

# **BCG Halal 4**

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The Religious Council  
Brunei Darussalam

## **GUIDELINE FOR HALAL SURVEILLANCE AUDIT**

**BCG Halal 4**

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2007

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## Committee Representation

The Technical Committee on the Development of National Halal Standards and Guidelines for Halal Food was entrusted by the Ministry of Industry and Primary Resources for the preparation of this standard. The members of the Technical Committee are as follows:

Permanent Secretary (Chairman)	Ministry of Industry and Primary Resources.
Secretary of the Religious Council (Joint Deputy Chairman)	Department of Religious Council, Ministry of Religious Affairs.
Director of Syariah Affairs (Joint Deputy Chairman)	Department of Syariah Affairs, Ministry of Religious Affairs.
Director of Islamic Legal Unit	Islamic Legal Unit, Ministry of Religious Affairs.
Director General of Health Services	Department of Health Services, Ministry of Health.
Acting Director of Agriculture	Department of Agriculture, Ministry of Industry and Primary Resources.
Head of Agro-Technology Development Division	Department of Agriculture, Ministry of Industry and Primary Resources.
Head of Livestock and Veterinary Services Division	Department of Agriculture, Ministry of Industry and Primary Resources.
Chief Religious Research Officer	State Mufti's Office, Prime Minister's Office.
Senior Religious Officer	Halal Food Control Division, Department of Syariah Affairs, Ministry of Religious Affairs.
Senior Project Officer	National Accreditation and Standards Centre, Ministry of Industry and Primary Resources.
Deputy Senior Counsel	Attorney General's Chambers, Prime Minister's Office.
Special Duties Officer	Ministry of Development.
Deputy Dean	University of Brunei Darussalam.
Manager	BMC Food Industries Sdn. Bhd.
Executive Director	PDS Abattoir Sdn. Bhd. And PDS Meat Industries Sdn. Bhd.
Manager	Mulaut Abattoir Sdn. Bhd.
Manager	Sabli Food Industries (B) Sdn. Bhd.

## Working Group Representation

The Working Group on Guideline for Halal Certification, which prepared this Brunei Darussalam Certification Guideline for Halal Certificate and Halal Label, consists of the following representatives:

Pengiran Hajah Rosidah binti Pengiran Haji Metussin (Chairman)	Department of Agriculture, Ministry of Industry and Primary Resources.
Awang Haji Abdul Wahab bin Haji Sapar	Department of Religious Council, Ministry of Religious Affairs.
Awang Haji Kasim bin Haji Mohamad	Department of Syariah Affairs, Ministry of Religious Affairs.
Dayang Hajah Dahliana binti Haji Aliakbar	Department of Agriculture, Ministry of Industry and Primary Resources.
Pengiran Hajah Masliati binti PSJ Pengiran Haji Abdul Mumin	Department of Agriculture, Ministry of Industry and Primary Resources.
Dayang Hajah Rokiah binti Haji Omar	Department of Agriculture, Ministry of Industry and Primary Resources.
Dr. Kasumawati binti Haji Md. Ja'afar	Department of Agriculture, Ministry of Industry and Primary Resources.
Dayang Hajah Roainah binti Haji Abdul Rahman	Department of Agriculture, Ministry of Industry and Primary Resources.
Dayang Hajah Siti Raihani binti Haji Abdul Hamid	Department of Agriculture, Ministry of Industry and Primary Resources.

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## 1 SCOPE

The scope of this guideline is to establish the procedure for conducting surveillance audit and the criteria for selection of surveillance auditors. The surveillance audit is part of the Brunei Certification Guideline for Halal Certificate and Halal Label (BCG Halal) administered by the Majlis Ugama Islam (Majlis). This guideline applies to auditors conducting surveillance audit on a place of business that have obtained *Halal* Certification under the Halal Certificate and Halal Label order, 2005 and Brunei Darussalam Certification Guideline for Halal Certificate and Halal Label (BCG Halal 1). The purpose of the surveillance audit is to verify that the *Halal* procedures and requirements is effectively maintained. The surveillance audit is a systematic evaluation, which involves on-site observations and record review. One or two appointed auditors by the Majlis will carry out the surveillance audit.

## 2 DEFINITIONS

### 2.1 Audit

Systematic, independent and documented process for obtaining audit evidence (2.4) and evaluating it objectively to determine the extent to which the audit criteria (2.3) are fulfilled. An audit will be performed by trained auditors appointed as inspectors, under the Halal Certificate and Halal Label Order, 2005 to determine whether the *Halal* procedures and requirements and also the related results comply with planned arrangements and whether these arrangements are implemented effectively and are complied to ensure the foods produced are *Halal* in accordance to *Hukum Syara'*.

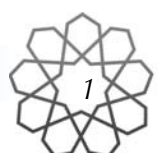
### 2.2. Auditor

A person technically competent in auditing *Halal* procedures and requirements in a particular food processing technology or field, formally appointed by the Minister, with the approval of His Majesty the Sultan and Yang Di-Pertuan, as inspector under Halal Certificate and Halal Label Order, 2005.

### 2.3 Audit criteria

Set of policies, procedures or requirements.

NOTE: Audit evidence are used as a reference against which audit evidence (2.4) is compared.



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## 2.4 Audit evidence

Records, statements of fact or other information, which are relevant to the audit criteria (2.3) are verifiable.

NOTE: Audit evidence may be qualitative or quantitative.

## 2.5 Certification

Procedure by which the Majlis as the officially recognised body provide written assurance that the *Halal* procedures conforms to Halal Certificate and Halal Label Order, 2005, Brunei Darussalam Standard for Halal Food PBD 24 : 2007 and the BCG Halal 1 requirements.

## 2.6 Conformance

Conformance means activities are carried out according to the established procedures as laid out in the *Halal* procedures and requirements.

## 2.7 Corrective action request (CAR)

Non-conformance documented by the auditor which must be satisfactorily addressed or corrected by the applicant. All CAR(s) must be closed before a recommendation for the issue of Halal Certificates and Halal Permits can be made.

## 2.8 Follow-up audit

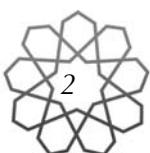
The follow-up activity to obtain evidence that the non-conformance given as CAR(s) are being satisfactorily corrected and implemented and that the *Halal* procedures and requirements have been maintained. A follow-up audit can be on-site or adequacy/ document audit.

## 2.9 Food

Any substance, whether processed, semi-processed or raw, which is intended for human consumption, and includes drinks, chewing gum and any substance which has been used in the manufacture, preparation or treatment of 'food' but does not include cosmetics or tobacco or substance used only as drugs.

## 2.10 Halal

Things or actions permitted by *Hukum Syara'* without punishment imposed on the doer.



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## 2.11 Halal Certificate

A Halal Certificate issued by the Majlis Ugama Islam under the Halal Certificate and Halal Label Order, 2005.

When exhibited in any place of business, the Halal Certificate shall mean that the food in relation to which the certificate is referring:

- a) neither is nor consists of or contains any part or matter of an animal that a Muslim is prohibited by *Hukum Syara'* to consume or that has not been slaughtered in accordance with *Hukum Syara'*;
- b) does not contain anything that is considered to be impure in accordance with *Hukum Syara'*;
- c) has been prepared using an instrument that is free from anything which is considered to be impure in accordance with *Hukum Syara'*; and
- d) has not in the course of preparation or storage, been in contact with or close proximity to any food that fails to satisfy paragraph (a), (b) or (c) and anything that is considered to be impure in accordance with *Hukum Syara'*.

## 2.12 Halal Label

When used in relation to food in the course of trade or business, the Halal Label shall mean that such food:

- a) neither is nor consists of or contains any part or matter of an animal that a Muslim is prohibited by *Hukum Syara'* to consume or that has not been slaughtered in accordance with *Hukum Syara'*;
- b) does not contain anything that is considered to be impure in accordance with *Hukum Syara'*;
- c) has been prepared using an instrument that is free from anything which is considered to be impure in accordance with *Hukum Syara'*;
- d) has not in the course of preparation or storage, been in contact with or close proximity to any food that fails to satisfy paragraph (a), (b) or (c) and anything that is considered to be impure in accordance with *Hukum Syara'*;

## 2.13 Lead Auditor

An auditor appointed as chief inspector by the Minister under the Halal Certificate and Halal Label Order, 2005.

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## 2.14 Majlis

Majlis Ugama Islam constituted under section 5 of the Religious Council and Kadis Courts Act (Chapter 77).

## 2.15 Minister

Minister of Religious Affairs.

## 2.16 Non-conformance (NC)

Non-conformance means activities carried out not in accordance to the established procedures as laid out in the *Halal* procedures and requirements.

Categories of non-conformance:

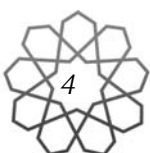
- a. Minor - involving hygiene and cleanliness.
- b. Major - involving the change of ingredients, manufacturers and suppliers, machinery and relocation of the plant. The above offences (minor and major) will render the certificate or permit to be suspended and subjected to remedial and corrective actions by the manufacturer and will require resubmission of application.
- c. Serious - involving the use of *Haram* ingredients e.g. non slaughtered animals, pork or its derivatives in the production. This will cause the certificate or permit to be revoked and the company to be prosecuted in court.

## 2.17 Surveillance audit

On-site audit of *Halal* certified place of business by the surveillance auditor(s) to verify the effective and continuous maintenance of *Halal* procedures.

## 2.18 Surveillance auditor

A person technically competent in auditing *Halal* procedures and requirements in a particular food processing technology or field, formally appointed by the Minister, with the approval of His Majesty the Sultan and Yang Di-Pertuan, as inspector under Halal Certificate and Halal Label Order, 2005 who conducts the surveillance audit.





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### 3 QUALIFICATION CRITERIA FOR SURVEILLANCE AUDITOR

A surveillance auditor shall have the following criteria:

- a) Be qualified in a relevant scientific or technological discipline, with either a degree or equivalent academic / professional qualification (see Note 1).

Note 1: A candidate with secondary or equivalent qualification should have a minimum of 3 years full time experience in the relevant fields.

Note 2: Secondary education is that part of the national educational system that comes after primary stage, but that is completed prior to a university of similar educational institution.

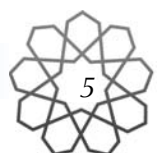
- b) Be technically competent in relevant specific field(s). For this reason, he or she should have a minimum of two (2) years full time working experience in food technology / food science, veterinary science or relevant areas.
- c) Have participated in at least four (4) *Halal* audits (adequacy and on-site) as a Trainee Auditor under the leadership of a Lead auditor.
- d) Be familiar with and knowledgeable in *Halal* audit, regulations, procedures, requirements and certification procedures.
- e) Should be registered and appointed as an auditor by the Minister.

## 4.0 CODE OF ETHICS

### 4.1 Personal Attributes

Auditors should possess the following personal attributes to enable them to act objectively and effectively:

- a. Ethical - fair, truthful, sincere, honest and discreet;
- b. Open-minded - willing to consider alternative ideas or points of view;
- c. Diplomatic - tactful in dealing with people;
- d. Observant - actively aware of physical surroundings and activities;
- e. Perceptive - instinctively aware of and able to understand situations;
- f. Versatile - adjusts readily to different situations;
- g. Tenacious - persistent, focused on achieving objectives;
- h. Decisive - reaches timely conclusions based on logical reasoning and analysis;
- i. Self-reliant - acts and functions independently while interacting effectively with others.



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## 4.2 Code of Ethics

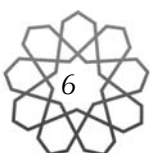
An auditor shall observe and comply with the following code of ethics:

- a. to act professionally, accurately and in an unbiased manner;
- b. not to represent conflicting or competing interests and to disclose to any client or employer any relationships that may influence his/her judgement;
- c. not to discuss or disclose any information relating to an audit to other party unless required by law or authorized in writing by the auditee and auditing organization;
- d. not to accept any inducement, commission, gift or any other benefit from auditee organizations, their employees or any interested party or knowingly allow colleagues to do so;
- e. not to intentionally communicate false or misleading information that may compromise the integrity of any audit or auditee's certification process;
- f. not to act in any way that would prejudice the reputation of the Majlis;
- g. obtain and assess objective evidence fairly;
- h. remain true to the purpose of the audit without fear or favour;
- i. perform the audit process without deviating due to distractions;
- j. commit full attention and support to the audit process;
- k. react effectively in stressful situations;
- l. remain true to a conclusion despite pressure to change that is not based on evidence.

## 5. TERMS AND CONDITIONS

An auditor shall:

- a. maintain independence, confidentiality and integrity;
- b. ensure that confidentiality is maintained for all records and documents related to the audited applicant;
- c. keep their knowledge and skills up-to-date;
- d. not retain or reproduce any records and documentation received and generated during the course of an audit.



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## 6 REGISTRATION AND APPOINTMENT OF SURVEILLANCE AUDITOR

Surveillance auditors will be appointed by the Majlis based on the criteria stated in para 3. The Majlis reserves its rights to revoke the appointment of any surveillance auditors as and when appropriate.

## 7 PROCEDURES FOR SURVEILLANCE AUDIT

### 7.1 Appointment of auditor(s)

The Majlis will appoint auditor(s) to carry out surveillance audit.

### 7.2 Notification of auditee

The surveillance auditor will confirm the time and date of surveillance audit with the auditee's management.

### 7.3 Preparation of checklist

A checklist shall be prepared based on the activities under the clause 7.4. The checklist should be according to the scope of the audit.

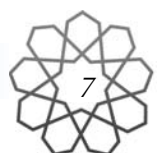
### 7.4 Conduct of surveillance audit

The surveillance audit comprises:

- a. entry meeting;
- b. record review;
- c. on-site observation;
- d. preparation of audit findings and;
- e. exit meeting.

#### 7.4.1 Entry meeting

The entry meeting is held on arrival immediately before the surveillance audit commences. The auditor(s) will explain the scope and purpose of the audit, how it will be conducted and the timetable for the audit. The *Halal* coordinator and the applicant's top management should be present at the entry meeting. The auditor(s) will confirm the schedule and accompanying personal for the on-site visit. The auditor(s) should also identify the key staff members they will be meeting during the audit.



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The applicant's management should in brief, inform the auditor(s) about the latest overview of *Halal* procedures and pre-requisite programmes implementation in their place or place of business especially if there are any changes / modifications made to the *Halal* procedures and pre-requisite programmes. The updated version of *Halal* procedures, the *Halal* pre-requisite programmes, record and logbooks should be available for review.

#### 7.4.2 Record review

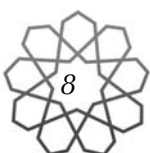
The auditor(s) should:

- a. review of records on the *Halal* procedures and *Halal* pre-requisite programmes;
- b. verify that food safety and *Halal* objective(s) are being met:
  - i. review of records on analytical results including those for regulatory purposes.
  - ii. review of records on consumer complaints, product recall, product rejection and other relevant records.
- c. review records relating to *Halal* CCPs including review of records on:
  - i. monitoring.
  - ii. corrective actions.
  - iii. verification.
- d. review of modifications to the *Halal* procedures / plan such as (if applicable):
  - i. changes in raw material.
  - ii. changes in processing parameter or product formulation.
  - iii. installation of any line equipment or modification.
  - iv. changes in packaging or final product handling.
  - v. label changes regarding preparation of the product.
- e. verify that activities including management review are carried out as scheduled.
- f. verify that continuous training are being conducted.

#### 7.4.3 On-site observations

On-site observations will be made to verify that the actual process being carried out at the place or place of business corresponds with the process flow chart and procedures documented. The on-site observations of operations should:

- a. verify the *Halal* procedures and *Halal* pre-requisite programmes are effectively maintained.
- b. verify accuracy of flow chart and that any changes has been updated.



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- c. verify *Halal* CCPs are monitored as required by the *Halal* plan.
  - d. verify records are logged in accurately at the time intervals.

#### **7.4.4 Preparation of Audit Findings**

The auditor(s) should list the key points of the audit findings and where necessary prepare the CAR(s).

#### **7.4.5 Exit Meeting**

The purpose of the exit meeting is to enable the auditor to present the findings of the audit and to obtain the acceptance of CAR(s) issued using the appropriate CAR form (see **Appendix 1**). Action to be taken on Non-conformance(s) is as in para 8.

### **8 ACTION ON NON-CONFORMANCE**

#### **8.1 Minor Non-Conformance (NC)**

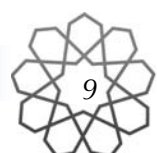
For minor NC, CAR will be issued and action shall be taken within the stated period as agreed during the exit meeting. A follow-up audit (FUA) will be conducted according to the stated agreed period. The CAR will be closed when it is satisfactorily rectified. Failure to rectify the NC shall affect the renewal of the Halal Certificate and / or Halal Permit.

#### **8.2 Major Non-conformance (NC)**

For major NC, CAR will be issued and immediate corrective action shall be taken by the company. A FUA shall be conducted to verify that the corrective action has been taken. If corrective action taken is not satisfactory, the Halal Certificate and / or Halal Permit shall be suspended. Failure to rectify the NC shall result in withdrawal of the Halal Certificate and / or Halal Permit. The CAR will be closed when corrective action taken is satisfactory.

#### **8.3 Serious Non-conformance (NC)**

For serious NC, the Halal Certificate and / or Halal Permit will be suspended immediately. Corrective action shall be taken within the suspended period as agreed in the exit meeting. A FUA shall be conducted to verify the corrective action taken. Failure to rectify the NC shall result in the withdrawal of the Halal Certificate and / or Halal Permit.



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## 9 SURVEILLANCE AUDIT REPORT

Report on surveillance audit findings shall be submitted to the Committee with a copy to the auditee (see **Appendix 2**). A preliminary report shall be submitted immediately after the surveillance audit. A final report shall be submitted after all the CARs have been closed out.

## 10 FREQUENCY OF SURVEILLANCE AUDIT

The surveillance audit will be carried out at least once in six (6) months. However, the frequency of the audits will vary according to circumstances. Audits at shorter intervals may be required in cases of rejection of products, customer complaints and other food safety concerns.

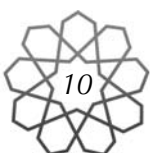
## 11 REFERENCES

Buku Panduan Prosedur Persijilan Halal dan Label Halal Negara Brunei Darussalam. Bahagian Kawalan Makanan Halal, Jabatan Hal Ehwal Syariah, Kementerian Hal Ehwal Ugama.

Halal Certificate and Halal Label Order, 2005 (S 39/05). Brunei Darussalam.

ISO 19011: 2002 (E) - Guidelines for Quality and /or environmental managements systems auditing.

Malaysian Certification Scheme for Hazard Analysis and Critical Control Point MCS 4 - Guideline for HACCP Certification Food Quality Control Division, Department of Public Health, Ministry of Health Malaysia (2001).



**BRUNEI HALAL CERTIFICATION AND HALAL LABEL  
SURVEILLANCE AUDIT: CORRECTIVE ACTION REQUEST (CAR)**

<b>Audit No.:</b>	<b>CAR No.:</b>	<b>Date:</b>
Place of Business (PoB) :		
Address:		
Company Representative(s) :		
<b>Auditors:</b>		
<b>Non conformance</b> Observation <input type="checkbox"/> Minor <input type="checkbox"/> Major <input type="checkbox"/> Serious <input type="checkbox"/>		
Signed: _____      Signed: _____ Company Representative      Auditor		
<b>Corrective Action</b> Date Action to be completed: _____		
Signed: _____      Date: _____ Company Representative		
<b>Audit Comments and Close Out</b>		
Date CAR Closed Out: _____      Signed: _____		

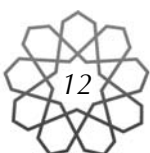
## SURVEILLANCE AUDIT REPORT MAJLIS UGAMA ISLAM

1. Place of Business:
2. Address:
3. Date of Audit:
4. No. of Audit:
5. Product(s):
6. Scope of Audit:
7. Company Representative(s):
8. Surveillance Members:
9. <sup>1</sup>Results and Observations:

NO.	*NON-CONFORMANCE	CATEGORY	CLOSED-OUT

<sup>1</sup>Fill up table below

NO.	*NON-CONFORMANCE	CATEGORY	CLOSED-OUT





**10. Position Statement:**

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Signature : \_\_\_\_\_

Name : \_\_\_\_\_

Position : \_\_\_\_\_

Date : \_\_\_\_\_

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## NOTE



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## NOTE



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## NOTE

