



Regulations and Conditions

CODE R-CICOT-01

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Audit and Halal Certification

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Halal Affairs, the Central Islamic Council of Thailand by Committee for Sefeguarding Impartiality in the first meeting 1/2020 on November 05, 2020 has resolved to set up Requirements on Regulations and Codnitions on Audit and Halal Certification for audit and certification of Halal products of Halal Affairs, the Central Islamic Council of Thailand.


1. Scope

This document defines definition, qualifications of the applicants, conditions for certified person, audit procedure for certification, Surveillance Audit, re-certification, special audit, increase/reduction of certification scope, revoking of certification, termination of certification, appeal, complaint, confidentiality, certification mark display and others relating to certification of Halal slaughtering and Halal products exported to the UAES and accord with Organization of the Islamic Cooperation OIC/SMIIC conducted by Halal Affairs, the Central Islamic Council of Thailand.


2. Definition

Definitions of terms in this document shall be in line with those in Regulation of the Central Islamic Council of Thailand on Halal Affairs Management of BE. 2558 and as follows:


- 2.1 Halal Product Standard Certification means certification granted to slaughtering, eviscerated parts and Halal product production process according to Halal products - Part one: General Requirements for Halal Food (UAES 2055-1) Standard, Animal Slaughtering Requirements According to Islamic Rules (UAES 993) Standard, Hygienic Regulations For Poultry Processing Abattoirs And Their Personnel (UAES GSO 713) Standard, Hygienic Regulations for Food Plants and Their Personnel (UAES GSO 21) Standard, Labelling of Prepackaged Food Stuffs (UAES GSO 9) Standard, General Requirement for Halal Food (OIC/SMIIC 1) Standard, Regulation of the Central Islamic Council of Thailand on Halal Affairs Management of BE. 2558, Reguations on Halal Certification Audit for Slaughterhouse and Eviscerated parts of BE. 2559, Regulations on Halal Product Production Process Certification Audit of BE. 2559 and relevant regulations defined by the Central Islamic Council of Thailand, hereinafter referred to as "Halal Certification Request".
- 2.2 The applicant means an entrepreneur who files Halal certification request.

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- 2.3 Certified Person means the applicant who has passed the audit and been granted Halal certification from Halal Affairs, the Central Islamic Council of Thailand.
- 2.4 Committee for Sefeguarding Impartiality means Committee for Sefeguarding Impartiality of Halal Affairs, the Central Islamic Council of Thailand appointed by Secretary, the Central Islamic Council of Thailand.
- 2.5 Halal Affairs Sub-committee means Halal Affairs Sub-committee appointed under Regulation of Central Islamic Council of Thailand on Function Division of BE. 2557, Amendment (No. 1) of BE. 2558 and Order of the Central Islamic Council of Thailand No. 7/2558 on Appointment of Halal Affairs Sub-committee to consider granting certification to Halal slaughterhouses and Halal products.
- 2.6 Committee means the Central Islamic Council of Thailand with duty to consider granting permit for using Halal Certification Mark to Halal slaughterhouse and Halal products.
- 2.7 Surveillance Committee means Halal Surveillance with duty to monitor or investigate truth about compliance with regulations and conditions of Halal Certification Mark use of products receiving Halal certification and violation of the Regulation of the Central Islamic Council of Thailand on Halal Affairs Management of BE. 2558.
- 2.8 Halal Lead Auditor Team means a person leading Halal audit having qualifications as defined by Halal Affairs.
- 2.9 Halal Auditor means a person having qualifications as defined by Halal Affairs with duty to audit.
- 2.10 Halal Auditor Team means a team who audits Halal product standard as defiend by Halal Affairs.
- 2.11 Audit means systematic and independent process which is documented in order to get proof of audit and to assess if the audit criteria are met.
- 2.12 Stage 1 Audit means primary screening and document checking to check readiness of an organization interms of document, understanding in Halal regulation based on Halal standard of UAE.S or OIC/SMIIC and application to consider appointment for the Stage 2 Audit...
- 2.13 Stage 2 Audit means inspection for certification made at the place of business to inspect compliance with the regulations.

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- 2.14 Surveillance audit means follow-up to maintain the system before due of re-certification audit is complete to ensure that the system is still maintained as defined by the regulation.
- 2.15 Re-certification audit means audit after being certified when the certification expires to review the system if the certified person is complying with the standard of UAE.S or OIC/SMIIC which is still effective.
- 2.16 Special Audit means audit for specific case which may be doen for the whole or part of the system.
- 2.17 Non-conformity means failure which shall be defined by the regulation.
- 2.18 Major non-conformity means non-conformity in the case where there is contamination of forbidden sustances or failure to comply with standard in essential part which creates risk to production process.
- 2.19 Minor non-conformity means non-conformity which is not major ones and has low risk to product or production process.
- 2.20 Observation means item that is not non-conformity but if ignored may possibly leading to non-conformity.
- 2.21 Certificate means Halal Product Certificate issued by the Provincial Islamic Committee to entreprenurs who comply with Halal Standard.
- 2.22 Halal Certification Mark Permit means Halal Certification Mark Permit of the Central Islamic Council of Thailand.
- 2.23 Appeal Committee means a team appointed by Committee for Sefeguarding Impartiality to consider appeal.
- 2.24 Appeal means disagreement with any consideration result or measurement which the Committee for Sefeguarding Impartiality /Committee/ the Sub-Committee has made judgment or problems in the consideration result or measurement which needs the Committee for Sefeguarding Impartiality /Committee/the Sub-Committee to review.
- 2.25 Complaints means complaints about non-conformity in operation of the Committee for Sefeguarding Impartiality /Committee/ the Sub-Committee the Appeal Committee Halal Auditor or officer of Halal Affairs and complaints against the certified person and about quality of Halal product according to standard of UAE.S or OIC/SMIIC.

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3. Qualifications of Applicant

An applicant must have qualifications as defined by the Regulation of the Central Islamic Council of Thailand on Halal Affairs Management of BE. 2558 and as follows:

- (1) Being a juristic person rightly incorporated or normal person.
- (2) Being an owner or person assigned by the owner or right holder to act on his behalf.
- (3) Being a juristic person who is willing to request the certification and to comply with rule and regulations defined by Halal Affairs.
- (4) UAE.S Halal standard products or OIC/SMIIC have been implemented, including food safety management systems standard such as GMP, HACCP, ISO 22000 etc
- (5) Not being a person who is revoked certification by Halal Affairs except it is longer than 1 year starting from the certification revoking day.
- (6) Must allow the accreditation body to participate in the observation for the Halal audit from Halal Affairs Department at the applicant's entrepreneur under the scope form the Halal Affairs Department to obtain the system certification or have been certified at all times when selected by the Halal Affairs Department and certification bodies

When apply the application form must be apply the application form of Halal products (F-CICOT-01-04) along with current evidence and documents which includes food safety management system documents to the Halal Affairs department, in which one application form will be used to submit a request for certification for a single production location only unable to request multi-site certification


When the Halal Affairs Department accepting the application form and sends an invoice to the applicant to pay the fee, if there is any details that need to be revised, the applicant will be notified. And deliver documents / additional information within 7 business days after the request is received

Halal Affairs department can reject or cancel the application in case of the applicant use the standard that Halal Affairs department without ability or the applicant is unable to proceed in accordance with the rules and conditions that set up.

4. Audit Program

In audit certification process, the audit program shall comprise these following methods.

- (1) Inspection for the first certification (2 steps)

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(2) Surveillance Audit to retain the system

(3) Re-certification audit

Details of the audit shall be as defined in No. 5-7.

However, in defining or reviewing of audit program, audited scope and plan, Halal Affairs shall consider these following topics.

- 1) Scope and complexity of management system.
- 2) Product and process.
- 3) Organization's size.
- 4) Language in customer's organization, audit and report.
- 5) Result of the Stage 1 Audit or any inspection done previously.
- 6) Result of Surveillance Audit.
- 7) Level of effectiveness of the management system shown.
- 8) Eligibility for sampling.
- 9) Customer complaints.
- 10) Complaints about customers Halal Affairs receives.
- 11) Change in place of business, products, process or management system.
- 12) Change in regulation of the certifying body.
- 13) Change in laws.
- 14) Information from the previous audit.

5. Audit Procedure for Stage 1 Audit

5.1 General


5.1.1 The audit shall be made for applicants in the kingdom.

5.1.2 Period of audit shall depend on number of staff and diversity in products of place of business of the applicant. In case the audit cannot be done during working time, it shall be done from records of the applicants in normal hours.

5.1.3 The audit for Stage 1 Audit is consisted of 3 steps as follows:

- (1) Appointment of Halal Auditor Team
- (2) Stage 1 Audit
- (3) Stage 2 Audit

5.2 Appointment of Halal Auditor Team

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5.2.1 Halal Affairs shall appoint Halal Auditor Team to check compliance of the applicant.

5.2.2 Halal Auditor Team shall be officially appointed and consisted of Halal Lead Auditor Team, Halal Auditor and Halal Islamic affairs Experts in at appropriate amount. There may be technical experts too. The duty of the team must be clearly defined and informed to the applicant.

5.2.3 Appointment of Halal Auditor Team shall be on these following principles.

5.2.3.1 Having qualifications as defined in the Operating Procedure Manual Selection, Appointment, Competency Assessment and Upgrade of Halal Product Auditor (P-CICOT-03).

5.2.3.2 Having knowledge and understanding in regulations of Halal certification and process for the certification.

5.2.3.3 Having knowledge in relevant audit procedures and documents.

5.2.3.4 Having technical ability in the activities to be certified according to Halal Auditor List of Halal Affairs.

5.2.3.5 Having ability to communicate.

5.2.3.6 Being free from benefits which may cause him not to be impartial, untrustable and unequal and


(1) Halal Auditor must have never given advice or acted as Halal Auditor to the applicant within the past 2 years which may affect the certification process and judgment.

(2) Halal Auditor must not be shareholder in the organization of the applicant.

(3) Halal Auditor must not have any commercial and/or financial pressure.

5.2.4 Duties of Halal Auditor Team are as follows:

- 1) Inspect and review structure, policy, procedures, operating procedure manual, record and relevant documents to Halal products to be certified or which has been certified of the applicant or certified person and consider if it is in line with all regulations relating to scope of certification.

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- 2) Check if the entrepreneur has prepared procedures and operating procedure manual and applied them and retained the system effectively which is basic of credibility in the management system of the applicant or certified person.
- 3) Communicate to the applicant or certified person of audit result and do relevant actions for non-conformity between policy, objective, goal and performance of the applicant or certified person.


5.2.5 Before the audit, if Confidentiality Agreement and Non-benefit sharing declaration have not been signed, the Halal Auditor Team and expert (if any) shall sign them.

5.2.6 Names of the Halal Auditor Team and expert (if any) must be informed to the applicant to approve before the audit.

5.3 Stage 1 Audit

5.3.1 This Audit's objectives are

- 1) To evaluate evidences relating to Halal product production.
- 2) To assess place, place of business and readiness for the Stage 2 Audit.
- 3) To review status and understanding of the applicant in terms of Halal product standard regulations.
- 4) To confirm scope and area of certification and gather information necessary for Halal product standard regulation compliance, production process, location and number of place of business to be certified, relevant laws and regulations and conditions as defined by Islamic law such as raw material purchase process, cleaning and slaughtering processes.
- 5) To assess that the applicant has basic PRPs, product safety system (hazard identification and control measurement) compliance with relevant announcements of the Central Islamic Council of Thailand and relevant food safety laws, product safety management system which is in line with policy of the place of business, readiness for the Stage 2 Audit.
- 6) To assess accuracy review of the program improved according to the product safety management system.

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- 7) To review documents of the management system and evaluate internal and external communication including customers, seller and stakeholders and necessary documents and evaluate knowledge level of the operators.
- 8) To review allocation of resources related to Halal products and agree with the applicant on details of the Stage 2 Audit.
- 9) To use information about information in the management system of the applicant and action of the place of business which may have significant impacts to make plan for the Stage 2 Audit.
- 10) To evaluate that the applicant has prepared plan and conducted internal audit and management review and is ready for the Stage 2 Audit.
- 11) To discuss with the applicant about period of correcting issues found in the inspection to make appointment for the Stage 2 Audit.
- 12) To review sub-contracting unit control documents as defined by Halal regulation and product safety management system.


For the Stage 1 Audit, Halal Affairs shall do at place of business or manufactory and shall report the Stage 1 Audit findings report in writing to the applicant. The report shall cover non-conformity which may possibly be found in the Stage 2 Audit.

In case the applicant gets the Stage 1 Audit and finds the number of issues detected which are non-conformity which may be found in the Stage 2 Audit causing the Stage 2 Audit take too long, Halal Affairs may conduct the Stage 1 Audit again at the place of business for one more time. In case the applicant requests and if the Stage 2 Audit more than 6 months after the Stage 1 Audit, Halal Affairs may arrange the Stage 1 Audit again at the place of business or evaluate the documents before the Stage 2 Audit.

5.4 Stage 2 Audit

The certification audit's objectives are to evaluate compliance and effectiveness of application of Halal standard. The Stage 2 Audit shall cover the following topics.

- 1) All information and evidences of compliance with Halal standard of UAE.S or OIC/SMIIC.

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- 2) Monitoring, measuring, reporting or reviewing competency comparing with objectives and goals of the standards.
- 3) Management system and competency whether they comply with laws, rules and regulations of the Central Islamic Council of Thailand.
- 4) Control of production process control.
- 5) Applied legal restrictions, duty and ability of personnel, action, procedures, performance and summary and findings from internal audit.
- 6) Food handling according to Islamic Law and Regulation of the Central Islamic Council of Thailand on Halal Affairs Management and Halal standard of UAE.S or OIC/SMIIC such as
 - Perform duties with relevant laws on product safety.
 - Production and production control including inspection to release products to consumers by personnel competent in safety system.
 - Inspection to release food products must have proof that the food is safe to consume or in line with product regulation.
 - Proofs relating to production process, production control, raw material and product checking and other relevant records must be actual.

The inspection must have checklist and schedule which Halal Affairs shall send to the applicant to approve before the audit. Inspection at the place of business has 6 steps. The Stage 1 Audit does not have step 5.4.6.

5.4.1 Opening meeting

Attending opening meeting with top management of the applicant. Objectives of the opening meeting are as follows:

- To introduce Halal Auditor Team to top management of organization.
- To review scope and objective of the audit.
- To explain pattern and method for the audit.
- To create relationship in communication between the Halal Auditor and audited party.
- To confirm readiness of resources and facilities necessary for the Halal Auditor Team and update status of the documents.

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- To confirm date and time to arrange closing meeting.
- To create understanding and solve any doubt and unclear points in setting up the audit date and other relevant points.

5.4.2 Conducting the audit


The audit is consisted of interview, document check, and all the documents related, *report of the result of Halal Laboratory analysis*, activity observation, condition of audited place and sampling, recording items which may lead to non-conformity. The audit may inspect items not written in the checklist. Data retrieved from interview must be backed up by other independent sources such as from observing, measuring and recording. During the audit, Halal Lead Auditor Team may change schedule as appropriate with consent of the audited person to create effectiveness and to achieve objectives of the audit.

Random sampling of products is made to detect contamination of forbidden substances as defined by the Rule of Islam in case there is any suspicion in major part such as in case of Surveillance Audit for production process having major non-conformity and complaints from customers. Samples of product shall be collected, coded, identified and recorded. Name of laboratory shall be informed to test/inspect qualification to use data for consideration. The laboratory must be accepted by Halal Affairs.

In case of the Stage 2 Audit finding a number of major non-conformities showing that the audited person has not applied Halal standard of UEAS in a sufficiently effective way and the audited person desires to terminate the audit to conduct audit of the entire system in the future, Halal Affairs can grant this desire accordingly.

5.4.3 Recording of findings

All the findings must be recorded and after the audit the Halal Auditor Team must meet to analyze collected data and evidences in the Stage 1 Audit and Stage 2 Audit to review and summarize the findings and define topics which are non-conformity. Report of non-conformity must be concise having concrete

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supporting evidences and reference to the regulations. The non-conformity shall be recorded in Halal corrective and preventive actions notice.

For the Stage 1 Audit, the Halal Auditor Team shall report findings from audit without identifying non-conformity.

5.4.4 Closing Meeting

After the audit is complete, the Halal Auditor Team shall conduct closing meeting to report the results and findings from the Stage 1 Audit or non-conformity found in the Stage 2 Audit (if any) to top management of the audited person to correctly create understanding in the results. The management shall sign to acknowledge the findings or non-conformity (if any) and make a copy of the findings from Stage 1 Audit or Halal corrective and preventive actions notice (if any).

In case of finding non-conformity, the Halal Auditor Team shall inform the applicant to prepare direction for corrective and preventive actions for the non-conformity to present to Halal Affairs within 30 days starting from the day of issuing non-conformity report for minor non-conformity. If the applicant cannot do it within 30 days starting from the day of issuing non-conformity report, Halal Affairs may give warning and/or present to the Sub-Committee to consider auditing the whole system as a case may be.


5.4.5 Making the audit report for the applicant

After the audit is complete, the Halal Lead Auditor Team /Halal Auditor shall prepare audit report presenting to the Sub-Committee to consider certifying.

Documents to submit to the applicant are as follows:

- Slaughterhouse and Eviscerated parts Certification Audit Report and/or Halal Product Production Process Certification Evaluation Form
- Stage 1 Audit Findings Report or Halal corrective and preventive actions notice (if any)
- Record of product sample collection (if any)

5.4.6 In case no non-conformity is found or only minor non-conformity is found, the Halal Auditor Team can summarize a report presenting to the Sub-Committee to

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grant certification after the Halal Auditor Team considers the corrective and preventive actions proposed by the applicant to be acceptable.

In case of finding a major non-conformity or over, the Halal Auditor Team shall not prepare a summary report to the Sub-Committee but shall do as follows:


- (1) Set up schedule with the audited party for Surveillance Audit which must be within 30 days starting from the day of issuing the non-conformity report. If the period exceeds 30 days, the application for certification shall be cancelled or shall be as the Committee determines.

In case corrective action for the non-conformity is within 30 days but there are huge changes of management system or documents relating to the audited system and the applicant desires that the whole system is audited and such non-conformity is cancelled, Halal Affairs can take action accordingly.

- (2) For Surveillance Audit of major non-conformity, the Halal Auditor Team shall audit only the non-conformity but may do random check with any relevant units. The Surveillance Audit shall be done with every item of major and minor non-conformity. If the correction is found to be ineffective, the Halal Auditor Team shall adjust the minor level to major level.

In case corrective action of the non-conformity is effective but other non-compliance with Halal standard of UAE.S or OIC/SMIIC is found, the Halal Auditor Team shall prepare list of the found non-conformity categorizing it according to the non-conformity criteria. In case of major non-conformity, correction and Surveillance Audit shall be done within 30 days starting from the day of issuing non-conformity report. If exceeding such period, the whole system must be re-audited. However, if the newly found non-conformity is minor, the Halal Auditor Team can prepare report presenting to the Sub-Committee to grant certification after the Halal Auditor Team has considered corrective and protective actions to be acceptable.


5.4.7 Consideration of contamination test result by Rule of Islam by laboratory

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- 1) Halal Auditor Team considers the result and informs the contamination test result in Halal product by laboratory to the applicant with following documents.
 - (1) Letter to inform the lab result
 - (2) Lab result report
 - (3) Non-conformity report (if any)
- 2) If no contamination is found, the Halal Auditor Team shall prepare summary report presenting to the Sub-Committee to certify.
- 3) If contamination of forbidden substance is found, the Halal Auditor Team shall prepare report presenting to the Sub-Committee to reject the application and inform the applicant.

6. Surveillance Audit

- 6.1 After the applicant passes the audit and gets certification, Halal Affairs shall regularly do the Surveillance Audit with in 1 and 2 years of certification period. Halal Affairs shall prepare Surveillance Audit plan. For every audit, Halal Affairs shall inspect internal audit, management review, review of corrective and preventive actions for non-conformity found in the previous audit, management of complaints, effectiveness of relevant management system to achievement of goals of the certified person, progress of continuous improvement plan, continuous control, review of any changes and use/reference to Certification Mark and Certificate and Halal Certification Mark Permit / Certification of Halal Affairs.
- 6.2 The certified person shall retain and follow procedures of the place of business to be in line with Halal standard of UAE.S or OIC/SMIIC. Failure to do so shall result in reduction of certification scope or revoking of certification.
- 6.3 The Surveillance Audit shall be done at least once a year starting from the last day of the Stage 2 Audit. Every item in the Halal standard of UAE.S or OIC/SMIIC shall be covered before the audit term completes to renew the certification.
- 6.4 The Surveillance Audit activities shall include inspection at the place of business to evaluate if the certified system is in line with Halal standard of UAE.S or OIC/SMIIC. Moreover, it includes other Surveillance Audits such as
 - (1) Inquiry to the certified person about problems in certification.

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(2) Reviewing of public relations of the certified person's statement done such as brochures.

(3) Requesting documents and records from the certified person.

(4) Other methods to monitor competency of the certified person.

The Surveillance Audit which is planned at least once a year may be adjusted to be more frequent or more surveillance audit through entire system without prior notice in these following cases.

(1) There is a reason to doubt that the competency is lowered.

(2) After analyzing complaints or data, it is found that the certified person does not follow the Islamic law or regulations of Halal Affairs, the Central Islamic Council of Thailand,

(3) Result of the previous audit is not sufficient in some parts.

Halal Affairs reserves the right to conduct special audit with short notice for a certified person in necessary cases as follows:

(1) It is necessary to have investigation due to complaint about the certified person.


(2) There is review or follow up of changes in major part of any management system certified by Halal Affairs such as change in legal and commercial status of organization or owner, management, name and location of the place of business, certified scope and major changes to the management system and process.

(3) When getting warning from trading partner country or relevant government agency about possible problems with consumers.

(4) In case of having a resolution from the committee, Committee for Safeguarding Impartiality and the Sub-Committee to have additional audit.

6.5 The Surveillance Audit in the plan shall be allowed to follow procedures of the Stage 2 Audit.

If non-conformity is found, the certified person shall present corrective and preventive actions for the non-conformity to Halal Affairs to consider within 15 days starting from the day of issuing the non-conformity report. If the actions are acceptable, Halal Affairs shall present them to the Sub-Committee to acknowledge and retain the certification (in case of minor non-conformity) or make an appointment with the certified person to do Surveillance Audit for correcting the non-conformity (in case of major non-conformity). If the certified person fails to do it within 60 days starting from the day of issuing the non-conformity report, Halal Affairs

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may give a warning and/or present to the Sub-Committee to consider revoking the certification as a case may be. If the audited person has any necessity or emergency that is unavoidable, Halal Affairs shall consider appropriate action and/or present to the Sub-Committee to acknowledge or consider as a case may be.

For Surveillance Audit of major non-conformity, the Halal Auditor Team shall audit only the non-conformity but may do random check with any relevant units. The Surveillance Audit shall be done with every item of major and minor non-conformity. If the Surveillance Audit finds that the certified person has effectively done the corrective and preventive actions, Halal Affairs shall present to the Sub-Committee to consider and retain the certification.

If the Surveillance Audit finds that the certified person has not have effective corrective action for the non-conformity, the Halal Auditor Team shall adjust severity level from minor to major non-conformity or in case the corrective action is effective but there is non-compliance with other standards, the Halal Auditor Team shall prepare list of additional non-conformity categorizing level according to non-conformity level criteria. For major non-conformity, the corrective action and the Surveillance Audit must be done within 30 days starting from the day of issuing the major non-conformity report for the first time of such Surveillance Audit of the management system. If it is found that the corrective and preventive actions are effective, Halal Affairs shall present to the Sub-Committee to consider and retain the certification. If the action cannot be done within the due, Halal Affairs may give a warning and/or present to the Sub-Committee to revoke the certification as a case may be. If the additionally found non-conformity is minor, Halal Affairs shall present to the the Sub-Committee to consider and retain the certification after the Halal Auditor Team considers the corrective and preventive actions proposed by the applicant to be acceptable.

7. Re-certification Audit

7.1 Before the validity period is complete, Halal Affairs shall conduct an audit for the entire system to re-certification for the certified person who shall submit the re-certification application not less than 6 months before expiry date of the Certificate and Halal Certification Mark Permit.

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When the certified person files re-certification application and pays fee, Halal Affairs shall make an appointment to do audit for the entire system before the expiry date of the Certificate and Halal Certification Mark Permit. Procedures of the re-certification audit shall be the same as the Stage 1 Audit except for the details in No. 4.3 of the Stage 1 Audit . There shall be competency review of the system management of the certified person during the period of certification and review of Surveillance Audit report for the previous certification period.


In case the certified person has any significant change such as change in production process, Halal Affairs may consider conducting the Stage 1 Audit by evaluating documents and/or doing initial inspection which shall be considered by Halal Affairs on a case by case basis.

Halal Affairs shall define effective date of the certification after the expiry date of the old certificate only in case that re-certification audit is made before the certificate expires and the corrective and preventive actions for non-conformity have been effectively done before the expiry of the certificate (in case major non-conformity is found) or the certified person has prepared the corrective and preventive actions for non-conformity and submit to Halal Affairs to consider that they are acceptable before the expiry of the certificate (in case minor non-conformity is found). If the certified person cannot arrange the audit to re-certify according to the above regulations, it is considered that the audit shall be like for the first time and the effective date shall be the date the Sub-committee resolves to grant the certification.

8. Certification

8.1 Halal Affairs certifies slaughterhouse, eviscerated parts and Halal product production according to Halal standard of UAE.S or OIC/SMIIC and Announcement of the Central Islamic Council of Thailand No. 1 (BE. 2559) on Regulation on Halal Certification for Slaughterhouse and Eviscerated parts of BE. 2559 and Announcement of the Central Islamic Council of Thailand No. 1 of BE. 2559 on Regulations on Certification of Halal Product Production Process of BE. 2559.

8.2 When the Sub-Committee approves the certification, Halal Affairs shall issue the Certificate and Halal Certification Mark Permit which are effective on the day the Sub-Committee

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approves the certification. Certificate and Halal Certification Mark Permit's validity for 3 years and cannot be transferred to other people.

The certified person can request to use the Halal Certification Mark as defined by Regulations of the Central Islamic Council of Thailand on Halal Affairs Management of BE. 2558, Section 8.

8.3 In case of change in certification scope, the change must be notified to Halal Affairs. If it does not affect Halal standard compliance (such as reduction in certification scope), Halal Affairs shall present it to the Sub-Committee to consider. When it is approved, Halal Affairs shall issue a new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs. If there is impacts on compliance with Halal standard (such as expansion of certification scope), Halal Affairs shall additionally inspect the expanded scope in the same manner as the Stage 2 Audit as in No. 4.4 or shall inspect it with the Surveillance Audit before presenting to the Sub-Committee to consider approving the expansion of certification scope. Halal Affairs shall issue a new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs.


8.4 For transfer of business and change in place of business location, the certified person shall notify it to Halal Affairs in writing to inspect and present to the Sub-Committee to consider granting certification and terminate the old Certificate and Halal Certification Mark Permit and issue the new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs.

9. Conditions for the Certified Person

The certified person shall follow these following conditions.


9.1 The certified person shall retain standard of Halal Standard of UAE.S or OIC/SMIIC and relevant regulations, requirements and rules during the period of certification.

9.2 The certified person can display the certification mark on the product. By referring to the certification only in the scope of certification, the certification mark shall be in accordance

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with the Announcement of the Central Islamic Council of Thailand No. 1 (B.E. 2559) regarding the requirements for terms requesting the use of Halal certification logo and the use of Halal certificate logo on the product and packaging.

- 9.3 The certified person shall not use the Certificate and Halal Certification Mark Permit /Certification Mark in a way possibly causing damages to Halal Affairs. If desiring to make photocopy for other parties, he shall copy all the certification documents.
- 9.4 The certified person shall not use the Certification Mark in laboratory test report or other documents that may lead to misunderstanding.
- 9.5 The Certified companies must have traceability system which identify information as follows: date and place of production, expiration date, allergens, net weight, product brand, laboratory analysis results (if any), certificate and number of certificates, importer, label, and product code.
- 9.6 When there is reduction, revoking or termination of certification due to any reason, printed media, advertisement media and reference to the certification and/or certification within the certification scope shall be stopped.
- 9.7 The certified person shall consent accreditation body to observe audit of the Halal Auditor of Halal Affairs at his place of business for the area Halal Affairs applies for accreditation or has been accredited all the time if being selected by Halal Affairs or the accreditation body.
- 9.8 If there is any change in production process in essential part, the certified person shall immediately file request for change to Halal Affairs so that it considers doing further action. If Halal Affairs considers that it is change in essential part, it may set up additional audit and present the result for consideration. Halal Affairs shall issue a new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs before getting the new ones. If the change affects quality and safety of products or causes risks in contamination, Halal Affairs may consider ordering such certified person to stop selling, distributing or giving away such products until inspection result shows that the change creates no impacts on production process and products.
- 9.9 In case of transferring business or change of owner, the certified person must file notice of change to Halal Affairs. Halal Affairs shall reserve the right to consider it on case by case basis.

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9.10 In case of change in name of juristic person with the same registered commercial number with the same address, the certified person must file request to Halal Affairs in writing. Halal Affairs shall consider issuing a new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs.

9.11 The certified person shall give cooperation to Halal Affairs in every audit by consenting Halal Auditor to inspect the place of business and do the random check of sample in case there is any doubt.

9.12 The certified person shall prepare record in the record form in the Quality Management System for the scope to be certified so that the Halal Auditor can check if it complies with the standard.

9.13 The certified person shall hand over updated documents relating to the certification to Halal Affairs upon request.

9.14 If desiring to request termination of certification, he shall inform Halal Affairs in writing in advance using Certificate and Halal Certification Mark Permit Termination Request form of Halal Affairs.


9.15 If desiring to renew the Certificate and Halal Certification Mark Permit, he shall file a request to Halal Affairs at least 6 months in advance before expiry date of the Certificate and Halal Certification Mark Permit. For renewal case, it is not necessary to return the existing Certificate and Halal Certification Mark Permit to Halal Affairs.

9.16 The certified person shall keep record of complaints received from external parties and actions with the complaints relating to the certified scope and hand over the record to Halal Affairs upon request. In case the complaints are not in writing, the certified person shall inform the Halal Auditor in the audit. If the certified person conceals the truth about complaints and Halal Affairs learns about it later, the Certificate and Halal Certification Mark Permit may be revoked as a case may be.

10. Expansion/Reduction of Certification Scope

10.1 Expansion of Certification Scope

A certified person who desires to expand the scope such as increase in production area after being certified shall inform Halal Affairs in writing. Halal Affairs shall inspect and summarize a report presenting to the Sub-Committee to consider expansion of the certification scope. If

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the Sub-Committee resolves to expand it, Halal Affairs shall issue a new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs.

10.2 Reduction of Certification Scope

In case of a certified person who cannot retain some parts of the certified system such as reducing production area after being certified or the certified person informs the request to reduce certification scope in writing, Halal Affairs shall present it to the Sub-Committee to consider reduction of the certification scope to issue a new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs.

11. Changing of Certified Details


A certified person who desires to change details of certification such as name or surname of the certified person or name of juristic person with the same registered commercial number and product name with the same address must inform this in writing enclosing proof of change. Then Halal Affairs shall present it to the Sub-Committee to consider granting the certification of the changed details. When the Sub-Committee resolves to change the certified details, Halal Affairs shall issue a new Certificate and Halal Certification Mark Permit having validity period equal to remaining period of the old Certificate and Halal Certification Mark Permit. The certified person shall return the old ones to Halal Affairs.

12. Certification Termination and Revoking

12.1 Certification Termination

Halal Certification shall be terminated when it is found that the certified person has done this or these following action (s).

- (1) The certified person is dead or there is request to change name of the certified person who is not husband/wife or child who jointly produces the product.
- (2) The certified person becomes bankrupt.
- (3) The certified person requests the termination in writing.

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- (4) There is change in the certification standard which the certified person cannot follow.
- (5) A number of non-conformities are found from other Surveillance Audits or any activity but there is no corrective action.

12.2 Certification Revoking

Halal Certification shall be revoked if it is found that the certified person has done this or these following action (s).

- (1) Failure to follow regulations and conditions defined by Committee for Safeguarding Impartiality or regulations, announcement or rules defined by the Board/Halal Affairs which seriously affects the certification.
- (2) Fail to comply with Halal standard or violate Regulation of Islam.
- (3) There is complaint considered to seriously affect the certification.
- (4) The certified person has used the Certificate and Halal Certification Mark Permit and Certification Permit to create misunderstanding which damage the certification body or forged such Certificate and Halal Certification Mark Permit and Certification Permit.
- (5) Cancellation of operation for certified activities/scope of certified and not notifying the Halal Affairs department to cancel certification or the Halal Affairs department unable to contact the certified person to proceed the rules, criteria, and conditions set by the Halal Affairs department or not paying fees or other expenses involved with an audit or certification.
- (6) Not be allowed the Halal Affairs department to follow-up or verify for renewal certificate at the specified frequency.
- (7) The laboratory analysis test result found the contamination of prohibited substance by Islam law and also, this include the analysis result obtained from Department of Livestock Development.
- (8) Other actions which Halal Affairs consider to damage the certification system.

Halal Affairs shall propose to the Sub-Committee to revoke the certification and the certified person shall return the Certificate and Halal Certification Mark Permit to Halal Affairs. The right in using the Certificate, Halal Certification Mark Permit, Certification Mark and Accreditation Mark of the certified person shall terminate immediately so they must be abstained from being used or referred on any advertisement media or published

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media such as leaflet, brochure and advertisement board. Halal Affairs shall announce list of the revoked person to the public.

13. Appeal and Complaint

13.1 Appeal


- (1) If an applicant granted certification having qualification as in No. 3 or the certified person does not agree with any resolution or measurement made by the Committee for Safeguarding Impartiality /the Sub-Committee or has any problem in such solution or measurement and desires that the Committee for Safeguarding Impartiality /the Sub-Committee reviews, he can file appeal within 30 working days starting from the day of issuing a notice or he officially knows the notice. The appeal must be in writing and submitted to Halal Affairs. If sending by mail, the mail must be registered and the stamp date on the envelope shall be considered.
- (2) Appeal Committee shall consider the appeal and inform the resolution within 60 working days starting from the day of receiving the appeal.
- (3) During the period the appeal is not final, it shall be considered that the existing resolution is taking effect.
- (4) Resolution of the committee shall be final.

13.2 Complaint

Complaint must be submitted in writing or by phone which can be traced or verified accuracy or source of information which is exclusive of verbal complaint without source reference. If the topic of complaint is about certified person and quality of product, the complaint must be made in writing backed up with sufficient evidences in order that relevant officer can take further action.

14. Secrecy

Halal Affairs shall keep data and documents given by the applicant and/or the certified person including other confidential information which Halal Affairs receives from other sources secret but shall not be responsible for any damage arising to the applicant and/or the certified person caused by disclosure of data by another party except for action made by Halal Affairs.

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In case of accreditation body with whom Halal Affairs files request for certification or is certified who will have access to secrecy of the applicant and/or the certified person, Halal Affairs shall arrange such accreditation body to do the same as Halal Affairs to keep secret information of the applicant and/or the certified person safe.

Information Halal Affairs can reveal is data in Certified Person List, Revoked and Cancelled Person List. Disclosure of information may be done in case there is possible danger to consumers or in case of disclosed data according to Official Information Act of BE. 2540 or in case of receiving written consent from the applicant and/or the certified person or in case it is disclosure of information to relevant government agencies.


Annexation

In the case of the certified person is affected by an unusual circumstance or event or unable to permit the Halal Affairs Office to inspect at the establishment, the following actions will be performed.

- *Follow-up Assessment*

The certified person must send a written notice about the reasons to postpone the follow-up assessment to the Halal Affairs Office. The Halal Affairs Office will make consideration and assess the risks of the continued certification in order to consider the expansion of the period of the follow-up assessment for not more than 6 months (i.e. not more than 18 months from the first certification in case of the first follow-up assessment and not more than 18 months from the end of the latest follow-up assessment in case of any of the subsequent follow-up assessments).

In the event that the certified person shuts down the operation due to an unusual circumstances or event that can be assessed for a period of not more than 6 months, the certified person must send a letter notifying the reasons for the need to postpone the assessment to the Halal Affairs Office. The Halal Affairs Office will make consideration and will evaluate the risks of the continued certification before expanding the follow-up assessment period until the certified person can resume its operation. After that the certified person must make notification for the Halal Affairs Office to make an immediate follow-up assessment.

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At the end of the time period the Halal Affairs extends, if the certified person is unable to let Halal Affairs Office conduct the follow-up audit within the specified period of time, the Halal Affairs Office will submit the matter to the Subcommittee to make consideration in pursuance of the certification rules and conditions so as to revoke the certification further.

The Halal Affairs Office will adjust the assessment/audit program for any of the subsequent follow-up assessments as per the certification rules and conditions and will make such notification to the certified person.

- Audit / Assessment for Certification Renewal

If the certified person is affected by an unusual situation or event that cannot permit the Halal Affairs Office to make a new assessment at the establishment, the certified person must send a notice letter about the reasons for the assessment postponement to the Halal Affairs Office. The Halal Affairs Office will take those reasons into consideration and assess the risks of the continued certification before considering the expansion of the certification period for not more than 6 months from the expiration of the certificate. (The effective period of the new certificate for 3 years will continue from that of the old one.) Upon the end of the time period expansion, if the certified person cannot yet permit the Halal Affairs Office to make the new assessment within the time specified, the Halal Affairs Office will carry out the assessment for the first certification, for which the certificate will be effective for 3 years from the certification granting date. Nonetheless, in the 1st stage of the assessment for the said 1st certification, the Halal Affairs Office will conduct the audit/assessment at the establishment or make evaluation of the documents / review of the performance of the certified person upon the case-by-case consideration basis.