

**General Rules for DM Third Party Product Certification System Through Factory Assessment  
Dubai Central Laboratory - Inspection And Certification Section**

**Doc. Ref :RD-DP21-2001 (IC)**  
**Issue Date :12-10-2011**

**Rev. No.: 8**  
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| DATE       | NUMBER | DETAILS   |
|------------|--------|---|
| 29-02-2005 | 0      | Draft for review and comments   |
| 29-01-2006 | 1      | Issue for use   |
| 03-08-2006 | 2      | Revision due to Unit becoming a Section   |
| 27-02-2008 | 3      | Inclusion of Section 4.4 – submission of supporting documents such as quality manual, mandatory procedures and internal quality plan.<br>Inclusion of Section 5.2 – provision for the availability of an interpreter during the initial factory assessment audit. Deletion of section 6.1.3 – signing of the licensing agreement. |
| 24-02-2009 | 4      | Minor clarifications and correction of typographical errors   |
| 13-07-2009 | 5      | Modification of document numbering and format to align with the Integrated Management System  |
| 14-09-2009 | 6      | Adding provisions for maximum period allowed to rectify non-compliance and maximum period allowed for postponement of initial assessment  |
| 21-12-2009 | 7      | Adding provisions on the auditing of QMS certified and non certified companies  |
| 12-10-2011 | 8      | Adding provisions for follow up visit and revisions on the applicable standards.<br>Updating the procedures as per new departmental upgraded documents.<br>Refer to the specific guidelines for the use of Mark.  |

**Prepared by**

**Authorized by**

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**1. INTRODUCTION**

This document is applicable to the DM Third Party Certification System of determining conformity with product standards. The system is generally based on ISO Guide 28 and other related ISO Guides and, consists of (1) initial testing of the product, (2) assessment of the factory quality management system, (3) granting of the license, and followed by (4) surveillance. A successful applicant is granted a License to use the DCL Conformity Mark on their product. This system is in accordance with International Organization for Standardization (ISO) Certification System No. 5 as described in the ISO Guide 67.

The DM Third Party Certification System is being implemented by Dubai Central Laboratory Department – Inspection and Certification Section (DCLD-ICS), hereinafter referred to as the “DM Certification Body”.

**2. DEFINITION OF TERMS**

- 2.1 CERTIFICATION – procedure by which a third party gives written assurance that a product, process or service conforms to specified requirements.
- 2.2 CERTIFICATION SCHEME – certification related to specific products, processes, or services to which the same particular standards and rules, and the same procedure apply.
- 2.3 SPECIFIC RULES – a document specifying the set of rules that are applicable to a particular certification scheme, taking into account the production methods and the kind of product or group of products to be covered under the scheme.
- 2.4 CERTIFICATION LICENSE (CERTIFICATE OF PRODUCT CONFORMITY) – a document issued under the rules of a certification system, by which a certification body grants to a person or body the right to use the DCL Conformity Mark for its products, processes or services in accordance with the rules of the relevant certification scheme.
- 2.5 LICENSEE – person or body to which a certification body has granted a license.
- 2.6 DCL MARK– refers to the DCL Product Conformity Mark, which is a protected mark applied or issued under the rules of a certification system, indicating that confidence is provided that the relevant product, process or service is in conformity with a specific standard or other normative document.
- 2.7 APPLICANT – means the company, organization or individual applying for a license to use the Mark.
- 2.8 DM CERTIFICATION BODY – refers to Dubai Municipality - Dubai Central Laboratory Department – Inspection and Certification Section (DCLD-ICS).

**3. BASIC CONDITIONS FOR GRANTING CERTIFICATION LICENSE**

- 3.1 The basic conditions for granting the certification license consist of satisfactory compliance with these General Rules of the certification system, as well as satisfactory compliance with the Specific Rules of the scheme for the particular product or type of product subject to certification.
- 3.2 DM Certification Body may modify these General Rules and Specific Rules at any time, including any modification necessary to satisfy instructions given by the accreditation authority. Any modification will be communicated to the applicant/licensee.

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**4. APPLICATION**

- 4.1 Applications for a certification license shall be made on the appropriate Application Form, which is available from the DM Certification Body.
- 4.2 The applications shall include an undertaking by the applicant to abide by the terms and conditions of the certification system. By signing the application form, the applicant and the manufacturer agrees to comply with these General Rules and the Specific Rules for the product covered by the license application.
- 4.3 Separate applications shall be submitted for each product type or group of products that refers to a different Specific Rules.
- 4.4 The Application form shall be submitted to DM Certification Body together with the required supporting documents specified in the application form.
- 4.5 Applicable relevant standard to be used in certifying the product shall be reviewed and a draft specific rule shall be prepared and deliberated with the Certification Technical Committee for approval in accordance with RD-DP21-2094 (IC).

**5. INITIAL ASSESSMENT**

- 5.1 Upon acceptance of the application and all necessary documentation, the DM-Certification Body shall make the necessary arrangements with the applicant for carrying out the initial assessment. The initial assessment shall consist of: (1) assessment of the factory quality management system, and (2) initial testing/evaluation of the product.
- 5.2 If required, the applicant shall provide DCL audit team a competent interpreter for the duration of the initial factory assessment audit.
- 5.3 Assessment of the factory quality management system shall be according to the Specific Rules of the scheme and shall be carried out by the DM-Certification Body or by a body approved by it.
- 5.4 Applicant companies who have been certified to ISO 9001 by a Certification Body, that are recognized by the DCL shall still be assessed. The context of auditing for these certified companies will cover mostly the review of audit records of the certification bodies.
- 5.5 Applicant companies who are not certified to ISO 9001 will be audited on all the requirements of the said standard.
- 5.6 Sampling and initial testing (or type testing) of the product shall be carried out in accordance with the product standard/specifications or other normative document referenced in the corresponding Specific Rules of the scheme. The tests shall be carried out at DM laboratories or in DM-Certification Body approved laboratory.
- 5.7 Corrective action plan for any non-compliance (NCR) raised during the initial assessment audit shall 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.
- 5.8 Should the company requested for a postponement of the initial assessment audit, the certification body

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shall allow only a maximum of six (6) months from the proposed audit schedule. Otherwise, the application shall be considered cancelled.

5.9 If deemed necessary by (DCLD-ICS), a follow up visit may be conducted to assess the final situation.

## 6. GRANTING THE CERTIFICATION LICENSE

6.1 When the results of the initial assessment demonstrates that the requirements of the Specific Rules and the product standard specifications (or other applicable normative documents) are met, and all related documentation mentioned below have been approved, then the DM Certification Body shall issue the Certification License.

6.1.1 The applicant shall submit a product marking proposal for approval. The marking proposal shall comply with the guidelines issued by the DM Certification Body.

6.1.2 The applicant shall agree to an internal quality assurance plan (by the factory) and an Independent Testing Plan (by the Certification Body) that will be implemented to ensure that the product covered by the license continue to satisfy the requirements of the Specific Rules and the standards mentioned in them.

6.2 A separate certification license shall be issued for each product or group of products covered by one Specific Rules and manufactured by one manufacturer at the location assessed by the DM Certification Body.

6.3 The certification license is valid for one year and can be renewed upon continuing satisfactory compliance with the requirements as verified during surveillance. Renewal shall proceed only upon signing the proposal for renewal of certification license as well as payment of due fees.

6.4 A certification license is non-transferable.

## 7. EXTENDING THE SCOPE OF THE LICENSE

7.1 A licensee can extend the certification to other types or models of products made in the same factory to the same Specific Rules and Standard for which the license is already granted. Likewise an extension may also be applied to additional types of products made at the same factory, but to a different Specific Rules and Standards. DM Certification Body may decide not to carry out a factory assessment but to require test samples of the additional types of products to determine its compliance with the requirements of the Specific Rules and applicable standard. If the test results are satisfactory, extension of certification scope shall be granted.

7.2 If the licensee wishes to apply for certification to the same product in another factory, then the application will be treated independently and the complete initial assessment shall be carried out. A separate certification license shall be issued for such application.

## 8. SURVEILLANCE

8.1 DM Certification Body shall carry out surveillance visits in accordance with the RD-DP21-2096 (IC), in order to assess the factory quality management system, and shall take samples of products bearing the mark, either from the manufacturing premises or from the open market in accordance with the agreed Independent Testing Plan (see clause 6.1.2).

8.2 During surveillance visits, DM Certification Body shall check the licensee's compliance with the implementation of the agreed internal quality assurance plan (see clause 6.1.2) DM Certification Body

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may demand an increase in the frequency of checking in the internal quality assurance plan if any deviations from conformity are found among samples bearing the Mark.

8.3 Any non-compliance raised during the surveillance audit shall be issued with non-compliance report to be returned back to the Certification Body with proposed corrective action within 1 month from the date of issued. Completion of corrective actions shall be made as per agreed period of time but not exceeding 6 months. Under certain situation and with the agreement of the Certification Body, the NCR may be re-issued at the end of the 6 months period. Non-compliance with these provisions may result in the suspension of the certification license.

8.4 In addition to the surveillance visits mentioned in the Specific Rules, the DM Certification Body may carry out special inspections at any time and in any place in order to check whether the products conform to the requirements. If non-conformities are found during such special surveillance visits, a non-conformity report shall be issued to the licensee and the cost of testing and inspection shall be charged against them.

#### **9. USE OF THE DCL MARK**

9.1 After obtaining the certification license, the licensee has the right to use the DCL Mark on the products covered by the scope of certification, in accordance with the approved product-marking proposal (see clause 6.1.1). If there are requirements related to the mark in the Specific Rules, these requirements shall be satisfied.

9.2 The licensee may use the mark for sales promotion for the product. It may be used in advertisements and on stationery together with the logo or the name of the licensee establishment, provided that it is not used in such manner that the DM Certification Body may consider as misleading.

9.3 The licensee shall comply with the related guidelines for the use of the Mark as per IMS-RD-13 and RD-DP21-2091 (IC) and any other guidelines may be issued later in this regards.

#### **10. PUBLICITY FOR CERTIFIED PRODUCTS**

10.1 The DM Certification Body shall maintain and publish a Register of Certified Products. The information in the register shall include, as a minimum, the name of the licensee, the product or types of product for which certification has been granted, and the applicable standard or normative document against which the product has been assessed and found in compliance.

10.2 The DM Certification Body shall, within its power, take the necessary action to market and promote the DM Third Party Certification System through any means available.

10.3 The licensee has the right to publish and advertise that he has been granted the license to use the DCL Mark for products covered by the license. The licensee shall take care that the publications and advertisements does not create any confusions between certified and non-certified products.

#### **11. SUSPENSION, WITHDRAWAL AND CANCELLATION OF LICENSE**

11.1 A certification license may be suspended, cancelled or withdrawn under the conditions specified in the procedure for Suspension, cancellation and withdrawal of Certification License, IMS-RD-07.

#### **12. REVISION OF RULES AND STANDARDS**

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- 12.1 The DM Certification Body has the right to change these General Rules and any Specific Rules issued for a particular certification scheme. Licensees shall be informed accordingly as to the effective date for the implementation of the changes. In order to extend the license granted under the earlier rules, the licensee has to agree to comply with the revised rules.
- 12.2 If the applicable standards or normative documents are revised or replaced such that the compliance of the product is affected, the certification license will be extended only if the licensee agrees to fulfill the requirements of the new documents. The DM Certification Body shall issue the procedures, the transition schedule, and other instructions for the implementation of the revised or replaced documents.
- 12.3 If the revision(s) on the standard or normative document do not affect the compliance of the product with the requirements, the Certification License will be automatically updated to the new standard at the time of renewal.

**13. FEES**

- 13.1 The applicant shall pay the necessary fees in accordance with the Schedule of Fees issued by the DM Certification Body.
- 13.2 DM Certification Body has the right to invoice for any additional work related to repeated or additional testing and/or auditing due to non-compliance found during regular assessment.
- 13.3 DM Certification Body reserves the right to amend the Schedule of Fees if necessary.
- 13.4 Paid fees are non-refundable.

**14. APPEALS**

- 14.1 The applicant or licensee may appeal any decision by the DM Certification Body in accordance with the Appeals Disputes and Complaints procedure, IMS-RD-08.

**15. LIABILITY/DISCLAIMER**

- 15.1 The DM Certification Body shall not be held liable for any action (legal or otherwise) raised by any party against the licensee on matters resulting from the implementation of the DM Third Party Certification System.
- 15.2 The licensee is ultimately responsible for ensuring that the product meets the requirements of other applicable regulations that were not assessed during the certification process. This includes safety, health, and environmental regulations that are not necessarily covered by the standard or the normative document referred to in the Specific Rules.

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