

New Client Audit

19 Jul 2022 / Rafiq Umar

Complete

Score	100%	Flagged items	0	Actions	3
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Auditor's Names

Rafiq Umar

Introduce yourself

First, I would like to go over the format for today's audit:

There are 3 phases that I will be completing with you.

1. Opening Meeting

----a. Overview: Primary concerns for halal certification

----b. Discovery: Gather basic information about your facility, personnel, and daily business activities

----c. Fitness: Assess your facilities' standards for quality assurance

----d. Halal Deposition: Determine if the facilities are compliant with halal dietary restrictions

2. Walkthrough

----I am commissioned to record, or photolog at my discretion critical contact points throughout the facility. The walkthrough is performed by viewing the product from the point of entry into your facility, completely through to the point of exit.

Halal Area Risk Management (H.A.R.M.) locations will be identified within the facility. These areas are classed as nonconformities and are considered to have a potential for cross-contamination or have the potential to denigrate the integrity of the Halal product. In the event that a H.A.R.M location requires mitigation, I will make note of it as a non-conformity. Any non-conformances will require corrective action in order to pass.

I will also be observing the utilization of your machinery, apparatuses', tools, and other such items.

Storage and warehouse locations will also be observed for proper segregation methods. I will determine whether or not halal products are easily identifiable, and reporting if mislabeling, or mix-ups are possible. Computer monitoring systems will also be taken into account.

Raw materials, packaging, and finished products will be observed throughout the tour.

Sanitation processes or methods may also be requested for observation if deemed necessary.

I will also assess the level of integrity of your personnel and your halal system if present. Honesty and transparency will be key factors in my report.

3. Closing Meeting

----During the closing meeting, I will summarize and record my observations during the walkthrough.

I will record the risk assessment, which is based upon the following metrics:

HIGH RISK = Facility processes both halal and haram products using indifferent tools, machinery, or utensils.

MEDIUM RISK = Facility processes both halal and haram products using segregated tools, machinery, or utensils.

LOW RISK = Facility does not process any haram products on or inside of the premises.

Finally, I will provide a final assessment, communicate all non-conformities, and provide a suggested certification status. I will request signatories, and will submit my report to the certification committee.

Are there any questions before we begin?

Conducted on

19.07.2022 11:11 EDT

Company Name

Liptis Pharmaceuticals USA, Inc

Company Type

Manufacturing Facility

Location

110 Red Schoolhouse Rd,
Spring Valley, NY 10977

Actions

3 actions

Final Auditors Evaluation

Were packages and boxes clearly labeled with production and expiration dates?

N/A

To Do | Assignee Rafiq Umar | Priority Low | Due 26.07.2022 12:23 EDT | Created by Rafiq Umar

Send video for warehouse location in basement

Final Auditors Evaluation

Were any raw materials/ingredients marked with a halal certification seal?

N/A

To Do | Assignee Rafiq Umar | Priority Low | Due 26.07.2022 12:25 EDT | Created by Rafiq Umar

Send video for warehouse location in basement

Final Auditors Evaluation

Detail your final evaluation. Be sure to include failures and concerns uncovered during the question, and walk-through phases:

Client did an excellent job of providing details of the process, and the facility. No changes were observed or identified during the tour of the facility. The client, however, was unable to display the warehouse space live due to a lack of internet connection. The client is expected to provide video footage of the warehouse space in order to pass this audit.

To Do | Assignee Rafiq Umar | Priority Low | Due 26.07.2022 12:27 EDT | Created by Rafiq Umar

Send video for warehouse location in basement

General

****Inform Client****: Remember, our primary concern for today's audit is to confirm the submitted information provided in your documentation to the physical evidence on your site. I will be looking for signs of proper sanitation, traceability, integrity, and composition, the 4 principles of halal certification.

Area of Site (sq. ft.) 30000

No Change

Number of Employees 22

Number of Working Shifts 1

Operating Hours 6am - 5pm

Days of Operation Week

M-F

Monday - Thursday, no Friday

Fitness	100%
Facility Produces Food Grade Products?	Yes
Client is HACCP Certified?	Yes
Do FDA Inspectors visit this facility?	Yes
NYS Board of Pharmacy has inspected, although, the FDA has not yet	
Facility Produces Meat & Poultry Products?	No
List any other relevant certifications or accreditations (ISO, GCC, BRC, etc.)	GMP

Halal Deposition	100%
Any animal bi-products or derivatives processed at this facility?	Yes
Fish Roe, Bovine - Gelatin Capsules	
Select all speciation that are processed in this facility:	Halal Beef
	Fish
Please select all product types	PH - Pharmaceuticals
	NU - Nutraceutical
Check all of the fillers/additives added or injected into any halal products:	None
Does facility handle haram products (contaminants) and halal products using the same tools and machines?	N/A
Does facility institute an SSOP? (Sanitation Standard Operating Procedure)	Yes
What is the cleaning frequency of the machinery that comes into contact with the Halal product?	See notes
3 types of cleaning, C1, C2, C3. C1, High level cleaning, dismantle machines, wash all parts, reassemble. Change between products C2, Med level cleaning, remove everything from previous run, clean entire machines without dismantling. 2 lot of the same product. C3, Low level cleaning, any time start and stop production, run water and contrab 70. Isopropyl as well is used.	
Does the facility utilize ATP swab testing?	Yes
C1 cleaning - requires ATP swab testing	
What is the acceptable passing range?	0
Detail the rectifying proceure if a swab test fails:	
Reclean machine, sanitize, retest.	
Does the facility have a pest control program?	Yes
Is water used in any of the products that are in consideration for certification?	No

Walkthrough	100%
Location	100%
Location 1	100%
Location Title	Loading Dock
Location Image	
Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)	No
Location 2	100%
Location Title	Warehouse
Location Image	
Packaging, Raw Materials	
Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)	No
Location 3	100%
Location Title	Staging
Location Image	
Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)	No
Location 4	
Location Title	Production
Location Image	
Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)	Yes
Are cross contamination prevention measures currently in place?	Yes

What mitigating measures are currently Present?

- Air Filtration
- Other
- ATP Swab Testing

Dedicated equipment

Please Specify*

Dedicated equipment

Location 5

Location Title

End capsulation room

Location Image

Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)

Yes

Are cross contamination prevention measures currently in place?

Yes

What mitigating measures are currently Present?

- ATP Swab Testing
- Air Filtration
- Other

Please Specify*

Dedicated equipment

Location 6

100%

Location Title

Final Production

Location Image

Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)

No

Location 7

100%

Location Title

Packaging

Location Image

Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)

No

Location 8

100%

Location Title

Pallet

Location Image

Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)

No

Location 9

100%

Location Title

Delivery Bay

Location Image

Is this area considered a H.A.R.M Location? (Area where cross contamination has potential)

No

Final Check-Out

100%

Does facility store any product in a third party, off-site location, before the product is sold?

No

Has this facility ever produced halal certified products prior to this inspection?

Yes

Which company certified this product?

Halal Watch World

Does this facility claim to produce halal products that are not certified?

No

Does this facility have any Muslim person on staff?

Yes

Name:

Sharif Omar

Expected sales quantity of halal products per month:

50,000 Units

Regionally, Halal products are being sold:

Domestically

Internationally

Any changes in processing? No

List all countries that the product is sold to:

Saudi Arabia, Qatar, UAE, Kawait, Libya, Sudan, Egypt, Bahrain, Ethiopia, Togo, Iraq

Management was cooperative and understanding of Islamic dietary requirements

Good

How to assess risk: HIGH RISK = Facility processes both halal and haram products using the same tools, machinery, or utensils. MEDIUM RISK = Facility processes both halal and haram products using segregated tools, machinery, or utensils. LOW RISK = Facility does not process any haram products on or inside of the premises.

Assess the risk level of this facility:

Low Risk

Documents Received

CONFIRM CLIENT HAS SUBMITTED ALL OF THE BELOW DOCUMENTS

Legal Business Documents	N/A
Raw Material Information	N/A
Traceability Documentation	N/A
Halal Disclosure Statements or Halal Certificates	N/A
Finished Product Spec Sheets for products in consideration for certification	N/A
SSOP	N/A
Recall Plan	N/A
Water Report	N/A
Testing Documentation (High Risk Facilities Only)	N/A
Pest Control	N/A
Flowchart of Processing	N/A

Signature

Inspectors Signature



Mansoor Umar
19.07.2022 12:21 EDT

Client Signature



Ndiogou Toure
19.07.2022 12:22 EDT

Departure Date & Time

19.07.2022 12:22 EDT

Inform the client that the audit has concluded. After closing the meeting, proceed to the final auditors evaluation.

Final Auditors Evaluation

3 actions, 100%

Were packages and boxes clearly labeled with production and expiration dates?

N/A

To Do | Assignee Rafiq Umar | Priority Low | Due 26.07.2022 12:23 EDT | Created by Rafiq Umar

Send video for warehouse location in basement

Were safety/cooking instructions printed on finished labels?

N/A

Were any raw materials/ingredients marked with a halal certification seal?

N/A

To Do | Assignee Rafiq Umar | Priority Low | Due 26.07.2022 12:25 EDT | Created by Rafiq Umar

Send video for warehouse location in basement

Were any finished products marked with a halal certification seal?

No

Were halal products clearly segregated in freezer, storage, and warehouse locations?

N/A

Any H.A.R.M. locations identified that require mitigation?

No

Detail your final evaluation. Be sure to include failures and concerns uncovered during the question, and walk-through phases:

Client did an excellent job of providing details of the process, and the facility. No changes were observed or identified during the tour of the facility. The client, however, was unable to display the warehouse space live due to a lack of internet connection. The client is expected to provide video footage of the warehouse space in order to pass this audit.

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Suggested Certification Status

Pending

CERTIFIED: Select certified if the client appears to have everything in order.

PENDING: Select pending if the client has some non-conformities.

SUSPENDED: Select suspended if the certified client appears to have unintentionally breached the contract in some way shape or form.

REVOKED: Select revoked if the certified client appears to have intentionally breached the contract in some way shape or form.