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	Document Title:	General Rules for DM Third Party Halal Certification System	عنوان الوثيقة:	
	Doc Ref.	DM-DCLD-RD-DP34-7001 (IC)	رقم الوثيقة :	

DATE	NUMBER	DETAILS
00-06-2017	0	Draft for review and comments
22-06-2017	0	Second draft for review and comments
02-07-2017	1	Issue for use
16-05-2018	2	Revised format in accordance with the unified DM template
08-11-2018	3	Added clause [4.6]
21-05-2019	4	Updated as per new DM logo
03-11-2019	5	Updated as per new numbering and unifying some terminologies
26-01-2020	6	Updated - Include provisions for recertification process. Adding clear statement for documenting the reason(s) for declining an application and communicating the same to the client. Adding provision for short notice audits. Adding clause for reduction of scope. Adding clause for voluntary suspension.
01-03-2021	7	Amend the provision for decision granting and allow option for team of decision makers as an alternative option for Halal Committee. Add reference to provisions for outsourcing as per DM-DCLD-IMS-RD-09 for approved bodies (where applicable). Add reference to the conditions of clause 3 "Granting of The Halal Certification" in the scheme specific rules under clause 6. Adding the option for voluntary withdrawal (Termination) and also for voluntary suspension. Amending the provision for (45) days grace period for payment of fees, and adding the fees of outsourcing whenever applicable. Some additional minor corrections/additions (highlighted).

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1. INTRODUCTION

This document is applicable to the DM Third Party Halal Conformity Certification System of determining conformity with Halal standards. This system corresponds to UAE S. 2055 Standards and consists of: two-stage initial audit, surveillance audit in the first and the second years, and a recertification audit in the third year prior to expiration of certification which is of three years' certification cycle begins with the certification or recertification decision. These stages also contain document review, initial audit testing of the product and raw materials, assessment of the factory quality management system/Halal assurance management system, granting of the certification, and followed by surveillance. A successful applicant is granted a Certificate of Halal Conformity which allows them to use the DCL Halal Conformity Mark on their product. Reference document from Factory Assessment are applicable unless specific reference document is mentioned.

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 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 CERTIFICATE OF HALAL CONFORMITY– a document issued under the rules of a certification system, by which a certification body grants to certified applicants the right to use the DCL Halal Conformity Mark for its products, processes or services in accordance with the rules of the relevant certification scheme
- 2.5 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.
- 2.6 DCL MARK– refers to the DCL Halal Conformity Mark, which is a protected mark applied to a product, 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 UAE Halal Mark – refers to ESMA Halal National Mark, which is owned by them and controlled under Standard UAE S. 2055.
- 2.8 APPLICANT – means the company, organization or individual applying for a Certification and the right to use the DCL Mark.
- 2.9 DM Halal Certification Body – refers to Dubai Municipality - Dubai Central Laboratory Department – Products Conformity Assessment Section (DCLD-PCAS).
- 2.10 HALAL ASSURANCE SCHEME – refers to Halal Assurance Certification related to specific products, processes, or services to which Halal standards and specific rules, and the same procedure apply.

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3. BASIC CONDITIONS FOR GRANTING CERTIFICATE OF PRODUCT CONFORMITY

- 3.1 The basic conditions for granting the certificate of Halal Assurance consist of satisfactory compliance with these General Rules of the certification system, as well as satisfactory compliance with the Specific Requirements of the scheme for the particular product or type of product subject to certification. The final decision for granting the certification by either [the Halal Technical and Islamic Affairs Expert Committee (by unanimous vote of at least three in attendance decision making committee members; two of which are Islamic Affairs experts)] OR [by unanimous vote a selected team of decision makers assigned by DCLD-PCAS (at least three members, two of which are Islamic Affairs Experts); is necessary prior to last approval by Director of DCLD.
- 3.2 DCLD-PCAS 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/client through publication in DCLD-PCAS website.

4. APPLICATION AND PROPOSAL FOR CERTIFICATION

- 4.1 Applications for product certification shall be made on the appropriate Application Form, DM-DCLD-F-IC-7001 for Halal which is available from the DCLD-PCAS.
- 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 system. By signing the application form, the applicant agrees to comply with the Terms and Conditions and these General Rules and the Specific Rules 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 scope and/or location.
- 4.4 The completed Application form shall be submitted to DCLD-PCAS together with the required supporting documents specified in the application form.
- 4.5 Upon receipt and satisfactory results of review of the application, the DCLD-PCAS shall prepare and send a certification proposal to the applicant, giving the terms and fees for providing the certification service.
- 4.6 Conditions for Accepting or Declining application
- 4.6.1 DCLD-PCAS may decline(reject) the application based on below:
- Scope of application is not within the capability of the DCLD-PCAS;
 - The client failed to submit all required information and/or payment of the certification fees on the agreed time;
 - Policies and directions from the legal and relative authorities;
 - Any other reasons decided by DCLD-PCAS as not relevant to accept the application.
- 4.6.2 The reasons for declining the application shall be documented in whichever mean and shall be made clear to the client.

5. INITIAL ASSESSMENT

- 5.1 Upon acceptance of the proposal by the applicant and payment of the initial fees, DCLD-PCAS shall make the necessary arrangements with the applicant for carrying out the initial assessment. The initial assessment stages one and two shall consist of: (1) document review (2) audit of the factory quality management system/Halal assurance management system and factory production control, and (3) initial testing/evaluation/validation of the product/service. In some cases, Fatwa to be asked for specific conditions or new processes.
- 5.2 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, request for a postponement of the initial assessment audit, DCLD-PCAS shall allow only a

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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.

- 5.3 If required, the applicant shall provide DCL audit team a competent interpreter for the duration of the initial factory assessment audit.
- 5.4 Assessment of the organization's food safety management system/Halal assurance management system and factory production control shall be according to the Specific Rules of the scheme and shall be carried out by DCLD-PCAS or by a body approved by it following as applicable the provisions of the reference document for outsourcing, DM-DCLD-IMS-RD-09 "Outsourcing of Certification Activities".
- 5.5 Applicant's food safety management system/Halal assurance management system shall be audited against the requirements of relevant standard.
- 5.6 If testing of product is applicable, sampling and initial testing of the product shall be carried out in accordance with the product standard/specifications requirements or other normative document referenced in the corresponding Specific Rules of the scheme. Ex. Food items: testing will be to ensure meeting food safety and free from Non Halal contaminants.
- 5.7 The tests (if applicable) shall be carried out at Dubai Central Laboratory or at a laboratory approved by DCLD-PCAS. Use of testing facilities outside Dubai Central Laboratory shall be governed by the provisions of the reference document for outsourcing, DM-DCLD-IMS-RD-09 "Outsourcing of Certification Activities"
- 5.8 The DCLD-PCAS shall raise Non Compliance Report (NCR) for the non-compliances found during the factory audit and during product evaluation (if applicable).
- 5.9 Applicant shall submit corrective action plan for all non-compliance (NCR) raised during the initial audit within one 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 six months from date of issue. Under certain situation, and with the agreement of DCLD-PCAS, the NCR may be re-issued (with a new completion date) at the end of the 6 months period; or, the Lead Auditor 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 cancellation of the application and any fees already paid shall be considered forfeited.
- 5.10 After the agreed period for implementation, DCLD-PCAS shall evaluate the evidences of implementation of the corrective actions. If deemed necessary, a follow up visit may be conducted.
- 5.11 If the results of follow up audit indicate that the corrective actions do not meet DCLD-PCAS's requirements, DCLD-PCAS 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.
- 5.12 If the corrective actions are satisfactory, the issued NCR's shall be closed.
- 6. GRANTING THE CERTIFICATE OF HALAL CONFORMITY**
- 6.1 When the results of the initial assessment demonstrate that the requirements of the General and Specific Rules and the product standard specifications (and other applicable normative documents) are met, then DCLD-PCAS shall issue the Certificate of Halal Conformity upon satisfying the following conditions:
- 6.1.1 The conditions of clause 3 "Granting of The Halal Certification" in the scheme specific rules have be fulfilled satisfactorily.

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- 6.1.2 The client has paid 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, this period might be extended by DCLD-PCAS if the reasons for extensions from the client are justifiable; otherwise DCLD-PCAS may opt to cancel the application and any fees already paid is considered forfeited.
- 6.1.3 The client has submitted a product marking proposal for approval. The marking proposal shall comply with the guidelines issued by DCLD-PCAS.
- 6.1.4 The client has implemented an internal quality assurance plan to ensure that the product covered by the certification continue to satisfy the requirements of the Specific Rules and the standard specifications.

6.2 The Certificate of Halal Conformity shall be issued together with a Scope of Certification giving details of the product covered by the certification. The Certificate of Halal Conformity shall be for a specific factory location only.

6.3 The Certificate of Halal Conformity is valid for three years and can be renewed upon continuing satisfactory compliance with the requirements as verified during surveillance and re-certification audit (Refer to clause 8 and 9 below). Renewal shall proceed only upon signing the proposal for renewal of certification as well as payment of due fees.

6.4 A Certificate of Halal Conformity is non-transferable.

7. EXTENDING THE SCOPE OF THE CERTIFICATION AND SHORT NOTICE AUDITS

7.1 The client can extend the certification to other types of products made in the same factory to the same Specific Rules and Standard for which the certification is already granted.

7.2 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. In this case, a separate application shall be submitted.

7.3 If the client wishes to apply for certification to the same product in another factory, the application will be treated independently and the complete assessment shall be carried out. A separate Certificate shall be issued for such application.

7.4 DCLD-PCAS may carry audit of client at a short notice to investigate complaints or in response to changes or as follow up on suspension. All conditions under which the short notice audit to be conducted shall be communicated to the client in accordance with the requirements of the specific rules and procedures of certifications

8. SURVEILLANCE

8.1 DCLD-PCAS shall carry out surveillance visits in accordance with DM-DCLD-RD-DP34-7002 (IC), in order to assess the continuing compliance of the food safety management system/Halal assurance management system, and (if applicable) shall take samples of products bearing the mark, either from the manufacturing premises or from the open market for independent testing in accordance with the surveillance plan.

8.2 During surveillance visits, DCLD-PCAS shall check the client's compliance with the factory internal quality assurance plan. DCLD-PCAS may require an increase in the frequency of checking in the internal quality assurance plan if any failure is found among samples bearing the Mark.

8.3 Any non-compliance found during the surveillance audit shall be issued with non-compliance report to be returned back to the Certification Body with proposed corrective action within one month from the date of issue. Completion of corrective actions shall be made as per agreed period of time but not exceeding one month (from acceptance of the proposed action) unless there is valid justification for a longer rectification period.

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8.4 In addition to the surveillance visits mentioned in the Specific Rules, DCLD-PCAS 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 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.

9. RECERTIFICATION

9.1 The certified clients should notify DCLD-PCAS if they intend to renew their certification; however PCASM may accept the client's notification if it was forwarded any time within the six month period before the end of validity of the certificate; if it was justifiable by the client.

Renewal shall be based on the following:

- The certified client continues to comply with the requirements of the General Rules, applicable Specific rules, as evidenced by the results of the surveillance visits;
- The certified client has paid the renewal and other applicable fees.

9.2 A new proposal for the renewal of certification shall be prepared and sent to client for confirmation / acceptance. Upon acceptance and upon payment a new certificate of product conformity shall be issued

9.3 Recertification audit shall be carried out in the third year of certification prior to the expiration of certification during renewal of the three years-certificate . It is aimed to evaluate the continued fulfillment of all of the requirements of PCAS Halal's certification rules and requirements. It shall include review of previous surveillance audit reports during the period of certification.

9.4 The recertification audit shall include an on-site audit that addresses the effectiveness and improvements of the management system and achievements of the policies and objectives within the certified .

9.5 The decisions on renewing certification is subject to satisfactory results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

9.6 In situations where major changes in the management system of the certified client, recertification may need to have a stage 1 audit.

10. USE OF THE DCL MARK

10.1 Upon obtaining the certification, the client is granted the right to use the DCL Halal Conformity Mark on the products covered by the scope of certification, in accordance with the approved product-marking proposal. If there are requirements related to the mark in the Specific Rules, these requirements shall be satisfied.

10.2 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 DCLD-PCAS may consider as misleading.

10.3 The client shall comply with the guidelines for the use of the Mark as per DM-DCLD- IMS-RD-13 and any other guidelines that may be issued for specific products.

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11. PUBLICITY FOR CERTIFIED PRODUCTS

- 11.1 The DCLD-PCAS shall maintain and publish a Register of Halal Certified Products. The information in the register shall include, as a minimum, the name of the client, 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 in addition to current status and validity of the certificates.
- 11.2 The DCLD-PCAS shall, within its power, take the necessary action to market and promote the DM Third Party Halal Conformity Certification System through any means available.
- 11.3 The client has the right to publish and advertise that he has been granted the Certificate of Halal Conformity to use the DCL Halal Conformity 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.

12. SUSPENSION, WITHDRAWAL, TERMINATION AND REDUCING THE SCOPE OF CERTIFICATION

- 12.1 A certification may be suspended, terminated or withdrawn under the conditions specified in the procedure for suspension, termination and withdrawal of Certification, DM-DCLD-IMS-RD-07.
- 12.2 When the client has persistently or seriously failed to meet DCLD-PCAS rules and certification's requirements for any parts of the scope of certification. The scope of certification of a client shall be reduced to exclude those parts subject to the decision and approval of PCASM.
- 12.3 The certified client has the right to voluntarily request a suspension, DCLD-PCAS shall review the request and take the necessary actions accordingly, the voluntary suspension can be lifted upon mutual agreement between the client and DCLD-PCAS.
- 12.4 Similarly, the client may opt to voluntarily withdraw the certification at any time during the validity of the certificate; the conditions for termination of certificate as per DM-DCLD-IMS-RD-07 shall be applied accordingly.

13. REVISION OF RULES AND STANDARDS

- 13.1 The DCLD-PCAS has the right to change these General Rules and any Specific Rules issued for certification scheme. The client shall regularly check the DCLD 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.
- 13.2 If the applicable standards or normative documents are revised or replaced such that the compliance of the product is affected, the certification will be renewed only if the client agrees to fulfill the requirements of the new standard or normative documents. DCLD-PCAS shall issue the procedures, the transition schedule, and other instructions for the implementation of the revised or replaced documents.
- 13.3 If the revision(s) on the standard or normative document do not affect the compliance of the product with the requirements, the Certificate of Halal Conformity will be automatically updated to the new standard at the time of renewal.

14. FEES

- 14.1 The client shall pay the necessary fees in accordance with the Schedule of Fees issued by the DCLD-PCAS in addition to any outsourced activity fees; whenever applicable.

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14.2 DCLD-PCAS 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-PCAS reserves the right to amend the Schedule of Fees if necessary. The amended fees shall be published in the DCL webpage.

14.4 Paid fees are non-refundable.

15. APPEALS

15.1 The client may appeal any decision by DCLD-PCAS in accordance with the Appeals Disputes and Complaints procedure, DM-DCLD- IMS-RD-08.

16. LIABILITY/DISCLAIMER

16.1 DCLD-PCAS 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 Third Party Certification System.

16.2 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 standard or the normative document referred to in the Specific Rules.

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