

			
	POLICY		
	Legal Management and Compliance Assurance		
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Legal Management and Compliance Assurance Policy

1. Purpose

The purpose of this policy is to ensure that the Centre complies with all applicable federal and Emirate-level laws, regulations, licensing requirements, and regulatory standards governing its operations. The Centre is committed to maintaining full legal compliance through systematic monitoring of legislative changes, effective management of regulatory obligations, timely reporting, and continual improvement of its services.

2. Scope

This policy applies to all members of the Board of Directors, management, employees, consultants, volunteers, contractors, and any individual acting on behalf of the Centre.

3. Policy Statement

The Centre recognises that compliance with statutory and regulatory requirements is fundamental to providing safe, ethical, and high-quality educational, rehabilitation, therapeutic, and administrative services.

The Centre shall maintain an effective legal compliance system that identifies applicable legal requirements, monitors changes in legislation, ensures implementation of regulatory updates, promptly addresses instances of non-compliance, and continuously improves its operations based on regulatory findings and recommendations.

4. Regulatory Authorities

The Centre shall maintain compliance with the requirements, directives, licensing conditions, and regulatory frameworks of all relevant authorities, including but not limited to:

- Community Development Authority (CDA)
- Ministry of Community Empowerment (MOCE)
- Dubai Health Authority (DHA)
- Roads and Transport Authority (RTA)

			
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- Dubai Land Department (DLD)
- Dubai Municipality
- General Directorate of Residency and Foreigners Affairs (GDRFA)
- Salik
- Department of Finance
- Islamic Affairs and Charitable Activities Department (IACAD)

The Director shall ensure that the Centre remains informed of new legislation, revised regulations, circulars, directives, and compliance requirements issued by these authorities.

A. Monitoring Legislation and Policy Updates

Policy

The Centre shall maintain a structured process for identifying, recording, assessing, and implementing changes in legislation and regulatory requirements that may affect its operations.

Procedures

1. The Director or designated Compliance Officer shall monitor official communications, circulars, regulatory bulletins, licensing requirements, and policy updates issued by all relevant government authorities.
2. A **Legal and Regulatory Compliance Register** shall be maintained and updated whenever:
 - new legislation is introduced;
 - existing regulations are amended;
 - licensing requirements change;
 - official circulars or directives are issued.
3. The Compliance Register shall record:

			
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- Regulatory authority
 - Relevant law, regulation, circular, or directive
 - Date issued
 - Summary of the requirement
 - Departments affected
 - Required actions
 - Person responsible
 - Date implemented
 - Verification of compliance
4. The Director shall review the Compliance Register at least quarterly to ensure that all regulatory changes have been appropriately addressed.
 5. Where changes affect operational practices, the Centre shall:
 - revise policies and procedures;
 - update forms and documentation;
 - provide staff training where necessary;
 - communicate changes to relevant stakeholders.
 6. Evidence of implementation shall be maintained for audit and inspection purposes.

B. Handling Regulatory Violations

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The Centre shall promptly identify, investigate, document, report, and rectify any regulatory non-compliance while implementing preventive measures to minimise recurrence.

			
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Procedures

1. All employees have a responsibility to report actual or suspected regulatory violations immediately to their supervisor or the Director.
2. Every regulatory violation shall be recorded in a **Regulatory Compliance and Violations Register**.
3. The register shall include:
 - Date of occurrence
 - Regulatory authority involved
 - Description of the violation
 - Root cause
 - Immediate corrective action
 - Preventive action
 - Responsible person
 - Completion date
 - Outcome of follow-up review
4. The Director shall investigate all violations and determine whether notification to the relevant regulatory authority is required.
5. Corrective actions may include:
 - policy revisions;
 - process improvements;
 - staff retraining;
 - additional supervision;

			
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- internal audits;
 - disciplinary action where appropriate.
6. Trends in regulatory violations shall be analysed during Management Review meetings to identify systemic issues and opportunities for continual improvement.
 7. Lessons learned from inspections, audits, regulatory observations, complaints, and violations shall be incorporated into the Centre's quality improvement initiatives.

C. Legal Reporting and Transparency

Policy

The Centre shall maintain accurate, transparent, and timely reporting of all legal and regulatory matters while protecting confidential information and complying with applicable privacy legislation.

Procedures

1. The Centre shall maintain complete records of:
 - licences and permits;
 - inspections;
 - audits;
 - regulatory correspondence;
 - compliance reports;
 - violations and corrective actions;
 - legal notices;
 - statutory submissions.
2. All mandatory reports and statutory returns shall be submitted accurately and within prescribed timelines.

			
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3. Significant regulatory findings, compliance risks, legal matters, and unresolved violations shall be reported to the Board of Directors.
4. During inspections, audits, and regulatory reviews, the Centre shall provide complete, accurate, and timely information to authorised government representatives.
5. Compliance performance shall be reviewed at least annually to:
 - evaluate compliance with applicable legislation;
 - review trends in regulatory findings;
 - assess implementation of corrective actions;
 - identify opportunities for improving governance and service quality.
6. The Centre shall use findings from regulatory inspections, audits, and compliance reviews as opportunities to strengthen systems, improve service delivery, and enhance organisational performance.

Documentation and Records

The Centre shall maintain:

- Legal and Regulatory Compliance Register
- Regulatory Compliance and Violations Register
- Register of Licences and Permits
- Regulatory Correspondence File
- Audit and Inspection Reports
- Corrective and Preventive Action Records
- Legislative Review Records
- Staff Training Records relating to regulatory changes

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- Board Reports on Compliance

Review

This policy shall be reviewed every two years or earlier if legislative or regulatory changes require amendment.

Appendix – Amendment History & Authorisation

Revision No	Description of Change	Issue Date	Authorised By
00	First Issue	27 August 2026	Director