



**REH.01**

Revision 00 / 18.09.2023

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**Management Systems and  
Halal Certification  
Guide**



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<b>First release date</b>	<b>18.09.2023</b>		
<b>Revision date</b>	<b>---</b>		
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## 1. PURPOSE

The purpose of this guide is to make publicly available the QSI processes applied before, during and after the audit for the management system and halal certification.

## 2. SCOPE

This guide covers all standards within the scope of the QSI system and halal certification.

## 3. DEFINITIONS

**Nonconformity:** One or more of the management system requirements are not met.

**Major Nonconformity:** It is the failure to adequately define and/or implement any of the standard articles or subheadings. At the same time, there are deficiencies and malfunctions that will affect the healthy functioning of the system.

**Minor Nonconformity:** These are non-compliances with the system standard conditions that do not affect the overall system.

**Observation:** These are positive or negative written opinions regarding the management system that are the basis for certification in order to assist the audit committee in the next audit.

## 4. APPLICATION

### 4.1. Pre-Audit Activities

#### 4.1.1. Receiving the Application

Certification requests (first application, re-certification, transfer, address, title and scope change application) are received with the System Certification Application Form.

In order for the audit to be a transfer audit, it must meet the conditions according to the IAF MD2 guideline.

Integrated Management System audits are carried out according to the IAF MD 11 guideline.

#### 4.1.2. Reviewing Your Application

Applications are reviewed according to the following steps.

- a- Confirmation of Impartiality;

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- b- Confirmation of Scope Compliance;
- c- Confirmation of the Existence of a QSI Qualified Audit Team;
- d- Calculation of Examination Durations;
- e- Analysis of Requested Examination Time;

During the review phase, the time to be spent for the examination is determined according to the Examination Time Calculation Instruction, and sampling for multiple sites is determined according to the Multiple Site Audit Instruction.

For the final acceptance of the application, in addition to the titles mentioned above, it is evaluated whether other issues affecting certification activities (language, security conditions, customer financial risk, etc.) are appropriate.

#### **4.1.3. Submitting Offers and Signing Contracts**

Following the acceptance of the application, an offer is created using the System Certification Agreement and sent to the customer, and the accepted offers are mutually signed with the customer.

#### **4.1.4. Preparation of 3-Year Audit Program**

3-Year Audit Program is prepared, taking into account the size of the customer, the scope and complexity of the management system, the products and processes, as well as the results of previous audits and the demonstrated level of effectiveness of the management system.

### **4.2. Audit Process**

- The entire process of examinations is carried out through software called QSIPRO. All customers [info@qsi.com.tr](mailto:info@qsi.com.tr) They must obtain their username and password information from .
- 60 days before surveillance and recertification audits, QSI Certification software sends a warning e-mail to customers about the document validity period.
- Before all examinations, examination plans are sent to customers for approval via QSIPRO software.
- Upon the customer's request, a pre-audit examination that will take a maximum of 1 man/day can be carried out. For Halal Certification Depending on the size of the customer and the complexity of their production and the breadth of the product range, this period can be increased to a maximum of three days.
- Special examinations carried out upon complaints are planned as 1 man/day, but this period may be extended depending on the nature of the complaint.
- Customers whose certificates have expired are notified through the QSIPRO software that their certificates have expired.
- The period between Stage 1 and Stage 2 examinations can be a maximum of 6 months (180 days). If Stage 2 is not performed within this period, Stage 1 is repeated.

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- Corrective action plans and/or nonconformance closure records for nonconformities opened during audits are uploaded to the QSIPRO software by the customer and closed by QSI via the QSIPRO software.
- Stage 1 audits can be performed at the customer site or QSI office within the framework of the following rules.

<b>9001</b>		<b>14001</b>	
<b>complexity</b>	<b>Place</b>	<b>complexity</b>	<b>Place</b>
		Annoyed	Desk Head
Low	Desk Head	Low	Desk Head
Middle	Field	Middle	Field
High	Field	High	Field
-----	-----	Highest	Field

ISO 27001, ISO 20000-1, ISO 27701, ISO 22000, ISO 50001 and ISO 45001 Stage 1 audits are carried out on site.

In HALAL Certification The planning unit decides, in consultation with the audit team, whether the Stage 1 audit will be carried out on-site in categories A, B, G, H, I, J and K in Annex A of OIC/SMIIC 2:2019.

- It is mandatory for the customer to take the necessary action in accordance with the following time constraints in order to make decisions such as issuing, renewing, maintaining the certificate, expanding the scope, address and title changes for nonconformities opened during the audits carried out according to the Audit Process.

**Initial Certification, Transfer and Special Audits:**

Starting from the Last Day of the Audit			
	15 days	Day 90	(ADDITIONAL TIME) Day 180
Major	DF Plan Must Be Approved	DF Should Be Closed (Obj. Evidence or Follow-up Examination)	DF Should Be Closed (Obj. Evidence or Follow-up Examination)
minor	DF Plan Must Be Approved	In the next Audit, DF should be checked and closed on site.	

**In Surveillance and Recertification Audits:**

	15 days	Day 90	(ADDITIONAL TIME) Day 180
Major	DF Plan Must Be Approved	DF Should Be Closed (Obj. Evidence or Follow-up Examination)	DF Should Be Closed (Obj. Evidence or Follow-up Examination)
minor	DF Plan Must Be Approved	In the next Audit, DF should be checked on-site and closed. If not closed, it turns to major	

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- Objections and complaints cases [www.qsi.com.tr](http://www.qsi.com.tr) The Objection and Complaints Procedure published at is applied.
- Disaster Management Procedure is applied for remote audits.
- The flow of the Audit Process is given in the diagram below.

### 4.3. Halal Certification Special Conditions

#### 4.3.1. Sampling

If the subject of halal certification is the "product", the sampling process can be mentioned. The principles regarding sampling, the parameters and test methods to be examined in these samples are explained in detail in the Sampling Instruction (QSI-PRO.17-TL.01).

#### 4.3.2. Halal Documents to be Accepted as Reliable

The acceptance criteria for possible Halal (conformity) documents to be reviewed during the traceability or Halal and registrar verifications to be carried out by the audit teams about the product/process/service/MS subject to certification during the initial certification (Stage 2 only), surveillance and re-certification audits may be one or more of the following;

- Halal certificates issued by Halal certification bodies accredited by HAK according to OIC/SMIIC 2,
- According to OIC/SMIIC 2 or largely similar standards or procedures/criteria, the accreditation bodies of OIC member countries (EIAC-UAE; GAC-Gulf Countries; EGAC-Egypt; JAS-AU-Jordan; PNAC-Pakistan; KAN-Indonesia; TUNAC) -Halal certificates issued by accredited Halal certification bodies (Tunisia; SEMAC-Morocco; ALGERAC-Algeria; SDAC-Sudan; NCA-Kazakhstan etc.),
- It is a member of some internationally widespread HUDK unions (World Halal Council-WHC; World Halal Food Council-WHFC, etc.) or recognized by these unions or the Islamic authorities of OIC member countries (JAKIM-Malaysia; MUI-Indonesia; MUIS-Singapore; etc.). Halal certification bodies (IFANCA-USA; ICSA-South Africa; NIHT-S. Africa; SANHA-S. Africa; HFA-UK; SHC-China; Halal Control-Germany; IFRCASIA-Malaysia; JMA-Japan; MAM-Malawi; NZIPF-Netherlands; IDCP-Philippines; CICOT-Thailand; AHF-USA; HALAL TRUST-India; HPS-Canada; TQHCC-Netherlands; SICHMA-Australia; Jamiat Ulama Halal Foundation-India; HCS-Switzerland; Halal certificates issued by WHA-Italy; AHS-Macedonia; HFQ-Spain; GIMDES-Turkey; KAS-Turkey; etc.),
- HUDKs that carry out Halal certification activities based on OIC/SMIIC series standards or similar criteria and/or prepare to be accredited by OI.

#### 4.3.3. Evaluation of Test/Analysis Results

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Product samples taken during the halal certification audit are tested/analyzed in contracted subcontracted laboratories. After the test/measurement/analysis reports from these laboratories reach the QSI audit team or halal certification unit, the evaluation is made by the audit team in terms of compliance with the relevant OIC/SMIIC standards or Turkish Legislation and the results are evaluated.

**4.3.4. Halal Certification Surveillance Frequencies by Business Sector Complexity Classes**

<b>Complexity Class</b>	<b>Business sector</b>	<b>Surv. Frequency</b>
<b>Very High</b>	Production or processing establishments that often present a high level of non-halal risk. Product and service sectors that have a very high potential to be non-halal due to the wide variety of processes or sub-processes or the large amount of raw materials or inputs involved; chemicals, pharmaceutical products, processed meat products, genetically modified products, food additives, biocultures, cosmetic products, processing aids, microorganisms, n.e.c.	<b>1 in 6 months</b>
<b>High</b>	Production or processing establishments that often present a high level of non-halal risk. Product and service sectors that involve a large number of transactions and have a high potential for halalness; slaughterhouse, poultry, cheese products, biscuit types, oils, beverages, hotels, restaurants, nutritional supplements, packaging materials, cleaning agents, textile products, food contact materials and materials, Islamic finance,	<b>1 in 6 months</b>
<b>Middle</b>	Usually manufacturing or service organizations. Products and services that have an average potential for not being halal; dairy products (except cheeses), fish and aquatic products, egg products, beekeeping, spices, garden products, dried plants; vegetables and fruits, canned products, pasta, sugar, animal feed, fish feed, water supply, product development processes and food-related machinery and equipment production, veterinary services, leather products,	<b>1 in 12 months</b>
<b>Low</b>	Organizations that generally have very few important features. Products and services that have a low potential for not being halal; fish, egg production, milk production, fishing, hunting, trapping, fruits, vegetables, grain, fresh fruit juices, fresh vegetable juices, drinking water, flour, salt, wholesale and retail stores, shops, distribution, transportation, storage services	<b>1 in 12 months</b>

**Note-1:** If the production/service issue of a customer organization corresponds to more than one complexity class, the frequency of surveillance is determined according to the one with the highest risk and complexity among the mentioned classes.

**Note-2:** The above product complexity classes have been determined by taking into account OIC/SMIIC 2:2019 Annex-B.

**Note-3:** Not all organizations in a given industry are always in the same complexity class. For example, although many businesses operating in the chemical sector should be categorized under the "high

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complexity” class, an organization that performs only a mixing activity that does not involve chemical reactions and/or has high quantities of risky raw materials and/or performs advanced processing activity is classified as “medium” or It can even be considered in “low complexity” classes.

**4.3.5. Halal Certification Market Surveillance Activities**

In order to evaluate the current status of the product/service/process/management system certified halal by QSI, the perception in the market is to take sampling, testing, when appropriate, to verify through the market that the customer organization continues to provide the product/service/process or operate the management system in accordance with the halal and tayyib conditions. , examination, observation, interview, consultation, etc. Market surveillance is carried out using methods. Market surveillance is planned and carried out at least once in each certification cycle. Expenses arising from market surveillance are invoiced separately to the certified customer organization.

**4.3.6. Halal Certification Routine Unannounced Audits (RHT)**

This audit is only applied to customer organizations that have the Halal Conformity Certificate. It does not apply to organizations holding the Halal Slaughter and/or Halal Party Goods Certificate. Routine unannounced audits are performed whenever deemed necessary throughout each certification cycle. The frequency of this may be increased to a maximum of once a year, depending on the performance of the customer organization in meeting the halal and tayyib conditions, previous audit results and complaints from the market or customers' customers.

**4.4. Suspension and Withdrawal of the Document**

In the following cases, the document is suspended for a maximum of 6 months:

- The client's certified management system has consistently and seriously failed to meet certification requirements, including the requirements for that system to be effective;
- Certified customer does not allow surveillance or recertification audits to be conducted at the required frequency,
- Documented customer requests voluntary suspension.
- Serious loss of reputation and doubts have developed in the public regarding the fulfillment of Halal and Tayyiblik conditions in the Halal product/service/process/management systems activities carried out by the customer organization for Halal Certification,

The document is withdrawn in the following cases;

- In activities carried out to remove the suspension (audit, document review, etc.)
- The company does not close its nonconformities within the stipulated time,
- Failure to make payments reported by QSI in the offer
- Bankruptcy of the customer or termination of the activity within the scope of the document
- Use of the document outside the specified conditions

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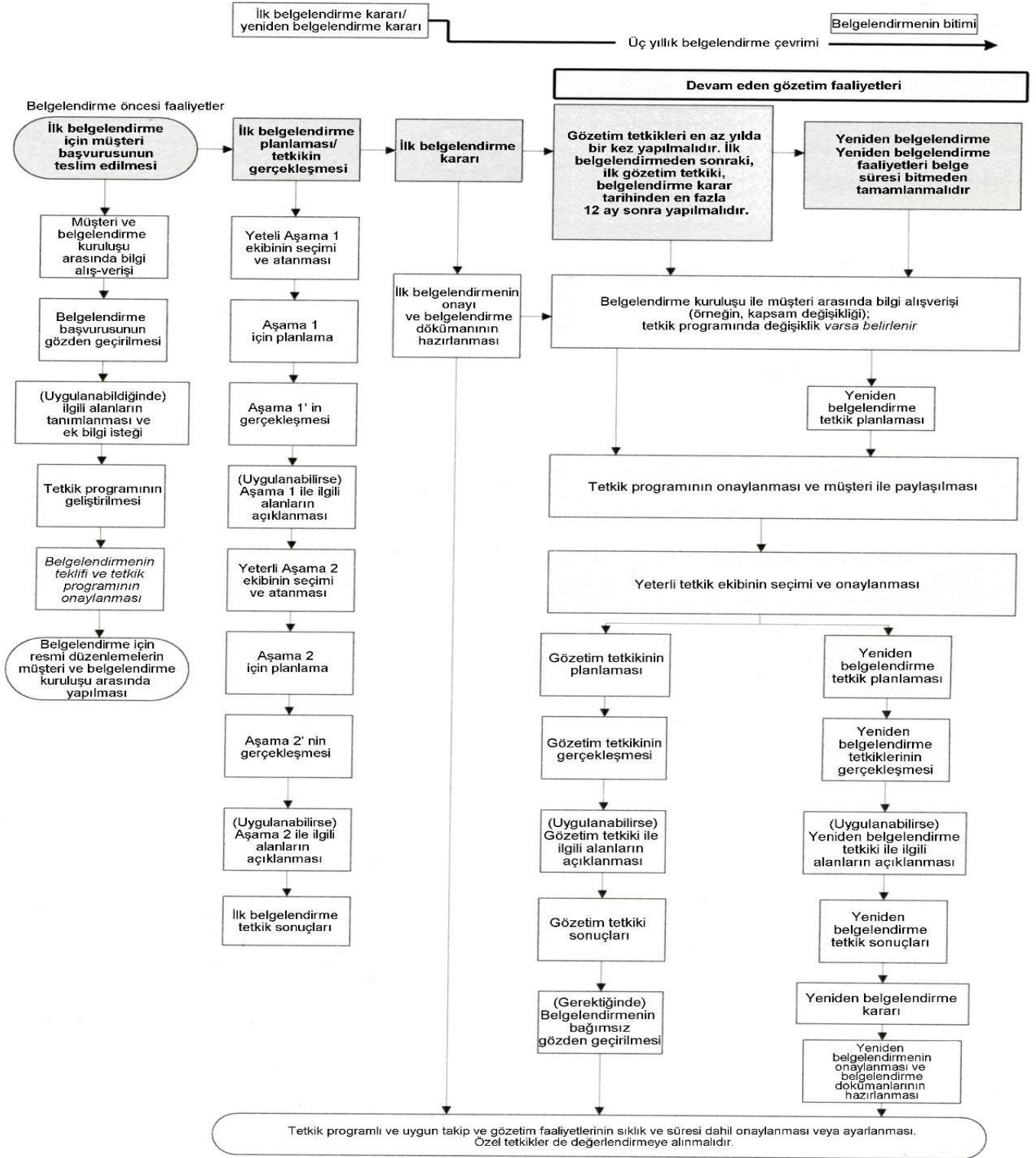
- As a result of the customer's request
- Using the Customer Management System Certificate in areas other than the product or service specified in its scope
- The customer provides incomplete and misleading information during the examination
- In the examinations carried out within the validity period of the document, it is determined that the customer's system has lost its conformity with the relevant standard.
- The customer is not present at the facility address specified in the document.
- Destruction of customer's documents and attachments
- Change of legal entity of the customer
- Existence of deliberate negligence proven by objective evidence by the customer organization towards meeting the Halality and Tayyiblik conditions in activities such as Halal product/service/process/management systems production/supply/operation carried out for Halal Certification,
- For Halal Certification, the existence of (intentional) negative activities of the customer organization that are incompatible with Islamic responsibility or Islamic sensitivity awareness must be verified with objective evidence,
- For Halal Certification, the customer organization refuses to meet the requirements of any new revision/version of the existing OIC/SMIIC or TS standards on which Halal certification is based, within the determined transition period,

Suspension and Cancellation Decisions are notified to the customer through QSIPRO software.

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#### 4.5. Audit Process Flow Diagram



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**5. REVISION TRACKING PAGE**

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