


 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 Scheme Through Batch Testing	عنوان الوثيقة:	
	Doc Ref.	DM-DCLD-RD-DP20-1001 (IC)	رقم الوثيقة :	



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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.
25-12-2019	6	Revised with Dubai font type, and some editorial changes and correction of used terminologies and inclusion of yard, and re-activation provisions
28-05-2020	7	Updated – Minor changes in terminologies, correction of numbering and adding provisions for rights and ownerships (clause 15).
13-06-2022	8	Adding provision for allowing the use of recycled materials in the production of the products, including its definition.
08-11-2022	9	Changing section name as per the new organizational structure, and replace HOU by CQPSM (Section's Manager). Modify application clause 5.1. Adding online application in 5.1 and audit the registered block suppliers' compliance in clause 8 and adding clauses 8.3 and 8.4. Update for changing the number of the appeals and complaints procedure in clause 14.1.
12-01-2023	10	Adding clause 4.3 for decision-making for granting the COC by the CQPSM.
27-03-2023	11	Revised in line with the re-structuring and shifting common provisions from all specific rules to this General Rules. Rearranging and rephrasing of some clauses. Use of New DM Logo.

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1. INTRODUCTION

This document is applicable to the DM Third Party Certification Scheme for determining conformity with product standards through batch testing. This scheme is in accordance with ISO/IEC 17067 Certification Type No. 2. Batch testing is a scheme under which a representative sample is withdrawn from a defined batch of a product and tested against specified requirements.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 scheme can be applied to locally-manufactured as well imported products.

The DM Third Party Certification Scheme is being implemented by Dubai Central Laboratory Department – Certification and Quality Control of Products Section – (DCLD-CQPS), 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).
- 2.5 **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.
- 2.6 **CERTIFICATE OF CONFORMITY** –certificate issued under the rules of a certification scheme, indicating that confidence is provided that the relevant product is in conformity with a specific standard or other normative document. In this particular scheme, the certificate shall apply only to a specific batch of product.
- 2.7 **CLIENT/SUPPLIER** – refers to an establishment who is registered under the rules of this certification scheme and is entitled to submit for certification batches of product(s) covered by the establishment’s registration. The registered establishment may be the factory or a registered yard within Dubai for a supplier of products.
- 2.8 **DM CERTIFICATION BODY** – refers to Dubai Municipality - Dubai Central Laboratory Department – Certification and Quality Control of Products Section – (DCLD-CQPS).
- 2.9 **SUSPENSION (OF REGISTRATION)** – a temporary removal of the supplier from the list of registered establishment due to specified non-compliance with requirements
- 2.10 **WITHDRAWAL (OF REGISTRATION)** – permanent removal of the supplier from the list of registered establishments due to specified non-compliance with requirements.
- 2.11 **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.

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- 2.12 **RECYCLED MATERIALS** - Material that has been recovered or diverted from the non-hazardous solid waste for purpose of reuse, recycling or reclamation and a substantial portion of which is consistently used in the manufacture of products, which may otherwise be produced using raw or virgin materials.

3. SCOPE OF THE CERTIFICATION SCHEME

- 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.
- 3.2 (DCLD-CQPS) shall prepare Specific Rules for each product (or group of products) covered under the scheme. (DCLD-CQPS) will certify only products that are covered by existing Specific Rules.

4. BASIC CONDITIONS FOR GRANTING CERTIFICATION

- 4.1 The supplier/client shall have a valid license (issued by Dubai Department of Economic Development) to supply the product and shall register their establishments with (DCLD-CQPS) as User of the DM SMART SERVICE – Block Batch Certification. Only registered suppliers shall be allowed to submit application for batch certification.
- 4.2 The supplier/client shall have a factory/yard within Dubai Emirate wherein products subject to certification will be stored and where sampling shall take place.
- 4.3 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.
- 4.4 DCLD-CQPSM is the sole responsible for granting the certificate of conformity (COC); If provisions under clause 7 below is found satisfactorily implemented by the supplier. DCLD-CQPSM may also authorize a delegate to grant the COC.

5. REGISTRATION OF SUPPLIERS

- 5.1 The requirements for registration are as follows:
- Completed Application; the supplier shall apply online to registration and certification following the appropriate channels as decided by DCLD-CQPS.
 - Adequate supporting documents as required in the online Application.
- 5.2 Satisfactory outcome of initial factory/yard audit visit conducted by (DCLD-CQPS) personnel to verify the following:
- 5.2.1 Visual verification of the factory/yard and the lay-out of the blocks in the yard;
- 5.2.2 Visual verification of the identification system for the lots (tags or labels on the bundles, and the numbering system for the lots).

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- 5.3 Satisfactory outcome of the initial product evaluation and testing. 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 SCHEME

- 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 and required by DCLD-CQPS.
- 6.3 Suppliers shall maintain records of all products that are certified under the scheme. The records shall include all relevant information about each batch, including sales records.
- 6.4 Use of Recycled materials

- 6.4.1 In some manufacturing processes, where client wishes to use recycled materials as part of its raw materials in the production cycle of the finished product (which is certified or under certification), (DCLD-CQPS) has no objection to approve this based on below conditions (Applicable for both certified clients or new clients) ;

The client shall inform (DCLD-CQPS) in writing and submit necessary records/data related to the use of recycled materials in its production of the product (already certified or to be certified) with the following details:

- a- Type and origin of recycled material
- b- Quality control checks of this material including testing, evaluation and acceptable criteria
- c- Initial study or trials carried out including the QC test results to ensure that the performance of the products is still within the acceptable limits against the standard specification requirements for which the product was initially certified or to be certified.
- d- The study or trials carried out shall ensure that the properties of the product and its safe usage by the end-user and to the surrounding environment are not altered and still within the same acceptable approved standard measures and specifications (i.e. same properties before using the recycled materials).
- e- The client is responsible for all submitted records and studies to (DCLD-CQPS) in line with the above requirements.
- f- Confirmed declaration that recycled materials are free of any harmful or radioactive materials (where applicable).

- 6.5 The client shall be responsible to comply fully with all relevant terms and conditions as per certification Requirements that are part of the application for certification. Any infraction of these terms and conditions shall be ground for suitable actions as per the related certification rules.

7. CERTIFICATION PROCESS

- 7.1 Registered suppliers shall submit a Certification Request for the particular batch of product that they want to be certified.

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- 7.2 Upon receipt of the certification request, (DCLD-CQPS) 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 (DCLD-CQPS). The tests to be carried out and the pass-fail criteria shall be in accordance with the Specific Rules.
- 7.4 (DCLD-CQPS) 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 (DCLD-CQPS) shall carry out surveillance of certified products in the market/factory/yard, in accordance with the Specific Rules.
- 8.2 (DCLD-CQPS) may inspect the sales records of the supplier and carry out verification testing of products covered by the certificate.
- 8.3 While carrying out the routine sampling for certification, (DCLD-CQPS) shall audit the registered block suppliers' compliance with the requirements as detailed in DM-DCLD-F-IC-1010 (Registered Block Supplier audit Report) at least once quarterly for each registered block factory supplier (factory/yard).
- 8.4 Outcome of the audit visit shall be verified and approved by the DCLD-CQPS manager (CQPSM) and in case of non-compliance, DCLD-CQPS may opt to deliver all or part of next lots for testing within DCLD Laboratory itself. Necessary actions shall be taken accordingly for non-compliance in line with clause 11 "Suspension, where applicable- which may lead to suspension or even withdrawal of the registration (as decided by DCLD-CQPS) and the supplier /client shall not be allowed to submit any product for certification.

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 (DCLD-CQPS) 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 (DCLD-CQPS).
- 9.3 The Certificate of Conformity is non-transferable.



10. PUBLICITY FOR CERTIFIED PRODUCTS

- 10.1 (DCLD-CQPS) shall maintain and publish a list of Registered Suppliers for products covered by the certification scheme.

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10.2 (DCLD-CQPS) shall, within its power, take the necessary action to market and promote the DM Third Party Certification Scheme through any means available.

10.3 The supplier has the right to publish and advertise that he has been included in the list of Registered Suppliers under a particular certification scheme. The supplier shall take care that the publications and advertisements does not create any confusion between certified and non-certified products.

11. SUSPENSION,WITHDRAWAL, TERMINATION AND RE-ACTIVATION 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,
- Violating any of terms and condition of registration which is considered by (DCLD-CQPS) as a ground for suspension

The suspension shall be lifted upon satisfactory implementation of the corrective action(s) as agreed with, and verified by (DCLD-CQPS).

11.2 The supplier registration may be withdrawn 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 (DCLD-CQPS),
- Inadequate corrective actions are taken by the supplier to rectify the reasons for suspension.

11.3 (DCLD-CQPS) and the supplier may mutually agree to terminate the registration under the following conditions:

- The supplier wishes to terminate 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 termination 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 (DCLD-CQPS), the supplier shall recall the products already delivered to dealers or to the open market,
- If required by (DCLD-CQPS), the supplier shall inform its clients about the non-conformities in the products,

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- 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, terminated or withdrawn

11.5 A supplier with terminated registration can re-activate his registration through a formal request within 1 year from the termination date. Reactivation can be granted by (DCLD-CQPS) based on satisfactory review and approval of the activation request and compliance with registration requirements.

11.6 Withdrawn registration cannot be re-activated; should the supplier wishes to re- apply, then it will be considered as a new application

12. REVISION OF RULES AND STANDARDS

12.1 (DCLD-CQPS) 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 (This might be also thru publication of the revised rules in (DCLD-CQPS) website). The supplier has 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. (DCLD-CQPS) shall issue where applicable the procedures, the transition schedule, and other instructions for the implementation of the revised or replaced documents.

13. APPEALS, DISPUTES AND COMPLAINTS

13.1 The applicant or registered supplier may appeal any decision by (DCLD-CQPS) in accordance with DM-DCLD-RD-IC-0026 – Guidelines - Appeals Disputes and Complaints Procedure.

14. FEES

14.1 The applicant/supplier shall pay the necessary fees in accordance with the Schedule of Fees issued by (DCLD-CQPS).

14.2 (DCLD-CQPS) 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.


14.3 (DCLD-CQPS) reserves the right to amend the Schedule of Fees if necessary.

14.4 Paid fees are non-refundable.

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15. LIABILITY/DISCLAIMER/RIGHTS/OWNERSHIPS

- 15.1 (DCLD-CQPS) 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 Scheme.
- 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.
- 15.3 In case of any dispute, settlement shall be subjected to arbitration according to the laws and courts of the Emirate of Dubai.
- 15.4 (DCLD-CQPS) has all rights and ownership of the certificate of Conformity and all related records.
- 15.5 (DCLD-CQPS) has the right to refuse to accept the application for registration/certification or deny the granting of the certificate of conformity.

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