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| **Instructions on filling this document:**  The Halal Certification Body’s personnel should fill it completely and send it to PNAC while submitting the application form and quality system and give cross references to its clauses in the quality manual/ procedures/ forms etc. Please note that only giving reference to a particular procedure may not be sufficient in most of the cases.  *PNAC’s Assessors Verification & remarks column will be filled in by the concerned officer in PNAC* | |
| Name of the Halal Certification Body (HCB): | Name of PNAC’s Team Leader/TA/TE |
| Address |
| Scope Applied for Accreditation (Categories) |

| **Clause** | **CLAUSE No. of SMIIC-2: 2019**  **Requirements** | **Halal CB’s Reference to its QSD** | **PNAC’s Assessor verification & remarks** |
| --- | --- | --- | --- |
| **5.** | **GENERAL REQUIREMENTS** |  |  |
| 5.1 | **Legal and Contractual Matters** |  |  |
| 5.1.1 | **Legal and Islamic Responsibility** |  |  |
|  | *The Halaal CB shall be a* ***legal entity****, or a* ***defined part of a legal entity****; including the names of its owners or the names of the persons who control it; such that* ***it can be held legally responsible for all its Halaal certification activities****. The CB shall have profound belief in the necessity of proper delivery of Halaal product(s) / service(s) and management system and take all the relevant steps to ensure that* ***Islamic responsibility*** *has been observed in all the activities. The Halaal CB shall have the* ***responsibility for conformity with all the Islamic requirements****. A governmental Halaal CB is deemed to be a legal entity on the basis of its governmental status.*  The halal certification body shall be an Islamic entity and shall have profound belief in the necessity of proper supply of halal product/service/process and/or management system for Muslims and take all relevant steps to ensure Islamic responsibility has been observed in all activities. The halal certification body shall have the responsibility for conformity with all Islamic requirements. |  |  |
| 5.1.2 | **Halaal Certification Agreement** |  |  |
|  | The Halaal CB shall have a **legally enforceable** agreement for the provision of Halaal certification activities to its client. In addition, where there are multiple offices of a Halaal CB or multiple sites of a client, the CB shall ensure there is a legally enforceable agreement between the Halaal CB granting Halaal certification and issuing a certificate, and all the sites covered by the scope of the certification. |  |  |
| 5.1.3 | **Responsibility for Halaal Certification Decisions** |  |  |
|  | The Halaal certification body shall be responsible for, and shall retain authority for, its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending, and withdrawing of certification. |  |  |
| 5.1.4.3 | The halal certification body shall not be part of or use any other non-Muslim organization’s logo/mark/symbol/slogan and or any other ones reminding non-Muslims ‘beliefs or organizations |  |  |
| 5.2 | **MANAGEMENT OF IMPARTIALITY** |  |  |
|  | The Halaal CB shall clearly describe its certification activities, referring to the Pakistan Standard on Halaal, Guides or other normative documents. |  |  |
| 5.2.1 | The halal certification body and any part of the same legal entity shall not offer or provide halal consultancy or management system consultancy. |  |  |
| 5.3 | **LIABILITY AND FINANCING** |  |  |
| 5.3.1 | The Halaal CB shall be able to demonstrate that it has evaluated the risks arising from its Halaal certification activities and that it has adequate arrangements (e.g. Takaful /lslamic insurance or reserves) to cover liabilities arising from its operations. |  |  |
| 5.3.2 | The Halaal CB shall evaluate its finances and sources of income and demonstrate to the committee specified in 6.2 that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality. |  |  |
| 5.4 | **Operations** |  |  |
| 5.4.1 | The halal certification body shall take all steps necessary to evaluate conformance with the relevant halal product standards according to the requirements of specific halal product certification system. The halal certification body shall specify the relevant standards or parts thereof and any other requirements such as sampling, testing and inspection requirements which form the basis for the applicable halal  certification system. |  |  |
| 5.5 | **Non-discriminatory conditions** |  |  |
|  | The policies and procedures under which the certification body operates, and the administration of them, shall be non-discriminatory. Procedures shall not be used to impede or inhibit access by applicants, other than as provided for in this International Standard. |  |  |
| 5.6 | **Traceability** |  |  |
| 5.6.1 | A secure tracking and traceability system should be used for traceability. In this system, each product should be marked separately. This marking mechanism shall include non-copiable security features. The system shall ensure that the product/process/service is original and Halal at both stages of the supply chain, and that it can be accessed by both customers and consumers. At the same time, the system should also allow the relevant authority to make more detailed checks for market surveillance. |  |  |
| 5.6.2 | Halal certification bodies shall make it mandatory for all unit packages of halal products and outer shipping packages to be marked with a unique identifier. |  |  |
| 5.6.4 | With respect to imported products, it is not possible to use halal marks for products that do not comply with the obligations set forth in OIC/SMIIC standards and other Halal related normative documents. If the manufacturer or exporter has used a suitable marking mechanism with these rules, no further marking shall be required for the import of these products. |  |  |
| 5.7 | Transparency |  |  |
| 5.7.1 | The Halal certification body shall make its services accessible to all applicants whose activities fall within the scope of its operations. |  |  |
| 6 | **STRUCTURAL REQUIREMENTS** |  |  |
| 6.1 | **Organizational structure and top management** |  |  |
| *5.1.1*  *ISO/IEC 17065* | *Certification activities shall be structured and managed so as to safeguard impartiality.* |  |  |
| *5.1.2*  *ISO/IEC 17065* | *The certification body shall document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees. When the certification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity.* |  |  |
| *6.2* | *Mechanism for safeguarding impartiality* |  |  |
|  | *Reference: Clause 5.2 of ISO/IEC 17021-1:2015*  *5.2.1 Conformity assessment activities shall be undertaken impartially. The certification body shall be responsible for the impartiality of its conformity assessment activities and shall not allow commercial, financial or other pressures to compromise impartiality.* |  |  |
| 6.2.1 | The Islamic authority recognized in the country in which the halal certification body operates shall be represented in the mechanism for safeguarding impartiality. It shall play an active role in reviewing in the light of Islamic principles the impartiality of the halal certification activities that are executed by the halal certification body and in determining rules, procedures and policies with regard to Islamic aspects of the halal certification. |  |  |
| 6.3 | **Operational Control** |  |  |
|  | The certification body shall have a process for the effective control of certification activities delivered by branch offices, partnerships, agents, franchisees, etc., irrespective of their legal status, relationship or geographical location. The certification body shall consider the risk that these activities pose to the competence, consistency and impartiality of the certification body. |  |  |
| 7.0 | **RESOURCE REQUIREMENTS** |  |  |
| 7.1.2 | **Determination of competence criteria**  The certification body shall have a process for determining the competence criteria for personnel involved in the management and performance of audits and other certification activities. Competence criteria shall be determined with regard to the requirements of each type of management system standard or specification, for each technical area, and for each function in the certification process. The output of the process shall be the documented criteria of required knowledge and skills necessary to effectively perform audit and certification tasks to be fulfilled to achieve the intended results. Annex A specifies the knowledge and skills that a certification body shall define for specific functions. |  |  |
| 7.1.3 | **Evaluation processes**  The certification body shall have documented processes for the initial competence evaluation, and ongoing monitoring of competence and performance of all personnel involved in the management and performance of audits and other certification activities, applying the determined competence criteria.  The certification body shall demonstrate that its evaluation methods are effective. The output from these Processes shall be to identify personnel who have demonstrated the level of competence required for the Different functions of the audit and certification process .Competence shall be demonstrated prior to the individual taking the responsibility for the performance of their activities within the certification body. |  |  |
| 7.1 | **Competence of management and personnel**  **Additional:**  The halal certification body shall have processes to ensure that personnel have appropriate knowledge relevant to the categories (see Annex A) in which it operates and halal certification body shall define competence criteria with regard to the requirements halal standard or specification, for each technical area, and for each function in the certification process. Table C.1 in Annex C specifies the knowledge and skills that a certification body shall define for specific functions. |  |  |
| 7.2 | **Personnel involved in the halal certification activities** |  |  |
| 7.2.1 | The certification body shall have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed. |  |  |
| 7.2.2 | The certification body shall employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed. |  |  |
| 7.2.4 | The certification body shall have processes for selecting, training, formally authorizing auditors and for selecting and familiarizing technical experts used in the certification activity. The initial competence evaluation of an auditor shall include the ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit. |  |  |
| 7.2.1.1 | ***Reference: Clause 7.2 of ISO/IEC 17021-1:2015***  *7.2.1 The certification body shall have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed.* |  |  |
|  | *7.2.2 The certification body shall employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed.* |  |  |
|  | *7.2.4 The certification body shall have processes for selecting, training, formally authorizing auditors and for selecting and familiarizing technical experts used in the certification activity. The initial competence evaluation of an auditor shall include the ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit.* |  |  |
|  | *7.2.10 The certification body shall monitor each auditor considering each type of management system to which the auditor is deemed competent. The documented monitoring process for auditors shall include a combination of on-site evaluation, review of audit reports and feedback from clients or from the market. This monitoring shall be designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client’s viewpoint.* |  |  |
| 7.2.1.2 | The halal certification body shall ensure that all personnel involved in the audit and certification activities are Muslims and they are technically competent and ethically committed to Islamic work ethics. |  |  |
| 7.2.1.3 | In order to ensure that audit and certification are carried out effectively and uniformly, the minimum relevant criteria for the competence of personnel shall be defined by the halal certification body considering Annex C. These criteria shall include training on OIC/SMIIC related documents for halal certification, OIC/SMIIC halal standard and related documents, quality management system, product certification and food safety management system (FSMS) and any other relevant management systems. |  |  |
| 7.2.1.4 | The personnel of the halal certification body can include individual auditors who work for the halal certification body on a contract basis, or other external resources. The halal certification body shall be in a position to manage, control and be responsible for the performance of all its personnel and maintain comprehensive records controlling the competence of all the staff it uses in particular areas, whether they are employees, employed on contract or provided by external bodies. |  |  |
|  | 7.2.2 Personnel carrying out contract review |  |  |
|  | 7.2.3 Personnel granting halal certification |  |  |
|  | 7.2.4 Technical auditors |  |  |
|  | 7.2.5 Technical experts |  |  |
|  | 7.2.6 Islamic affairs experts |  |  |
|  | 7.2.7 Selection of the audit team |  |  |
| 7.2.10 | The certification body shall monitor each auditor considering each type of management system to which the auditor is deemed competent. The documented monitoring process for auditors shall include a combination of on-site evaluation, review of audit reports and feedback from clients or from the market. This monitoring shall be designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client’s viewpoint. |  |  |
| 7.3 | **Use of individual external technical auditors and external technical experts/Islamic affairs experts** |  |  |
|  | ***Reference: Clause 7.3 of ISO/IEC 17021-1:2015***  *The certification body shall require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and implement processes as defined by the certification body. The agreement shall address aspects relating to confidentiality and impartiality and shall require the external auditors and external technical experts to notify the certification body of any existing or prior relationship with any organization they may be assigned to audit.*  Additionally, all requirements for individual technical experts shall also apply for Islamic affairs experts. |  |  |
| 7.4 | **Personnel records** |  |  |
|  | ***Refence: Clause 6.1.2.2 of ISO/IEC 17065:2012***  *6.1.2.2 The certification body shall maintain the following records on the personnel involved in the*  *certification process (see Clause 7):*  *a) name and address;*  *b) employer(s) and position held;*  *c) educational qualification and professional status;*  *d) experience and training;*  *e) the assessment of competence;*  *f) performance monitoring;*  *g) authorizations held within the certification body;*  *h) date of most recent updating of each record.* |  |  |
| 7.5 | **Outsourcing** |  |  |
|  | ***Reference: Clause 7.5 of ISO/IEC 17021-1:2015***  *7.5.1 The certification body shall have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place. The certification body shall have a legally enforceable agreement covering the arrangements, including confidentiality and conflicts of interests, with each body that provides outsourced services.* |  |  |
| 7.5.1 | When a halal certification body decides to outsource work related to halal certification (e.g. audit, testing or inspection) to an external body or person, a properly documented agreement covering the arrangements including confidentiality and conflict of interest shall be drawn up. |  |  |
| 8 | **INFORMATION REQUIREMENTS** |  |  |
|  | The certification documents shall identify in detail what process, service or product is certified, referring to sectors (see Annex A). |  |  |
| 8.1 | **Publicly accessible information** |  |  |
|  | ***Reference: Clause 4.6 of ISO/IEC 17065:2012***  *The certification body shall maintain (through publications, electronic media or other means), and make*  *available upon request, the following:*  *a) information about (or reference to) the certification scheme(s), including evaluation procedures, rules and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification;*  *b) a description of the means by which the certification body obtains financial support and general information on the fees charged to applicants and to clients;*  *c) a description of the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the certification body's name and certification mark and on the ways of referring to the certification granted;*  *d) information about procedures for handling complaints and appeals.* |  |  |
| 8.2 | **Halal certification documents** |  |  |
|  | ***Reference: Clause 7.7 of ISO/IEC 17065:2012.***  *7.7.1 The certification body shall provide the client with formal certification documentation that clearly*  *conveys, or permits identification of the following:*  *a) the name and address of the certification body;*  *b) the date certification is granted (the date shall not precede the date on which the certification decision was completed);*  *c) the name and address of the client;*  *d) the scope of certification (see 3.10);*  *e) the term or expiry date of certification, if certification expires after an established period;*  *f) any other information required by the certification scheme.* |  |  |
| 8.3 | **Directory of certified clients** |  |  |
|  | ***Reference: Clause 7.8 of ISO/IEC 17065:2012***  *The certification body shall maintain information on certified products which contains at least the following:*  *a) identification of the product;*  *b) the standard(s) and other normative document(s) to which conformity has been certified;*  *c) identification of the client.* |  |  |
| 8.4 | **Reference to halal certification and use of halal marks/licences** |  |  |
|  | ***Reference: Clause 8.3 of ISO/IEC 17021-1:2015***  *8.3.1 A certification body shall have rules governing any management system certification mark that it authorizes certified clients to use. These rules shall ensure, among other things, traceability back to the certification body. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification. This mark shall not be used on a product nor product packaging nor in any other way that may be interpreted as denoting product conformity.* |  |  |
| 8.4.1 | The halal certification body shall exercise proper control over ownership, use and display of licences, halal certificates and halal marks of conformity. |  |  |
| 8.4.2 | Guidance on the use of halal certificates and halal marks permitted by the halal certification body may be obtained from related SMIIC documents. |  |  |
| 8.4.3 | Incorrect references to the halal certification system or misleading use of licences, halal certificates or marks, found in advertisements, catalogues, etc., shall be dealt with by suitable action. |  |  |
| 8.4.4 | Halal certificate owners who failed to renew their halal certificates will not be allowed to use the halal mark at the premises or on the manufactured halal products/services or inside the grocery shop or supermarkets corridors. |  |  |
| 8.4.5 | The halal mark should meet the required specifications which are approved by the SMIIC. |  |  |
| 8.5 | **Confidentiality** |  |  |
|  | ***Reference: Clause 8.4 of ISO/IEC 17021-1:2015***  *8.4.1 The certification body shall be responsible, through legally enforceable agreements, for the management of all information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf.* |  |  |
| 8.6 | **Information exchange between a Halal certification body and its clients** |  |  |
|  | ***Reference: Clause 8.5 of ISO/IEC 17021-1:2015***  *The certification body shall provide information and update clients on the following:*  *a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification;*  *b) the normative requirements for certification;*  *c) information about the fees for application, initial certification and continuing certification;*  *d) the certification body’s requirements for clients to:*  *1) comply with certification requirements;*  *2) make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints;*  *3) make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation assessors or trainee auditor);*  *e) documents describing the rights and duties of certified clients,*  *f) information on processes for handling complaints and appeals.* |  |  |
| 9 | **PROCESS REQUIREMENTS** |  |  |
| 9.1 | **General requirements**  The halal certification body shall precisely define the scope of certification in terms of halal product/service categories (e.g. primary (raw material or intermediate product) production, food processing, packaging material production etc.), category(ies) and sectors according to Annex A. The halal certification body shall not exclude part of the processes, sectors, products or services from the scope of certification when those processes, sectors, products or services have an influence on the halal requirements of the end products. |  |  |
| 9.1.3 | **Audit program** |  |  |
| 9.1.4 | **Audit plan** |  |  |
| 9.1.5 | The halal certification body shall have documented procedures for determining audit time, and for each client the halal certification body shall determine the time needed to plan and accomplish a complete and effective audit of the client’s product/service and/or FSMS. The audit time determined by the halal certification body, and the justification for the determination, shall be recorded. |  |  |
| 9.1.8 | The halal certification body shall provide a written report for each audit. The report shall be based on relevant guidance provided in ISO 19011. The audit team may identify opportunities for improvement but shall not recommend specific solutions perceived as consultancy. Ownership of the audit report shall be maintained by the halal certification body.  If the product/service is in the food-chain operations, the report shall include references to issues relevant to the FSMS. |  |  |
| 9.2 | **Initial audit and halal certification** |  |  |
| 9.2.1 | **Application** |  |  |
| 9.2.2 | Application review |  |  |
| 9.2.3 | Initial halal certification audit |  |  |
|  | The initial certification audit of halal product/service/process and/or management system shall be conducted in two stages:  stage 1 and stage 2. |  |  |
| 9.2.6 | **Sampling** |  |  |
| 9.2.7 | **Inspections and tests**  Inspections and tests on the halal product/service shall be determined in accordance with the requirements of the halal product/service and the national and/or regional or international legal provisions. |  |  |
| 9.2.7.2 | Laboratories that undertake inspections and/or analyses shall be accredited under ISO/IEC 17025 or shall be recognized upon the approval of halal competent  authority. |  |  |
| 9.2.8 | **Audit report**  The certification body shall supply a written audit report for each audit to the client organization. The audit team may clarify opportunities for improvement but shall not suggest particular solutions. Possession of the audit report shall be kept by the certification body. |  |  |
| 9.3 | **Surveillance activities** |  |  |
| 9.4 | **Recertification** |  |  |
| 9.5 | **Special audits** |  |  |
| 9.6 | **Suspending, withdrawing or reducing the scope of halal certification** |  |  |
|  | ***Reference: Clause 7.11 of ISO/IEC 17065:2012***  *7.11.1 When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, the certification body shall consider and decide upon the appropriate action.*  *7.11.3 If certification is terminated (by request of the client), suspended or withdrawn, the certification body shall take actions specified by the certification scheme and shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified. If a scope of certification is reduced, the certification body shall take actions specified by the certification scheme and shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information.* |  |  |
| 9.7.1 | Applications in the case of any appeals or complaints regarding halal certification services shall be made to the halal certification body. A committee for appeals and  complaints shall be established and be responsible for resolving such cases and inform the related parties accordingly. |  |  |
| 9.8 | **Records of applicants and clients** |  |  |
| 10 | **MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES** |  |  |
| 10.1 | **General**  ***Reference: Clause 10.2.1 of ISO/IEC 17021-1:2015***  *The certification body’s top management shall establish and document policies and objectives for its activities. The top management shall provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of this part of ISO/IEC 17021. The top management shall ensure that the policies are understood, implemented and maintained at all levels of the certification body’s organization.* |  |  |
| 10.2 | **Management system manual** |  |  |
|  | ***Reference: Clause 10.2.2 of ISO/IEC 17021-1:2015***  *All applicable requirements shall be addressed either in a manual or in associated documents. The certification body shall ensure that the manual and relevant associated documents are accessible to all relevant personnel.* |  |  |
| 10.3 | **Control of documents** |  |  |
|  | ***Reference: Clause 10.2.3 of ISO/IEC 17021-1:2015***  *The certification body shall establish procedures to control the documents (internal and external).* |  |  |
| 10.4 | **Control of records** |  |  |
|  | ***Reference: Clause 10.2.4 of ISO/IEC 17021-1:2015***  *The certification body shall establish procedures to define the controls needed for the identification,*  *storage, protection, retrieval, retention time and disposition of its records.* |  |  |
| 10.5 | **Management review** |  |  |
|  | ***Reference: Clause 10.2.5 of ISO/IEC 17021-1:2015***  *The certification body’s top management shall establish procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives*   1. *Review input* 2. *Review output* |  |  |
| 10.6 | **Internal audits** |  |  |
|  | ***Reference: Clause 10.2.6 of ISO/IEC 17021-1:2015***  *10.2.6.1 The certification body shall establish procedures for internal audits to verify that it fulfils the requirements and that the management system is effectively implemented and maintained.* |  |  |
| 10.7 | **Corrective actions** |  |  |
|  | ***Reference: Clause 10.2.7 of ISO/IEC 17021-1:2015***  *The certification body shall establish procedures for identification and management of nonconformities in its operations. The certification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the impact of the problems encountered.* |  |  |
| 10.8 | **Preventive actions** |  |  |
|  | ***R eference:Clause 8.8 of ISO/IEC 17065:2012***  *The certification body shall establish procedures for taking preventive actions to eliminate the causes of potential nonconformities.* |  |  |

**To be filled in during pre-assessment (onsite visit) by PNAC Assessor**

|  |  |
| --- | --- |
| **Brief history of the CB and its legal status** | |
|  | |
| **Status of implementation of the standard w.r.t records** | |
|  | |
| **Is the CB having sufficient and trained human resources to carry out its activities?** | |
|  | |
| **Recommendation on its preparation for full assessment?** | |
| Full assessment is recommended subject to the satisfactory corrective actions against the Observations raised during this assessment. | |
| **Are there any major gaps that need to be addressed before initial assessment?** | |
|  | |
| **Suggestion on no of man days/ type of team and scope to be assessed** | |
|  | |
| **PNAC’s Assessor name & signature** | **CB’s representative** |
| **Date** | **Date** |