

**GENERAL GUIDELINES  
OF  
HALAL ASSURANCE SYSTEM  
LPPOM MUI**



**LEMBAGA PENKAJIAN PANGAN, OBAT-OBATAN DAN KOSMETIKA  
MAJELIS ULAMA INDONESIA (LPPOM MUI)  
THE ASSESSMENT INSTITUTE FOR FOODS, DRUGS AND COSMETICS  
INDONESIAN COUNCIL OF ULAMA (LPPOM MUI)**

**2008**

*Preface*

Halal Assurance System (HAS) is introduced by Lembaga Pengkajian Pangan dan Obat-obatan Kosmetika Majelis Ulama Indonesia (LPPOM MUI) since 2005, as a system to assure the halalness of product during validity of MUI Halal Certification. In order to support company to understand and implement the system, LPPOM MUI had published 4<sup>th</sup> Edition book with title of “General Guidelines of Halal Assurance System”.

The HAS setting up and implementation by company should be in line with internal operation. This book is used as a reference for company to set up and implement HAS according to company condition as well as comply to the rules of LPPOM MUI.

We always open for any suggestions to make a continuous improvement. Insya Allah.

Jakarta, June 2008

Director of LPPOM MUI

Dr. Ir. H. Muhamad Nadratuzzaman Hosen, MSc.

## Content

	Page
Preface	ii
Content	iii
List of Figure	v
List of Table	vi
List of Appendix	vii
I. Introduction	1
1.1. Background	1
1.2. Objective	1
II. Definition and Terminology	1
2.1. Definition	1
2.2. Terminology in Halal Certification Process	2
III. Halal Certification	4
3.1. Halal Certification Process	4
3.2. HAS Application Scope	6
3.3. HAS Operational Cycle	6
3.4. HAS Documentation	7
3.5. Stakeholder	7
IV. Principles of HAS	8
V. Manual of HAS	10
5.1. Document Control	10
1. List of Content	10
2. Approval Page	10
3. List of Manual Distribution	10
4. Amandment List	10
5.2. Introduction	10
1. Company Profile	10
2. Implementation Objective	10
3. Implementation Scope	10
5.3. Halal Assurance System	11
1. Halal Policy	11
2. Halal Guidelines	11

3.	Halal Management Organization	12
4.	Standard Operating Procedures (SOPs)	14
5.	Technical References	15
6.	Administration System	16
7.	Documentation System	17
8.	Socialization Program	17
9.	Training Program	18
10.	Internal and External Communication System	18
11.	Internal Audit System	18
12.	Corrective Action System	20
13.	Management Review System	20
5.4.	List of Appendices	22
VI.	Step of HAS Setting Up	23
VII.	HAS Implementation Assessment	24
7.1.	Principles and Procedure of HAS Assessment	24
7.2.	Assessment of HAS Manual (on desk appraisal of HAS)	24
7.3.	Assessment of HAS Implementation	25
7.4.	Reward	28
VIII.	HAS Implementation Advantages	30
	Bibliography	31

## **List of Figure**

	Page
1. Diagram of Halal Certification Procedure	4
2. HAS Operational Cycle	6
3. Halal Management Organization	12
4. Chain of Administration System for HAS	17
5. Steps of HAS Setting Up	23

## **List of Table**

	Page
1. Rules of LP POM MUI Halal certification process applied to the HAS certificate holder	29

## **List of Appendix**

	Page
1. Example of Approval Page	32
2. Example of List of Manual Distribution	33
3. Example of Amendment List	34
4. Example of Halal Policy	35
5. Halal Guidelines	36
6. Decision Tree for Haram Critical Points Identification	44
7. Example of List of Identified Haram Critical Materials and Its Preventive Actions	54
8. Example of List of Identified Haram Critical Production Process and Its Preventive Actions	56
9. Example of Halal Standard Operating Procedure (SOP)	58
10. Example of Administration System	62
11. Example of Documentation System	63
12. Example of Training Schedule	64
13. Form of Periodic Report	65
14. Example of Form for Internal Audit	66
15. Example of Format Report on Non Conformity	73
16. Example of Minutes of Management Meeting on HAS Review	74

## **I. Introduction**

### **1.1. Background**

Every producer must fulfill the needs and rights of consumers, including Muslim consumers. Producing halal products is part of company responsibility to Muslim consumers. In Indonesia, to assure consumers that the products are halal, company needs to have MUI halal certificate.

Validity of MUI halal certificate is 2 (two) years. Along that period, company must assure MUI and Muslim consumers that they will consistently maintain the halalness of their products. Therefore, LPPOM MUI requires company to set up a system namely Halal Assurance System (HAS) and documented as a HAS manual. This manual is arranged by company according to its condition.

### **1.2. Objective**

The objective of HAS implementation is to maintain sustainability of halal production process in order to assure its halalness according to the rule of LPPOM – MUI.

## **II. Definition and Terminology**

### **2.1. Definition**

Halal Assurance System is an arranged, applied and maintained system by halal certified company to maintain sustainability of halal production process according to the rule of LPPOM MUI.



## **2.2. Terminology in Halal Certification Process**

### **1. Halal Certification**

Halal Certification is a process to get halal certificate through several steps to prove that materials, production process and Halal Assurance System are comply to the standard of LPPOM MUI.

### **2. Auditing**

Auditing is an independent, sistematic and functional observation to determine the conformity of an activity and its output with the objectives planned.

### **3. Auditor of LPPOM MUI**

Auditor is a person assigned by LPPOM – MUI through a selection process including his/her competency, quality and integrity to conduct halal audit. Auditor is a representative of ulama and a witness to find facts on halal production of a company.

### **4. Product Audit**

Product Audit is audit on product by observing of production process, facilities and materials used in the process.

### **5. HAS Audit**

HAS Audit is audit on Halal Assurance System implementation in the halal certified company.

### **6. Halal Certificate**

Halal Certificate (HC) is a written fatwa issued by MUI to state the halalness of a product based on auditing process performed by LPPOM – MUI.

### **7. HAS Certificate**

HAS Certificate is a written statement from LPPOM – MUI that the halal certified company has implemented Halal Assurance System complied to the standard of LPPOM MUI.

**8. Audit Memorandum**

Audit Memorandum is a memo from LPPOM – MUI to auditee about auditing results which are needed to be followed up.

**9. Audit Evaluation**

Audit evaluation is an evaluation of audit result through mechanism of auditor meeting.

**10. Internal Halal Auditor**

Internal Halal Auditor is staff(s) officially appointed by Company Management to coordinate implementation of HAS.

**11. Fatwa**

Fatwa is Islamic legal opinion about law status of a certain case. In halal certification process, fatwa output is the halal or haram status of product(s) based on auditing process performed by LPPOM – MUI.

**12. LPPOM MUI**

Lembaga Pengkajian Pangan Obat-obatan dan Kosmetika - Majelis Ulama Indonesia (LPPOM – MUI), is an institution formed by MUI to run MUI function in protecting muslim consumers in consuming products of foods, drugs, and cosmetics.

**13. MUI Fatwa Committee**

MUI Fatwa Committee is one of MUI committees whose task to produce an Islamic legal opinion about law status on certain case. Members of fatwa committee are representative of Islamic organizations in Indonesia.

**14. Company status on HAS implementation:**

- a. New : company which has not yet obtained MUI halal certificate.
- b. Transition : company which has already obtained MUI halal certificate but HAS implementation audit has not been conducted yet.
- c. Renewal : company which has already obtained MUI halal certificate and HAS implementation audit has been conducted.

## 15. Toll manufacturing

Production service by one company (1<sup>st</sup> party) for other company (2<sup>nd</sup> party) in which all or part of material are provided by 2<sup>nd</sup> party. The products belongs to 2<sup>nd</sup> party.

## III. Halal Certification

### 3.1. Halal Certification Process

Halal Assurance System is an integrated part of halal certification process. Halal certification procedure is shown in Figure 1.

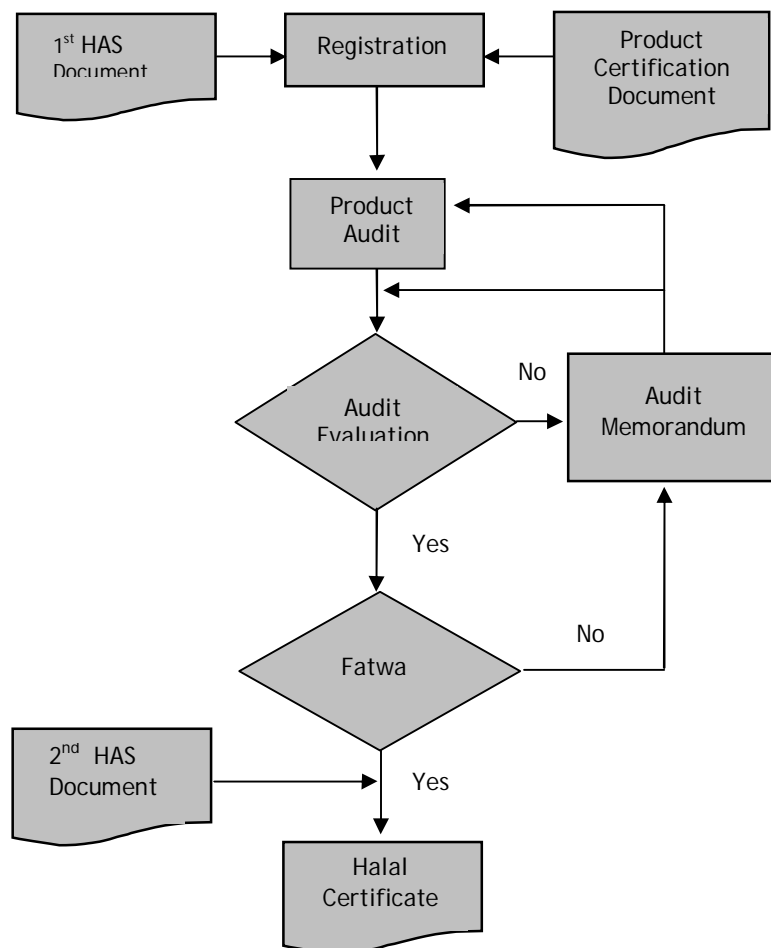


Figure 1. Diagram of Halal Certification Procedure

Description :

In the Figure 1 Halal Assurance System document means :

1. For a new company which has not obtained MUI Halal Certificate, HAS documents needed are :
  - a. 1<sup>st</sup> HAS Document contains at least an official statement to submit Manual of HAS within 6 months after halal certificate is issued.
  - b. 2<sup>nd</sup> HAS Document contains at least Halal Policy, halal management organization, and scope of HAS implementation.
  
2. For company which has already had halal certificate but its HAS implementation has not been audited, then HAS documents needed are :
  - a. 1<sup>st</sup> HAS Document contains at least Halal Policy, halal management organization, and scope of HAS implementation.
  - b. 2<sup>nd</sup> HAS Document contains standard Manual of HAS which consists of :
    - (1) Company Profile
    - (2) Document Control
    - (3) Objective
    - (4) Scope
    - (5) Halal Policy
    - (6) Halal Guidelines
    - (7) Halal Management Organization
    - (8) Standard Operating Procedures (SOPs)
    - (9) Technical References
    - (10) Administration System
    - (11) Documentation System
    - (12) Socialization Program
    - (13) Training Program
    - (14) Internal and External Communication System
    - (15) Internal Audit System
    - (16) Corrective Action System
    - (17) Management Review System

3. For company whose HAS has been audited and is going to renew its halal certificate then HAS documents needed are :
  - a. 1<sup>st</sup> HAS Document contains HAS implementation report on recent condition or revised HAS Manual or statement letter mentioning the company has got at least B grade or copy of HAS certificate.
  - b. 2<sup>nd</sup> HAS Document is not needed.

### 3.2. HAS Application Scope

Halal Assurance System is able to be applied in various types of industry such as food, drugs and cosmetics industry in a large as well as small scale, also possible for service based industry e.g importer, distributor, transporter, and retailer.

### 3.3. HAS Operational Cycle

Halal Assurance System is a framework which is always monitored and evaluated periodically to provide an effective guidance for implementing halal production activities. HAS can be described in operational cycle (Figure 2).

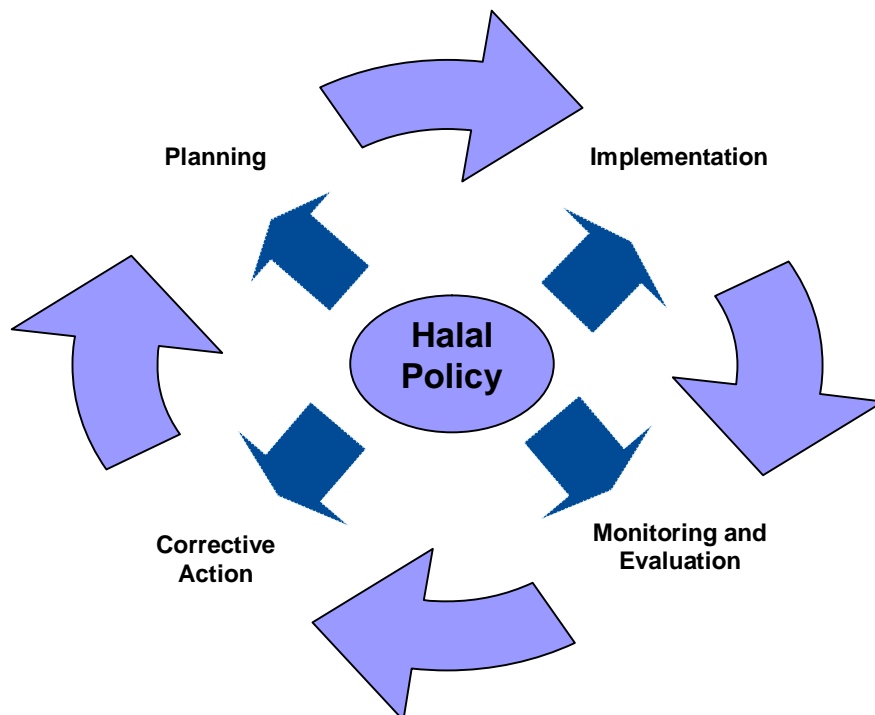


Figure 2. HAS Operational Cycle

## **Halal Policy**

Declaration of halal policy is a beginning step and become a fundamental (heart) of a company in :

- Setting up (planning) of HAS
- Implementing of HAS
- Monitoring and Evaluation of HAS implementation
- Corrective Action of HAS implementation

## **Planning**

Company sets up standard Manual of HAS.

## **Implementation**

Company fulfills all which have been planned in Manual of HAS. This Matter is supported with evidences of its implementation.

## **Monitoring and Evaluation**

Company monitors and evaluates how far the implementation can fulfill target as planned.

## **Corrective Action**

Company corrects and learns from their mistakes to improve their plan in order to achieve better results next time.

### **3.4. HAS Documentation**

Halal Assurance System is written in the form of Halal Manual, separately from other quality system manual(s) such as HACCP, ISO, etc. HAS Manual has to describe function of each division in company with person in charge and its distribution. For some function such as training, socialization, SOP, work instruction, form etc, its implementation may be integrated with other quality system(s).

### **3.5. Stakeholder**

Stakeholders of halal certification process are:

1. Company Management
2. Internal Halal Auditor(s)
3. LPPOM MUI
4. Auditors of LPPOM MUI
5. MUI Fatwa Committee

## **IV. Principles of HAS**

Principles of Halal Assurance System are:

### **1. *Maqoshidu syariah***

As its responsibility to Muslim community, LPPOM MUI introduced HAS as part of halal certification process in order to guard the implementation of syariat Islam (Islamic law) which has basic aim to take care of the holiness of religion, mind, soul, family, and properties of human being, in halal matter.

### **2. Honest**

Company has to honestly explain all materials which are used as well as production process in Manual of HAS, and running daily operation of halal production based on what is stated in Manual of HAS.

### **3. Trustworthy**

LPPOM MUI trust the company to set Manual of HAS based on the real internal conditions of the company

### **4. Systematic**

Halal Assurance System is documented properly and systematically in the form of Manual of HAS to make LPPOM MUI easily traces its implementation proofs in the company

**5. Socialized**

Implementation of Halal Assurance System is responsibility at all levels from top level of management to the employees, therefore HAS must be well-socialized in the company

**6. Key person involvement**

Company involves persons in management line to keep the implementation of Halal Assurance System.

**7. Management Commitment**

Implementation of HAS in company will be more effective if it is fully supported by top management. Management must mention in written statement their halal commitment in company's halal policy.

**9. Delegating authority**

Management delegates an authority of halal production process to the internal halal auditor(s).

**10. Traceability**

Each implementation of halal production is always recorded and able to be traced

**11. Absolute**

Materials which are used in halal production process must have an exact status of its halalness. Halal Assurance System does not have criteria of low, middle or high risk status of materials halalness.

**12. Specific**

The system has to identify each material as spesific entity according to supplier, manufacturer, and country of origin. It means that one code for one spesific material.



## **V. Manual of HAS**

Halal Assurance System document in form of Manual of HAS consist of these following components:

### **5.1. Document Control**

Document control of HAS Manual consists of:

1. List of content
2. Approval page (example in Appendix 1)
3. List of manual distribution (example in Appendix 2)
4. Amandment list (example in Appendix 3)

### **5.2. Introduction**

Introduction of HAS Manual consist of:

#### **1. Company Profile**

Company profile is basic information about the company such as name and address of company and plant, production line, production capacity, toll manufacturing (if any), market area, number of employees, etc.

#### **2. Implementation Objective**

Company must write explicitly the objeive of Halal Assurance System (HAS) in accordance to the rule of LPPOM-MUI, i.e.: assuring the halalness of the product continuously and consistently based on Islamic law.

#### **3. Implementation Scope**

Company explains the scope of implementation of Halal Assurance System in the company, either all production lines or only part of the production line.

### **5.3. Halal Assurance System**

Halal Assurance System document consist of these following components:

#### **1. Halal Policy**

Declaration of halal policy is a beginning step and become a fundamental of a company in setting up and implementing Halal Assurance System (HAS).

Halal policy is a written statement of company commitment to produce halal product continuously and consistently, including consistency in using and providing material (raw, additive, and supporting materials), as well as consistency in halal production process. Example of halal policy is attached in Appendix 4.

#### **2. Halal Guidelines**

Halal Guidelines is a guidance to identify haram critical points of material used and production process implemented by the company. It consists of:

- a. Definition of Halal and Haram (Appendix 5)
- b. Al Qur'an and MUI Fatwa reference (Appendix 5)
- c. Decision tree for haram critical points identification (Appendix 6)
- d. List of Identified Haram Critical Control Points of Materials and Its Preventive Actions (example in Appendix 7)
- e. List of Identified Haram Critical Control Points of Production Process and Its Preventive Actions (example in Appendix 8)
- f. Publication from LPPOM MUI (Jurnal Halal LPPOM MUI and website [www.halalmui.org](http://www.halalmui.org))

#### **3. Halal Management Organization**

Halal Management Organization is an internal organization in the company which manages whole management functions and activities in producing halal product. In organizing those functions and activities, company should involve all related departments/divisions in halal production system. Example of Halal Management Organization is shown in Figure 3.

Halal Management involves:

- a. Management representative
- b. Quality Assurance (QA)/Quality Control (QC)
- c. Production
- d. Research and Development (R & D)
- e. Purchasing
- f. PPIC
- g. Storage/Warehouse

Halal management system is led by internal halal auditor coordinator, who coordinates the activities in maintaining halalness of the product. IHA coordinator is person in charge in communicating with LPPOM MUI.

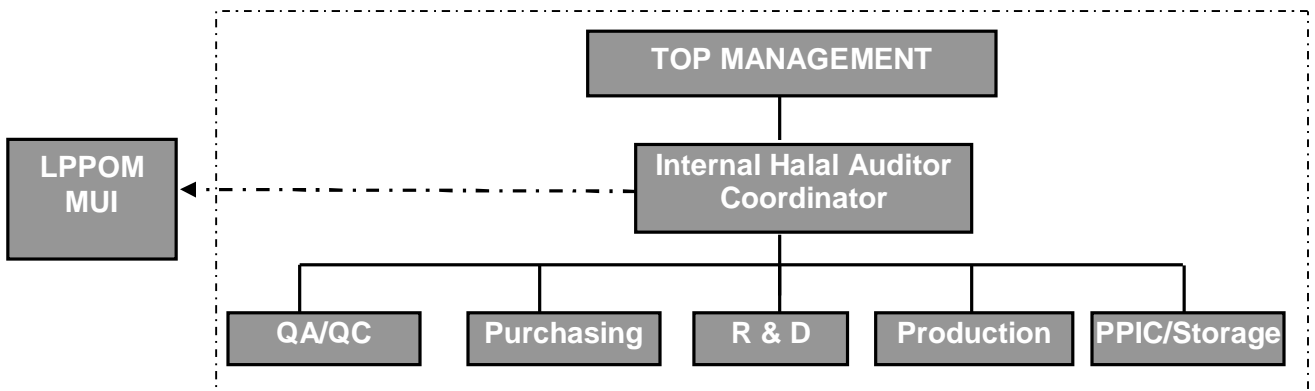


Figure 3. Halal Management Organization

Halal management organization is coordinated by IHA coordinator. Qualification, authority and responsibility of IHA team is described as follows:

- a. Qualification of IHA Coordinator
  - (1) Permanent Employee of the company
  - (2) IHA Coordinator must be a Muslim (understand and practicing Islamic Rules). For overseas company which has no Muslim staff, they can appoint one staff who has knowledge about Islamic Law based on LPPOM guidance.
  - (3) Member of halal management.

- (4) IHA Coordinator must be from related part/department in general production process, such as QA/QC, R&D, Purchasing, Production and Warehousing/Storage.
  - (5) Understand the haram critical points of material and production process.
  - (6) Assigned by Top Management with a formal assignment letter.
- b. General tasks of IHA Team
- (1) Setting up HAS Manual.
  - (2) Coordinating the implementation of HAS
  - (3) Preparing an implementation report of HAS.
  - (4) Communicating with LPPOM MUI
- c. Authority and Responsibility of IHA members
- (1) Top Management
    - i. Formulating company policy related to the halalness of product.
    - ii. Fully supporting the implementation of Halal Assurance System in the company.
    - iii. Providing facility and infrastructure needed in the implementation of Halal Assurance System.
    - iv. Assign an authority to the internal halal auditor coordinator to take a certain necessary action related to the implementation of Halal Assurance System.
  - (2) Research And Development (R & D)
    - i. Establishing a new product development procedure based on halal raw material.
    - ii. Establishing a procedure for selecting new material
    - iii. Communicating with the IHA Coordinator in formulating and developing new product and using new material.
  - (3) Quality Assurance/Control
    - i. Establishing and implementing monitoring and controlling procedure to assure the consistency of halal production.

- ii. Daily monitoring on each material used according to halal certificate, specification and producer.
  - iii. Communicating with IHA Coordinator for non conforming material.
- (4) Purchasing
- i. Establishing purchasing system to assure the consistency of raw material according to the specification, halal certificate, and supplier.
  - ii. Purchasing material according to the list of material approved by LPPOM MUI.
  - iii. Communicating with IHA coordinator in selecting new raw material and/or new supplier.
  - iv. Evaluating vendor (supplier) and ranks vendor level in providing a valid halal document.
- (5) Production
- i. Establishing production system to assure the halalness of process and product, and to avoid from haram and najis contamination.
  - ii. Using the materials for production according to the list of material approved by LPPOM MUI.
- (6) Storage/Warehousing
- i. Establishing storage administration system to avoid any haram and najis contamination.
  - ii. Storing product and material according to the list of material and product approved by LPPOM MUI.

#### **4. Standard Operating Procedures (SOP)**

Standard Operating Procedures (SOP) is a set of standard instruction tools to complete a certain routine process. SOP is set up as standard procedure in HAS implementation. SOP is established for all activities in halal production process i.e SOP for R&D, Purchasing, QA/QC, Production and Storage/Warehousing. Due to different complexity level in a company, SOP(s) are unique. Example of

key activities in SOP for halal production is SOP for material purchasing, SOP for new material usage, and SOP for new supplier change, etc. Example of SOP(s) is attached in Appendix 9.

## **5. Technical References**

HAS implementation is done by all related departments in halal management organization. To guide its implementation, technical references are needed as supporting document. The technical references are distributed to all related departments.

- a. Technical references for Purchasing Department
  - (1) List of approved materials consisting name of material, supplier, and producer approved by IHA and LPPOM MUI.
  - (2) List of halal certification bodies approved by LPPOM MUI.
  - (3) Regulation of Halal Certifying Body related to the product (Certificate for every shipment, Halal Certificate periode, specific halal logo on package, etc).
  - (4) SOP of new supplier change.
  - (5) Etc.
  
- b. Technical references for R & D Department
  - (1) List of approved materials consisting name of material, supplier, and producer approved by IHA and LPPOM MUI.
  - (2) Regulation of Halal Certifying Body related to the product (Certificate for every shipment, Halal Certificate periode, specific halal logo on package, etc).
  - (3) Identification of Haram critical point of materials
  - (4) SOP for new material usage.
  - (5) Etc.
  
- c. Technical references for Production Department
  - (1) List of approved materials consisting name of material, supplier, and producer approved by IHA and LPPOM MUI.
  - (2) Product formulas
  - (3) SOP for halal production.
  - (4) Etc.

- d. Technical references for QC/QA department
    - (1) List of approved materials consisting name of material, supplier, and producer approved by IHA and LPPOM MUI.
    - (2) Regulation of Halal Certifying Body related to the product (Certificate for every shipment, Halal Certificate periode, specific halal logo on package, etc).
    - (3) SOP for incoming materials checking.
    - (4) Etc.
  - e. Technical references for Storage/Warehousing
    - (1) List of approved materials consisting name of material, supplier, and producer approved by IHA and LPPOM MUI.
    - (2) Regulation of Halal Certifying Body related to the product (Certificate for every shipment, Halal Certificate periode, specific halal logo on package, etc).
    - (3) Material/product storage procedure to avoid from haram and najis contamination.
    - (4) SOP for materials receiving and storage.
    - (5) Etc.
- 6. Administration System**

Company must set up an integrated, accountable, and traceable administration system. Administration system on HAS is started from purchasing administration (Purchasing), material receiving (Quality Control/QC), material storage (Warehousing), Research and Development (R&D), Production/Operational, Product Storage (Finish Product) and Distribution. Integrated administration system is shown in Figure 4. Examples of blank administration form should be attached in HAS Manual. Example of some administration form is attached in Appendix 10.

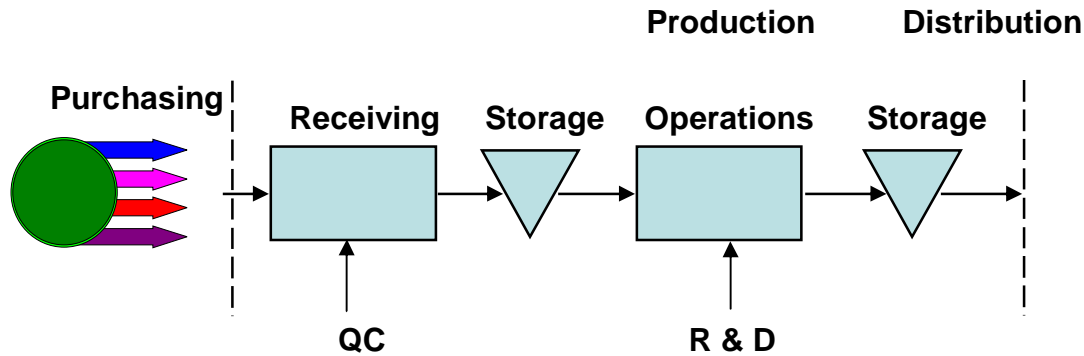


Figure 4. *Chain of Administration System for HAS*

## 7. Documentation System

HAS implementation in company must be supported by good documentation and accessible by every related part in halal production system and LPPOM MUI as well. Documentations should be maintained are:

- a. Material Purchasing documents
- b. Material Receiving documents
- c. Material Storage documents
- d. Research and Development (Formulation) documents
- e. Production (Production Process and Production Facility Cleaning) documents
- f. Product Storage documents
- g. Product Distribution documents
- h. Evaluation and Monitoring (periodical report) documents
- i. Training and Socialization activities documents
- j. Improvements action for non conformities documents
- k. Management Review documents

Manual of HAS will explain the documentation of each function along with responsible person in charge and divisions. Example of document system is attached in Appendix 11.

## 8. Socialization Program

Halal Assurance System has to be socialized to company stakeholders including third parties (supplier, toll manufacturer). These activities are aimed at creating awareness of all stakeholders on halal policy, in order to encourage them to



apply it at operational level. Halal policy socialization could be in form of poster, leaflet, general lecture, internal bulletin, supplier audit or company internal memo.

## **9. Training Program**

Company need to conduct training for all staffs and employees. Company must identify topic of training in a certain period. Training must involve all personels whose jobs may affect the halalness of the products.

The objectives of training are:

- a. To improve employee's knowledge on the importance of the halalness of product, critical points of materials and process.
- b. To make employees understand the Halal Assurance System

Example of Training Schedule is attached in Appendix 12.

## **10. Internal and External Communication System**

Internal and external communication is important activity in HAS implementation.

For this reason, company has to establish and implement procedure for:

- a. Internal communication among all organization levels and functions.
- b. Receiving, documenting, and responding communication from external side including LPPOM MUI.

## **11. Internal Audit System**

Internal audit is needed to monitor and evaluate Halal Assurance System (HAS) implementation by company itself.

- a. Internal Audit Objectives
  - (1) Determining the conformity of HAS according to the standard of LPPOM MUI.
  - (2) Determining the conformity of company HAS implementation with planning.
  - (3) Detecting non conformities occured and to decide corrective and preventive actions.
  - (4) Ensure that the problems found in previous audit has been corrected according to time frame scheduled.

- (5) Providing information about HAS implementation to the management and LPPOM MUI. Example of form of periodic report is attached in Appendix 13.

b. Internal Audit Scope

Scope of internal auditing covers examination of HAS documentation and implementation.

(1) Halal Assurance System Documentation

HAS documentation which need to be examined are as follows: list of materials, halal certificates, specifications, formulas, purchasing documents, storage documents etc. The items that need to be checked :

- i. Completeness of Halal Assurance System document
- ii. Completeness of Material Specification
- iii. Completeness and validity of material halal certification
- iv. Conformity between formula and list of halal material
- v. Conformity between material purchasing document and list of halal material
- vi. Completeness and conformity between production document and list of halal material and formula
- vii. Completeness and conformity between warehousing/ storage document list of halal material and product
- viii. Traceability of system

(2) Halal Assurance System Implementation

HAS implementation audit covers:

- i. Halal Management Organization
- ii. Completeness of HAS Implementation Technical Reference documents
- iii. Document traceability
- iv. HAS Socialization
- v. Training
- vi. Internal and External Communication

- vii. Monitoring and Evaluation of HAS Implementation
  - viii. Internal and External Report of HAS Implementation
- c. Internal Audit Activity
- (1) Schedule  
Internal Halal Audit is conducted at least every six months or at the time of any changes occurred that may affect halal status of product, such as changes of management, policy, formulation, material and process.
  - (2) Method  
Internal Halal Audit can be conducted by using these methods:
    - i. Interview and crosschecking
    - ii. Document verification and validationExample of Form for Internal Audit (Key Questions in Halal Internal Audit) is attached in Appendix 14.
  - (3) Auditor  
Internal Halal Audit is conducted by IHA Team which is officially assigned by company management.
  - (4) Auditee  
Auditee are all departments related to the process of halal production, i.e :
    - i. Purchasing Department
    - ii. QA/QC Department
    - iii. Production Department
    - iv. R & D Department
    - v. Warehousing/Storage Department
    - vi. Transportation and distribution Department
    - vii. HRD Department
    - viii. Outlet (for restaurant)

## 12. Corrective Action System

Corrective action for HAS implementation is taken if any non conformities of implementation were found at a time of internal halal audit was conducted. The corrective action must be taken as early as possible, especially if it will cause a

direct effect on product halal status. All forms of corrective action taken by company are well-documented in a written record. Example of non conformity report form is attached in Appendix 15.

**13. Management Review System**

A comprehensive management review of HAS must be conducted in a certain period of time at least once a year. Management review has to be done by all divisions involved in HAS, including top management. Review meeting must be recorded. Example of minutes of meeting form is attached in Appendix 16.

#### 5.4. List of Appendices

The appendices of HAS manual are as follows:

4.1.	Halal Guidelines
4.2.	Decision Tree for Haram Critical Control Point Identification: 4.2.1. Critical Point Identification Of Plants Products 4.2.2. Critical Point Identification Of Animal Products 4.2.3. Critical Point Identification Of Microbial Products 4.2.4. Critical Point Identification Of Other Materials (Minerals, Chemicals) 4.2.5. Critical Point Identification Of Warehousing And Production Line 4.2.6. Critical Point Identification Of Distribution, Transportation And Display (For Restaurant)
4.3.	List Of Identified Materials Critical Point And Its Preventive Action
4.4.	List Of Identified Production Process Critical Point, And Its Preventive Action
4.5.	Standard Operation Procedure (SOP) Of All Departments.
4.6.	List Of Material (Raw, Additive, And Supporting Materials) Which Have Been Approved By LPPOM MUI
4.7.	Questionnaires For Internal Halal Auditing
4.8.	Form Of Periodical Report
4.9.	Form Of Non Conformity Report
4.10.	List Of Halal Certifying Bodies Approved By LPPOM MUI
4.11.	Minutes/Notes Of Management Review.
4.12.	Assignment Letter For Internal Halal Auditor Team
4.13.	Administration Forms For :
	4.13.1. Purchasing
	4.13.2. Material Receiving By QC
	4.13.3. Material Storage
	4.13.4. R & D (New Product , Formula Changes, Etc)
	4.13.5. Production
	4.13.6. Product Storage
	4.13.7. Product Delivery

## VI. Steps of HAS Setting Up

Steps of HAS setting up are described in Figure 5.

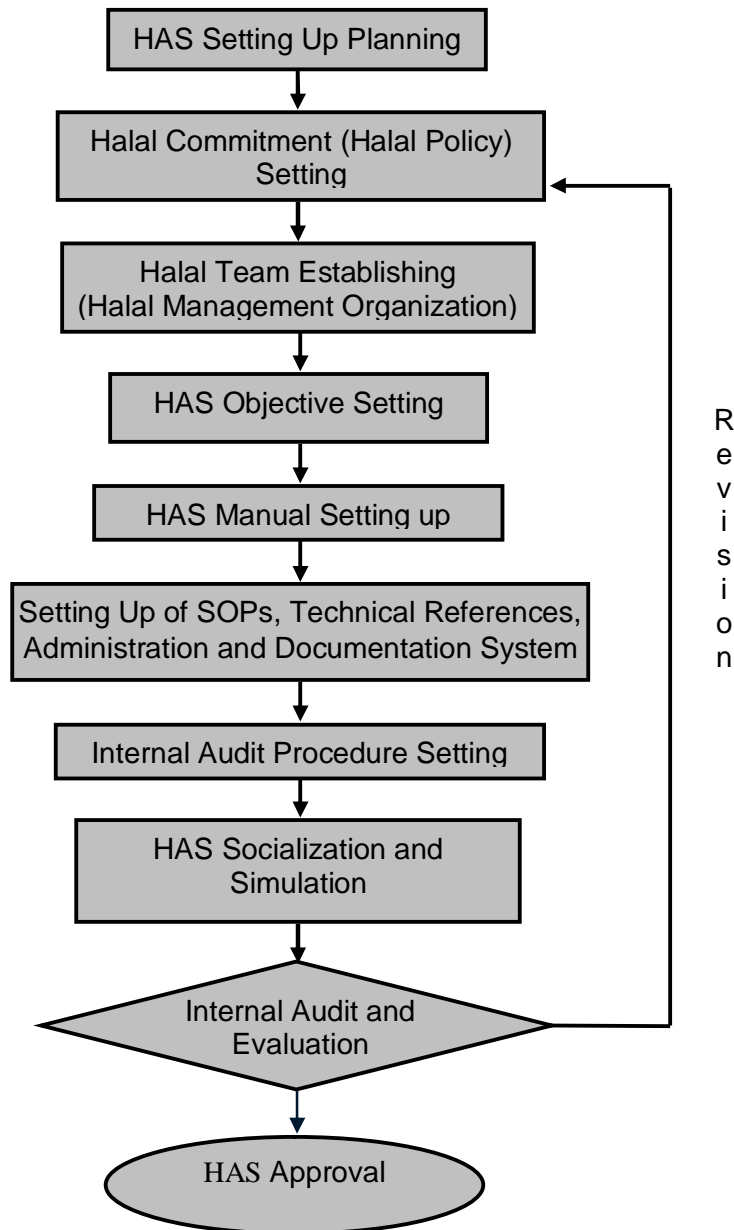


Figure 5. Steps of HAS Setting Up

## **VII. HAS Implementation Assessment**

### **7.1. Principles and Procedure Of HAS Assessment**

Principles of assessment for HAS Manual and implementation are as follows:

1. Following all rules of LPPOM MUI
2. Fulfilling all administration requirements
3. In accordance with HAS principles
4. Appropriateness of manual with the implementation
5. Ability of the system to assure the halalness

Procedure for assessment of HAS consisted of several steps as follow:

1. Availability of documents (as required in halal certification process)
2. Assessment of HAS Manual (On Desk Appraisal)
3. Field Auditing (Assessment of HAS Implementation)
4. Evaluation and assessment in Auditor Meeting
5. HAS implementation categorization

### **7.2. Assessment of HAS Manual (On Desk Appraisal of HAS)**

LPPOM MUI provides a questionnaire for assessment of HAS manual. The points of HAS manual that will be checked consist of:

1. Company profile including company name, address, kind of products, production capacity, production line, toll manufacturing, market area, etc
2. Statement of halal policy, objective and description of HAS implementation
3. Halal guidelines
4. Identification of haram critical control points and its preventive action of :
  - a. Raw materials
  - b. Production
  - c. Distribution and display ( for restaurant)
5. Halal management organization :
  - a. Organization of IHA team
  - b. Availability of assignment letter for IHA team
  - c. Qualification of IHA coordinator

- d. Authority and responsibility of IHA coordinator
  - e. Authority and responsibility of representative of top management
  - f. Authority and responsibility of R&D, Production, Warehousing, QA/QC, Purchasing or other division related to halal management organization
6. Technical references for each division in halal management organization as guidelines in implementing of HAS
  7. Evaluation of SOPs content whether they have fulfilled halal criteria or haven't.
  8. Description of administration and documentation system (explanation of traceability system)
  9. Planning of training and socialization of HAS
  10. Description of procedure for monitoring and evaluation of HAS (internal audit system)
  11. Procedure of Management Review of HAS
  12. Availability, completeness and adequacy of appendices

Assessment criteria for on desk appraisal are as follows:

1. Availability of documents
2. Adequacy of documents
3. Conformity with company condition

According to assessment criteria, LPPOM MUI will assess the submitted HAS manual. The results of HAS Manual assessment will be summarized and rechecked by management of LPPOM MUI. The summary of on desk appraisal will be sent to the company as an audit memorandum. There are 2 recommendations of on desk appraisal result:

1. Need revision
2. Passed (able to be HAS implementation audited)

### **7.3. Assessment of HAS Implementation**

For company which has passed on desk appraisal and has implemented HAS at least 6 months, LPPOM MUI will do audit of HAS implementation. This audit is aimed to verify how the system is implemented. The object of audit is proofs of system implementation from material purchasing system, material receiving, material storage, new product



development, material removal/changes, vendor/supplier changes, internal and external communication, production planning, production process, final product storage to transportation.

Methods that are used on HAS auditing are:

1. Interviewing all related staff/ workers
2. Collecting evidences (documents, records, etc related to production system)
3. Verifying and validating the system

The points that will be audited consist of:

1. HAS implementation
2. Monitoring and evaluation of HAS
3. Management review

#### **1. HAS Implementation**

Assessment of HAS implementation will be conducted by :

- a. Evaluation and verification of halal management organization (fulfilled of the qualification, availability of assignment letter for IHA team)
- b. Evaluation on implementation of halal policy which consists of:
  - i. socialization, training and dissemination of halal policy to staffs/workers
  - ii. proof(s) of statement in halal policy
  - iii. how integration of halal policy as part of company whole policy.
- c. Checking and examining availability and accessibility of technical references for each division in halal management organization :
  - i. SOP(s)
  - ii. List of halal approved raw materials
  - iii. Identification of Haram Critical Control points of raw materials, production, distribution - display and its preventive action
  - iv. List of approved halal certifier body by LPPOM MUI
  - v. Regulation of Halal Certifying Body related to the product (Certificate for every shipment, Halal Certificate periode, specific halal logo on package, etc).
  - vi. Etc

- d. Documents of HAS implementation :
  - i. record /written documents of all step related with production system including purchasing documents, warehousing/storage, material issue voucher, implementation of working instruction and SOP(s) , etc
  - ii. traceability
  - iii. proof of involvement of IHA team in production system (authorization of IHA team in halal production step)
  - iv. What is the position of HAS documents among documents of other(s) quality system and how they are implemented
- e. Communication
  - i. external communication between IHA and LPPOM MUI if there are any changes.
  - ii. internal : proof of internal meeting and its frequency, proof of internal communication between IHA team and top management and its frequency

## **2. Monitoring and Evaluation of HAS**

In this point, LPPOM MUI will do verification of the system that has done by company (Internal Audit System) to asses the effectiveness of HAS by checking the documents as follows :

- a. frequency of internal audit
- b. procedure (auditor, auditee, audit technique, etc)
- c. documents of audit results
- d. internal audit report to the top management (findings, corrective action, due date of finalization)
- e. external report to LPPOM MUI (documents, frequency)

## **3. Management Review**

Assessment of management review point will be conducted by :

- a. Verification of the system that brings attention of findings for preventive action and also the system to detect, analyze and eliminate potential causes of all kinds of non-conformities to the halalness.

- b. Checking the procedures of HAS review due to non conformity of HAS implementation and/or change of management system that affect HAS function.

The results of HAS implementation assessment will be reported in the HAS team meeting and management of LPPOM MUI.

There are 4 categories of HAS assessment:

1. Good ( A ), if the achievement reach to 90 - 100%
2. Fair ( B ), if the achievement reach to 80 - 90%
3. Poor ( C ), if the achievement reach to 70 - 80%
4. Unaccepted ( D ), if the achievement is below of 70%

#### **7.4. Reward**

Output of HAS implementation assessment will be given to the company by LP POM MUI as a Statement Letter of HAS Category and HAS Certificate. Statement Letter of HAS Category will be issued after a HAS implementation audit conducted, but HAS certificate will only be issued if the company can have 'category A' 2 times respectively. Validity of HAS Certificate is 1 year.

Rules of LP POM MUI Halal certification process applied to the HAS certificate holder are shown in Table 1.

#### **Reward for HAS certificate holder :**

If the company can maintain sustainability of HAS certificate 3 times respectively, in the fourth renewal period of Halal certificate, audit on factory location will not be necessary to be performed anymore as long as there are no changes of materials, processing technology or factory. Audit will be performed only on administration/documentation. At this level, the validity of HAS certificate will be 2 years, and it will be evaluated for its renewal.

Table 1. Rules of LP POM MUI Halal certification process applied to the HAS certificate holder

CONDITION	AUDIT	RESULT
New products development that belong to the same type with the certified ones by using existing materials.	No	New products will be added as attachment to the main halal certificate
New products development that belong to the same type with the certified ones by using new materials.	No, if there is no new critical materials	New Halal Certificate
New products development of new product type (different with certified ones) by using existing materials	No, if there is no new processing applied	New halal certificate
New products development of new product type (different with certified ones) by using new materials	Yes	New halal certificate
Material or supplier changes for certified products.	No	Approval letter
Development of new factory or restaurant outlet	No	Additional attachment of new address of new factory or restaurant outlet
Audit in renewal process for company with many factories or restaurant outlets.	Yes, but not at all location (50%)	New certificate

## **VIII. HAS Implementation Advantages**

Advantages of implementing Halal Assurance System are:

1. Company will have guidance in maintaining the sustainability of halal production process
2. Assure the halalness of product in a valid period of MUI Halal Certificate
3. Giving an assurance and spiritual tranquility for Moslem society
4. Prevent from any cases related to the non conformity that caused unhalalness of product
5. Protect from any unhalalness cases that may cause a company loss
6. Increasing consumer loyalty to the halalness of product
7. Creating an internal halal awareness in company to keep the sustainability of halal production
8. Appreciation from consumer (customer satisfaction) and external institution (obtain and maintain halal certificate)

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- Girindra, A. 2005. LPPOM MUI Pengukir Sejarah Sertifikasi Halal. LPPOM MUI, Jakarta.
- LPPOM MUI. 2006. Panduan Penyusunan Sistem Jaminan Halal. LPPOM MUI, Jakarta.
- Soe'ad, M. 2007. Sistem Akuntansi Terpadu Jaminan Halal Produk Makanan, Minuman, Obat-Obatan Dan Kosmetika (makalah untuk diterbitkan).
- Stevenson, W.J. 2005. Operations Management, Eighth Edition. The McGraw-Hill Companies, Inc. All rights reserved.

**Appendix 1. Example of Approval Page**

MANUAL OF HAS  
COMPANY “XYZ”

Prepared by  
Coordinator of Internal Halal Auditor

Approved by,  
Management Representative

**Appendix 2. Example of List of Manual Distribution**

No	Divisions	Personnel	Sign	Date
1.	<b>Purchasing</b>	<b>Mr. Buyer</b>		<b>01/01/08</b>
2.	<b>QA/QC</b>	<b>Mr. Quality</b>		<b>02/03/08</b>
	<b>Etc</b>			



### Appendix 3. Example of Amendment List

CHANGES		Withdrawal Document			Revised Document			Remark
NO	DATE	EDITION	CHAPTER	PAGE	EDITION	CHAPTER	PAGE	
1.	02/02/08	I	Appendix 4.6	50	I	Appendix 4.6	51	Addition of new material and new supplier
2.	03/03/08	II	Appendix 12	65	II	Appendix 12	65	Changes of IHA team
Etc								

#### **Appendix 4. Example of Halal Policy**

PT XYZ is committed to consistently produce halal products in meeting consumers needs including those of the Moslem consumers. We will achieve this by :

1. Ensuring all finished products made for the Indonesian market are certified halal by LPPOM MUI
2. Ensuring all raw materials procured and used in the manufacture of our products are halal
3. Ensuring the production systems are clean and free from non-halal and filthy ingredients

## Appendix 5.

### HALAL GUIDELINES

#### A. Preface

In this part principle of halal and haram in Al Qur'an and Fatwa from MUI will be described.

Sources of Islamic Law:

1. Al Qur'an. It is The Holly Book of Islam. It contains philosophy, principles, and theories of Islamic laws which are work of Allah for the guidance of mankind. It mainly prescribes permanent, absolute, values and basic principles of Islamic laws.
2. Al-Hadist. It is the authentic practice of Prophet Muhammad (the saying, actions, habits, and approvals) that explain in detail the application of the Qur'anic principles.
3. Ijma Shahabat. It is the consensus of the opinion of the shahabat (companions of the prophet Muhammad based on their understanding of The Al Qur'an and Al Hadits).
4. Qiyas. It is a law making method by comparing thing with cases already explained in Al Qur'an and Al Hadits.
5. Fatwa. It is Islamic legal opinion about law status of a certain case made by Ulama (Islamic Scholars).

#### B. Meaning Of Halal Haram

1. Halal means lawful. In the case of food, most are halal except for some that are explicitly mentioned in the Al Qur'an or Hadits.
2. Haram is something prohibited by God Almighty. People who deliberately ignore what is not allowed will face God's punishment in the life hereafter. Some even face Islamic law sanctions in life.

## **Appendix 5. (continued)**

### **C. Principles On Halal And Haram Status**

1. Everything is halal unless explicitly forbidden
2. Only Allah has the right to legislate for man
3. Prohibiting halal and permitting haram is unlawful
4. Haram is always associated with what is bad and harmful
5. There is always a better substitute in halal for that which is haram
6. Anything that leads to haram is considered haram
7. It is haram to declare something halal when it is manifestly haram
8. Good intentions do not justify committing haram
9. One should guard oneself against matters that are on the borderline between halal and haram
10. In extreme circumstances, haram is permissible within certain limits.

### **D. Halal And Haram in Al Qur'an**

1. Al - Baqarah 168 : “ O ye people !Eat of what is on earth. Lawful and good; and do not follow the footsteps of the evil one for he is to you and avowed enemy.
2. Al Baqarah 172-173 : “O ye who believe ! Eat of the good things that we have provided for you and grateful to Allah, If it is Him ye worship. He hath only forbidden you dead meat, and blood, and flesh of swine, and that on which any other name hath been invoked besides that of Allah.
3. Al-Anam 145 : “ Say : I find not in the message received by me by inspiration any (meat) forbidden to be eaten by one who wishes to eat it, unless it be dead meat, or blood puored forth, or the flesh of swine ---for it is a abomination – or what is impious, (meat) on which a name has been invoked other than Allah. But (even so), if a person is forced by necessity, without willful disobedience. Or transgressing due limits---thy Lord is oft-forgiving, Most Merciful”.
4. AL-Maidah 3 : “Forbidden to you (for food) are : dead meat, blood, the flesh of swine, and that on which hath been invoked the name of other than Allah. That which hath been killed by strangling, or by violent blow, or by a headlong fall, or by being gored to death, that which hath been (party) eaten by a wild animal, unless

## Appendix 5. (continued)

- ye are able to slaughter it (in due form); that which is sacrificed on stone(altars); (forbidden) also is the division (of meat) by raffling with arrows: that is impiety.
5. Al Maidah 90 – 91 : “ O ye who believe! Intoxicants and gambling, (dedication of ) stones, and (divination by) arrows, are an abomination of satan’s plan is (but) to excite enmity and hatred between you, with intoxicants and gambling, and hinder you from remembrance of Allah, and from prayer; will ye not then abstain ? “.
  6. Al Maidah 96 : “Lawful to you is the pursuit of water-game and its use for food—for the benefit of yourselves and those who travel : but forbidden is the pursuit of land game ---as long as ye are in the scared Precincts or in pilgrim garb. And fear Allah, to whom ye shall be gathered back”.
  7. Al A’raf 157 :”... he allows them lawful what is good (and pure) and prohibited them what is bad (and impure) ....”

### E. Fatwa (Islamic Legal Opinion) Of MUI For Materials And Production Process (No. 4/2003)

1. Khamr
  - a. Anything that is intoxicating is considered as khamr (alcohol drink).
  - b. Drinks containing a minimum of 1 % ethanol is categorized as khamr
  - c. Drinks categorized as khamr is najis (filth)
  - d. Drinks those are produced through fermentation process containing less than 1 % ethanol is not categorized as khamr but is haram for consumption.
2. Ethanol
  - a. Ethanol produced by non khamr industry is not najis (pure)
  - b. Using of pure ethanol which is produced by non khamr industry is :
    1. *Mubah* (allowed), if it is not detected in the finished product.
    2. *Haram* (prohibited) if it is detected in the finished product.
  - c. Using of ethanol produced by khamr industry in food production is haram

## Appendix 5. (continued)

3. By product of khamr industry
  - a. Fusel oil as by product of khamr industry is haram and najjis.
  - b. Fusel oil which is not by product of khamr industry is halal and not najjis.
  - c. Component that is physically separated from fusel oil as by product of khamr industry is haram.
  - d. Component that is physically separated from fusel oil as by product of khamr industry and than chemically reacted to be a new compound is halal.
  - d. Vinegar is halal.
  - e. Yeast separated from khamr and washed to remove taste, smell and colour of khamr is halal.
  
4. Flavor Imitating Haram Product  
Flavor using the name and having sensory profile of a haram product, like rum flavor, pork flavor, etc. could not be halal certified although ingredients used are halal.
  
5. Microbial Product
  - a. Microbes which grow on and halal growth media are halal and which grow on haram growth media are haram.
  - b. Microbial consumer products which use haram and najjis materials on its growth media in all production steps (refreshing scale, pilot plant scale and production stage) are haram.
  - c. Consumer products containing microbial products which grow on non halal media are haram
  - d. Consumer products containing microbial product must be traced back to initial growth media of the microbes.
  
6. Use of Sharing Facility
  - a. Facility that has been used to produce product containing pork must be cleansed seven times by water and once of them by dust or its substitute that has similar cleaning power.

## Appendix 5. (continued)

- b. Facility must not be alternately used for producing pork and non pork products.

### F. Several Examples Of Critical Materials

#### 1. Meat

Meat of halal animals could become haram if the animal is slaughtered not according to the Islamic law. Critical points in slaughtering process are as follows.

- i. Slaughter men must be devoted Muslims who daily practice the Islamic rites.
- ii. Stunning process should not cause death of animal before slaughtered.
- iii. Knife must be sharp.
- iv. In the post slaughtering process, animal should be completely dead before next process begins and blood should be completely drained.

Imported meat should be supported by following documents or conditions:

- i. Halal certificate from a halal certification body approved by LPPOM MUI.
- ii. Shipment and other supporting documents such as shipping documents, health documents, etc.
- iii. Halal Certificate should conform to other documents.
- iv. The documents should conform to physical conditions, such as packaging and label.
- v. Document must have correct lot number, plant number, date of slaughtering, etc.

#### 2. Animal Derivatives.

Animal Derivatives are halal if they are derived from halal animals slaughtered according to the Islamic law, not derived from blood and not contaminated by haram (unlawful) and najis (impure) materials. Following are examples of animal derivatives or materials that could be derived from animal derivatives:

- i. Fat
- ii. Protein
- iii. Gelatin
- iv. Collagen

## Appendix 5. (continued)

- v. Fatty Acid and its derivatives(E430 – E436)
  - vi. Salts or esters of fatty acid (E470-E495)
  - vii. Glycerol/glycerin (422)
  - viii. Amino acid (examples : cysteine, phenylalanine, etc.)
  - ix. Edible bone phosphate (E521)
  - x. Di/Tricalcium Phosphate
  - xi. Blood plasma
  - xii. Globulin concentrate
  - xiii. Fibrinogen
  - xiv. Microbe growth media (example : blood agar)
  - xv. Hormone (example : insulin)
  - xvi. Enzyme from pig/cow pancreas (amylase, lipase, pepsin, tripsin)
  - xvii. Taurine
  - xviii. Placenta
  - xix. Milk products and their derivatives and their by products which are processed by enzyme (example : cheese, whey, lactose, caseine/caseinate)
  - xx. Several vitamins (examples: A, B6, D, E)
  - xxi. Activated Carbon
  - xxii. Bristle
3. Vegetable Products
- Materials derived from vegetable are basically halal but if processed with additives and/or processing aids those are not halal, they become not halal. Therefore it is necessary to know the production process, the additives and the processing aid used in the making of vegetable products. Following are examples of vegetable materials that might have critical points:
- i. Wheat flour could be enriched by vitamins, among them B1, B2 and pholate acid.
  - ii. Oleoresin (Chili, spices, etc) may contain emulsifiers (examples: polysorbate/tween & monoleat glycerol that might be derived from animals)
  - iii. Soybean lecithin could be produced by using phospholipase in the production process to improve its function.



## Appendix 5. (continued)

- iv. Hydrolyzed Vegetable Protein (HVP) could be produced by using enzyme in hydrolysis process.

### 4. By products of Alcoholic Drink Industry and their Derivatives

By products of alcoholic drink industry and their derivatives are haram if they are only physically separated from the product but if they are chemically reacted to be a new compound they become halal. Example of by products of alcoholic drink industry and their derivatives are:

- i. Cognac oil (by product of cognact/brandy distillation)
- ii. Fusel oil (by product of distilled beverages and their derivatives, such as isoamyl, isobutyl and propyl alcohol, acetaldehyde, 2.3 butanadiol, acetone, diacetyl, etc.)
- iii. Brewer yeast (by-product of beer industry)
- iv. Tartaric acid (by product of wine industry)

### 5. Microbial Product

Status of microbial product could be haram if it belongs to the following categories:

- i. Alcoholic drinks (khamr) and their by products
- ii. Microbial products grow on media containing haram materials such as blood, peptone from haram source or produce by using enzyme from haram source.
- iii. Microbial products using enymes of haram materials in their production process.
- iv. Microbial products using haram additives or processing aid in their production process, such as antifoams derived from lard, glycerol or other similar substances.
- v. Microbial recombinants genes derived from haram materials. Examples are as follows :
  - 1)  $\alpha$ -amilase enzymes and protease resulting from *Saccharomyces cereviceae* recombinants with genes from animal tissues.
  - 2) Insulin hormones resulting from *E.coli* recombinants and genes from pig pancreas tissues.
  - 3) Human growth hormones resulting from *E. coli* recombinants.

## **Appendix 5. (continued)**

### 6. Other Derivatives

The following are examples of other additives those often become critical points :

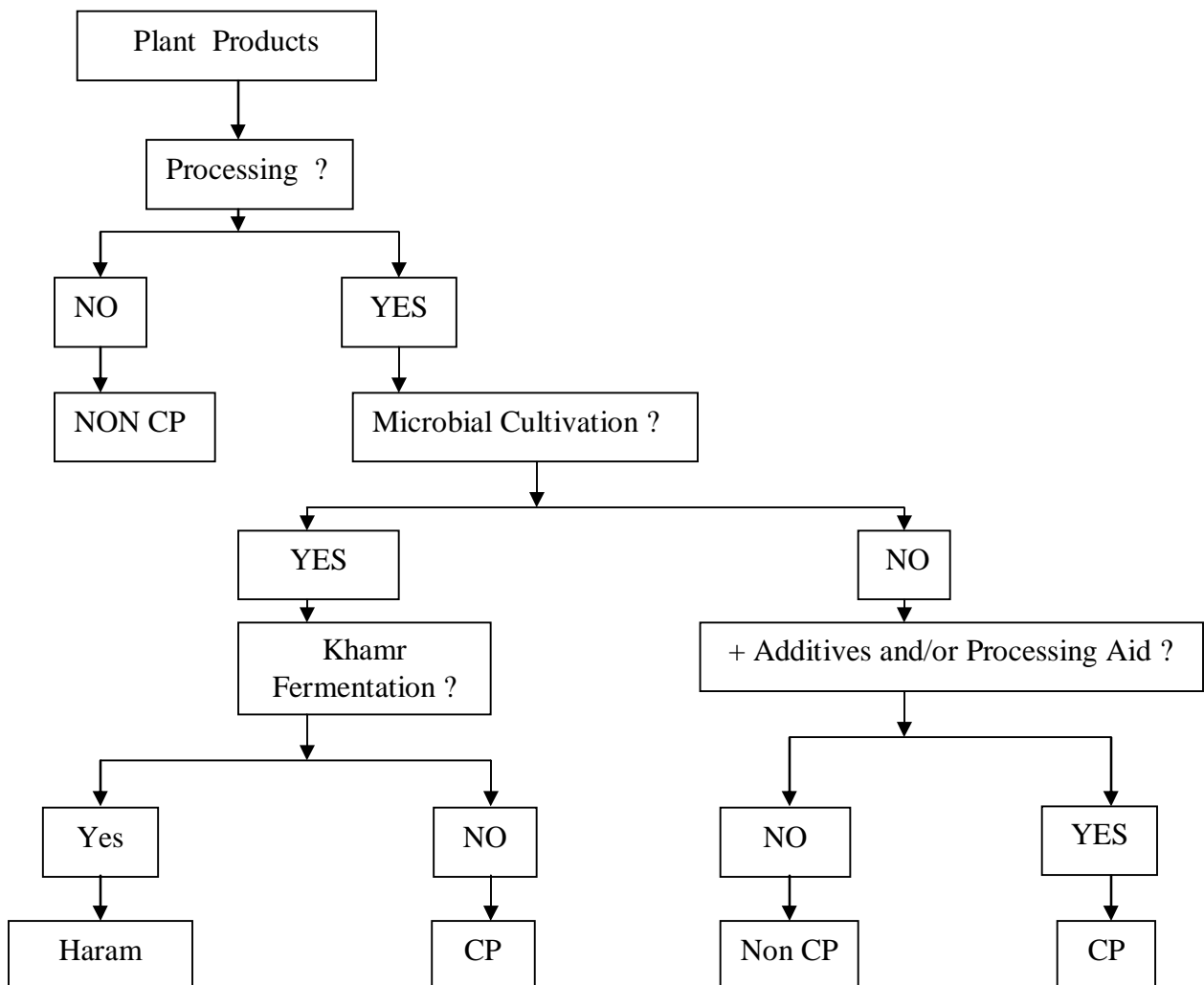
- i. Aspartame (made of amino acid fenilalanin and aspartic acid)
- ii. Natural colorings
- iii. Flavors
- iv. Seasonings
- v. Vitamin coatings
- vi. Emulsifiers and stabilizers
- vii. Antifoams
- viii. Etc.

## Appendix 6.

### DECISION TREE FOR HARAM CRITICAL POINTS IDENTIFICATION

#### A. Identification of Material Critical Points

##### A.1. Identification of Critical Points of Plant Products

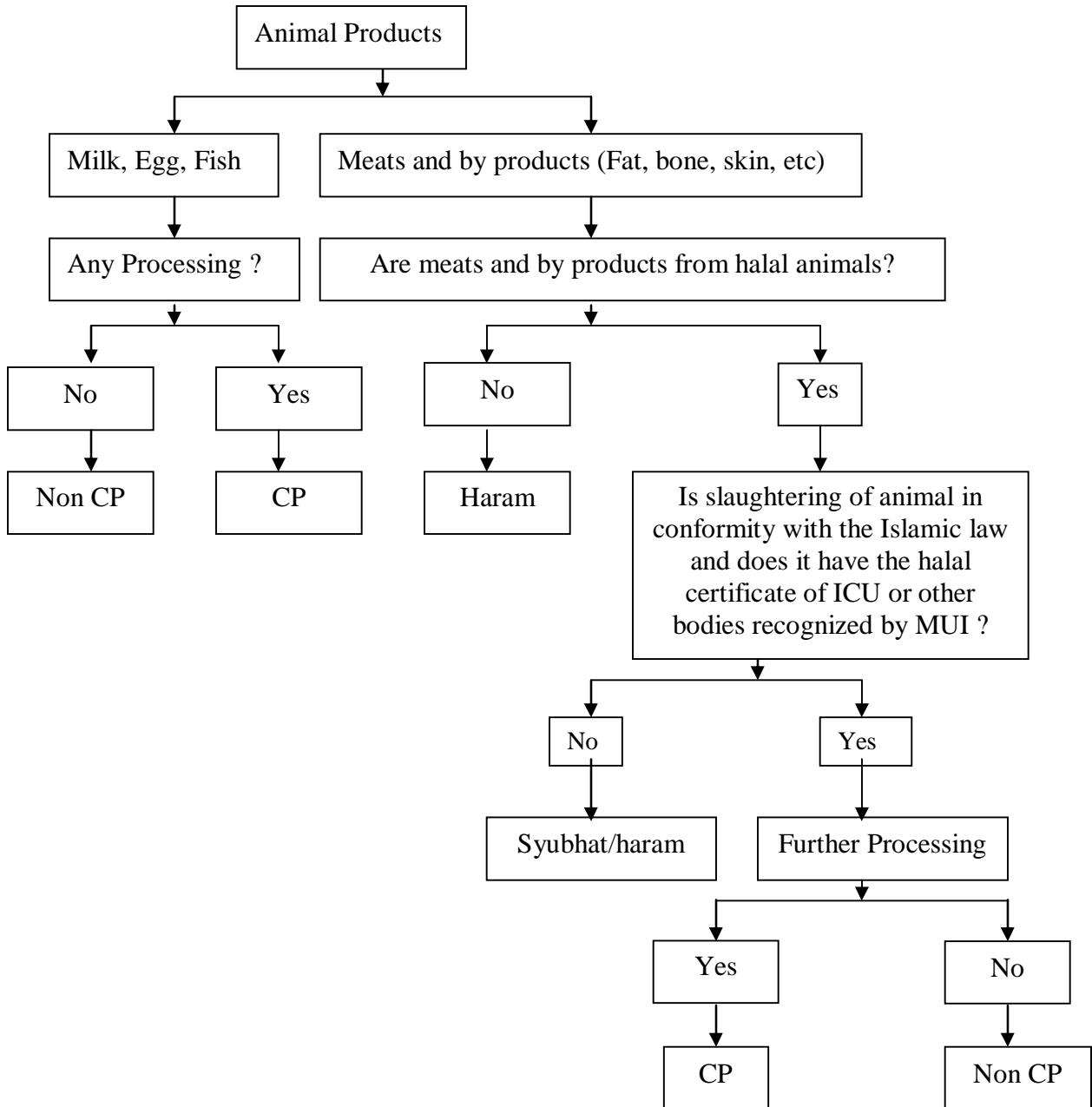


Notes :

1. CP : Critical Points
2. Non CP: Non Critical Points.
3. Identification of these critical points for plant products is not for haram plant such as marijuana, cocaine, opium, etc.

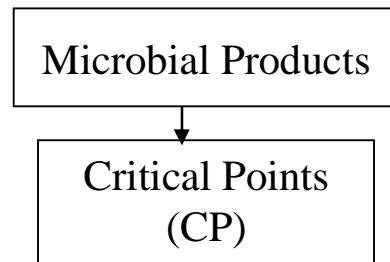
## Appendix 6. (continued)

### A.2. Identification of Critical Point of Animal Products



## Appendix 6. (continued)

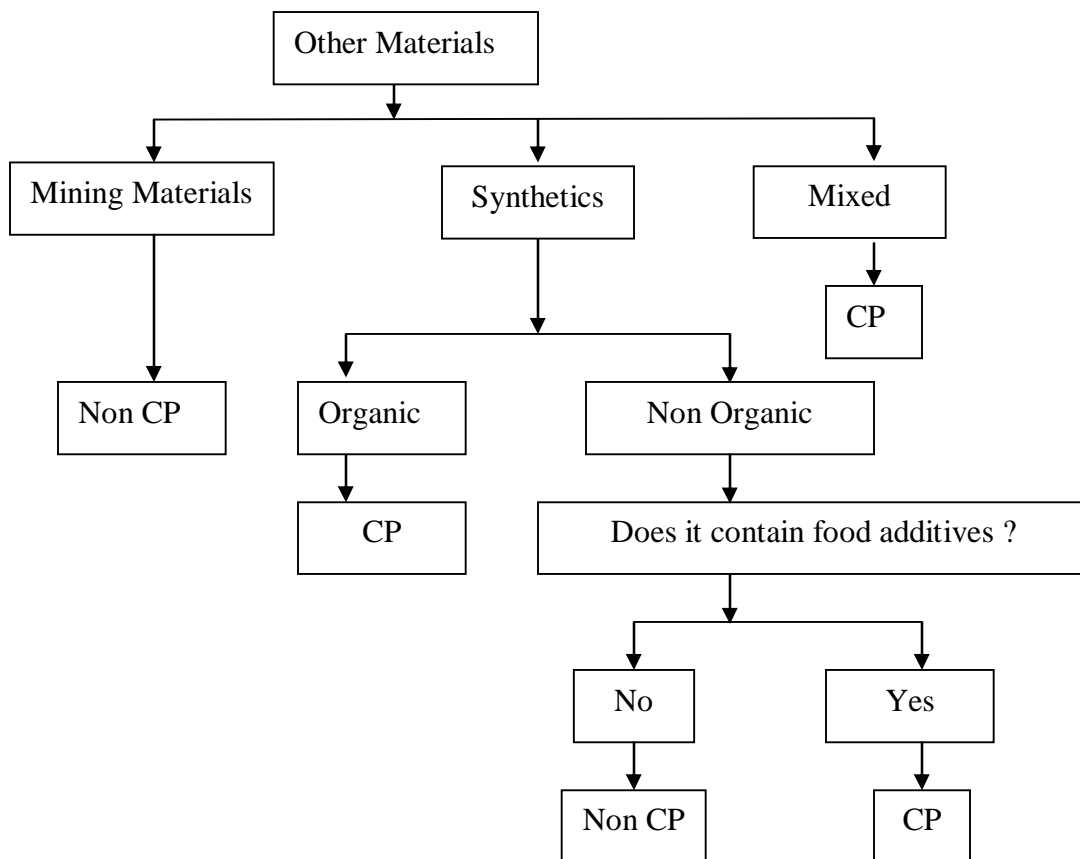
### A.3. Identification of Critical Points of Microbial Products.



Notes :

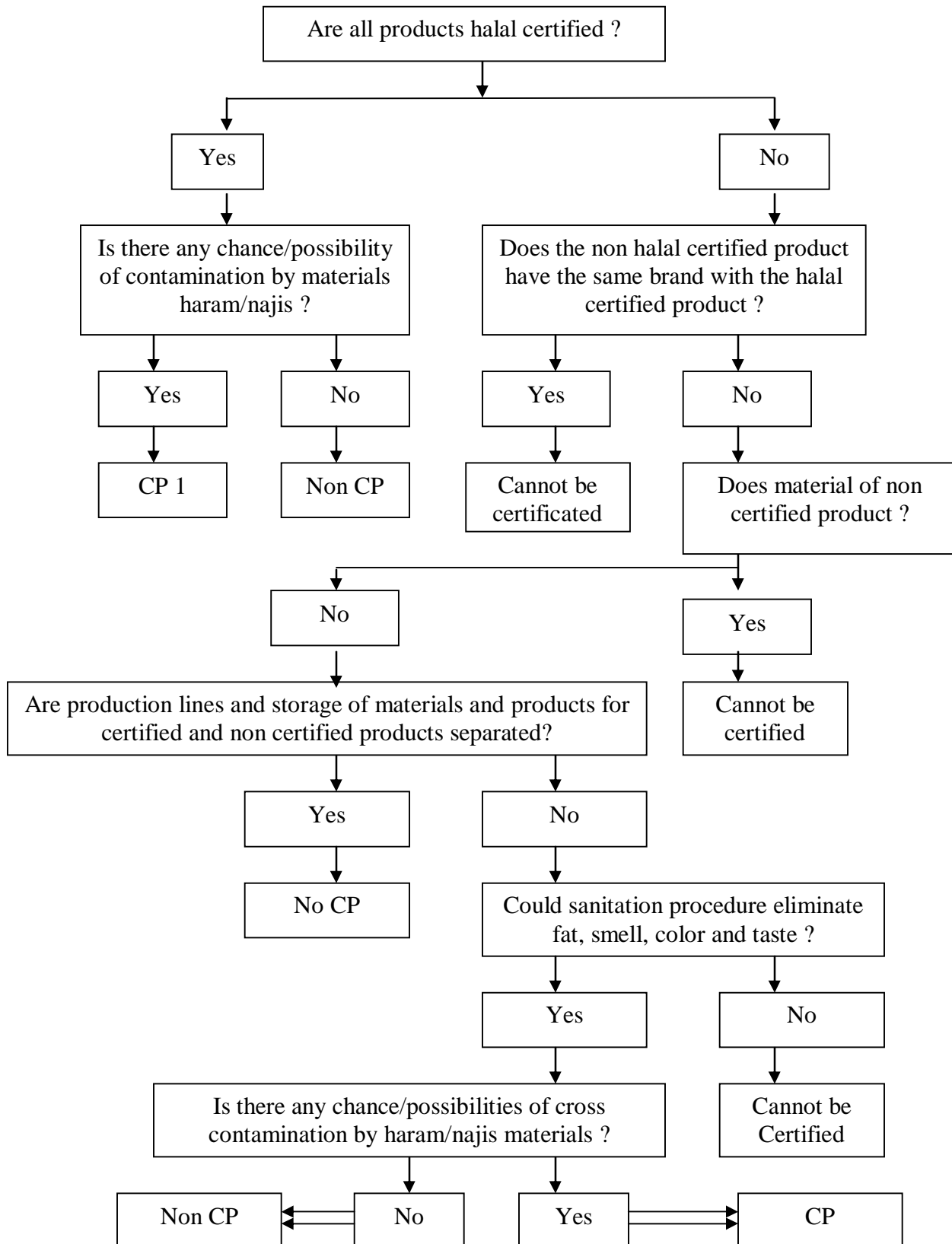
- All microbial products are critical.
- Critical point lies in the media, refreshing as well production media derived

### A.4. Identification of Critical Points of Other Materials



**Appendix 6. (continued)**

**B. Identification of Critical Points of Warehousing and Production Lines.**



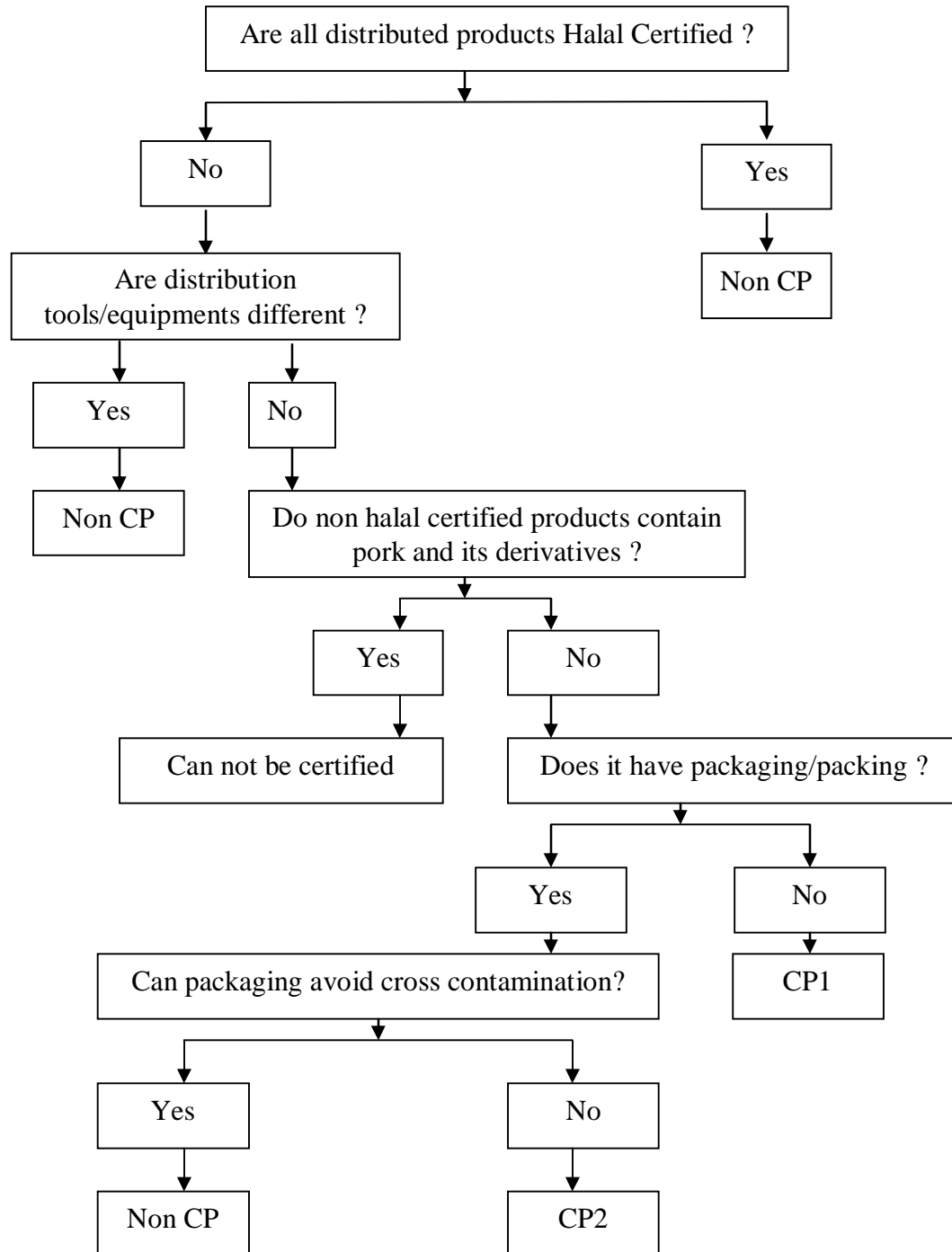
## **Appendix 6. (continued)**

### **Notes :**

1. LPPOM MUI recommends that companies requesting halal certificates certify all their products at all factories and production lines.
2. Companies should maintain the certified products are not contaminated by anything that is haram and najis.
3. If companies do not certify all their products, the ones that are not certified must have different brands.
4. Production lines and warehouse of certified and non certified products must be physically separated.
5. CP1 is contamination by the environment (pets, birds, wall, lizard, etc) and employees (catering, food drinks)
6. CP2 is cross contamination by non-certified materials (materials that are haram and najis apart from pork).

## Appendix 6. (continued)

### C. Identification of Distribution Critical Points



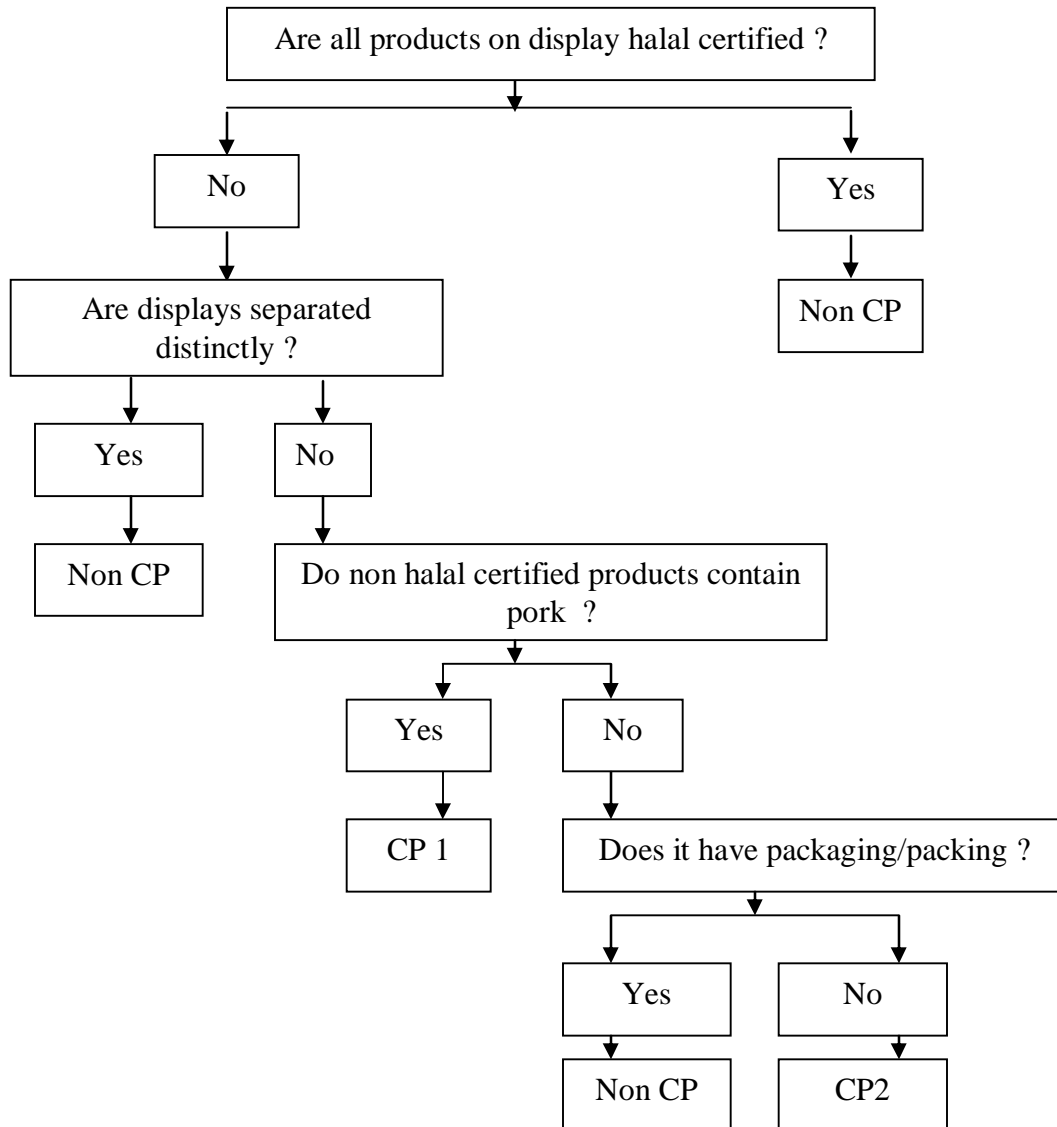
Notes :

CP1 refers to a condition which products are in bulk so that it needs a container that could avoid cross contamination.



## Appendix 6. (continued)

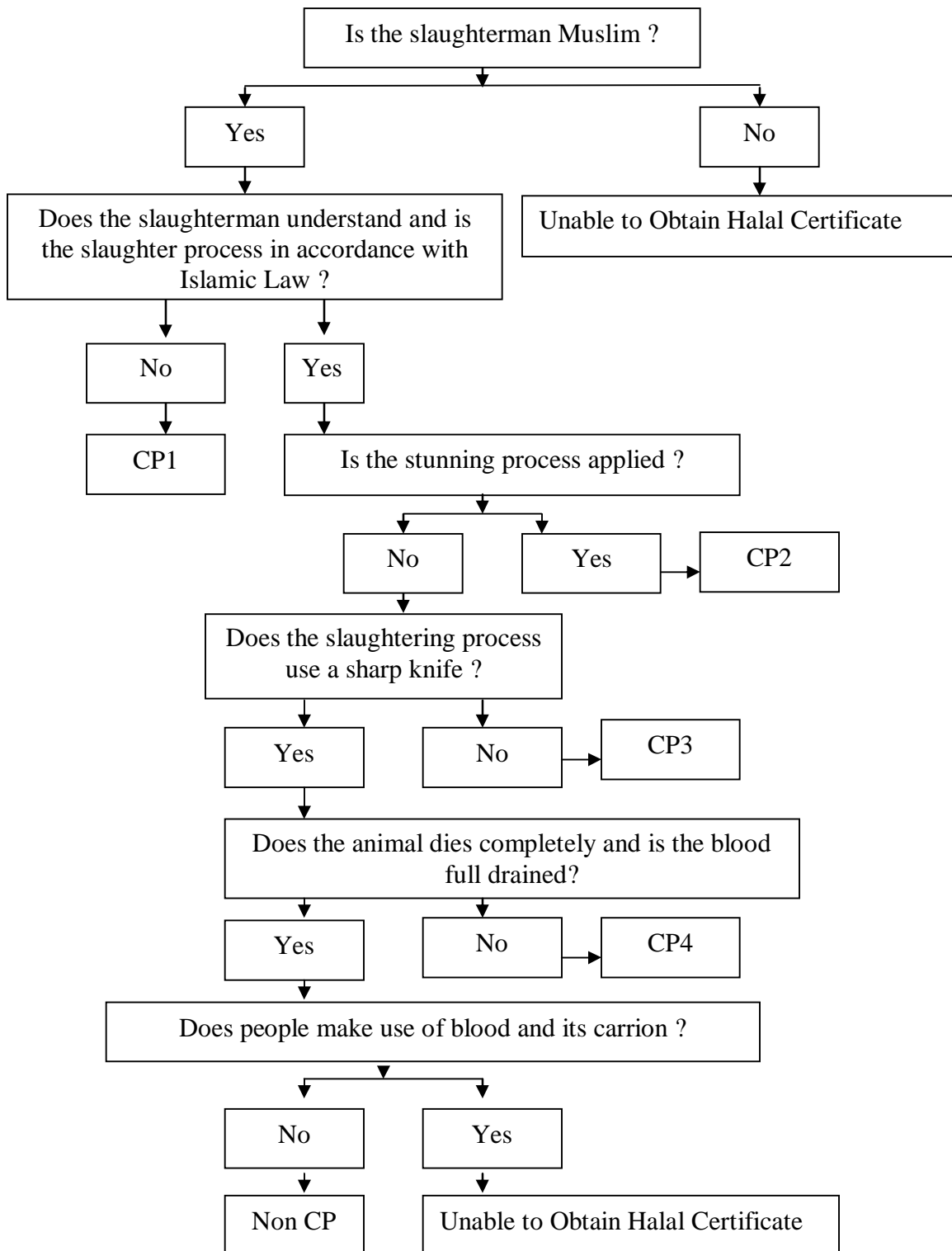
### D. Identification of Critical Points of Display



Notes : Halal Certificate cannot be issued, if there is CP1 and/or CP2.

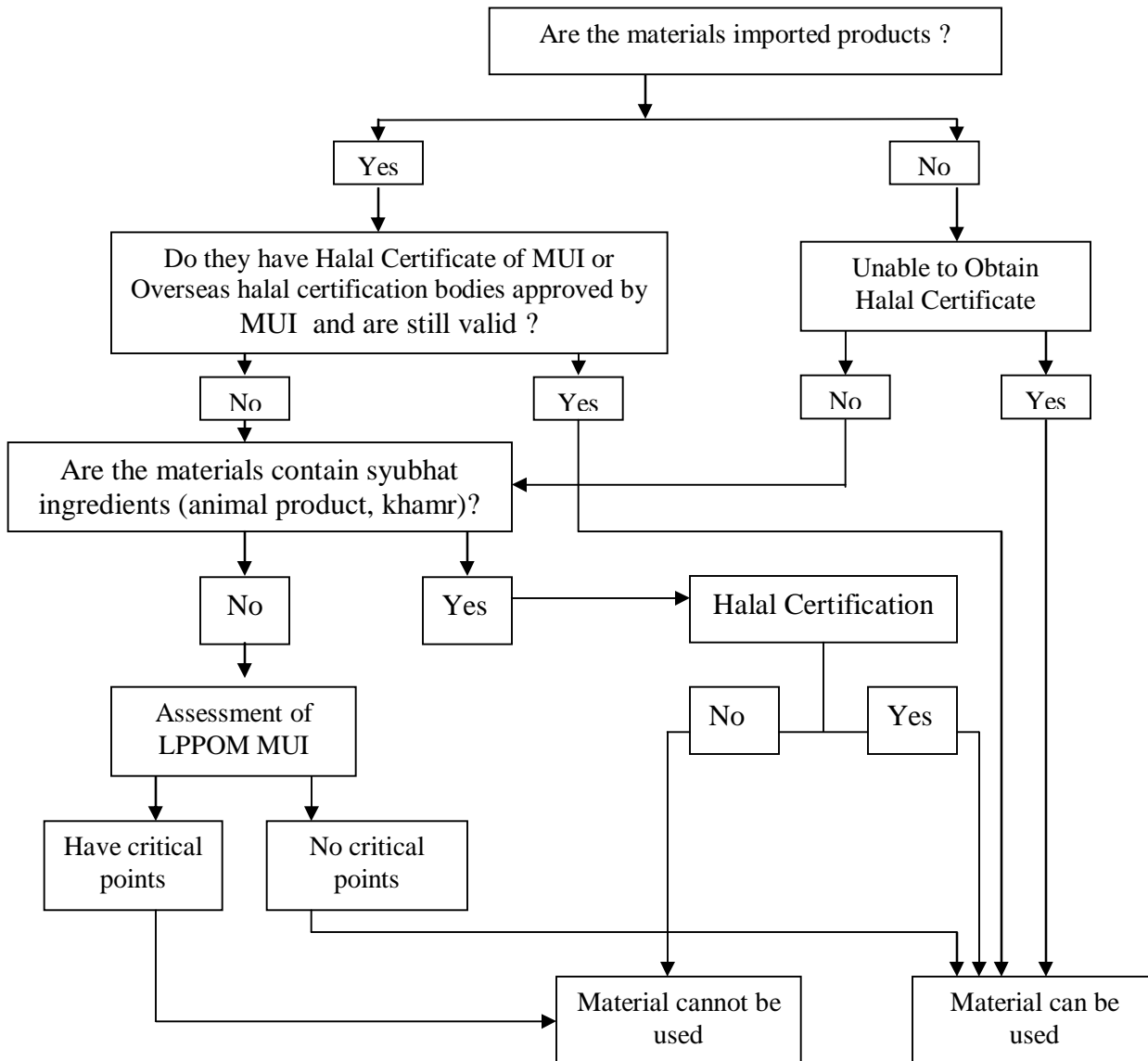
## Appendix 6. (continued)

### E. Identification of Critical Points in Slaughtering



## Appendix 6. (continued)

### F. Procedure Of Determining Material Status



#### Notes :

1. This procedure applies to all producers and suppliers.
2. Output of above procedure is list of materials as reference for internal halal auditors
3. Materials in the category of materials that can be used must be approved by LPPOM MUI before used.
4. Materials in the category of materials that cannot be used must not be in the factory area.

5. Materials that can be used must have supporting documents like material specification and/or halal certificate from MUI or overseas Halal Certifying bodies approved by MUI.
6. Materials subjected to MUI assessment process must have approval letter from LPPOM MUI.

## Appendix 7.

**Example of List of Identified Haram Critical Materials  
and Its Preventive Actions**

No.	Name of Material	Critical Point	Key Information	Corrective Action	Verification	Documentation
1	<ul style="list-style-type: none"> <li>• Meat</li> <li>• Gelatin</li> </ul>	<ul style="list-style-type: none"> <li>- Halal animals</li> <li>- Slaughter</li> </ul>	Halal certification	Reject materials if information in packaging does not correspond with halal certification.	Warning to supplier.	<ul style="list-style-type: none"> <li>- Corrective Action.</li> <li>- Verification.</li> </ul>
2	Oleoresin	- Additives	Process flow.	Reject materials if the information in packaging does not correspond with document	Warning to supplier.	<ul style="list-style-type: none"> <li>- Corrective Action.</li> <li>- Verification.</li> </ul>
3	Isoamyl alcohol	- Khamr derivatives	Halal certification.	Reject materials if information in package does not correspond with halal certification.	Warning to supplier.	<ul style="list-style-type: none"> <li>- Corrective Action.</li> <li>- Verification.</li> </ul>
4	MSG	- Fermentation media	Halal certification.	Reject materials if information in package does not correspond with halal certification.	Warning to supplier.	<ul style="list-style-type: none"> <li>- Corrective Action.</li> <li>- Verification.</li> </ul>
5	Antifoam	- Raw materials	Halal certification	Reject materials if information in	Warning to supplier.	- Corrective Action.

			<b>n.</b>	<b>package does not correspond with halal certification.</b>		<b>- Verification.</b>
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## Appendix 8.

**Example of List of Identified Haram Critical  
Production Process and Its Preventive Actions**

No.	Procedure	Critical Point	Key Information	Corrective Action	Verification	Documentation
1	Adding of raw materials	Raw materials	Material must conform to matrix of materials approved by MUI	Stop using of wrong materials; cleaning contaminate equipment; quarantine the product that a wrong material is added.	<ul style="list-style-type: none"> <li>- Check production record.</li> <li>- Check relevant SOP.</li> </ul>	<ul style="list-style-type: none"> <li>- Corrective Action.</li> <li>- Verification.</li> </ul>
2	Equipment Selection of Mixing Tank	Not using undedicated lines/tank	Must use dedicated tank for halal production	Stop production if using undedicated tank	Check relevant SOP	<ul style="list-style-type: none"> <li>- Corrective Action.</li> <li>- Verification</li> </ul>
3	Blending material	Possibility of non halal material	Product ID, material List	<ul style="list-style-type: none"> <li>- check an materials pulling from warehouse</li> <li>- ensure marking of halal products and supplier approved</li> </ul>	Check whether conform to halal requirement	Material list approved by LPPOM MUI
4	Equipment	Product	Residue of non-halal	Thoroughly clean the	<ul style="list-style-type: none"> <li>- Check the cleaning record.</li> </ul>	<ul style="list-style-type: none"> <li>- Corrective Action.</li> <li>- Verification.</li> </ul>

	<b>cleaning</b>	<b>residue</b>	<b>products</b>	<b>equipment</b>	<b>- Check relevant SOP</b>	
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## Appendix 9.

### Example Of Halal Standard Operating Procedure (SOP)

#### 1. SOP for Purchasing Department

1. Material purchased should conform to the list of materials approved by LPPOM MUI.
2. Company must assure that materials purchased conform to data mentioned in the halal certificate halal document (name and code of raw material, name of company, name and location of factory).
3. Purchasing documents must be well documented.

#### 2. SOP for Receiving Materials

1. Name of materials, code of materials, producer, name and location of factory must conform to those contained in the list of raw materials approved by LPPOM MUI.
2. If halal certificate mention special logo, it must be shown in the packaging of the materials.
3. Materials with halal certificates issued per shipment should be accompanied with documents stating the lot number, quantity, production date and expiry date that conform to those mentioned in the halal document and mentioned in the label.
4. Materials that have been audited and conform to the criteria are given halal pass.
5. Materials stored in warehouse are materials that conform to the list of raw materials approved by LPPOM MUI, If there are materials that are not mentioned in the list, they must be stored separately to prevent cross contamination.
6. Materials stored in warehouse should be free from contamination by anything that is *Haram* and *Najjis*.
7. Each mutation of materials (going in and out) in warehouse should be well recoded and must have stock cards materials issue voucher and receiving documents.

## **Appendix 9. (continued)**

### **3. SOP for Changing and Adding New Suppliers**

1. If materials are of a critical category, it is recommended that a company has to check whether suppliers of the materials possess halal certificate issued by MUI or other certifying bodies recognized by MUI.
2. If new supplier has no halal certificate, it is recommended to find another supplier possessing halal certificate issued by MUI or other certifying bodies recognized by MUI.
3. If there are new suppliers with no halal certificates then a technical specification examination explaining the source of origin and a production flow chart of materials must be provided. It must be consulted to LPPOM MUI by IHA.
4. There should be assurance that the materials purchased conform to data contained in the halal certificate or halal document (name and code of materials, name of company, name and location factory).
5. Company should know whether a supplier is a direct producer or a distributor. In case supplier is a distributor, a written agreement is to be made in which supplier states that it only supplies materials that are contained in the halal document.
6. Planning for replacing suppliers should be reported to LPPOM MUI before implemented.
7. Materials from new suppliers can be used after getting approval from LPPOM MUI.
8. Data of active and non active suppliers should be well documented.

### **4. SOP for Use of New Materials**

1. New materials must be checked whether it has a halal certificate issued by LPPOM MUI or other certifying bodies recognized by LPPOM MUI.
2. If material does not have a halal certificate, a company is recommended to find alternative material of the same or similar kind which have a halal certificate issued by LPPOM MUI or other certifying bodies recognized by LPPOM MUI.

## **Appendix 9. (continued)**

3. If substitute material cannot be found, company must provide a technical specification explaining the source of origin and production flow chart of materials. It must be consulted to LPPOM MUI.
4. Plan for using new materials must be reported to LPPOM MUI by Internal Auditors.
5. New materials can be used after company receives approval from LPPOM MUI.

### **5. SOP for Halal Production**

1. Production work sheet should refer to formula and matrix of material approved by LPPOM MUI.
2. Materials that can be used in halal production should refer to the list of raw material approved by LPPOM MUI and having been given a halal pass.
3. Materials should be free from contamination by anything that is najis and haram.
4. Production line should be used for halal materials only.
5. If production line is used for materials that has not been given halal certificate then cleaning procedure should be done properly to prevent cross contamination.
6. If non certified products containing pork derivatives are present, the equipment and production lines must be separated.
7. Materials not used in production are strictly prohibited to be located in the production area.

### **6. SOP for change for Formula and Development of New Products.**

1. Formula Change and new product development should be referred to the list raw material approved by LPPOM MUI.
2. Change of formula leading to a new product should apply for a new halal certificate.

**Appendix 9. (continued)**

3. Change of formula not leading to a new product and not using new materials (composition reformulation) does not have to be reported to LPPOM MUI.
4. Change of formula is not leading to new product and but using new materials (use of alternative materials) must refer to the Standard Operation Procedure for the use of New materials.
5. Plans for a new formula are not leading to a new product have to be reported to LPPOM MUI by IHA.
6. New formula can be used after company receives approval from LPPOM MUI.
7. If new formula does not have approval, it cannot be used.

## Appendix 10. Example of Administration System

No	Departemen	Item
1	Purchasing	<ul style="list-style-type: none"> <li>• Purchase Order</li> <li>• Vendor Evaluation/Qualification Form</li> <li>• etc</li> </ul>
2	QA/QC	<ul style="list-style-type: none"> <li>• Materials Receiving Form</li> <li>• QC (Halal) Pass</li> <li>• Etc</li> </ul>
3	Warehouse	<ul style="list-style-type: none"> <li>• Delivery Order</li> <li>• Stock Card/Rayon Card</li> <li>• Etc</li> </ul>
4	Production	<ul style="list-style-type: none"> <li>• Clearance Check record for</li> <li>• Production Process</li> <li>• Etc</li> </ul>
5	R & D	<ul style="list-style-type: none"> <li>• Approval Form for New Material</li> <li>• Master of Formula Product</li> <li>• Etc</li> </ul>

## Appendix 11. Example of Documentation System

Departement	Document	Responsibility	Location
<b>QA/QC</b>	<ol style="list-style-type: none"> <li>1. SOP of QA/QX</li> <li>2. Technical References of QA/QC</li> <li>3. Record of QA/QC documents</li> <li>4. etc</li> </ol>	<b>Manager QA/QC</b>	<b>Plant</b>
<b>Purchasing</b>	<ol style="list-style-type: none"> <li>1. SOP of Purchasing</li> <li>2. Technical References of Purchasing</li> <li>3. Record of purchasing material documents</li> <li>4. Agreement Letter (MOU) with supplier</li> <li>5. etc</li> </ol>	<b>Purchasing Manager</b>	<b>Head Office</b>
<b>Etc</b>			

**Appendix 12. Example of Training Schedule**

Time	Audients	Topics
January	AHI Coordinator	External training from LPPOM MUI
July	AHI Team	Internal training (IT) for setting up HAS
September	Staff & Employees	Principles of Halal and Haram, Halal Awareness
etc		

## Appendix 13.

<b>Form of Periodic Report</b>			
<b>1.</b>	<b>Summary of Halal Internal Audit Report is composed as follows :</b>		
1a.	Time of Halal Internal Audit :		
1b.	Auditor :		
1c.	Auditee :		
1d.	Finding :		
1e.	Corrective Action :		
<b>2.</b>	<b>Summary of changes in last 6 month comprises the following :</b>	<b>Yes</b>	<b>No</b>
2a.	Change of Company Management that affects halal policy Description: .....		
2b.	Change of Halal Assurance System (SOP, documents, personnel, etc) Description: .....		
2c.	Change of factory location Description: .....		
2d.	Change of materials (producer/supplier, type of material) Description: .....		
2e.	Change of formula and development of new product Description: .....		
<b>3.</b>	<b>Official reports of corrective action on finding at the halal internal audit</b>		
<b>4.</b>	<b>Latest list of materials and supporting documents.</b>		



## Appendix 14.

Example of Form for Internal Audit (Key Questions in Halal Internal Audit)				
<b>4.1. Form of Halal Internal Audit for QA/QC Department</b>				
No	Questions	Results of Audit		
		Yes	No	Remark
1.	Does QA department have list of raw materials approved by LPPOM MUI ?			
2.	Are all incoming materials given halal pass ?			
3.	Does QA give materials or products halal pass after getting the approval from internal halal auditor?			
4.	Before giving halal pass, does QA check whether the name of producer, brand, type/code of goods, halal logo, lot number, and quantity attached to packaging label conform to the procurement document and halal certificates?			
5.	Can answer to question (4) be proven by reports on and records of the audit results?			
6.	Are halal pass given only to material or product the halal certificates have not yet expired?			
7.	Does QA reject materials/products which are not given halal passes?			
8.	Are the issued of halal pass controlled effectively and recorded systematically?			
9.	Does QA always consult Internal halal Auditors if incoming materials/products can not get halal pass because of several reasons, including the expiry date of halal certificates?			
10.	Does QA come up with a preventive action in case of practices that do not meet halal Standard Procedures?			
Specific Remarks of Auditors :				
Approved by,		Recorded by,		
Auditee of QA/QC Department		Internal Halal Auditor		

**Appendix 14. (continued)**

Example of Form for Internal Audit (Key Questions in Halal Internal Audit)				
<b>4.2. Form of Halal Internal Audit for Production Department</b>				
No	Questions	Results of Audit		
		Yes	No	Remark
1.	Does the production department only produce products that are declared and certified halal by MUI ?			
2.	Are there any consistency of the use of all material and additive?			
3.	Are all materials recorded in the list of materials approved by LPPOM MUI?			
4.	If there is a product whose halal status is not yet clear (not halal certified), are the production equipment separated?			
5.	Is there a possibility that a product which is not halal certified contain pork or its derivatives?			
6.	If the products that are not halal certified by MUI do not contain pork or its derivatives, do sanitation procedures of production instrument conform to MUI rules and it's the process supervised by IHA?			
7.	If production tools of halal and not halal certified products are separated, is formulating room also separated?			
8.	Are there no haram materials in the production area although they belong to another department or an individual?			
9.	Are there no haram materials in the production although they belong to another department or an individual?			
10.	Are all raw materials and additives systematically recorded and easily to be traced?			
11.	Is the manufacture process done in such a way that it can avoid a product being contaminated by another product or material haram/najis?			
12.	Does the production Department have working instruction for every stage of process?			
Specific Remarks of Auditors :				
Approved by,			Recorded by,	
Auditee of production Department			Internal Halal Auditor	

**Appendix 14. (continued)**

Example of Form for Internal Audit (Key Questions in Halal Internal Audit)				
<b>4.3. Form of Halal Internal Audit for R &amp; D Department</b>				
No	Questions	Results of Audit		
		Yes	No	Remark
1.	Does the R & D department have a list of materials that has been approved by LPPOM MUI?			
2.	Are the samples received by the R & D department always accompanied by documents which support the halal status of the material?			
3.	In auditing the halal status of materials to be used, does the R & D department also trace their origin?			
4.	Does the R & D department periodically monitor the halal status of materials and make an effort to find a substitute for materials which don't have a halal certificate?			
5.	Does the R & D department always use materials with a clear halal status to develop new formulas?			
6.	Does a formula which is ready to be produced always get the approval of IHA before halal certification by MUI?			
Specific Remarks of Auditors :				
Approved by,			Recorded by,	
Auditee of R & D Department			Internal Halal Auditor	

**Appendix 14. (continued)**

Example of Form for Internal Audit (Key Questions in Halal Internal Audit)				
<b>4.4. Form of Halal Internal Audit for Warehousing Department</b>				
No	Questions	Results of Audit		
		Yes	No	Remark
1.	Is the warehousing department supported by an administration system that can easily be traced?			
2.	Does the warehousing department have a list of materials approved by LPPOM MUI?			
3.	Do all materials in warehouses conform to those contained in the list approved by LPPOM MUI?			
4.	If the answer to question no. 2 is "No", are halal and non halal materials stored separately?			
5.	Is the separation (question no. 3) done by using different rooms?			
6.	If the answer to question no. 4 is "No", Is the separation done by using different palettes but using the same shelves with clear marks?			
7.	If the answer to question no. 5 is "No", Is the separation done by using different shelves with clear different marks?			
8.	If the answer to question no. 6 is "No", Is the separation done by using different palettes but using the same shelves with clear marks?			
9.	Are materials for production, for packaging, and for non production, such as sanitation materials, R & D samples, finished products and others separately?			
10.	Is the separation (question No. 8) done by using different rooms?			
11.	If answer to question no. 9 is "No", Is the separation done by using different shelves with clear marks?			
12.	If answer to question no. 11 is "No", Is the separation done by using different shelves with clear marks?			
13.	If Answer to question no. 11 is "No", Is the separation done by different palettes but using the same shelves with clear marks?			
14.	Is the use of any materials and product for production, R & D, sales or delivery from warehouses for other purposes well documented (i.e. type/variety, quantity, specific purpose)?			
15.	Does each batch of materials going put of the warehouses for halal production pay attention to halal pass?			
16.	Are all materials stored in warehouses clearly labeled?			
17.	Are products that are not halal certified by MUI?			
18.	If answer to question no 16 "Yes", are products that are not halal certified and those that are halal certified stored separately?			
19.	If answer to question no. 17 is "No", Is the separation done by different rooms?			

**Appendix 14. (continued)**

No	Questions	Results of Audit		
		Yes	No	Remark
20.	If answer to question no. 20 is "No", Is the separation done by using different shelves with clear marks?			
21.	If answer to question no. 21 is "No", Is the separation done by different palettes but using the same shelves with clear marks?			
Specific Remarks of Auditors :				
Approved by,		Recorded by,		
Auditee of R & D Department		Internal Halal Auditor		

## Appendix 14. (continued)

Example of Form for Internal Audit (Key Questions in Halal Internal Audit)				
<b>4.5. Form of Halal Internal Audit for Purchasing Department</b>				
No	Questions	Results of Audit		
		Yes	No	Remark
1.	Does the halal status become important consideration in the purchasing of raw materials, additive and supporting materials?			
2.	Does the purchasing department have a list of materials, suppliers, and producers (of materials) recognized by LPPOM MUI?			
3.	Is a change in suppliers or producers of new materials informed to and recognized by IHA (based on the consultation with LPPOM MUI)?			
4.	Does the purchase of new materials by the Purchasing Department get earlier approval from QA and IHA (based on consultation with LPPOM MUI)?			
5.	Are there records in the case of a change in materials, suppliers or producers of materials?			
6.	Does the purchasing Department have early warning system for materials whose halal certificate will shortly expired?			
7.	Are samples of materials received by the Purchasing Department from suppliers accompanied by documents related to their halal status (halal certificate, product description and specification, flow of process, and origin of material)?			
8.	Are the purchasing supported by a good administration system? (e.g. all records of purchasing are recorded systematically and can be traced easily).			
Specific Remarks of Auditors :				
Approved by,			Recorded by,	
Auditee of R & D Department			Internal Halal Auditor	

**Appendix 14. (continued)**

Example of Form for Internal Audit (Key Questions in Halal Internal Audit)				
<b>4.6. Form of Halal Internal Audit for Transportation/Distribution Department</b>				
No	Questions	Results of Audit		
		Yes	No	Remark
1.	Are transportation and distribution tools and equipment for materials or products clean and free from najis at all times?			
2.	Is there a guarantee that while transported, halal goods will not mixed with other goods (belonging to different companies and individuals) whose halal status is status is questionable?			
3.	Is there a special selection and set of special terms that could avoid halal products from possible contamination by haram or najis materials?			
Specific Remarks of Auditors :				
Approved by,			Recorded by,	
Auditee of R & D Department			Internal Halal Auditor	

## Appendix 15.

Example of Format Report on Non Conformity			
NO	ANALYSIS / DESCRIPTION		REMARK
1.	Finding of Non Conformity	Analysts / Writer of Report	
		Nature of Non Conformity	(Change or unchanged of Halal Status)
		Date	
		Location	
2.	Analysis of Cause	Process	
		Cause	
		Writer of Reports	
		Approved	
3.	Direct Action	Contents of Action	
		Date of Execution	
		Made	
		Approved	
4.	Corrective Action	Contents of Action	
		Date of Achievement	
		Date of Execution	
		Made by	
		Approved	
5.	Preventive Action	Contents of Action	
		Made by	
		Approved by	



**Appendix 16.**

<b>Example of Minutes of Management Meeting on HAS Review</b>						
No	Topic	Detail of Discussion	Conclusion	Follow up	Due Date	Realization