

 GOVERNMENT OF DUBAI	Organization/Unit: إدارة مختبر دبي المركزي Dubai Central Laboratory Department	الوحدة التنظيمية:	 بلدية دبي DUBAI MUNICIPALITY
	Document Title: General Rules for DM Third Party Product Certification Through Batch Testing	عنوان الوثيقة:	
	Doc Ref.: DM-DCLD-RD-DP20-1001 (IC)	رقم الوثيقة:	

Issue Date	Rev. No.	Summary of Amendments
13/10/2003	0	Draft for comments
27/01/2004	0	Second draft for comments
05/02/2004	0	Final draft
09/02/2004	1	Issue for use
03/08/2005	2	Revision due to Unit becoming a Section
09-07-2009	3	Modification of document (reference number, format, etc.) in order to align with the new Integrated Management System (IMS)
11-10-2011	4	Some modification and correction made under clauses 11.2, 11.3, 11.4 and 14 to align with the current practices followed and upgrade of some rules to departmental levels.
16-05-2018	5	Revised format in accordance with the unified DM template; some minor amendments as indicated.

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1. INTRODUCTION

This document is applicable to the DM Third Party Certification System for determining conformity with product standards through batch testing. This system is in accordance with ISO/IEC 17067 Certification Type No. 2.

Batch testing is a system under which a representative sample is withdrawn from a defined batch of a product and tested against specified requirements. If the results are satisfactory, a certificate of conformity is issued to the batch. This system can be applied to locally-manufactured as well imported products.

The DM Third Party Certification System is being implemented by Dubai Central Laboratory Department – Products Conformity Assessment Section (DCLD-PCAS), 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 BATCH – a collection of units of product from which a sample shall be drawn and assessed to determine conformance with the acceptance criteria. If the criteria are met, a certificate of conformity is issued to the batch.
- 2.4 INITIAL TESTING (OR TYPE TESTING) – refers to the process by which the certification body, before granting registration to a supplier, determines that a product complies with the requirements of the applicable standard(s).
- 2.4 SPECIFIC RULES – a document specifying the set of rules that are applicable to a particular product certification scheme, taking into account the production methods and the kind of product or group of products to be covered under the scheme.
- 2.5 CERTIFICATE OF CONFORMITY – certificate issued under the rules of a certification system, indicating that confidence is provided that the relevant product is in conformity with a specific standard or other normative document. In this particular system, the certificate shall apply only to a specific batch of product.
- 2.6 SUPPLIER – refers to an establishment who is registered under the rules of this certification system and is entitled to submit for certification batches of product(s) covered by the establishment’s registration. The registered establishment may be a manufacturer or an authorized supplier of the product.
- 2.7 DM CERTIFICATION BODY – refers to Dubai Municipality - Dubai Central Laboratory Department – Inspection and Certification Section (DCLD-ICS).
- 2.8 **SUSPENSION (OF REGISTRATION)** – a temporary removal of the supplier from the list of registered establishment due to specified non-compliance with requirements
- 2.9 **WITHDRAWAL (OF REGISTRATION)** – permanent removal of the supplier from the list of registered establishments due to specified non-compliance with requirements.

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2.10 **TERMINATION (OF REGISTRATION)** – voluntary decision by the supplier to be removed from the list of registered establishments (for whatever reason) with mutual consent by the DM Certification Body.

3. SCOPE OF THE CERTIFICATION SYSTEM

3.1 Certification through batch testing shall apply mainly (but not limited) to products that are covered by mandatory requirements. The mandatory requirements may be in the form of a local (DM) or federal regulation that requires the product to conform to specified product specifications or standards. The system applies to both locally manufactured and imported products.

3.2 The DM Certification Body shall prepare Specific Rules for each product (or group of products) covered under the system. DM will certify only products that are covered by existing Specific Rules.

4. BASIC CONDITIONS FOR GRANTING CERTIFICATION

4.1 Suppliers who wish to have their products certified under this system shall register their establishments with the DM Certification Body. Only registered suppliers shall be allowed to submit application for batch certification.

4.2 Applicants for certification shall satisfy these General Rules as well as the Specific Rules of the scheme for the particular product or type of product subject to certification.

5. REGISTRATION OF SUPPLIERS

5.1 The requirements for registration are as follows:

- Filled up Application Form which is available from the DM Certification Body;
- Adequate supporting documents as required in the Application Form and as per the Specific Rules.

5.2 Satisfactory outcome of inspection visit conducted by DM Certification Body personnel to verify information submitted by the applicant establishment.

5.3 Satisfactory outcome of the initial testing of the product. The initial testing shall be carried out in accordance with the applicable standard specification and the Specific Rules of the scheme.

6. GENERAL REQUIREMENTS FOR A PRODUCT TO BE CERTIFIED UNDER THE SYSTEM

6.1 The product shall be submitted for certification in well-defined and uniform batches. For example, batch size, drawings, photograph, written specifications, and model name or number may define the product.

6.2 There shall be a unique identification system for each batch, which may include (1) batch numbering; (2) production code; (3) serial numbering, etc., whichever is applicable.

6.3 Suppliers shall maintain records of all products that are certified under the system. The records shall include all relevant information about each batch, including sales records.

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7. CERTIFICATION PROCESS

- 7.1 Registered suppliers shall submit a Certification Request for the particular batch of product that they want to be certified.
- 7.2 Upon receipt of the certification request, the DM Certification Body shall designate authorized personnel to carry out the sampling at the location where the products are stored. Sampling procedures shall be in accordance with the Specific Rules for that product.
- 7.3 The samples shall be submitted for testing at a laboratory recognized by the DM Certification Body. The tests to be carried out and the pass-fail criteria shall be in accordance with the Specific Rules.
- 7.4 DM Certification Body shall evaluate the results of the testing and, if the results meet the requirements, issue the Certificate of Conformity for that particular batch of product. The Certificate of Conformity shall uniquely identify the batch that is covered by the certificate and specify any other conditions related to the certification.

8. SURVEILLANCE

- 8.1 DM Certification Body shall carry out surveillance of certified products in the market in accordance with the Specific Rules.
- 8.2 DM Certification Body may inspect the sales records of the supplier and carry out verification testing of products covered by the certificate.

9. USE OF THE CERTIFICATE OF CONFORMITY

- 9.1 The Supplier may use the Certificate of Conformity for sales promotion or advertising, provided that it is not used in such manner that the DM Certification Body may consider as misleading.
- 9.2 Intentional misuse of the Certificate may be grounds for disciplinary and/or legal action against the supplier in accordance with the procedures of the DM Certification Body.

10. PUBLICITY FOR CERTIFIED PRODUCTS

- 10.1 The DM Certification Body shall maintain and publish a list of Registered Suppliers for products covered by the certification system.
- 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 included in the list of Registered Suppliers under a particular certification scheme. The licensee shall take care that the publications and advertisements does not create any confusions between certified and non-certified products.

11. SUSPENSION AND WITHDRAWAL OF REGISTRATION

- 11.1 A supplier registration may be suspended if surveillance shows non-compliance with the requirements of such nature that immediate withdrawal is not necessary, such as:
- Defects detected in the product caused by temporary disturbance in the production process,
 - Mutual agreement between the DM Certification Body and the licensee, for whatever reason.

The suspension shall be lifted upon satisfactory implementation of the corrective action(s) as agreed

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with, and verified by the DM Certification Body.

- 11.2 The supplier registration may be cancelled permanently under the following conditions:
- The product defect is not corrected within the agreed period,
 - The supplier uses the certificate on products which are not covered by the certification,
 - The supplier flagrantly violates the provisions of the general and specific rules,
 - The supplier fails to settle its financial obligations with the DM Certification Body
 - Inadequate corrective actions are taken by the supplier to rectify the reasons for suspension.
- 11.3 The DM Certification Body and the supplier may mutually agree to cancel the registration under the following conditions:
- The supplier wishes to withdraw his registration.
 - The standard or rules are changed and the supplier will not or cannot ensure compliance with the new requirements (see clause 12).
 - The product is no longer produced or if the supplier goes out of business.
- 11.4 Upon suspension, withdrawal or cancellation of the registration:
- The supplier shall be removed from the list of registered suppliers.
 - The supplier shall immediately stop using the certificate of conformity in advertising or promotional materials for the product covered by that certificate,
 - If required by the DM Certification Body, the supplier shall withdraw the products already delivered to dealers or to the open market,
 - If required by DM Certification Body, the supplier shall inform its clients about the non-conformities in the products,
 - The supplier shall take all necessary steps to ensure that all interested parties are not misled to believe that the registration has not been suspended, withdrawn, or cancelled.

12. REVISION OF RULES AND STANDARDS

- 12.1 The DM Certification Body has the right to change these General Rules and any Specific Rules issued for a particular certification scheme. Registered suppliers shall be informed accordingly as to the effective date for the implementation of the changes. In order to extend the registration granted under the earlier rules, the supplier has to agree to comply with the revised rules.
- 12.2 If the applicable standards or normative documents are revised or replaced, the registration will be extended only if the supplier 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.

13. FEES

- 13.1 The applicant/supplier 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

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14.1 The applicant or registered supplier 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 supplier on matters resulting from the implementation of the DM Third Party Certification System.

15.2 The supplier 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, environmental, and other regulations that are not necessarily covered by the standard or the normative document referred to in the Specific Rules.

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