Table of Contents

REVISION HISTORY 2

INTRODUCTION 3

DEFINITION OF TERMS 3

BASIC CONDITIONS FOR GRANTING THE CERTIFICATION AND AUTHORIZATION TO USE THE DCL MARK 4

APPLICATION AND PROPOSAL FOR CERTIFICATION 5

INITIAL ASSESSMENT 5

GRANTING THE TECHNICAL APPROVAL CERTIFICATE - TAC 8

EXTENDING, REDUCTION AND RE-EVALUATION OF THE SCOPE OF THE CERTIFICATION 9

SURVEILLANCE AND RENEWAL OF THE TAC 10

USE OF THE DCL MARK 10

PUBLICITY FOR CERTIFIED PRODUCTS 11

SUSPENSION, WITHDRAWAL AND TERMINATION OF CERTIFICATION 11

REVISION OF RULES AND REQUIREMENTS 11

APPEALS DISPUTES AND COMPLAINTS 12

FEES 12

LIABILITY/DISCLAIMER/RIGHTS/OWNERSHIPS 12

Issue Date	Rev. No.	Summary of Amendments
13-10-2019	0	First draft for review
09-01-2020	0	Final draft
26-01-2020	1	Issue for use
13-06-2022	2	Adding provision for allowing the use of recycled materials in the production of the products, including its definition.
04-10-2022	3	Changing section name as per the new organizational structure, and replace HOU by CQPSM (Section's Manager).Modify clause 3.1 for application submittal. Revision of 5.1.1 to add the extension over 45 days conditions. Adding renewal of TAC conditions under clause 7 (7.6).
12-01-2023	4	Updated for merging departmental procedure into sectional and changing their numbering;
24-04-2023	5	Revised in line with the re-structuring of documents. Rearranging and rephrasing and additional of some definitions and clauses to align it with the General Rules of the factory assessment scheme and its provisions as highlighted. Use of New DM Logo.

1. INTRODUCTION

1.1. This document is applicable to the DM Third Party Technical Approval of Non-Standard products through factory assessment scheme in order to determine their suitability for use in the local market. This system corresponds to International Organization for Standardization (ISO) Certification Scheme Type 5 as described in the ISO/IEC 17067 and consists of:

a) Determination of the approval requirements
b) Initial testing or assessment of the product
c) Assessment of the factory quality management system
d) Granting of the Technical Approval Certificate – TAC
e) Surveillance.

1.2. The DM Third Party Technical Approval System 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".

1.3. A successful applicant is granted Technical Approval Certificate – TAC to use the DCL Technical Approval Mark on their product.

1.4. This document shall complement the other applicable documents under the factory assessment certification system, i.e. DM-DCLD-RD-DP21-2001 (IC) General rules for factory assessment.

1.5. The provisions of this document shall take precedence over the General rules in case of conflict or inconsistencies in their contents.

1.6. DM Certification Body may modify these Special Rules and TAR at any time, including any modification necessary to satisfy instructions given by the accreditation authority. Any modification will be communicated to the applicant/ client through publication in DM webpage

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** – procedure by which a third party gives written assurance that a product, process or service conforms to specified requirements.

2.3. **CERTIFICATION SCHEME** – certification related to specific products, processes, or services to which the same requirements and procedure apply.

2.4. **TECHNICAL APPROVAL REQUIREMENTS (TAR)** – the requirements 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.

2.5. **TECHNICAL APPROVAL CERTIFICATE - TAC** – a document issued under the requirements of a certification system, by which a certification body grants to a person or body the right to use the DCL Technical Approval Mark for its products, processes or services in accordance with the requirements of the relevant certification scheme.

2.6. **CLIENT** – organization or person responsible to a certification body for ensuring that certification requirements, and product requirements, are fulfilled. Whenever the term "client" is used in this General Rules, it applies to both the "applicant" and the "client", unless otherwise specified.

2.7. **DCL MARK–** refers to the DCL Product Technical Approval 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 the TAR.

2.8. **APPLICANT** – the company, organization or individual applying for Technical Approval Certificate – TAC to use the DCL Mark.

2.9. **DM CERTIFICATION BODY** – refers to Dubai Municipality - Dubai Central Laboratory Department – Certification and Quality Control of Products Section - (DCLD-CQPS).

2.10. **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.

2.11. **AUTHORIZED AUDITOR :** is any approved auditor by DCLD-CQPS either internal within DCLD or external (Approved CAB's auditor or approved auditor based on a signed contract)

2.12. **INDEPENDENT TESTING LABORATORY** - Dubai Central Laboratory (DCL) or any testing laboratory recognized by DCLD-CQPS.

2.13. **PRODUCT QUALITY ASSURANCE PLAN** – a document being agreed upon both by the Client and DCLD-CQPS, being used to ensure continuous compliance of the certified product.

2.14 **QMS** – Quality Management System aligned with the requirements of ISO 9001 Standard

3. BASIC CONDITIONS FOR GRANTING THE CERTIFICATION AND AUTHORIZATION TO USE THE DCL MARK

3.1. The basic conditions for granting the technical approval certificate and authorization to use the DCL mark consist of satisfactory compliance with the requirements of this certification scheme, among others as decided by DCLD-CQPS.

3.2. DCLD-CQPS may modify these Rules at any time. Any modification will be communicated to the applicant/client through publication in DCLD-CQPS website.

4. APPLICATION AND PROPOSAL FOR CERTIFICATION

4.1. Application for a certification TAC shall be made online in DM webpage along with the required supporting documents.

4.2. The applications shall include an undertaking by the applicant to abide by the terms and conditions (as given in the Application Form) of the certification scheme. By signing and or accepting these terms in the application form, the applicant agrees to comply with the Terms and Conditions of DM Certification body for the product covered in the application.

4.3. Separate applications shall be submitted for each product type or group of products that refers to a different TARs.

4.4. Upon receipt and satisfactory results of review of the application, the DM Certification Body shall prepare and send a TA certification proposal to the applicant, giving the terms and fees for providing the TA certification service

4.5. A draft TAR shall be prepared and deliberated (if deemed necessary) to the Certification Technical Committee for approval.

5. INITIAL ASSESSMENT

5.1. Upon acceptance of the proposal by the applicant and payment of the initial fees, the DM-Certification Body shall prepare the Technical Approval Requirements (TAR) and submit to the applicant for acceptance.

5.2. By signing the Technical Approval Requirements along with the application, the applicant and the manufacturer agrees to comply with the Terms and Conditions and these Special Rules and Technical Approval Requirements (TAR) for the product covered in the application.

5.3. Upon acceptance of the Technical Approval Requirements (TAR) 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 factory production control, (2) initial testing/evaluation of the product. [Note - where the audit is done by authorized CAB auditors then the provisions under DM-DCLD-RD-DP21-2071 (IC) Outsourcing of type 5 certification activities" shall be applied]

5.4. Upon acceptance of the Technical Approval Requirements (TAR), the DCLD-CQPS duly authorized auditor(s) 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 factory production control, (2) initial testing/evaluation of the product.

5.5. The applicant shall submit all pre-audit requirements and pending documents. Should the company fail to submit the pre-audit requirements and pending documents, or, for other reasons, requests for a postponement of the initial assessment audit, the DCLD-CQPS shall allow only a maximum of six (6) months from the proposed audit schedule or application date. Otherwise, the application shall be considered cancelled and any fees already paid shall be considered forfeited.

5.6. If required, the applicant shall provide DCLD-CQPS authorized auditor a competent interpreter for the duration of the initial factory assessment audit.

5.7. Initial factory audit will be carried out by duly authorized auditor(s) which will cover auditing of the quality management system to verify its compliance with the requirements of ISO 9001 and factory production control as per the TAR, in addition to verify the implementation of DCLD-CQPS certification's requirements. Where possible; the audit can be carried out remotely as per (DM-DCLD-RD-DP21-2098 (IC) Guidelines for Remote Audit) or as per the related approved guidelines which are followed by the approved outsourced CAB. Factory audit shall be conducted by designated audit team in accordance with ISO 19011 – Guidelines for Auditing Management Systems. Use of outsourced CABS shall be in accordance with the provisions of the reference document for outsourcing, "DM-DCLD-RD-DP21-2071 (IC) Outsourcing of type 5 certification activities".

NOTE: *An independent certification to ISO 9001 issued by a QMS certification body recognized by DCLD-CQPS may be considered as having satisfied this requirement; however, DCLD-CQPS may still opt to carry out verification audit to confirm that the factory is in compliance with requirements of DCLD certification schemes and rules, mainly the areas of production and monitoring stages of product realization, quality control and final product testing and evaluation.*

5.8. Sampling and initial testing (or type testing) of the product shall be carried out in accordance with the corresponding Technical Approval Requirements (TAR) of the scheme.

5.9. Three sets of sample per product per type should be selected – as applicable from the production line or from the warehouse and shall be subjected to testing; the first set, where possible, will be tested in the plant witnessed by a duly authorized auditor, the second set will be sent to DCLD-CQPS approved Independent Testing Laboratory. The third set will be kept by the client as reference for future use.

5.10. The tests shall be carried out at DM laboratories or in DM-Certification Body approved laboratory. Use of testing facilities outside Dubai Central Laboratory shall be governed by the provisions of the reference document for outsourcing, DM-DCLD-RD-DP21-2071 (IC) "Outsourcing of Type 5 Certification Activities"

5.11. Sample(s) for independent test shall be packed/sealed and signed in the presence of the authorized auditor and shall be submitted to DCLD-CQPS approved lab.

5.12. In addition to the samples to be tested, a reference sample shall be selected and kept as a reference in case there is a need to carry out re-testing or there is some dispute in the results of testing.

5.13. Where applicable, independent test shall only be conducted if the result of the in-plant test shows satisfactory results. DCLD-CQPS shall accept available valid test reports conducted by an approved DCLD-CQPS independent laboratory within one year from the date of the initial/surveillance assessment, in line with the internal quality control testing plan of the factory. In such case, the testing of that particular parameter(s) shall be waived accordingly.

5.14. The client shall have a quality assurance laboratory to carry out factory production control testing to ensure that the products comply with the requirements of the standard specification. The laboratory can be part of the factory facilities, or, can be through a documented agreement with an accredited external laboratory.

5.15. If the result of the test conducted by the DCLD-CQPS approved independent testing laboratory shows non-conformance to the specified requirements, the provision for rejection specified in the TAR shall apply. The retest shall be carried out on the reference sample kept by the client or on new samples collected by the authorized auditor on which full testing shall be carried out ,if necessary.

5.16. If the re-test passed, the initial product assessment is considered conforming to product specification. If not, the client will be advised to take corrective action.

5.17. Only after reassessment and subsequent product compliance shall the client be allowed to use DCL Conformity Mark on his product(s) that have been tested and found complying with the certification requirements.

5.18. DCLD-CQPS duly authorized auditor(s) shall raise Non Compliance Report (NCR) for the non-compliances found during the factory audit and during product evaluation.

5.19. Applicant/client shall submit 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 3 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 3 months period or, the Authorized Auditor(s) may consider the findings as not anymore valid and conduct a complete re-audit. Additional fees for re-audit shall be charged accordingly. Non-compliance with these provisions may result in the cancellation of the application.

5.20. After the agreed period for implementation, DM Certification Body shall evaluate the evidences of implementation of the corrective actions. If deemed necessary, a follow up visit may be conducted

5.21. If the results of follow up audit indicate that the corrective actions do not meet the DCLD requirements, DCLD has the option to allow more time to rectify, or to abort the initial audit and that a new Initial audit has to be conducted. Additional fees for follow up visits shall be charged.

5.22. If the corrective actions are satisfactory, the issued NCR's shall be closed.

5.23. At any stage during the initial assessment stage, the DCLD-CQPS has the right to terminate the assessment and cancel the application if the applicant does not respond to official communications (letters, email, telephone calls, etc.) and other unsatisfactory actions [such as but not limited to intentional delay in sending samples for independent testing, not following instructions from the Authorized Auditor, non-payment of certification fees among others... etc.)] within a period not exceeding (6) months from the last communication date by DCLD-CQPS. However, DCLD-CQPS may opt to waive this cancellation/termination decision, should the applicant provide valid justification for the delay. Upon cancellation, the assessment carried out shall be considered null and

void and all already paid fees shall be considered forfeited and new application shall be re-submitted; should the client wishes to re-apply for certification.

5.24. General provision (Use of Recycled materials)

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. GRANTING THE TECHNICAL APPROVAL CERTIFICATE - TAC

6.1. When the results of the initial assessment demonstrates that the requirements of the Technical Approval Requirements (TAR) (or other applicable normative documents) are met, and all related documentation mentioned below have been approved, then the DM Certification Body shall issue the Technical Approval Certificate - TAC.

6.1.1. The client shall pay the remaining balance of the certification fees. *NOTE: Payment shall be made within a period of not more than 45 days from date of approval of certification recommendation; otherwise the DM Certification Body may opt to cancel the application, however -where applicable- extension of this period requested by the client, may be granted by the manager of DCLD-CQPS only if the reason for extension is found justifiable and acceptable)*

6.1.2. The client shall submit a product-marking proposal for approval. The marking proposal shall comply with the guidelines issued by the DM Certification Body.

6.1.3. The client shall agree to an internal quality assurance plan (by the factory) this will include as a minimum, the following details: (1) location of sampling; (2) frequency of sampling; (3) quantities of samples; (4) tests to be carried out; (5) results acceptance criteria; and (6) responsible person to carry out the activity. The plan shall cover all inspections carried out thru out the whole manufacturing process; i.e. (raw materials – production lines- finished product testing and evaluation as per standard specifications –final packing. The plan shall take into consideration the production process, the volume of production, the criticality of the test to be specified, and other relevant factors.

and to an Independent Testing Plan (by DM Certification Body) to be carried out on samples which are collected in accordance with DM-DCLD-RD-DP21-2096 (IC) – Surveillance of Certified Clients under the Factory Assessment Scheme, and implemented by DCLD-CQPS. These plans will be implemented to ensure that the product covered by the TAC continue to satisfy the requirements of the Technical Approval Requirements (TAR).

6.2. A separate Technical Approval Certificate – TAC shall be issued for each product or group of products covered by one Technical Approval Requirements (TAR) report and manufactured by one manufacturer at the location assessed by the DM Certification Body.

6.3. The Technical Approval Certificate – TAC 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 TAC as well as payment of due fees.

6.4. A Technical Approval Certificate – TAC is non-transferable.

6.5. The certified 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.

6.6. The Certificate of Product Conformity is non-transferable.

7. EXTENDING, REDUCTION OF , RE-EVALUATION OF THE SCOPE OF THE TAC

7.1. A client can extend the certification to other types or models of products made in the same factory to the same Technical Approval Requirements (TAR) for which the TAC is already granted. 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 Technical Approval Requirements (TAR). If the test results are satisfactory, extension of certification scope shall be granted.

7.2. If the client 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 Technical Approval Certificate – TAC shall be issued for such application.

7.3. The scope of certification can also be reduced voluntarily upon the client request. Details of the products, types or models to be excluded from the scope of certification shall be provided with the effective date for which the production already stopped. Similarly, the scope may be reduced by decision of DCLD-CQPS based on provisions mentioned under the related procedure

7.3 All decisions related to extending, reduction and re-evaluation of scope of certification are granted by the DCLD-CQPSM or any of his delegate(s).

7.4 All related provisions can be found under DM-DCLD-RD-DP21-2072 (IC) Extension/Reduction/ Re-Evaluation of Scope of Certification and Extension of Certification

8. SURVEILLANCE AND RENEWAL OF THE TAC

8.1. DCLD-CQPS or their authorized auditor(s) shall carry out surveillance visits in accordance with the DM-DCLD-RD-DP21-2096 (IC), in order to assess the factory quality management system, and its outsourced production facility , whenever applicable, and shall take samples of products bearing the mark, either from the manufacturing premises or from the open market in accordance with the agreed surveillance plan.

8.2. During surveillance visits, DCLD-CQPS dully authorized auditor(s) shall check the client's compliance with the implementation of the agreed internal quality assurance plan, in addition to the monitoring and verification of the proper use of DCL Mark (Refer to clause 9). DCLD-CQPS may require an increase in the frequency of checking in the internal quality assurance plan if any failure or deviations from conformity is found among samples bearing the DCL Mark.

8.3. Any non-compliance raised during the surveillance audit shall be issued with non-compliance report to be returned back to DCLD-CQPS dully authorized auditor(s) with proposed corrective action within one month from the date of issued. Completion of corrective actions shall be made as per agreed period of time but not exceeding three months. Under certain situation and with the agreement of the Certification Body, the NCR may be re-issued at the end of the three months period. Non-compliance with these provisions may result in the suspension of the Technical Approval Certificate – TAC.

8.4. In addition to the surveillance visits mentioned in the Technical Approval Requirements (TAR), 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 client and the cost of sampling, sample handling, testing and inspection shall be charged against them.

8.5. If required, during surveillance visits, the client shall provide a competent interpreter for the duration of the audit.

8.6. Before the end of the validity period, the client shall be notified to renew the TAC provided that the client continues to comply with the requirements of the TAC Certificate evidenced by the surveillance visits and/or tests, DCLD-CQPS shall issue a renewal invoice to the client. Upon payment of the renewal and any other applicable fees, DCLD-CQPS shall renew the TA Certificate. If the client fails to pay the renewal fees within forty five (45) days period the TA-Certificate shall be cancelled. (see Note under clause 6.1.1)

8.7. DCLD-CQPS may opt to carry out surveillance activities like auditing and sampling by an approved CAB, in such case, the relative provisions under "DM-DCLD-RD-DP21-2071 (IC) Outsourcing of type 5 certification activities" shall be applied.

9. USE OF THE DCL MARK

9.1. The client shall submit a product-marking proposal for approval by DCLD-CQPS. The proposal shall include drawings and/or diagrams showing the location and size of the marking for each size of the product/product container/packaging, where applicable.

9.2. After obtaining the Technical Approval Certificate – TAC, the client has the right to use the DCL Mark on the products covered by the scope of technical approval in accordance with the approved product-marking proposal . If there are requirements related to the mark in the Technical Approval Requirements (TAR), these requirements shall be satisfied.

9.3. The client may use the mark in advertisements and on stationery together with the logo or the name of the client establishment, provided that it is not used in such manner that the DCLD-CQPS may consider as misleading.

9.4. The client shall comply with the guidelines for the use of the Mark as per DM-DCLD-RD-DP21-2069 (IC) Terms and Conditions for the Use of the DCL Mark and any other guideline that may be issued regarding use of the Mark.

9.5. The client shall affix the DCL Conformity Mark on the certified product as agreed and approved by DCLD-CQPS.

9.6 The Certificate of Conformity and the authorization to use the DCL Conformity Mark is non-transferable.

10. PUBLICITY FOR CERTIFIED PRODUCTS

10.1. DCLD-CQPS maintains and publish a Register of Certified Products. The information in the register shall include, as a minimum, the name of the client, the product or type of products for which certification has been granted.

10.2. DCLD-CQPS shall, within its power, take the necessary action to market and promote the Technical Approval of Non-Standard Products Certification System through any means available.

10.3. The client has the right to publish and advertise that he has been granted the Technical Approval Certificate – TAC to use the DCL Mark for products covered by the certification. The client shall take care that the publications and advertisements does not create any confusions between certified and non-certified products. (Refer to DM-DCLD-RD-DP21-2069 (IC) Terms and Conditions for the Use of the DCL Mark).

11. SUSPENSION, WITHDRAWAL AND TERMINATION OF CERTIFICATION

11.1. A certification may be suspended, termination or withdrawn under the conditions specified in the procedure for suspension, termination and withdrawal of certification (DM-DCLD-RD-DP21-2070 (IC).

12. REVISION OF RULES AND REQUIREMENTS

12.1. The DM Certification Body has the right to change these Special Rules and any Technical Approval Requirements (TAR) issued for a particular certification scheme. Client shall regularly check the DM web page for announcements and instructions related to their certification and shall ensure that only the latest versions of the relevant certification documents are used and implemented.

13. APPEALS, DISPUTES AND COMPLAINTS

13.1. The client may appeal any decision by the DCLD-CQPS in accordance with DM-DCLD-RD-IC-0026 - Guidelines-Appeals Disputes and Complaints Procedure.

14. FEES

14.1. The applicant/client shall pay the necessary fees in accordance with DM-DCLD-RD-DP21-8100 (IC) Fee Structure for Technical Approval of Non-Standard Products and the fees related to its approved CABS for any outsourcing activity, where applicable. This may also include subcontracting/outsourcing fees, where applicable.

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. The amended fees shall be published in the DM webpage.

14.4. Paid fees are non-refundable.

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 client on matters resulting from the implementation of the DM Technical Approval of Non-Standard Products Certification System.

15.2. The client 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 Technical Approval Requirements (TAR).

15.3. In case of any dispute, settlement shall be subjected to the arbitration according to the laws and courts of the Emirate of Dubai.

15.4. DCLD-CQPS has all rights and ownership of the certificate, certification scope, audit report, evaluation report, testing report and other audit findings.

15.5. DCLD-CQPS has the right to refuse accepting the application for certification or denying the granting of certification.