

 حكومة دبي GOVERNMENT OF DUBAI	Organization/Unit:	إدارة مختبر دبي المركزي Dubai Central Laboratory Department	الوحدة التنظيمية:
	Document Title:	Surveillance of Certified Clients under the Factory Assessment Scheme	عنوان الوثيقة:
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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 Provision to get two sets of samples during market surveillance has been removed.
09-03-2010	5	Provision related to the non-availability of the certified products during market surveillance has been amended. 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
18-03-2012	6	Adding clause for surveillance planning as per Annex A [5.1.2] and adding clause for Special Surveillance [5.8]. Other modifications as highlighted.
17-05-2017	7	Updated frequency of market surveillance Annex B. Updated format as per DM unified template.
21-06-2018	8	Updated as per new DM logo
26-03-2019	9	Updated – New numbering system- adding the TA and cement among others under voluntary products
03-11-2019	10	Modifying the frequency for market surveillance- inclusion of the outsource CAB for factory surveillance audit.
12-12-2022	11	Changing section name as per the new organizational structure and replace HOU by CQPSM (Section's Manager)- Change of staff designation- Removal of Market surveillance as a planned activity under 5.1 and modify the provisions under 5.3 and 5.5.1 to reflect this amendment. Adding definition of certification personnel. Modify clause numbering under 5.12 and delete 5.2.1a and 5.1.2.b. Modify clause 5.5.2 regarding reduction of scope. Change the title of Annex A to make it just for factory and adding clause 1.3 for unannounced visits for RMX. Deleting of clause 2 and 3 and 4 under Annex A and deleting of Annex B Adding clauses 3.2 – 3.3 and 3.4
27-03-2023	12	Restructured to align with the new formatting of all documents. Use of New DM Logo
13-07-2023	13	Updated to clarify the unannounced audits criteria for RMX and Precast plants
22-08-2024	14	Changing the logo of the Government of Dubai with the latest design
15-10-2024	15	Revising the frequency under clause 1.2 of Annex A from once every three years to at least once in three years.
16-06-2025	16	Restructured to align with the new internal formatting of all documents
01-08-2025	17	Change of Document Numbering format
02-01-2025	18	Inclusion of clause 5.2.8 regarding the verification of mandatory products during surveillance audits

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1. INTRODUCTION

- 1.1 This document describes the process of conducting surveillance of all certified clients under the Factory Assessment Certification Scheme to ensure consistent compliance with the General Rules and Specific Rules of the certification schemes, and consistent compliance of the certified products to the standard specifications or regulations.

2. SCOPE

- 2.1 This procedure applies to all existing certified clients under the Factory Assessment Scheme.
- 2.2 This procedure covers everything from identification of certified clients subject to surveillance up to notification of surveillance results to the client.

3. REFERENCE DOCUMENTS

- 3.1 DM-DCLD-RD-CQPS-2001 General Rules for DM third party product certification through factory assessments
- 3.2 DM-DCLD-RD-CQPS-8001 Special Rules for Technical Approval of Non-Standard products
- 3.3 DM-DCLD-RD-CQPS-2071 Outsourcing of type 5 certification activities R1
- 3.4 DM-DCLD-RD-CQPS-2072 Extension/Reduction/Re-Evaluation of Scope of Certification and Extension of Certification for the Same Factory
- 3.5 DM-DCLD-RD-CQPS-2nnn Specific Rules for Certified Product
- 3.6 Related Special Rule for Technical Approval

4. RESPONSIBILITIES

- 4.1 CQPSM – Certification and Quality Control of Products Section Manager – responsible for the approval of the final recommendation on the action to be taken based on the results of the surveillance activity
- 4.2 CQPSM – Certification and Quality Control of Products Section Manager – responsible for the designation and appointment of auditors who will conduct the surveillance audit. He is also responsible for the evaluation of the surveillance report.
- 4.3 Certification Personnel - DCLD-CQPS personnel (Products Conformity Engineer/Products Conformity Officer/ Products Conformity Inspector/Products Conformity Specialist) OR External personnel based on signed contract – who are responsible for implementing the surveillance plan, as assigned by CQPSM.

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5. PROCEDURE

5.1 Preparation and implementation of factory surveillance plan

- 5.1.1 CQPSM shall designate the Certification Personnel who will be responsible for the preparation of a comprehensive factory surveillance plan covering all the certified clients under the Factory assessment scheme (DM-DCLD-RD-CQPS-2001).
- 5.1.2 The factory surveillance plan shall be prepared in accordance with the guidelines given in Annex A.
- 5.1.2.1 The factory surveillance plan shall commence from the date of approval of the certification, regardless of the date of issuance of the certificate.
- 5.1.2.2 Factory surveillance consists of visit to factory to re-audit the factory quality management system – as applicable- and collecting samples of certified products for product testing and evaluation.
- 5.1.3 The Certification Personnel shall monitor the plan and inform the CQPSM regarding the certified clients that are due for surveillance.
- 5.1.4 The plan is subject to constant change based on the result of the previous surveillance conducted. Updating of the plan is done at the end of every quarter.
- 5.1.5 CQPSM shall appoint a Certification Personnel who will conduct the surveillance activity according to the surveillance plan. It can also be subcontracted to any of the approved CAB and its personnel
- 5.1.6 The Certification/or the approved subcontracted CAB personnel shall coordinate and confirm with the company the schedule of the surveillance prior to the scheduled date.
- 5.1.7 Appointed Certification/or the approved subcontracted CAB personnel shall prepare all the necessary documents and forms for the conduct of the 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 Certification/or the approved subcontracted CAB personnel.
- 5.2.2 During the actual visit to the factory, the effectiveness of implementing the company's quality management system based on the documented procedures shall be verified- As applicable.
- 5.2.3 Company's compliance with 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 DCLD-CQPS within 1 month from the date of the audit. The completion date for the submitted corrective action shall be as per the agreed period but not exceeding 6 months from date of

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issue. Under certain situations, and with the agreement of DCLD-CQPS, the NCR may be re-issued (with a new completion date) at the end of the 6-month period. Non-compliance with these provisions may result in suspension or withdrawal of the certificate.

- 5.2.5 Samples of products covered by the scope of certification shall also be drawn randomly by Certification/or the approved subcontracted CAB personnel 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 Certification/or the approved subcontracted CAB personnel.
- 5.2.7 Two sets of samples shall be selected. One set shall be sent to DCLD, or to accredited laboratory for independent tests while the other set will be kept by the company for future reference.
- 5.2.8 During surveillance audits, auditors shall verify that all mandatory products manufactured and distributed by the client are included within the scope of certification. Any mandatory products found outside the scope shall be investigated, documented, and supported by record verification using randomly selected sales samples. The client shall also provide a declaration confirming that uncertified mandatory products are not traded in the Dubai market.

5.3 Market Surveillance

- 5.3.1 Whenever requested by DCLD-CQPS, the certified client shall be required to notify DCLD-CQPS on the location or site where the certified products have been supplied and are available for sampling.
- 5.3.2 The market surveillance sampling is conducted randomly by DCLD-CQPS and whenever there is a noticed product testing failure of certified products during factory surveillance.
- 5.3.3 Based on the information supplied by the client as per [5.3.1], the assigned Certification Personnel by CQPSM shall select the site where samples will be collected.
- 5.3.4 Upon arrival on the site, samples shall be drawn randomly by the assigned Certification Personnel in the presence of the company's representative.
- 5.3.5 Collected samples shall be properly identified by the sender number and signature of the assigned Certification Personnel for submission to DCLD or accredited laboratory.

5.4 Sampling (Both factory and market surveillance)

- 5.4.1 Sampling arrangements should be implemented in such a manner that it ensures the impartiality of selection and integrity of the samples cannot be compromised.
- 5.4.2 Implementation of the sampling arrangements shall take into consideration the complexity of the production process, experience of the supplier/manufacturer, life cycle of the product, and changing technology.

5.5 Non-Availability of Samples during Market Surveillance

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5.5.1 If (for whatever reason) the certified product is not available in the market; and whenever needed, DCLD-CQPS may arrange to carry out sampling at the factory. Factory sampling may be carried out during the scheduled factory surveillance audit or can be carried out by an outsourced accredited Conformity Assessment Body (CAB/approved external personnel based on signed contracts).

5.5.2 DCLD-CQPS should at least carry out one surveillance testing on the certified product every three years of certification either from the market or the factory. If no surveillance testing has been carried out, the product might be removed from the Scope of Certification at the time of renewal of the certification based on final decision by CQPSM NOTE: If this situation is reached where no surveillance has been carried out, the client should be notified accordingly at the time of the last scheduled surveillance.

5.6 Independent testing

5.6.1 Independent tests shall be carried out at DCLD, or any other accredited independent laboratory approved by DCLD-CQPS.

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 certified client 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 the client shall respond 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 the agreed period but not exceeding 6 months from date of issue. Under certain situations, 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-month period. Non-compliance with these provisions may result in the cancellation of the certification.

5.7 Reporting

5.7.1 The appointed Certification/or the approved subcontracted CAB personnel shall prepare the final surveillance report together with the appropriate recommendation for further action, if necessary.

5.7.2 CQPSM shall make a final decision and notify the certified client regarding the official result of the surveillance audit and surveillance testing results.

5.8 Special Surveillance

5.8.1 In addition to the planned Factory visits and Market surveillance visits mentioned in this document, DCLD-CQPS may carry out special surveillance at any time and in any place to check whether the products conform to the requirements.

5.8.2 Special surveillance shall be carried out when abnormalities or non-compliances of certified products are brought to the attention of the Certification Body.

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- 5.8.3 Special surveillance may be carried out by the assigned Certification Personnel.
- 5.8.4 Special surveillance may be announced or unannounced.
- 5.8.5 If non-conformities are found during such special surveillance visits, a non-conformity report shall be issued to the client and the cost of testing and inspection shall be charged against the client, if applicable.

ANNEX A

Guidelines for the Preparation of Factory Surveillance Plan

1. Factory surveillance

- 1.1 Scope - Certified clients shall be subjected to factory audit to re-assess the continuing compliance of the factory quality management system (QMS) – As applicable- and the continuing implementation of the agreed Factory Production Control (FPC) [or sometimes referred to as internal quality control testing]. Factory surveillance shall include selecting samples for independent testing.
- 1.2 Frequency - Regular factory surveillance audit and factory sampling for independent product evaluation shall be conducted by DCLD-CQPS or their authorized representative at least once in three years.
- 1.3 Special surveillance - During the three-year cycle, special factory surveillance audit may be carried out if there are significant changes or unexpected situation in the factory that will affect the compliance of the product with certification requirements (see also clause [5.8] above).
- 1.4 For RMX and Precast Plants – DCLD-CQPS may conduct an un-announced factory verification audit covering specific critical points to be checked such as (batching system, weighing scales, use of green concrete) – it will be for a maximum of one-man day only. However, full surveillance audit may be carried out once every three years or based on the established factory surveillance plan.

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