



**Surveillance of Licensed Establishments under the
Factory Assessment Scheme
Dubai Central Laboratory- Inspection And Certification Section**

Doc. Ref :RD-DP21-2096 (IC)

Rev. No.: 6

Issue Date :18/03/2012

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Issue Date	Rev. No.	Summary Of Amendments
20/08/2005	0	First draft for comments
30/04/2006	1	Issue for use
13/08/2009	2	Document reference number and format is changed according to the new IMS Provision to adjust the surveillance plan based on the result of the previous surveillance audit and update it every end of the quarter. Provision to draw samples in the factory if the certified product is not available in market or produce the product if stock is not available in the factory.
14/09/2009	3	Adding provisions for maximum period allowed to rectify non-compliance maximum period allowed for postponement of initial assessment
21/12/2009	4	Adding provisions on the reference date for the commencement of the surveillance plan; clause 5.1.2 Adding provisions of sampling in clause 5.4
09/03/2010	5	Provision to get two sets of samples during market surveillance has been removed. Provision related to the non-availability of the certified products during market surveillance has been amended.
18/03/2012	6	Provision for the removal of the product in the scope of certification should no surveillance testing has been carried out (clause 5.5.2). Re-numbering of clauses

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1. INTRODUCTION

1.1 This document describe the process of conducting surveillance audit to all licensees of DCL Conformity Mark by DM Certification Body after the issuance of the license in order to ensure consistent compliance with the General Rule and Specific Rules of the certified product/s.

2. SCOPE

- 2.1 This procedure applies to all existing license holder of DCL Conformity Mark
- 2.2 This procedure covers from identification of licensees' subject for surveillance audit up to notification of surveillance result to the licensee.

3. REFERENCE DOCUMENTS

- 3.1 RD-DP21-2001 (IC) General Rules for DM third party product certification through factory assessments
- 3.2 RD-DP21-2nnn (IC) Specific Rules for Certified Product

4. RESPONSIBILITIES

- 4.1 HICS – Head of Inspection and Certification Section – responsible for the approval of the final recommendation on the action to be taken based on the results of the surveillance activity
- 4.2 HCU – Head Certification Unit – responsible for the designation and appointment of auditors who will conduct the surveillance audit. He is also responsible for the evaluation of the surveillance audit report.
- 4.3 PQE – Product Quality Engineer – responsible for monitoring the licensees surveillance schedule
- 4.4 ICS Auditor – responsible for conducting the surveillance audit of DCL Conformity Mark Licensees including market monitoring of certified product.

5. PROCEDURE

- 5.1 Preparation and implementation of surveillance plan
- 5.1.1 HCU shall designate the PQE for the preparation of a comprehensive surveillance plan covering all the licensees under the Factory assessment scheme {RD-DP21-2001 (IC)}.
- 5.1.2 The surveillance plan shall commence from the date of approval of the certification, regardless of the date of issuance of the certificate.
- 5.1.3 The PQE shall monitor the plan and inform the HCU regarding the licensees that are due for surveillance audit.
- 5.1.4 Surveillance plan is subject to constant change based on the result of the previous surveillance conducted. Updating of the surveillance plan is done at the end of every quarter.
- 5.1.5 HCU shall appoint an ICS auditor who will conduct the surveillance audit

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5.1.6 The ICS auditor shall coordinate and confirm with the company regarding the schedule of the surveillance audit a few days prior to the audit date.

5.1.7 Appointed ICS auditor shall prepare all the necessary documents and forms for the conduct of the market and factory surveillance.

5.2 Factory Surveillance Audit

5.2.1 The factory surveillance audit shall be conducted based on the agreed schedule date and audit plan sent by the appointed ICS auditor.

5.2.2 During the actual visit to the factory, effectiveness of implementing the company's quality management system based on the documented procedures shall be verified.

5.2.3 Company's compliance to the implementation of the internal quality assurance plan shall also be verified and historical records of internal testing shall be cross checked against the requirements of the standard.

5.2.4 Any non-compliance raised during the factory surveillance audit shall be addressed to the company for corrective action to be submitted to the Certification Body within 1 month from the date of the audit. The completion date for the submitted corrective action shall be as per agreed period of time but not exceeding 6 months from date of issue. Under certain situation, and with the agreement of the Certification Body, the NCR may be re-issued (with a new completion date) at the end of the 6 months period. Non-compliance with these provisions may result in the cancellation of the application.

5.2.5 Samples of products covered by the scope of certification shall also be drawn randomly by the ICS auditor either from the production line or warehouse for independent test.

5.2.6 Collected samples shall be properly identified by the sender number and signature of the ICS auditor.

5.2.7 One set shall be sent to DCL for independent tests while the other set will be kept by the company for future reference.

5.3 Market Surveillance

5.3.1 The market surveillance shall be conducted based on the scheduled plan and confirmation made by the client.

5.3.2 The client shall notify ICS the location or site where the certified products are available for sampling.

5.3.3 Upon arrival on the site, samples shall be drawn randomly by ICS Auditor in the presence of company's representative.

5.3.4 Collected samples shall be properly identified by the sender number and signature of the ICS auditor for submission to DCL.

5.4 Sampling

5.4.1 Sampling arrangement should be implemented in such a manner that it ensures the impartiality of selection and integrity of the samples cannot be compromised.

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5.4.2 Implementation of the sampling arrangements shall take into consideration the complexity of the production process, experience of the supplier, life cycle of the product, and changing technology.

5.5 Non-Availability of Samples during Surveillance

5.5.1 If (for whatever reason) the factory did not produce any certified product during the period covered by the scheduled DCL surveillance, the surveillance sampling and testing may be waived provided the factory issue in writing an official declaration/attestation that "no certified product was produced during that period. *NOTE: DCL reserves the option to conduct monitoring of the market to verify the validity of the declaration / attestation*

5.5.2 During the validity period of the certification, at least one surveillance testing shall be carried out on the certified product. If no surveillance testing has been carried out, the product shall be removed from the Scope of Certification at the time of renewal of the certification (refer to IMS-RD-06 Clause 6.3). *NOTE: If this situation is reached where no surveillance has been carried out, the client shall be notified accordingly at the time of the last scheduled surveillance.*

5.6 Independent testing

5.6.1 Independent tests shall be carried out by DCL or any other recognized independent laboratory.

5.6.2 Results of independent testing shall be evaluated against the requirements of the standard specification and the relevant specific rules.

5.6.3 If the result of independent testing is satisfactory, the licensee shall be informed accordingly and no further action is required.

5.6.4 If the result shows non-compliance with the standard specification, an NCR shall be issued and shall be submitted to the Certification Body with proposed corrective action within 1 month from the date of the issuance. The completion date for the submitted corrective action shall be as per agreed period of time but not exceeding 6 months from date of issue. Under certain situation, and with the agreement of the Certification Body, the NCR may be re-issued (with a new completion date) at the end of the 6 months period. Non-compliance with these provisions may result in the cancellation of the application.

5.7 Reporting

5.7.1 The auditor shall prepare the final surveillance audit report together with the recommendation.

5.7.2 HCU shall evaluate the final report and review the auditor's recommendation prior to submission to the HICS for final approval.

5.7.3 HICS shall notify the licensee regarding the official result of the surveillance audit.

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