Post certification procedures

(COC Issuance, Surveillance & Recertification)

Ref #: SOP-UK019

1. Purpose and Scope:

This procedure aims to describe the steps adopted by RACS for Post Certification Procedures (COC issuance, surveillance and recertification) for HALAL Scope.

2. Responsibilities:

It is the responsibility of the Certification Decision Committee, Management Representative and Conformity Manager to ensure the appropriate implementation of this procedure. All departmental managers also have immediate responsibility for the management of records relating to their activities.

3. Definitions:

QAM - Quality Assurance Manager
QP - Quality Procedures
MR - Management Representative
QM - Quality Manual
QMS - Quality Management System
SOP - Standard Operating Procedure
QML - Quality Master List
QF - Quality Form

4. Procedure:

4.1 Certification Review:

- Certification is different types of decision taken by RACS when the assigned Audit Team members are satisfied that the Company's Quality System documentation and implementation meets the requirements of the appropriate HALAL scheme, standards and related ISO standards.
- Once all corrective actions are fulfilled, the Lead Auditor and Islamic Affairs Expert will complete evaluation report summary in evaluation report (R012-UK), and shall raise the final evaluation report with his recommendation to the conformity manager for certification review step of the products/facility intended for HALAL certification, recommendation is either:

- Either recommending approval of certification by Issuance of Certificate of Conformity.
  Or
- Recommending rejection of certification by issuing Final Decision Letter.

- Conformity Manager will perform Certification review to verify Audit Team Leader recommendation by checking if evaluation report content is found satisfactory along with complete review for the whole application and supportive documents, and then grant the final recommendation to the **Certification Decision Committee**.
- Based on Audit Team leader and Islamic Affairs Expert recommendation and certification review result presented by Conformity Manager, all outcome is raised to the certification decision committee by filling in the REC67-UK Certification Decision Record and submit it to the certification decision committee for their decision of certification.

4.2 Certification decision

4.2.1 Granting HALAL Certificate: **In Case of HALAL Scope**,
RACS Islamic Affairs Personnel is effectively present in the whole HALAL Certification cycle, **Three Islamic Affairs Personnel are present in HALAL Certification process.**

- Islamic Affairs Expert participating in audit
- Two Islamic Affairs experts participating in **Certification Decision Committee** (different than Islamic affairs expert assigned in audit team)

Role of Islamic Affairs Expert involved in audit team, he is responsible to:

- Perform the documents review besides the Halal Lead Auditor and Technical Assessors during Stage 1 of the audit process for the same purpose to give a solid opinion on HALAL Nature of the product.
- Then he will be assigned as one of the audit team in addition to the HALAL Lead Auditor and the Technical Assessors to evaluate the HALAL nature of the products intended for certification (This step is mandatory or all categories of HALAL products (A-N), e.g. all HALAL scopes of certification and for all types of HALAL certification (product, facility).
- Must give the first recommendation on certification approval for HALAL Scope along with the Lead auditor first recommendation.

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

- Must confirm his recommendation along with the final recommendation of the conformity Manager.
- Evaluation report (REC12-UK) will include documented feedback on Islamic Affairs Personnel on his feedback on document review phase, audit performance phase. Also, Certification decision record (REC67-UK) includes Islamic affairs recommendation for certification.

Conformity Manager Responsibilities:

- Make sure of the positive recommendation of certification (approval) given by RACS Islamic Affairs personnel to grant his approval for certification as certification decision
- Double check with RACS Islamic Affairs personnel for his negative recommendation of certification (rejection).
- Accordingly, Conformity Manager will convey the recommendation above to the **Certification decision committee** to proceed with their decision. Once the points above are assured, conformity manager will gather certification decision committee.

4.2.2 Certification Decision Committee -Terms and Conditions

- Certification Decision Committee members gathering, and discussion and decision taken should be recorded and documented.
- RACS shall gather the Certification Decision Committee on each application, and each case through any acceptable method (s) and it should be documented.
- Once Evaluation is finalized and first recommendation of certification is submitted from audit team leader to Conformity Manager, Conformity Manager will gather the Certification Decision Committee.
- Certification Decision Committee consists of:
  - **Conformity manager or his delegate.**
  - **Two Islamic Affairs Experts (different than Islamic affairs expert assigned in audit team)**
  - **Technical expert not involved in the audit.**
- Any member involved in evaluation process, will be excluded from the Certification Decision Committee to avoid any conflict of interest. His delegate will be replacing him in attending the committee and participating in the decision.
- Certification Decision Committee will take the final decision on certification based on first recommendation done by Audit team including recommendation of Islamic Affairs assigned in the audit team and Certification Review done by Conformity Manager.
- **Decision as Approval of Certification:**
  Final decision on certification approval shall be taken in consensus of all certification decision members and not in voting majority (إجماع, إتفاق جماعي في الرأي)
- **Decision as Rejection of Certification:**
  If recommendation of Islamic affairs assigned in the audit team is rejection of certification, persisting with convincing reasons and supported by same rejection recommendation by Islamic affairs expert of Certification Decision Committee, members shall grant the final decision for rejection of certification as certification decision.
- **Conflict in Islamic Affairs views:**
  Both cases, approval or rejection, if conflict raise between both recommendation (Islamic affairs expert assigned in audit team and Islamic affairs assigned in certification decision committee), the case will be transferred to the Halal Islamic affairs expert Committee, to seek advice and take final Islamic affairs expert recommendation and have the final decision taken based on that.

- Decision will be as following:
  - Either Certification will be granted, certificate will be issued on RACS's website, list of its certified clients (R014-UK) will be updated with the Company's name and Scope of Certification details.
  - Or, application will be declined/rejected and RACS will inform client by submitting R071-UK Audit Final Status Letter by e-mail or any other means stating the clear reasons of rejection.
- Managing Director or his delegate are authorized to sign the certificate or the final status letter.

4.2.3 Maintaining, Extending, Reviewing and Reducing HALAL Certificate:

- **Certification validity is as following:** HALAL scope-three years for both types of certification (product and facility).
- **Surveillance**: Certificates issuance sustaining are subject to ongoing Surveillance Audits, which usually occur at twelve-month intervals (for facilities). (Please refer to 4.4 Surveillance).
- **A Re-Certification** Audit of the Company's Quality System will be undertaken prior to the expiration of Certification. A successful Re-Certification Audit will result in renewal of the Company's Certificate of Conformity/ Compliance for a further certification cycle period. However, where the Re-Certification Audit cannot be conducted prior to expiration of Company's Certificate, RACS will grant a reasonable extension until the Re-Certification Audit can be scheduled and new certificates issued.

- The certified client has the right to **reduce or expand** at any time. In case of certificate of conformity is still valid; requests to do so must be made in writing to RACS along with the supportive documents to justify this request, based on which RACS will evaluate the step that should be taken, either:

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

- Requesting for additional documents to take a decision of expansion or reduction of scope of certification.
- Client to file an application for expanding of scope, then the same procedure adopted for certification process is being followed (SOP19-UK, SOP04-UK).
- Rejection of scope expansion request with clarifying the reasons in writing (Illegibility of client due to lack of compliance, lack of capabilities by RACS, other reasons, etc.)

4.3 Certification Documentation

- Certificates of conformity issued by RACS contain the following:
  - Details of RACS (Name, Address, Accredited by)
  - Details of Applicant (Name, Address, Accredited by)
  - Certification, Scope, Criteria
  - Expiry & Validity
  - Other relevant information that may be important or required.

Notes:

- The date of granting the certification appears on the certification document shall be the exact date on which the certification decision was completed or a date later (should not be before the decision committee decision).
- In case a new certificate should be issued for any reason (scope expansion, amendments required by the client or RACS, etc…) the old certificate will be suspended, and the new certificate with a different version number will be issued, then shared with the client.
-

4.4 Directory of Certified Products

Please refer to **REC14-UK** Certified Products/Clients Registry.

4.5 Surveillance

- A Surveillance audit: will be **after one year starting from the certification decision's date**. A surveillance audit is an on-site mini audit that reviews a portion of the standard to determine if client's company has maintained its implementation of the standard. In addition, surveillance audits will review client's use of RACS's and the accreditation body's certification mark, status and closure of audit Non-conformities and your client's complaints. For minor non-conformities, a response must be submitted. If non-conformities are found which cannot be corrected electronically, an onsite corrective action audit might need to be scheduled to verify the implementation of the action(s) to resolve the non-conformity. The scope of the audit is limited to the clause or sub clause where major Non-conformities were found. Non-conformance will need to be resolved in a timely fashion as per RACS's Certification Regulations. The client will need to provide the Sales and Marketing Executive/Administrative Assistant with any changes that may have occurred at his facility (standard or standards selected for certification, locations, number of personnel, number of shifts, and management representatives, etc.), for RACS to act accordingly.
- Each Surveillance Audit shall cover the following issues that are always taken into account.
  - Samples of the activities and Processes carried out by the Company, which are within the scope of certification scheme
  - A review of Procedures connected with any Area of Concern or Non-Conformance noted in the previous audit.
  - Any changes made to the Company's Processes and Procedures since the last audit
  - Variations/Changes to products certified if any.
  - Any additional requirements that now need to be met based on revisions to the standard
  - Non-conformities reports raised during the first certification audits (Pre-Audit and Actual Audit): during surveillance RACS shall make sure whether these non-conformities are effectively closed.
  - Organizational, document and process/plant changes compared with the previous audit;
  - Appeals and complaints against applicant.
  - Use of a certification mark authorized for placement on the certified product shall be monitored by RACS by checking the implementation according to SOP01-UK (RACS to control the use of its license, certificate and Mark of Conformity) to ensure the ongoing validity of the demonstration of fulfillment of product requirements.
  - Non-conformity reports raised during the first certification audits (Pre-Audit and Actual Audit): during surveillance RACS shall make sure whether these non-conformities are effectively closed
  - Appeals and complaints against clients.

- The same flow of activities is being followed for the surveillance visits (evaluation, revision, decision), and at the audit completion the same procedure established for the initial audit takes place for the actions to undertake. When Critical Non-Conformities are assessed, RACS establishes for each case a maximum deadline of 45 days to solve such non-conformities and, when this expires without any solution, the certification is sent to the Managing Director to decide for suspension or annulment. The certification cannot be confirmed until the solutions and the corrective actions due to possible Critical Non-Conformities will be effectively closed.

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

- Over a period of three years of certificate of conformity validity, the Surveillance Audits (Total of minimum 2 surveillance audits) shall cover all activities and Processes carried out by the Client which is within the scope of ISO/IEC 17065:2012, as well as all locations of the company.

- Over the course of this three (3) year cycle all the company's locations (other than the headquarters location) shall be audited at least once during the surveillance visits. The headquarters location shall be part of every audit over the 3-year cycle.

4.5.1 Steps of Surveillance:

- Head of Sales and Marketing Department continuously refers to Certified Products/Clients Registry R014-UK; Once **11** months passes out of Certificate of Conformity validity, Head of Sales and Marketing will assign one of his Sales and Marketing Executives/Administrative Assistant who will contact the client representative by accessible means to inform them that the surveillance visit is due within a time of 30 days (can be extended to maximum another 30 days with convincing reasons) and requesting him to set a primary suitable date for client to conduct the visit.
  Also, Sales and Marketing Executives/Administrative Assistant informs the client of the aspects that surveillance will cover (above mentioned).
- Once primary date is set by applicant, Head of Sales and Marketing Department will convey the same to RACS Conformity Manager who will proceed with the same procedure for certification (audit preparation (SOP04) by sending the proposed audit schedule, and audit conducting (SOP18-UK). An audit report will be prepared following the surveillance, and non-conformities will be raised to client requesting him to rectify and apply the necessary.
- Upon completing of the corrective actions, the same flow of activities is being followed for the surveillance visits (Evaluation, revision, decision), refer to SOP19-UK and R067-UK Decision record which should be filled as well in for the surveillance audit.
- RACS communicates (Sales and Marketing Department is responsible to contact client) the decision taken within 10 working days from the date of completing the corrective actions raised during the Surveillance Audit by client.
- If the results of the surveillance do not allow the license to be maintained, RACS shall promptly inform the customer with reasons and when pending non-conformities exist, RACS establishes for each case a maximum deadline of 60 days to solve such non-conformities.
- When this period above expires without any action by client, the same procedure of suspension/withdrawal of certificates is being followed (please refer to SOP19-UK) Certification cannot be confirmed to be valid again until the solutions and the corrective actions due to possible Critical Non-Conformities will be effectively closed.

4.5.2 First Surveillance Audit:
In case of first Surveillance audit, it shall take place within 12 months following the certification Decision (not greater than 13 months after the date of certification). In other words; Surveillance is done at least once a year during the period of certification validity.

4.5.3 Second Surveillance Audit:
This audit shall take place within 12 months following the 1st surveillance (not greater than 13 months after the date of 1st surveillance). Planning for it will begin approximately 1 month in advance.

4.5.4 <u>Surveillance terms and conditions:</u>
RACS conducts post-market surveillance on applicant's compliance with his obligations, by signing the certification agreement document since the beginning, the applicant agrees to have 'production' samples of the certified product available for at least one year after the last production date, which may at any time be requested by the certification body for post-market surveillance testing.
Furthermore, and to preserve the Certification, Applicant accepts that RACS conducts on site surveillance visits (at least once a year during the period of certification validity) in accordance with the type of tests and frequency as specified in the related schemes and applicable standards.
RACS retains the right of establishing where product tests must be performed (Customer's facilities or an external laboratory).

For the Surveillance purpose, REC47-UK Surveillance form should be filled in and kept in client file.

4.5.5 <u>NOTES about surveillance:</u>
During Surveillance:
- List of certified products should be available with the auditor.
- Applicant shall provide RACS with samples of the product under surveillance audits according to a sampling plan specified in the applicable standard or given by RACS.
- Applicant shall send the samples to the external laboratory if needed and to bear the related expenses.
- If the Customer refuses the visit of the Inspectors and/or the tests on samples without convincing reasons, the certification will be suspended.

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

- The applicant shall keep at disposal of RACS and its inspectors, during their visit, and to reveal all requested documents including records of complaints from any source and the responses given as well as the possible corrective actions started.

4.5.6 Supplementary audits:

Supplementary surveillance audits with intervals of less than 12 months can be required by RACS if critical non-conformities are found. These inspections will be charged to the customer according to the price list in force at the inspection's dates.

Furthermore, if RACS should receive notifications regarding complaints, non-conformities or doubts regarding the product conformity or the reliability, RACS has the right to conduct a supplementary inspection to verify the maintenance of compliance with the normative documents and applicable standards which were initially assessed.

These notifications may be received also by other Accreditation Bodies and, in this case, auditors from these bodies may accompany the RACS inspectors, and the customer cannot oppose to this (please refer to certification agreement terms and conditions). The Supplementary visits may be carried on without any notice. If the customer should refuse that RACS carries on these verifications, RACS certification will be immediately suspended. The costs of sampling, tests and visits have always to be paid by the client.

4.5.7 Sudden audits:

Clients should allow periodic and sudden evaluation visits required by the accreditation body. The costs of sampling, tests, travel and visits have always to be paid by the client. **Certification agreement RACS with applicant R146-UK**

4.6 Re-Certification Audit:

Recertification audit is then required every three years. The recertification is conducted three years after the Certification Decision and at three-year intervals thereafter. This re-audit does not mean that the client will be starting over with RACS processes. Client's company will have all the advantages and benefits that maintaining a long-term partnership with RACS can bring. This includes a familiar, knowledgeable auditor who will continue to work with the client to add value to his company and the value-added services of a system he knows and trust. Scheduling it is important to ensure that the re-certification audit be conducted prior to the expiration of client's certificate.

Recertification schedule for HALAL Scope is as follows: should be done submit six (6) months prior to the expiry date of current Halal certificate.

This will allow for the necessary documentation processing and give client's organization time to respond to any non-conformity reports that are issued. This helps to ensure that there is no lapse between the expiration of client's old certificate and the issuance of the new certificate. The client will need to provide the Sales and Marketing Executive/Administrative Assistant with any changes that may have occurred at his facility (standard or standards selected for certification, locations, number of personnel, number of shifts, and management representatives, etc.). Client's auditor(s) will conduct the on-site audit in the same manner that client's registration audit was conducted. As before, any non-conformity will be documented on non-conformity Report forms and copies will be left with the client at the end of the audit. This audit reviews the status of the applicable requirements and is conducted on-site. A documentation review will also be conducted if there have been major changes to the documentation since the previous document review. The re-certification audit must cover the interaction between all elements of the system, the overall effectiveness of the system, and commitment to maintain the effectiveness of the system. In practice, this means that the entire standard must be reviewed in a single audit at least once every three years, and that this shall be in addition to regularly scheduled surveillance audits. In general, a recertification requires less time than the original Stage 1 and Stage 2 audits. The client will have 30 days to address any non-conformity reports produced by his re-audit audit. During this time the client must determine the root cause of the non-conformity and develop plans to correct the non-conformity and to prevent its recurrence. The cause and the plans must be documented on RACS non-conformity Report. The time allowed for implementation of the plans is determined on a case-by-case basis. This applies to both major and minor non-conformities. If a major non-conformity cannot be downgraded during the audit, then a separate corrective action audit might be scheduled by RACS office.

Re-certification audit shall be carried out and shall cover all activities and processes carried out by the Client which are within the scope of ISO/IEC 17065:2012, and which affect the quality of the product or service offered by the company; plus, a review of the findings of all Surveillance Audits carried out since certification.

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

This audit shall take place 12 months following the Second Surveillance Audit (not greater than 13 months after the date of certification). Planning for it will begin approximately 1 month in advance.

The same procedure of certification is followed through the re-certification (filling an application, etc.), please refer to SOP18.

When client's certificate expires the client's company certification agreement is on-going and will last as long as the client wishes to continue his partnership with RACS. Client's company certificate, on the other hand, is generally effective for three years, after which it must be re-issued. The three-year certification period begins on the date RACS certifies and approves the audit report, not on the audit date. This re-issuance is contingent upon client's completion and closure of a recertification audit. If he wishes to obtain a re-quote at this time, he must contact the Sales and Marketing Executive/Administrative Assistant.

4.7 Changes affecting certification

There are different types of changes affecting certification, it can be coming from certification body itself (RACS), its clients, scheme owner if self and other factors as well, as examples:

a) Changes done by Scheme owner affecting certification:
- Change in product specific requirements/standard.
- Changes in scheme rules.
- changes occurring in RACS policies and procedures.

b) Changes done by Certification Body affecting certification:
- Change in Key Personnel/management
- Change in legal ownership status of the organization
- RACS contact address and site(s)
- Scope of operations under the certified management system.
- RACS Accreditation Status

RACS shall inform all related parties (accreditation bodies, scheme owner, clients, and other parties if any in case such changes occur.

c) Any changes affecting RACS Certification activities as ESMA Notified body and as SASO authorized certification body; these changes include but not limited to:
- Point's b & d.
- Clients' satisfaction (including disputes, complaints and appeals).
- Clients Happiness Indicators.
- Capability to provide services.
- Changes on Promotional Materials.
- Changes in any risk affecting certification and notification system and status.
- Any changes occurring in RACS in terms of policies and procedures, expert's appointment or cancellation, subcontract appointment or cancellation.
- Any other changes that might happen in RACS and affect its role as ESMA Notified Body.

d) Changes done by client affecting certification:
- On the other hand, in the case changes affecting certification occur from client side, client is obliged to immediately inform certification body on any of the below mentioned changes:
  i. Change or Modification in key personnel appointment or position, such change will affect the product intended for certification due to the interference of those personnel in production or manufacturing of the products.
  ii. Any change concerning specification of the certified product, whether it is a change in the composition (removing or adding new raw materials), modification of production process, changes of manufacturing site, changes in the label (content, color or packaging materials) and any other change that is considered to affect certification.
  iii. In case of positive declaration of previous successful certification by an accredited certification body: RACS will consider this point included in changes affecting certification and record REC31-UK (Changes affecting Certification Evaluation), to decide for each step of certification to be conducted (application review, application evaluation(initial audit, surveillance, recertification), certification review, certification decision) to be conducted on a complete manner or to exclude one step(replacing it by transferring the file of the other certification body) with clear justification based on the certificate already granted to this product by the other accredited certification body. (For Positive declaration of previous rejection of certification by an accredited certification body, please refer to (SOP18-UK).
- In all way, it is advisable for the client to inform RACS for any changes to identify whether they affect certification.
- To assure the changes done by client do not affect (modify scope of certification or illegible to maintain certification), RACS Certification Body shall conduct its certification activities in a complete manner covering all steps mentioned in the certification

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

core process (application review, application evaluation, certification review, certification decision, etc.).

- If any exclusion of any certification steps mentioned above or any other step occurs, a proper justification to the change evaluation shall be recorded and supported with documents.

Following points shall be determined upon identifying any changes affecting certification by clients:

- ✓ Change details (description)
- ✓ Receiver (AA, OM, etc.)
- ✓ App No "Application (Contract) Review
- ✓ Does Change affect certification (Yes/No)→ Decided by Conformity Manager
- ✓ "If yes, CM will identify assigned person name (evaluator/auditor/Audit team leader)
- ✓ Assigned personnel will identify
- ✓ Change Type (Minor, Major, moderate) with justification
- ✓ Need Action to maintain certification in terms of each of the following certification steps (Yes/No)

Application Evaluation → Assigned Personnel by CM
Certification Review → CM different than the one doing contract review
Certification Decision: Certification Decision taken by gathering of certification decision committee and decide on maintaining or altering the certification.

4.8 Termination, reduction, suspension or withdrawal of certification

RACS reserves the right to suspend or withdraw the Certificate of Conformity/ Compliance at any time. The Certificate may be suspended should the Company:

- Failure to complete corrective actions within the agreed time;
- Misuse the Certification mark;
- Failure to comply with the financial requirements of the Agreement entered with RACS (Non-payment of any of certification fees) or bring RACS into disrepute in any way.
- The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the Quality Management System.
- The certified client does not allow surveillance or re-certification audits to be conducted at the required and agreed surveillance frequencies.
- The certified client has voluntarily requested a suspension.

Any apparent contravention of Certification Agreement which might lead to suspicion of certification will be brought to the attention of the Managing Director who then investigates the report. Should the result of the investigation reveal non-compliance with Certification agreement, then RACS Head of Sales and Marketing will issue a letter which will be sent to the client company outlining the non-compliance details and requesting their correction within an agreed and reasonable period of time (Usually RACS gives 90 days to make the correction needed, unless for a critical non-conformity timeline will be minimized), and explaining that their registration may be suspended until the corrective action is completed.

Should the necessary corrective action not be taken within the agreed period, then a further letter will be sent to the client company, informing them that their registration is suspended and another very limited time (30 days) will be given to client as a final chance to restore the certificate suspension by performing the corrective actions needed.

Whenever certification is suspended, RACS Head of Sales and Marketing will communicate the actions needed to end suspension and restore certification for the client certified product in accordance with the RACS Rules of certification and the scheme of certification, these actions depends on the defect that is committed by client and that lead to the suspension of the certificate.

RACS Head of Sales and Marketing will make sure client understands the reason of suspension and the actions that need to be done to reverse the suspension decision.

In such cases the client will be asked to stop claiming that their organization is certified by RACS, and withdraw from use any letterheads, business cards, etc. that indicate RACS certification validity.

Once client takes measurements needed for restoring certification, client shall bring to RACS Knowledge by informing RACS Head of Sales and Marketing with the actions and measurements taken by client (through any accessible means to RACS with providing the corrective actions taken in this regard.

Head of Sales and Marketing in return will transfer the request with supportive evidences to RACS Conformity Manager to follow the same certification plan adopted by RACS (evaluation, review, decision) needed to resolve the suspension. Similar

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

to the core certification process, Conformity Manager will make the final recommendation and transfer the request to the Managing Director who will take the final decision to restore certification, keep suspension, or withdraw certification.

The conditions for certification reinstatement may include:

- Re-verification of management systems effectiveness through on-site audit.
- Re-testing of the product
- Discontinuation of misleading stationery and other advertising material.
- Removal of other reasons responsible for suspension of the certificate.

If the client does still not complete the corrective action the further agreed final time, then a further letter will be sent by RACS Head of Sales and Marketing detailing the fact that their registration with RACS is withdrawn. Such withdrawal of certification will be published on the web site of RACS to make note of the withdrawal. The status of the client will update on the client file and certified products registry (R014-UK). A request that the Client to return the certificate and discontinue the use of the Certification mark in any way, as Certificates and marks of compliance remain the Property of RACS.

If certification is reinstated after suspension, RACS shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc. in order to ensure all appropriate indications, exist that the product continues to be certified.

If a decision to reduce the scope of certification is made as a condition of reinstatement, RACS shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information.

For this purpose, R044-UK Suspended Certificates Tracking form should be filled for each case.

4.9 HALAL Specific related issues:

- Each site of a multisite organization to be assessed and certified separately.
- RACS-Halal certification body shall provide a written report for each audit.
- The audit team may identify opportunities for improvement but shall not recommend specific solutions perceived as consultancy. Ownership of the audit report shall be maintained by the Halal certification body.
- If the product/service is in the food-chain operations, the report shall include references to issues relevant to the FSMS.

For Halal certification, stage 1 audit can be carried out at the premises of Halal certification body or at the applicant's organization premises according to audit team leader decision.

5. Notice Period allowed for both Certification Body & applicant

Type	Allowed time taking to perform action By Applicant	Allowed time taking to respond on action by RACS	Examples of reason for Notice to Approve/Pause /Decline certification
Prior Certification: Certification Audit	1. Notification of Non-conformities done by RACS towards applicant: Immediate after audit. 2. Timeframe of 90 Days to close Non-conformities agreed on in closing meeting in Certification audit and provide suitable Corrective Actions	As Per RACS KPIs: 1. Response of RACS to Corrective Actions Evaluation by Audit Team Leader: **16 working hours** 2. Submission of Final Evaluation Report by Audit Team leader to Conformity Manager: **8 Working Hours** 3. Final Recommendation by Conformity Manager to Managing Director: **8 working Hours** 4. Certification Decision by Certification Committee: **8 Working Hours** 5. Submission of Draft Final Approvals (C.O.C + Agreement +License) to Client for content: **8 working Hours** 6. Approval & Signature (Hours): 8 Hours Issuance of C.O.C: **8 working Hours**	1. Non-Conformities given during the Certification/Surveillance/Recertification audit which are not yet closed at the end of the audit of which corrective actions should be provided within the agreed time 2. Fail to provide corrective actions within the agreed time 3. Fail to comply with the financial requirements of the Agreement entered into with RACS (Nonpayment of any of certification fees) or Bring RACS into disrepute in any way. 4. The client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the
Post Certification: Surveillance/Re-Certification audit.	1. Notification of Non-conformities done by RACS towards applicant: Immediate after audit. 2. Time Frame of 120 Days to close Non-conformities agreed on in closing meeting in Surveillance /Re-Certification audit and provide suitable Corrective Actions		

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

			effectiveness of the quality management system
Post Certification: Suspension	1. Notification of Non-conformities done by RACS towards applicant: Immediate after audit. 2. Time Frame of 60 Days to close Non-conformities causing suspension of certificate (with one final extension to 30 days if applicant provides convincing justification for extension)	As per KPIs 1. Same Timeframe for Certification/surveillance/Recertification mentioned above.	1. The certified client does not allow surveillance or re-certification audits to be conducted at the required and agreed surveillance frequencies. 2. Misuse the Certification mark 3. Violation of an existing standard, for reasons other than safety. 4. Fraud, or any other reason enforcing withdrawal
Post Certification: Withdrawal /Termination	1. Notification of Non-conformities done by RACS towards applicant: Immediate after audit. 2. No Time frame: Immediate after the notice period/timeframe for suspension is over	Immediate after notice period/timeframe for suspension is over Issuance of Final Decision Letter: 24 working days	
Post Certification: Cancellation /reduction	Any time	Immediate after receipt of written request clarifying reason of cancellation Issuance of Final Decision Letter: 8 working days	1. The certified client has voluntarily requested a suspension or withdrawal.
Post Certification: Complaints Appeals	Complaints/Appeals/Review must be submitted through written texts which can be submitted up to 15 Calendar days after a reason for complaint has arisen, or after receipt of the Certification Decision or Evaluation Decision	As Per RACS-GER/SOP07 1. QAM who will conduct an initial evaluation of the request and decide if the submission is accepted or denied within 7 working days, based on whether the request contains a valid reason to file the complaint /appeal /review request. 2. 4.1.3. Investigation and preparation of actions to be taken and response: Not Specific Case by Case. 2. Appeals: Complaints/Appeals/Review Committee will take a decision within 30 working days after receiving the disagreement of the last decision communicated by RACS QAM to the concerned person.	

6. Process Map:

Please refer to:

- WI01-UK Certification Process Flow Chart (RACS-Notified Body)
- WI02-UK Certification Process Flow Chart (RACS-Certification Body)
- WI03-UK (Flow chart) Procedure Certification Application-Conformity Officers

7. Related Forms:

Final Decision Status Form	R071-UK
Evaluation Report	R012-UK
Certification Decision Record	R067-UK

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management

Schedule of Fees	R046-UK
Quality Master List	R001-UK
Pre-certification Procedures (COC issuance, Surveillance and re-certification) HALAL Scope	SOP18-UK
RACS Certified Clients/Products Registry	R014-UK
Surveillance Form	R047-UK
Suspended certificates Tracking	R044-UK

8. References:

- ISO/IEC 17065, Conformity Assessment - Requirements for bodies certifying Products, Processes and services.
- ISO/IEC 17021, Conformity Assessment — Requirements for bodies Providing audit and Certification of management systems.
- GSO 2055-2 Halal products- Part two: General Requirements for Halal Certification Bodies.
- GAC Document: FAD- 4.0: Supplementary accreditation requirements for Product Certification Bodies.
- GAC document: FAD-12: Supplementary accreditation requirements for Halal Certification Bodies, in addition to applicable scheme and Standards
- R105: Requirements when making reference to A2LA Accredited Status
- R307: General Requirements Accreditation of ISO /IEC 17065 Product Certification Bodies
- R334: Specific Requirements: HALAL Certification Body Program.
- IAF Mandatory Document: Determination of Audit Time of Quality and Environmental Management System.
- ISO/IEC 17000, Conformity Assessment — Vocabulary and general principles.
- ISO/IEC 17020, Conformity Assessment— Requirements for the operation of various types of bodies performing inspection.
- ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories.
- ISO17067, in combination with ISO Guide 28 and ISO Guide 53
- ISO/IEC 17030, Conformity Assessment — General requirements for third-party marks of conformity.
- ISO Guide 23:1982 Methods of indicating conformity with Standards for third-Party certification Systems
- ISO Guide 27:1983 Guidelines for corrective action to be taken by a certification body in the event of misuse of its mark of conformity
- RACS Manual QM01-UK
- All controlled QMS records-Please refer to R001-UK -Quality Master List.

This document is an exclusive property of RACS. Any partial or total reproduction of any kind is forbidden without prior approval of RACS management