**GUIDELINES FOR FILLING UP THE ASSESSMENT CHECKLIST**

**e.g. (ISO/IEC 17021-1:2015, Clause 5.1.2)**

 **Legend:** C – Complies, O – Observation, T – To Check On-site,

 N – Nonconformity, N/A – Not Applicable



1. Fill up all items on the spaces provided for the Certification Body (applicant body).
2. Discuss briefly the applicable policies and/or procedures as required by each clause/sub clause.
3. Indicate the specific part in your Quality Manual/Procedures/Work Instructions and/or applicable forms where your statements are referred from.

***Note 1*: Submit all relevant documents indicated in your filled-up Assessment**

**Checklist**

 ***Note 2*: Application will not be processed if the Assessment Checklist is not**

**properly/completely filled up.**

1. PAB to fill up any comments or findings raised based on the HCB’s response (***supported by the submitted references/evidences),*** to the clause requirements.

**Halal products – Part two: General Requirements for Halal Certification Bodies**

**Legend:** C – Complies, O – Observation, T – To Check On-site, N – Nonconformity, N/A – Not Applicable

| **Clause Requirement** |
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| 1. ***Conditions of Certification***

*Does the HCB require the applicant for certification provide relevant document showing the following?*1. *The applicant has an existing valid registration with the Department of Trade and Industry (DTI), Securities and Exchange Commission (SEC), Cooperative Development Authority (SDA) as required; provided that for small associations of farmers or fisherfolks not registered with the aforementioned agencies, a relevant certification issued by the Municipal Agriculturist Officer (MAO) is required;*
2. *The applicant has valid business license or permit from the Local Government Unit (LGU) concerned;*
3. *The applicant is in full operation before the application is made;*
4. *The applicant shall produce and/or handle Halal products in compliance with the specified Halal standards;*
5. *The applicant shall ensure the sources of ingredients or raw materials are Halal-certified or have obtained recognized Halal certificate;*
6. *The applicant shall ensure that the applications for repackaging must be accompanied with recognized Halal Certificate for said products;*
7. *And in case of franchise, the franchisees are required to apply for its Halal certification, and that no franchisor is allowed to have establishment certified Halal unless the franchisor is Halal certified, as such the Halal Certification issued to the franchisor does not automatically mean that the franchisee is Halal certified. Thus, the PNHCS 2018 will also direct Halal certified franchisor to require all its franchisee to apply for Halal certification.*
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| Describe briefly the HCB’s established policies and procedures: (*To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***General Requirements for Certification***
2. ***Raw Material/Ingredients/Processing Aids.***

*Does the Halal Certification Body require the applicant to comply with the following?*1. *The raw materials/ingredients sources are ensured Halal and safe;*
2. *The raw materials/ingredients which are sourced from animals have a valid Halal certificate;*
3. *The sources of imported animal-based raw materials have a recognized Halal Certification from the country of origin;*
4. *The raw materials, processing aids and products/menu are listed in detail in the application form;*
5. *Non-Halal raw materials/ingredients are not allowed to be stored in the Halal premises.*
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| Describe briefly the HCB’s established policies and procedures: (*To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Processing***

*Does the Halal Certification Body require the applicant to comply with the following?*1. *The products applied are produced consistently with updated production records;*
2. *During the preparation, handling, processing, packaging, storage or transfer of products, it is compliance to the requirements by the Shari’ah and remain clean as well as compliance to Good Manufacturing Practices (GMP)/Good Hygienic Practices (GHP); and the Hazard Analysis and Critical Control Points (HACCP) as may applicable;*
3. *No mixing between raw materials/products with non-Halal materials/sources or those with uncertain Halal status;*
4. *The logistics used is dedicated for Halal products only;*
5. *Use of equipment, utensils and other tools for processing made from Haram animals are not allowed.*
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| Describe briefly the HCB’s established policies and procedures: (*To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Packaging and Labelling***

*Does the Halal Certification Body require the applicant to comply with the following?*1. *Every packaging label is printed prominently, clearly, and indelibly;*
2. *The packaging label contains information according to specified rules, guidelines, and related standards (DOH AO 2041-0030 series of 2014) which, among others, are as follows:*
3. *name of product;*
4. *Halal logo issued by the accredited Halal Certification Body, or the Philippine Halal logo, as may be applicable, according to the Section XIII of the PNHCS 2018;*
5. *Net content (in metric measurement, SI unit);*
6. *name and address of the manufacturer, importer and/or distributor and its trademark;*
7. *complete list of the ingredient;*
8. *lot identification numbers;*
9. *expiration date;*
10. *food allergen;*
11. *nutrition fact;*
12. *country of origin;*
13. *The labelling and advertising do not contravene the principles of Shari’ah (e.g., indecent photos);*
14. *The Philippine Halal Logo cannot be used on promotional products in conjunction with the non-Islamic religious festivals or together with non-Islamic religious emblem;*
15. *Brand/product/trade name does not use the word “Halal”; name of product does not*

*use the word “Halal” and names with elements of religion and God;*1. *The packaging materials are not made from materials which are classified as najs and must comply with the packaging requirement as stipulated in the various PNS on Halal and other relevant standards as may applicable.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Hotels/Food Premises/Establishments***

*Does the Halal Certification Body require the applicant to comply with the following?*1. *The hotels/food premises/establishment compound is fenced or have a control mechanism to prevent pets or wild animals from entering or remaining in the factory, production, and dining area, among others;*
2. *The equipment used are free from najs, any hazardous material and does not result in side effects to the products produced; likewise brushes made from animal hair are not allowed;*
3. *The arrangement of equipment and goods in the hotel/food premises/establishments are neat, tidy and safe during working operations in producing the product;*
4. *Workers are not allowed to live in processing area. If necessary, the living quarters for the workers:*
5. *are in a separate building;*
6. *have a separate entrance from the processing area if it is in the same building;*
7. *have a mechanism to control the movement of the workers.*
8. *Non-Halal food/beverages and other material source from non-Halal item are not allowed to be brought into the processing area of the factory, Halal storage, kitchen and section of the food premises/establishment;*
9. *The food premises/establishment have an effective control system from contamination of animal-rearing centers, sewerages plant and premises that process non-Halal materials;*
10. *Liquor and materials sourced from liquor is strictly prohibited to be in the processing area.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Workers/Personnel***

*Does the Halal Certification Body require the applicant’s workers to practice code of ethics and comply with relevant laws and regulations according to PNHCS 2018?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Sanitation System***

*Does the Halal Certification Body require the applicant to comply with the following?*1. *The environment is clean, and its cleaning schedule is properly monitored and regulated and free from pollution;*
2. *The equipment used are clean and sanitary, not made entirely or in part from animal, and had religiously cleansed if used or in contact with severe impurities (najs mughallazah);*
3. *The applicant has records of regular pest control system conducted by the company itself or contracted externally;*
4. *The cleaning schedule is prepared and properly monitored.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Records***

*Does the Halal Certification Body require the applicant to maintain a proper file to keep related documents which can be referred to when inspection is conducted?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
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| 1. ***Workers’ Basic Amenities and Welfare***

*Does the Halal Certification Body require the applicant’s management to provide basic amenities and ensure that the worker’s welfare is taken care of, including?*1. *Suitable ablution and praying area for Muslim workers;*
2. *Permission to perform daily mandatory (fardhu) prayers and Friday prayers for Muslim workers;*
3. *Changing room; and*
4. *Pantry.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Training***

*Does the Halal Certification Body require the applicant’s management to provide periodic and adequate training program to all employees on the relevant Halal subjects and standards developments, and ensure that all workers have attended Halal-related trainings at least once a year?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Supervision and Monitoring***

*Does the Halal Certification Body require the applicant’s management to ensure that all activities, actions, and critical control points stipulated in the Halal Assurance System (HAS) are well implemented, supervised, and monitored to ensure compliance to the PNHCS 2018 and other relevant standards and to ensure that all actions are properly documented and recorded?* *As part of monitoring, does the Halal Certification Body require holders of Halal certificates to regularly submit samples of certified products for Halal verification and testing?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Tools and Elements of Worship***

*Does the Halal Certification Body require the applicant that tools and elements of worship are not allowed starting from the applicant’s receiving area for raw materials to the finished products, storage area, and serving place?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. **Outsourcing Agreement**

*Does the Halal Certification Body require companies opting to outsource part of its process/es in producing the products and service comply with the following minimum conditions?*1. *The product/service provided is duly registered, has a legal personality with valid HACCP, AAA plant and other production and manufacturing permits and certification;*
2. *The company and the product/service provider for audit ensure that the product manufactured/provided complies with the PNHCS 2018 and other relevant Halal standards;*
3. *The company subjects the product/service provider for audit and inspection by the competent authorities and its HCB, whichever is applicable.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Specific Requirements for Certification in Accordance with the Scheme***
2. *Does the HCB require the applicant’s board and senior management to be primarily responsible for ensuring compliance with the following specific requirements for Certification?*
3. *Formulate and implement an appropriate Halal Assurance System (HAS) of the company, including an Internal Assurance Team, if applicable*
4. *Hire appropriate number of Muslim worker/s, if applicable, to work fulltime in the area of operations subject of certification*
5. *Submit samples of finished product/s for Halal verification or testing at least once a year.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Application Procedures and Guidelines in Accordance with the Scheme***

*Do the Halal Certification Body’s Application Procedures and Guidelines include the following?* 1. *All applications are submitted directly to the Halal Certification Body.*
2. *Applicants must inform the HCB of the change in information given in the application. As such , approval from the HCB must be obtained prior to any change/addition of :*
3. *menu/products;*
4. *raw materials;*
5. *suppliers of animal-based products/ingredients;*
6. *Muslim Staff;*
7. *any amendments to the size and layout of the premises*
8. *Applicants must apply for Halal certification of all areas in the establishment to ensure that the entire process is covered according to the scope provided under Section V of PNHCS 2018.*
9. *For certification renewal, applications shall be submitted at least three months before the expiry date of the active certificate.*
10. *Any renewal application submitted less than one month before the current Halal certificate expiry date, will be treated as a new application and shall be subjected to the prevailing application fees and to audit certification process.*
11. *Completed application will receive a letter requesting payment for certification fees, fees paid is not refundable.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
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| 1. ***Halal Certificate***

*Does the Halal Certification Body have Procedures and Guidelines in the Issuance and Use of Halal certificates which include the following?*1. *The Halal Certificate issued by PAB-accredited HCB remains the property of issuing HCB. As such, it must be returned within one(1) week upon request of the issuing HCB following the expiry of the certificate and/or during the collection of newly approved certificate. The certificate and/or any part thereof is not transferable.*
2. *The Halal certificate issued by the HCB is valid for three years subject to annual periodic audit. The Halal certificate issued by the HCB maybe suspended, revoked, rejected or renewed as maybe applicable depending on the assessment and evaluation of the HCB in accordance with PNHCS 2018 and other relevant standards.*
3. *The original and valid certificate shall be displayed at all times at the address stated on the certificate; it shall not be displayed outside the certified premises, as such; photocopied and/or expired Halal certificates must not be displayed outside the premises.*
4. *The certificate holder may request additional copies of its certificate from the issuing HCB at a stipulated administrative fee which will be determined by the HCB.*
5. *In case of lost Halal certificate, the certificate holder must submit an affidavit of loss and must copy furnish the issuing HCB*
6. *In the event of any breach or violation of the Terms and Conditions of the of the Halal certificate issued, including those required in PNHCS 2018 and/or with relevant Halal standard, the issuing HCB reserves the right to revoke, suspend, or withdraw the certificate issued and it must be returned to the issuing HCB within one(1) week after receipt of notice.*
7. *The certificate holder is responsible in ensuring that the Halal certificate issued is well-kept and not abused in any manner.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
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| 1. ***Audit***
2. ***Audit Process***

*Does the HCB’s audit process include the following requirements?*1. *The applicant must be fully operational before any certification audit can be conducted*
2. *The scope of audit process will cover the general and specific requirements of certification including the following items:*
3. *documentation and company profile*
4. *internal Halal Control System*
5. *raw material/ingredient and processing aid*
6. *equipment*
7. *packaging and labelling*
8. *storage*
9. *processing*
10. *transportation*
11. *workers*
12. *sanitation system and premises cleanliness*
13. *waste disposal management*
14. *premise/compound*
15. *HCBs shall inform the applicant of the schedule of the Halal certification audit in advance; repeat audit will be conducted, if and when necessary*
16. *The applicant must fully assist the HCB at all times. All necessary documentations and records as per PNHCS 2018 have to be produced during the audit process.*
17. *During the certification audit, the following process will have to be undertaken:*
18. *opening meeting*
19. *review of documentation*
20. *site inspection*
21. *check back audit trails, verification, and further documentation checks*
22. *final evaluation of findings by the auditor in preparation for the closing meeting*
23. *closing meeting*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
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| 1. ***Non-conformance***

*Does the HCB have the the following guidelines and requirements?*1. *The audit will assess the nature and significance of any non-conformance, which is categorized into three (3) levels:*
2. *Critical*

*Complete failure to meet the Halal requirements and sufficient physical evidence indicate the use/storage/production of non-Halal items (e.g., non-Halal items such as alcohol, pork or meat from animals not slaughtered in a Halal manner found).*1. *Major*

*There is a complete failure to meet the system and/or staffing requirements, resulting in very serious breakdown of the halal system.*1. *Minor*

*There is a failure to meet the Halal system and/or staffing requirements but does not raise doubt that the product is non-Halal or does not result in serious breakdown of the Halal system (e.g., raw materials not substantiated with proper documentation).*1. *Upon receipt of the audit report, the applicant is required to correct all non-conformities, if any, within 15 working days or any other time frame as maybe determined by the HCB. Further, application will be rejected if and when the applicant is unable to correct the non-conformities within the time given, unless otherwise request for extension has been granted by the HCB.*
2. *In case when a non-conformity is detected, HCBs are authorized to take samples of product, raw material/ingredient, or other products with doubtful Halal status for laboratory analysis by DOST Halal Verification Laboratories or other Halal laboratories according to the standard operating procedures; all costs incurred for any study or laboratory analysis on product ingredient will be borne by the applicant.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
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| 1. ***Approval***

*Does the HCB have the following guidelines and requirements?*1. *Halal certificate will only be issued to the applicant once the applicant satisfies the requirement of PNHCS 2018 and other relevant Halal standard*
2. *The applicant will be notified via telephone, postal mail, or e-mail, whichever is applicable, to claim/collect his Halal Certification at the HCB’s office*
3. *Unsuccessful applicants may choose to re-apply, subject to the conduct of another round of certification audit.*
4. *The HCB will provide to the Halal Secretariat a monthly report of the list of successful and unsuccessful applicants*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Monitoring and Enforcement***

*Does the Halal Certification Body have a process and conditions for monitoring and enforcement which include the following?*1. *All Halal certificate holders or anyone who use any Halal statement/label/logo are subject to monitoring and enforcement by the PAB-accredited HCB or the Halal Export Board whichever is applicable.*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. *Do the HCB and the holder of the Halal certification have a contract stating that the requirements specified in PNHCS 2018 shall not be violated?*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. *Do all inspection by HCB for monitoring and enforcement conducted with or without prior notice subject to standard operating procedure adopted by the HCB?*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. *Are offenses subject of monitoring and enforcement categorized as follows?*
2. ***Serious Offenses*** *that have violated or will directly violate the Shari’ah and are immediately subject to the revocation of the Halal certificate as follows:*
3. *confirmation of status by HCB and competent and Islamic authorities on product, ingredient, equipment, and other miscellaneous as Haram;*
4. *using Haram material, ingredients, and among others after receiving Halal certificates;*
5. *Halal ritual cleansing was not performed after equipment were interchangeably used between Halal and haram ingredients;*
6. *processing of improperly slaughtered or dead animal;*
7. *use of stunner which may cause death of animal (hayat mashbuh);*
8. ***Major Technical Offenses*** *that can lead to suspension or revocation of Halal*

 *certificate, after due process and investigation, as follows:*1. *relocation of premise/factory without informing the proper authority;*
2. *change of management and name of company without informing the authority;*
3. *unauthorized slaughtermen and halal checker*
4. *stunning for animals is not in accordance with the requirements of the standard;*
5. *the stunner is controlled by a non-Muslim worker;*
6. *bringing in Haram material into the premise or company which holds Philippine Halal Certificate;*
7. *using of prohibited material which are enforced under the Food safety Act and related laws change of additional supplier/producer who has not obtained Halal certification;*
8. *change of additional supplier/producer who does not obtain Halal certification from a recognized HCB*
9. *change of additional supplier/producer who does not obtain Halal certification from a recognized HCB;*
10. *use of Halal logo on products which are not certified;*
11. *forging of Halal certificate or misuse of Halal logo*
12. *lending or giving of the original Halal certificate to other company or premise*
13. *alteration of the information on the Halal certificate*
14. *none or not enough Muslim worker in the processing area/kitchen as required in the procedure*
15. *use and display of expired Halal certificate*
16. *tools/elements of religious worship are placed in the processing area/kitchen*
17. *mixing/storage of Halal and haram material together*
18. *non-compliance with any related Halal standard;*
19. *failure to comply with corrective action for Major Corrective Offense;*
20. ***Major Corrective Offenses*** *are findings of non-conformance stated in the audit report which requires corrective action/s from the holder of Halal Certificate, within 15 days or any other time frame as may be determined by HCB, from the date of receipt of the audit report.*

*Is the Halal Certification revoked if and when the applicant is unable to correct the offenses within the time given, unless extended timelines have been granted by the HCB?**In accordance with PNHCS 2018 including the relevant standards and laws, do inspector, enforcer, and auditor give appropriate warning to correct violation ( if any) including but not limited to the following?*1. *premises cleanliness*
2. *equipment cleanliness*
3. *worker’s hygiene*
4. *environmental cleanliness*
5. *pest control*
6. *other offenses related to hygiene*
7. *failure to produce documents requested by the inspection officer*
8. *changes and additions of raw material manufacturers which has no Halal certification*
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. *Is the HCB (inspection officer) authorized to take samples of product, raw material/ingredient, or other products with doubtful Halal status for laboratory analysis by DOST Halal Verification Laboratories or other halal Laboratories in accordance with the standard operating procedures?*

*Are all costs incurred for any study or laboratory analysis on product ingredient borne by the applicant?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. *Are complaints related to the implementation of PNHCS 2018, including but not limited to logo forgery, doubtful Halal status of ingredients or any offense provided under PNHCS 2018 submitted in prescribed form as maybe prescribed, to the Export marketing Bureau (EMB) with the following contact details?*

*Department of Trade and Industry Export**Marketing Bureau Philippine Halal Secretariat**Address: 375 Gil Puyat Ave., 1200 Makati City**Telephone no.: 465.3300**Fax No.: (+63) 890.4716**Email Address:* *embinfo@dti.gov.ph* |
|  |
| 1. *Do the Halal Certification Body and its applicant not disclose to any third party the terms and conditions including the existence of their Agreement or make known any fact relating to the transactions contemplated herein; including any ingredients, raw materials, documents, or other information that are received, unless it is in response to a legal process or required by an accreditation body as part of the accreditation process?*

*Is this obligation of confidentiality effective at the start of the application, during or after the expiry or termination of the contract and even if the applicant was not granted Halal certification?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| 1. ***Conditions on the use of Halal Logo and the Philippines Halal Certification Logo***

*Does the Halal Certification Body have conditions and guidelines on the use of the Halal logo which is governed by the Guidelines on the Use of the Halal Philippine Halal Logo?* |
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| Describe briefly the HCB’s established policies and procedures: *(To be filled-up by the HCB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
|  |