5** When production premises are audited and if non-conformances that directly affect Halal product safety are detected samples may be taken for the surveillance purposes.

**6.15.6** The relevant WHT subsidiary also regularly reviews the documentation provided by the Client, and upon the expiration of the certificates provided, requests the new ones. The Client is given a certain amount of time to provide the updated certificates. If the renewed certificates are not provided at the set time, the validity of the Halal Certificate issued is suspended or revoked.

**6.15.7** In all cases, the procedures with regard to reports issued as a result of surveillance shall be determined by the Halal Certification Committee of the relevant WHT subsidiary.

## **6.16 Changes Affecting Certification**

**6.16.1** The Halal Certification requirements are established through the properly published certification standards, and the Certification Scheme. If the requirements of the standards or their interpretations change, WHT Group's Clients will be informed through the WHT Groups website and in writing.

**6.16.2** All changes affecting certified products shall be assessed and evaluated to ensure the continued compliance with the Certification Scheme. Types of changes include:

- a. revision of the certification scheme or standards. WHT Group project manager evaluates the changes of the appropriate published standards to determine the time period for the Client to meet the additional requirements if applicable. Each WHT subsidiary verifies the implementation of changes by its Clients and takes actions required by the Certification scheme.
- b. request for approval of changes to the certified products. A Client shall make a written request and provide documentation showing these changes.
- c. unapproved changes to the certified products. Unapproved changes discovered during surveillance activities are treated as non-conformances and shall follow the procedures outlined in section 6.16.
- d. certification scope extensions. Requests for the extension of Halal certified product's scope shall follow the procedures for initial Halal Certification Application (section 6.2).

**6.16.3** Halal Certification Unit of the relevant WHT subsidiary reviews all change requests in accordance with the appropriate procedures and standards. It then evaluates all applicable documents detailing the changes and makes a decision regarding additional inspections and approval. Documented rationale shall be provided for the approval of changes and enclosed into the product directory. In the event of any changes regarding Halal certification, a formal decision from the Halal Certification Committee of the relevant WHT subsidiary is required.

The Client shall not produce the modified product with the Halal logo until an official letter of permission approving the change and/or an updated Halal Certificate is received from the relevant WHT subsidiary. This letter states the rationale for allowing this change and a document's copy is placed in the Client's file.

Upon the approval of scope's extensions, the amended Halal Certificate or Annex to the Halal Certificate is issued (see clause 6.12).

## **6.17 Reduction, Suspension or Withdrawal of Certification**

*(QMS-08)*



**6.17.1** In a case of minor breaches (e.g. minor sanitary issues, absence of needed documents) found during the surveillance audits the Client shall be presented with an official warning and given certain amount of time to eliminate the breach. If the breaches are not eliminated, the Halal Certificate is withdrawn and the Client is forbidden to use the WHT Group's Halal logo on any of its products.

**6.17.2** In a case of a very serious breach found during the inspection (e.g. cross contamination with pork, alcohol) the Halal Certificate is withdrawn immediately and the Client is immediately forbidden to use the WHT Group's Halal logo on any of its products.

**6.17.3** In a case of any changes to the production process and/or ingredients, raw materials or products directly or indirectly involved in the production of the certified product, the Client must inform the relevant WHT subsidiary about the change without delay, explaining the reasons for the change. The auditors of the relevant WHT subsidiary must review all the changes throughout and if there are any breaches of the halal requirements – immediately inform the WHT Group's Shariah Committee, Top Management of the relevant WHT subsidiary and Halal Certification Committee the relevant WHT subsidiary, who shall make the decision on the further validity of the Halal Certificate and fines.

**6.17.4** In a case of minor breaches, the Client shall be forbidden to use the WHT Group's Halal logo on all products until it makes necessary amendments to the production process according to the halal requirements.

**6.17.5** In the case of serious breaches, the Client shall be forbidden to use the WHT Group's Halal logo on all products and the validity of the Halal Certificate shall be terminated immediately.

**6.17.6** In a case of the occurrence of any reputational, environmental or HR issues at the Clients organisation, Halal Certification Committee of the relevant WHT subsidiary shall make a decision on the validity of the issued Halal Certificate and further certification of the Client.

**6.17.7** In a case of suspension or revocation of the Halal Certificate, the Client is obliged to return the original copy of the issued Halal Certificate (including all Annexes to the Certificate) to the relevant WHT subsidiary by registered mail within 10 (ten) business days.

**6.17.8** If Certification is terminated (by request of the Client), suspended or withdrawn, the relevant WHT subsidiary takes actions specified in the appropriate documents and makes all necessary modifications to formal certification documents, public information, authorisation for the use of Halal logo, etc., in order to ensure it provides no indication that the product is continued to be certified. If a scope of certification is reduced, the relevant WHT subsidiary takes actions specified by appropriate documents and makes all necessary modifications to formal certification documents, public information, authorisation for the use of Halal logo, etc., in order to ensure the reduced scope of certification is clearly communicated to the Client and is clearly specified in certification documentation and public information.

**6.17.9** If certification is reinstated after suspension, the relevant WHT subsidiary makes all necessary modifications to formal certification documents, public information, authorisation for the use of Halal logo, etc., in order to ensure all appropriate indications exist that the product continues to be certified. Is a decision to reduce the scope of certification is made as a condition of reinstatement, the relevant WHT subsidiary makes all necessary modifications to formal



certification documents, public information, authorisation for the use of Halal logo, etc., in order to ensure the reduced scope of certification is clearly communicated to the Client and is clearly specified in certification documentation and public information.

## **6.18 Halal Certificate Renewal**

**6.18.1** The relevant WHT subsidiary warns the Client that the certificate is coming to an end in accordance with the selected certification standard: 6 months before the expiration of the Halal Certificate issued according to the GSO 2055–1:2015 and OIC/SMIIC 1:2019 standards and 2 months before the expiration of the Halal certificate issued according to the standards MS 1500:2019 and WHT.G:2022 standards.

**6.18.2** The relevant WHT subsidiary also informs the Client that if the Client decides not to renew the Halal Certificate or does not manage to go through the Halal Certificate renewal procedure before the current Halal Certificate expiry date, from the moment the Certificate expires, the Client does not have the right to use the WHT Group’s Halal logo on its products and must remove all information about the Halal certification from all sources.

**6.18.3** The Client must inform the relevant WHT subsidiary of their decision to renew the Halal certificate. If the Client decides to extend the validity of the Halal Certificate, they must go through all the Halal Certification procedure.

**6.18.4** A recertification audit is planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant Halal certification standard. The purpose of the re-certification audit is to confirm the continued conformity and effectiveness of the production as a whole, and its continued relevance and applicability for the scope of certification.

**6.18.5** The re-certification audit considers the performance of production over the period of certification and includes the review of previous surveillance audit reports.

**6.18.6** Re-certification audit activities may need to have a stage 1 audit in situations where there have been significant changes to the production system, the Client, or the context in which the production is operating (e.g. changes to legislation).

**6.18.7** In the case of multiple sites or certification to multiple standards, the planning for the audit shall ensure adequate on-site audit coverage to provide confidence in the certification.

**6.18.8** The re-certification audit includes an on-site audit that addresses the following:

- a. the effectiveness of the production in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- b. demonstrated commitment to maintain the effectiveness and improvement of the production in order to enhance overall performance and compliance to the chosen certification standard;
- c. whether the operation of the certified production contributes to the achievement of the compliance to the chosen certification standard.

**6.18.9** If during a re-certification audit instances of non-conformance or lack of evidence of conformance are identified, the relevant WHT subsidiary defines time limits for correction and corrective actions to be implemented prior to the expiration of Certification.

**6.18.10** The relevant WHT subsidiary makes decisions on renewing Certification based on the results of the recertification audit, as well as the results of the review of the whole production system and documentation over the period of certification and complaints received from users of Certification.

**6.18.11** If the Client decides not to renew the Halal certificate, on the expiration date of the Halal Certificate, the relevant WHT subsidiary informs the Client that from this day the Client has no right to use the WHT Halal logo on their products and in their premises/documentation and is obliged to remove all information on Halal certification from all the sources.

## **6.19 Records**

**6.19.1** WHT Group maintains records on the audit and other certification activities for all Clients, including all organisations that submitted applications, and all organisations audited, certified, or with certification suspended or withdrawn. WHT Group retains all records generated during the certification process of an individual certified product, which provide evidence that all the certification requirements are fulfilled. WHT Group creates a directory file on the online server as well as the hard copy for each Client. All data, correspondence, notes and records related to the Client are maintained in these files. Each Client file contains the following documents:

- a. application for Halal Certification, all audit reports and other certification documents;
- b. Halal Certification Agreement;
- c. justification of the methodology used for sampling of sites (if applicable);
- d. justification for the audit time determination;
- e. verification of correction and corrective actions;
- f. records of complains/appeals and any subsequent corrections or corrective actions;
- g. committee deliberations and decisions (if applicable);
- h. documentation of the Halal Certification decisions;
- i. certification documents, including the scope of certification with respect to product, process or service, as applicable
- j. audit programmes;
- k. related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts.

**6.19.2** The confidentiality requirements of section 3.7 apply to all records retained by WHT Group. Records are stored, transported, transmitted and transferred using confidential methods.

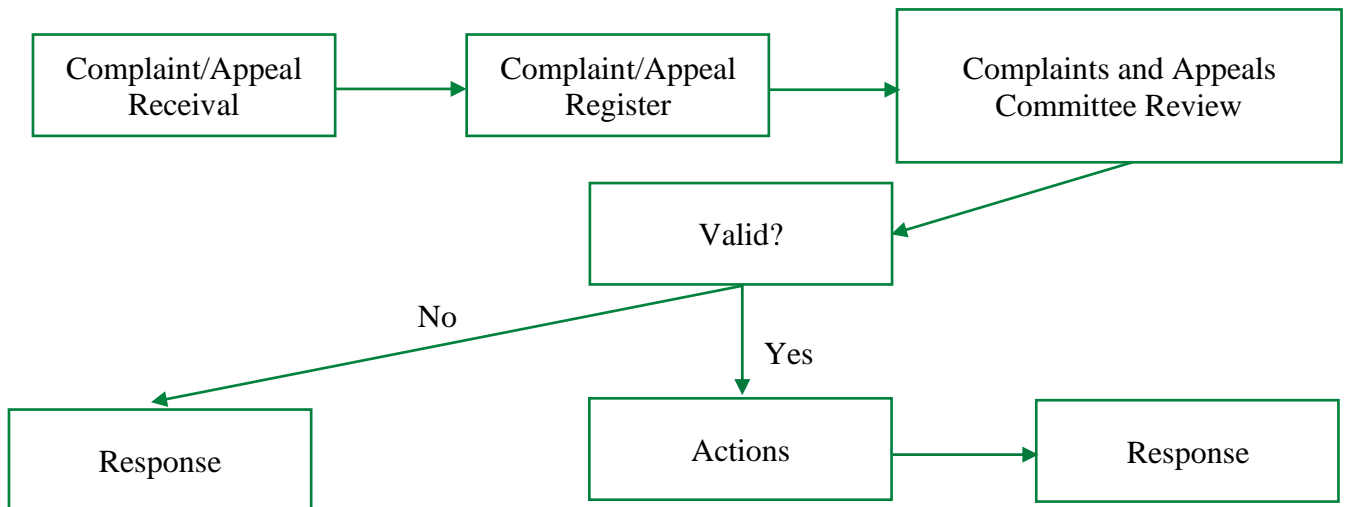
**6.19.3** All records directly related to individual product certification activities are retained in the previous and the current evaluation cycle. After this period, all records are archived and, after the set storage period has expired, are destroyed in a safe manner.

## 6.20 Complaints and Appeals

(QMS-05)

**6.20.1** WHT Group has a documented procedure for the management of complaints and appeals directed to any of WHT subsidiaries which provides the requirements for the recording and tracking of complaints and appeals and actions to resolve them. The Complaints and Appeals Committee is responsible for addressing complaints and appeals. WHT Group is dedicated to the satisfactory resolution of complaints and appeals.

**6.20.2** The short complaint and appeal management scheme is presented below:



## 7. QUALITY MANAGEMENT SYSTEMS

### 7.1 General

This document defines the Quality System supporting the activities required for product certification under WHT Group's accredited product Certification Scheme. This Quality System manages product evaluations, certifications and continuous monitoring works performed at WHT Group. It also governs activities that result in certification and certification-related reports and assures objectivity of the information contained in the reports.

## **7.2 Management System Documentation**

**7.2.1** WHT Group has defined and documented policies and objectives for quality in accordance with GSO 2055 – 2:2021 and OIC/SMIIC 2:2019 standards by establishing this Quality Manual and every other document in the Quality Management System. The Top Management of each WHT subsidiary issued the quality policy statement to ensure that these policies are acknowledged, implemented and maintained at all levels of operations through the relevant quality mechanism managed by the WHT Group’s project manager. The Top Management of each WHT subsidiary also ensures that all employees of their subsidiary are made aware of the relevance and importance of these manuals and know how they contribute to the achievement of quality objectives. All WHT Group employees shall read the Manual and are required to acknowledge their strict adherence to following the procedures instructions contained in the Quality Manual. All employees are encouraged to report any improprieties by management or personnel to the Top Management of the relevant WHT subsidiary.

*(DC-02)*

**7.2.2** WHT Group is committed to conduct the improvement and proper implementation of the entire Quality Management System. The Quality Management System is regularly reviewed for proper implementation and for areas of involvement during:

- a. management of the quality mechanism;
- b. Top Management reviews;
- c. annual internal audits;
- d. corrective actions.

**7.2.3** WHT Group Head of Halal Certification reports to other members of WHT Group’s Top Management and is appointed to oversee the proper implementation of the Quality System. WHT Group’s Head of Halal Certification acts as a quality manager for the WHT Group and is the task leader for the certification activities, and therefore has the authority to direct the activities of personnel on a day-to-day basis and has significant influence in employment, assignment, disciplinary actions and termination.

**7.2.4** WHT Group project management is responsible for the monitoring of the achievement of the quality objectives through the management of the established quality mechanism and the assessment of KPIs (Key Performance Indicators) identified in it.

**7.2.5** This Quality Manual is considered as a master document governing the WHT Group’s Quality Management System. The Quality Manual outlines the general principles and policies of WHT Group in regard to the requirements stated in GSO 2055 – 2:2021 and OIC/SMIIC 2:2019 standards as well as the Certification Scheme. The specific details of certification activities and responsibilities are included in the Quality System procedures. All Quality System Procedures are referenced in this document. The entire Quality System is linked as a network and all Quality System documents can be found this Quality Manual.

**7.2.6** All personnel is provided access to the Quality Management System through this Quality Manual and is required to get acquainted with Quality Manual soon after hiring. WHT Group Top Management identifies the documents which are distributed to the appropriate personnel for them to properly fulfil their duties are notifies all employees when any changes to the Quality Manual are made.

### **7.3 Document and Record Control**

WHT Group has a separate document and record control procedure, regulating the management of all internal and external documents within the WHT Group. *(QMS-15)*

### **7.4 Top Management Review**

WHT Group's Top Management conducts a complete review of WHT Group's Quality Management System and activities on an annual basis. The Top Management review includes inputs from all WHT subsidiaries and is conducted in accordance with the relevant Quality Management System procedure. *(QMS-17)*

### **7.5 Internal Audits**

Regular internal audits are conducted within WHT Group in accordance to the developed procedure to verify that it fulfils the Halal Certification requirements, Shariah requirements, the requirements of relevant external standards and that WHT Group's Quality Management System is effectively implemented and maintained. It is conducted for the whole WHT Group and considers all its branches as inputs. *(QMS-18)*

### **7.6 Corrective and Preventive Actions**

**7.7.1** WHT Group has a procedure to identify, document, and analyse Quality System non-conformances and implement corrective actions. *(QMS-10)*

**7.7.2** WHT Group has a procedure of identification and management all corrective and preventive actions within the WHT Group. *(QMS-16)*