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	Guideline on Procedures and Principles of Accreditation Assessment	Date of Issue:	28.08.2019
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1. OBJECTIVE AND SCOPE

The objective of this Guideline is to define the procedures of Halal Accreditation Agency (HAK) to perform the accreditation assessments of Halal Conformity Assessment Bodies (HCAB) and the obligations of HCABs in the context of these assessments.

This Guideline includes the procedures and principles for the processes from planning the halal accreditation assessment to presenting the assessment report to Report Evaluation Committee.

2. TERMS, DESCRIPTIONS AND DEFINITIONS

Assessment: Determination of whether the activities, systems and personnel of a HCAB comply with national and internationally accepted technical criteria, standards and related legislation

Assessor: Person assigned by HAK to perform, alone or as part of an assessment team, an assessment of a HCAB

Corrective Action: An activity related to the measures taken to resolve the causes to prevent the re-occurrence of existing nonconformity, defect or other unwanted situations

Key Activity: Processes include policy formulation, process and/or procedure development and, as appropriate, contract review, planning halal conformity assessments, review, approval and decision on the results of halal conformity assessments which affect HCAB's competence

Location: Addresses where halal conformity assessments activities and related activities are carried out (branch, addresses where important activities are carried out, mobile facility, travelling facility, virtual field, remote personnel's location, representative office, liaison office)

Office Visit: An assessment activity aiming to determine whether the management system of the HCAB meets the requirements of both the international standards as a basis for accreditation (e.g., OIC/SMIIC Standards) and the complementary criteria (e.g., national legislation, HAK Guidelines) within the requested scope of accreditation


Scope of Halal Accreditation: Specific conformity assessment activities for which halal accreditation has been granted

Surveillance: A series of assessment activities including monitoring of the accredited HCAB to see if it continues to meet the accreditation requirements

Team Leader: Assessor who is given overall responsibility for assigned halal accreditation assessment activities and assessment team.

Third Party: Client firm certified by HCAB.

Witness Assessment: Observation of conformity assessment activities carried out by HCAB within its scope of accreditation in the field of HCAB's client firm by HAK.

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3. IMPLEMENTATION

Halal accreditation assessment is composed of the phases below:

- Office Visit
- Witness Assessment
- Preparation of the Assessment Report

3.1. Office Visit

3.1.1. Planning the Office Visit

Office visit shall be conducted by the assessment team, established before the document control process and approved by HCAB, pursuant to requirements defined in the latest version of “Guideline for Halal Conformity Assessment Bodies (AKR-Rh-003)”.

After completing the document control process and reporting the findings of pre-assessment (if conducted), in case no issues hindering the assessment are observed, the Team Leader prepares an Assessment Schedule in collaboration with Project Coordinator, Department of Halal Accreditation (HADB) and HCAB.

The Assessment Schedule includes the dates for office visit and witness assessments in the scope of initial halal accreditation assessment.

Thereafter, “Assessment Team Proposal Form” that includes assessment costs based on the office visit schedule is sent to HCAB by the Project Coordinator.

In principle, it is essential to send the Proposal Form to HCAB within minimum fifteen (15) working days’ prior assessment date.


HCAB submits the Proposal Form to HAK within maximum five (5) working days upon approving. HCAB has the right to ask for a revised assessment schedule within maximum five (5) working days.

Following the submission of Proposal Form to HAK, “Office Visit Scheme” is prepared within the coordination of the Team Leader in collaboration with HCAB. “Office Visit Scheme” includes the task distribution approved by the Team Leader and the working documents (e.g., information and documents of the HCAB to be assessed) and then conveyed to members of assessment team.

3.1.2. Preparation for the Office Visit

In preparation process of the visit, Team Leader and the assessment team members make arrangements for the following:

- Requirements by HAK for HCABs and the documents describing these requirements

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- Management system standard concerning the HCAB to be assessed and other international standards and legislations
- Content and process of the management system of the HCAB to be assessed (e.g., Quality policy and objectives, historical data on quality policy, quality planning, quality control, corrective action, continual improvement)
- Special products and services, cultural norms specific to geographical region, business processes and organizational structure of the third parties to which HCAB conducts conformity audits

3.1.3. Performing the Office Visit

After the approval of the assessment schedule by the HCAB and finishing the necessary preparations, office visit is conducted in accordance with the assessment schedule and office visit scheme.

By the office visit, it is aimed to determine whether the management system and technical competency of the HCAB within the requested scope of accreditation meets the following requirements:

- International standards as a basis for halal accreditation (OIC/SMIIC 2:2019)
- Requirements of the additional complementary criteria (e.g., HAK Guidelines, national legislation)


In office visits, the sustainability of the HCAB's current management system within the requested scope of the accreditation shall be reviewed as well.

Office visit begins with an opening meeting through which the aim, scope and schedule of the assessment; cases terminating the assessment, information about closing meeting, halal accreditation criteria of HAK, principles for use of HAK Halal Accreditation Mark, handling of complaints and appeals, evaluation of non-conformities, issues on privacy and information security are clearly delivered to the HCAB. Opening meeting is conducted under the chairmanship of the Team Leader with the participation of HCAB's authorized personnel, as well as with the other personnel having a key role in the assessment.

The centre office of the HCAB and the branches in which the key activities are performed are within the scope of initial halal accreditation assessment.

Where necessary; selected branches and premises can also be included in the scope of assessment to obtain objective evidence for the conformity of the HCAB against OIC/SMIIC standards and HAK's normative documents as well as its competency within the requested scope of halal accreditation.

The activities of HCABs that are considered as key activity according to their fields of operation (as stated in IAF/ILAC A5:11/2013) are listed below:

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a. Key Activities for Halal Accreditation of Product/Service Certification Bodies:

- ✓ Policy formulation and approval
- ✓ Process and/or procedure development and approval
- ✓ Initial assessment of competence and approval of technical personnel and sub-contractors
- ✓ Control of the monitoring process of competence of personnel and sub-contractors and its outcomes
- ✓ Contract review including technical review of applications and determining the technical requirements for certification activities in new technical areas or areas of limited sporadic activity
- ✓ Decision on certification including technical review of evaluation tasks

b. Key Activities for Halal Accreditation of Management System Certification Bodies:

- ✓ Policy formulation
- ✓ Process and/or procedure development
- ✓ Initial approval of auditing personnel or control of their training
- ✓ On-going monitoring of auditing personnel
- ✓ Application review
- ✓ Assignment of auditing personnel
- ✓ Control of surveillance or recertification audits
- ✓ Final report review or certification decision or approval.


c. Key Activities for Halal Accreditation of Inspection Bodies¹:

- ✓ Policy formulation
- ✓ Process and/or procedure development
- ✓ Process of initial selection of inspectors
- ✓ Contract review*
- ✓ Planning conformity assessment activities*
- ✓ Review and approval of conformity assessment*

During office visit, findings are recorded in the “Non-conformity and Corrective Action Notification Form” by members of the assessment team without any comments in dispute.

If there is any divergence about the assessment-related subjects occurs, or no consensus between the members has been reached, the opinion of the Team Leader forms the basis. However, Team

¹ These types of activities may be accepted as ‘key activities’ where HAK deems it necessary.

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Leader may ask for opinion of HAK’s Project Coordinator or HADB related to an issue in dispute during the visit.

Assessment team evaluate the non-conformities and observations before the finalization of office visit. The non-conformities and observations determined are recorded in the “Non-conformity and Corrective Action Notification Form”. Observations are recorded in the short evaluation part at the first page of the Form. It is not expected to demand a root-cause analysis, etc. for observations yet in the next surveillance assessment, these observations shall be subject to evaluation to check whether the issues are resolved or not.

Office visit is finalized with a closing meeting together with the attendance of whole assessment team and HCAB’s authorized personnel. The non-conformities and observations determined during the assessment, as well as any recommendations of the assessment team regarding these (if any), are explained at this closing meeting². A signed approval of HCAB authorised personnel is requested regarding the approval of the non-conformities and observations.

Assessment team leaves a tentative copy of “Non-conformity and Corrective Action Notification Form” to HCAB for the purpose of providing the root-cause analysis and conveying the time limits for the corrective actions to HAK.

3.2. Witness Assessment

A pre-determined number of certification audit carried out on-site by HCAB is monitored by HAK assessment team. As such, HAK shall gather information that will be the basis of evaluation regarding HCAB’s implementations, monitoring and follow-up performance over the third party and auditor competence.

3.2.1. Planning and Performing the Witness Assessment


The detailed rules regarding witness assessment are elaborated in the “Implementation Guide for Witness Assessment for Halal Conformity Assessment Bodies”.

During the accreditation assessment period, in order to conduct detailed examinations, HAK assessment team members can visit a third party to which the assessed HCAB had already carried out a certification audit, where deemed necessary.

3.3. Main Procedures After the Assessment

HCAB may complain about the non-conformities and observations determined during the assessment. The final decision about this issue shall be given by HAK office. Once the non-

² If the non-conformity can be resolved before the end of the accreditation assessment, then the information related to the non-conformity may be shared with the authorised personnel at the moment of detection and the HCAB may be allowed to resolve it before the assessment is complete, with the approval of the Team Leader.

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conformities and observations are approved by HAK, HCAB shall begin to implement necessary corrective actions. No further complaint is possible once the non-conformities and observations are finalized.

HCAB shall convey the corrective actions that will be implemented as well as their time limits to the assessment team in ten (10) days following the notification of approved Assessment Report. Based on the approval given, HCAB begins to make the corrective actions foreseen. In the case of disapproval of the schedule by HAK, HCAB shall prepare a new schedule and immediately convey it to HAK for re-evaluation.

HCAB shall implement their corrective actions not longer than three (3) months after the assessment date at most. Thus, the finalization period of the corrective actions shall be determined in a manner that will not exceed this duration considering the feedbacks of the assessment team.

3.4. Termination/Suspension of Assessment Process

Below are the situations requiring the termination/suspension of the accreditation assessment:

3.4.1. Before Assessment


Critical changes can happen in the conditions of the assessed HCAB such as natural disasters, change of address or legal status, quitting of key personnel, withdrawal of the certification requests by the clients etc. In this case, HAK's Project Coordinator and Lead Assessor can change the assessment dates in coordination with the HCAB. If necessary, HAK may change the assessment team and revamp the assessment schedule and proposal.

Where HCAB withdraws the accreditation request (or assessment) after signing of the assessment team proposal form, half of the total cost proposed for the assessment is charged to HCAB.

3.4.2. During Assessment

Below are the situations requiring the termination of assessment after the start of assessment:

- a) The negative effect of assessment conditions to HAK's assessment team's health and/or failure to ensure the security of the assessment team.
- b) In relation to the non-conformity identified, any exposure of significant risks regarding the environmental and security-related subjects
- c) In spite of the declaration of HCAB's readiness to the assessment, a counter identification that the HCAB is not ready for assessment at all in terms of infrastructure, personnel or documentation (e.g. unavailability of key personnel during the assessment who are responsible for certification processes)

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d) Lack of adequate implementation records in the areas where halal accreditation is requested, blocking of access to records by HCAB, failure to meet the conditions for the assessment team to collect objective evidence or direct interference with the Team's right to collect evidence

e) Absence of proper organizational preparations (such as logistics) to proceed the assessment

f) Detection of unsubstantial records examined during the assessment to a large extent, or deliberate formation (partially or completely) of false records or deliberate presentation of misleading information and documents/records.

g) Any offer made by the HCAB that implies financial and commercial interest towards the team members

In addition to the provisions listed above, the assessment can be terminated with the approval of HADB where the Team Leader notifies HAK about concrete and objective evidences hindering the proper realization of the assessment.

The reason of the termination of the assessment is recorded in an official report by the assessment team and HCAB's authorized personnel.


The provisions (a) – (g) listed above mean that HCAB did not fully prepare for the assessment and that the assessment is interrupted due to deficiencies, defects or omissions that would adversely affect the effectiveness of the assessment.

In these cases, in accordance with the provisions of the Halal Accreditation Agreement, the assessment shall be deemed as 'complete' and the whole cost in the assessment proposal shall be collected from the HCAB. Thus, the assessment shall be considered to end negatively and the application for halal accreditation is rejected.

On the other hand, if the assessment is terminated for a reason not stemming from the HCAB, the assessment shall be completed at another appropriate date without any additional charge to the HCAB.

Where the terminated assessment is not negatively completed:

- For an initial halal accreditation assessment, a new audit shall be planned within one (1) year from the date of application. In the duration/scope of the new planned audit, reductions can be made taking into account the successful parts of the terminated assessment. If a new assessment cannot be carried out due to the reasons stemming from the HCAB within one (1) year from the date of application, then the accreditation file shall be closed.
- For a surveillance, a new surveillance assessment is planned within a maximum of two (2) months. In the duration/scope of the new planned audit, reductions can be made taking into account the successful parts of the terminated assessment. HAK's suspension/withdrawal processes shall be applied should the specified periods for surveillance assessments could not met.

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- For a renewal assessment, a new renewal assessment is planned to take place within the period of sixty (60) months halal accreditation cycle period. In the duration/scope of the new planned audit, reductions can be made taking into account the successful parts of the terminated assessment. If the renewal assessment cannot be carried out within sixty (60) months due to reasons stemming from the HCAB, then the renewal process shall be performed as an ‘initial’ halal accreditation application.

4. Preparation of Assessment Report

An assessment report shall be submitted to HAK by the Assessment Team covering all matters recorded during the office visit and witness assessments, including the findings and non-conformities and observations stated to the HCAB at the closing meeting.

Document History

Page #	Revision #	Revision
02	01	“Surveillance assessment date” included in the assessment schedule is removed
02	01	“Assessment Proposal Form” is altered as “Assessment Team Proposal Form”
02-03	01	Assessment schedule work plan has been elaborated.
03	01	“Office visit schedule” is altered as “assessment schedule”
03	01	The topics that will be discussed in the opening meeting are elaborated.
05	01	An additional information regulating that “the assessment findings shall be based on a sample of available information”.
Whole	01	“Observations” that will be written to the Non-conformity and Corrective Action Form are defined.
Whole	01	“Client” is altered as “client organization”.
Whole	02	“Client organization” is altered as “third party” in order to accommodate with the latest national legislation.
06	02	Under the section of “Main Procedures After the Assessment”, post-assessment procedures (such as the notification of non-conformities and determination of corrective actions) are identified.