



Australian Government

Department of Infrastructure, Transport,  
Regional Development and Communications



# Road Vehicle Standards



Guide to component type approvals  
April 2020

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# Introduction

## What is the Road Vehicle Standards (RVS) legislation and what will change for road vehicle components?

The regulation of component type approvals is key to the Australian Government's ability to ensure Australians are provided with safe, secure and environmentally-friendly road vehicles.

This is because component type approvals may be used to demonstrate evidence of compliance with applicable national road vehicle standards by applicants for a road vehicle type approval or approval of a Model Report.

The Road Vehicle Standards Act 2018 (RVSA) is replacing the Motor Vehicle Standards Act 1989 (MVSA) and is being implemented by the Department of Infrastructure, Transport, Regional Development and Communications (the department).

The detail of how the new regulatory framework will operate is contained in subsidiary legislation, the Road Vehicles Standards Rules 2019 (the Rules). The RVSA and other related legislation is collectively referred to as the Road Vehicle Standards legislation (RVS legislation).

The regulation of component type approvals in the RVS legislation takes a new approach to the treatment of Component Registration Numbers (CRN) and Sub-Assembly Registration Numbers (SARN) registered in the Road Vehicle Certification System (RVCS).

Under RVS legislation component type approvals relate to components that are intended for use in:

- the manufacture of a road vehicle that has a vehicle type approval; or
- the manufacture or modification of a road vehicle in accordance with an approved Model Report.

An application for the grant of a component type approval may be made in relation to a:

- single component; or
- system consisting of multiple components (assembly).

A component type approval cannot be used to supply completed vehicles as a road vehicle component. Importantly, an approved road vehicle component cannot be added to the Register of Approved Vehicles (RAV).

It is not intended that all components or systems that could be used in a road vehicle will be subject to requiring a component type approval. If the road vehicle component is intended primarily for general sale directly to consumers, the department would not expect the component would be approved under RVS legislation.

If granted, a component type approval facilitates applicants seeking a road vehicle type approval or approval of a Model Report to demonstrate that vehicles fitted with components covered by a component type approval comply with the applicable national road vehicle standards.

Other application processes under RVS legislation that reference a component type approval to demonstrate compliance can have confidence that a sufficient level of scrutiny has already occurred in the granting of the component type approval.

Registrations in RVCS for CRNs and SARNs may apply for approval of a road vehicle component or system under RVS legislation to continue to supply components.

Under RVS legislation component type approval holders will have important responsibilities to ensure ongoing compliance.

Applications for component type approvals can be submitted once a commencement date has been confirmed – likely to be in the second half of 2020.

## What is a road vehicle component?

Section 7 of the Road Vehicle Standards Act 2018 (RVSA) defines a road vehicle component as:

- a component used in the manufacture of a road vehicle, including an assembly.<sup>1</sup>

Components that are road vehicle components under the RVSA are intended to cover:

- a component that is capable of being assessed for compliance with a national road vehicle standard or an equivalent standard
- an assembly of one or more components that is capable of being assessed for compliance with the applicable national road vehicle standards or equivalent standards.

Importantly, the component or assembly is of a kind that is capable of being assessed for compliance with a relevant standard only if the standard provides for the assessment of that particular kind of component or assembly and independent from an assessment of a broader system of the vehicle.

The Rules allow a person to seek approval of a road vehicle component or system of a particular type intended for:

- use in the manufacture of a road vehicle that has a vehicle type approval; or
- for manufacture or modification of a road vehicle in accordance with an approved Model Report.

An incomplete road vehicle may be eligible for a component type approval if it:

- is an assembled part of a vehicle
- resembles a vehicle that doesn't comply with all applicable standards but could be made to comply with road vehicle standards with further components
- cannot obtain a road vehicle type approval on its own.

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<sup>1</sup> An assembly may be a combination of components that when combined constitute a road vehicle component.

### Examples of components that **ARE** road vehicle components:

A reverse lamp that meets the test requirements of ADR 1/00 or the alternative standard set out in the ADR. This is because it is a component that can be tested against the requirements set out for that component in one or more ADRs.

A bus seat that meets the requirements set out in ADR 68/00 for seats. The seat must meet the test requirements for the seat, the mountings, seat belts and child restraint anchorages (as applicable). This is because it is a component that can be tested against the requirements set out for that component in one or more ADRs.

The control system, foundation brakes, and suspension system that may be used in conjunction to form a braking system that meets the test requirements of ADR 38/--, or as individual components. This is because it is a component that can be tested against the requirements set out for that component in one or more ADRs.

Importantly, components that cannot be assessed for compliance with an applicable national road vehicle standard or where there are no national road vehicle standards or equivalent standards that apply to a particular component, are not road vehicle components under RVS legislation.

### Examples of components that are **NOT** road vehicle components:

The retainers used to affix an ADR 1/00 compliant reverse lamp. These components cannot meet the test requirements of an ADR.

An airbag assembly fitted to a vehicle that complies with the occupant protection ADRs. The airbag alone cannot satisfy the test requirements set out in the relevant ADRs.

A brake pad set fitted to an ADR 31/-- 35/-- compliant vehicle. The pads alone cannot satisfy the test requirements set out in the relevant ADRs.

### Treatment of a cab chassis vehicle

Importantly, a cab chassis vehicle is not eligible for a component type approval. Cab chassis vehicles must be entered on the RAV via the type approval pathway. A cab chassis vehicle may be granted a type approval on the basis that it substantially complies with the applicable national road vehicle standards and the vehicle's non-compliance is only in minor and inconsequential respects.

### Who can apply for approval of a road vehicle component?

A person, being an individual or company, may apply for approval of a road vehicle component of a particular type. This can include a representative of the company or agent acting on behalf of the applicant, however they must have the authority to do so.

If an agent or representative submits the application on behalf of the applicant, they must have the relevant documents, authority to act, and information required for the application.



It is the named applicant, not the agent or representative, who will be the holder of the component type approval, and who remains responsible for meeting all of the conditions within the approval, if granted.

Penalties may be applied where false or misleading information is submitted or where the conditions of the component type approval are not met.

## Why do I need a component type approval?

It is a requirement under RVS legislation for component type approval holders to ensure that before a road vehicle component covered by the approval is provided for use or installation, the road vehicle component complies with the applicable national road vehicle standards in force at the time of the approval.

Where a road vehicle component covered by an approval has been provided to a third party and used to demonstrate compliance for a vehicle type approval or approval of a Model Report, the applicants for those approvals will then not be required to provide:

- the supporting information relevant to the component type approval as it has already been addressed by the conformity of production details when assessed as part of the component type approval process;
- access to premises to address issues with components covered by the approval.

## When does a component type approval need to be used?

Applicants for a vehicle type approval or approval of a Model Report may use a road vehicle component, including an assembly, that is covered by a component type approval in the manufacture or modification of a road vehicle.

A component type approval may be used as one form of evidence to demonstrate compliance with applicable national road vehicle standards for vehicle components used in the manufacture or modification of road vehicles. In these instances, the component type approval must be approved and in force under RVS legislation.

## What IT system do I need to access?

The department uses an online IT service, known as ROVER (the Road Vehicle Regulator system), integrating all activities and approvals under the RVS legislation.

### Creating a user account in ROVER

Before an application can be submitted, an applicant or their representative must first create an account in ROVER.

The process to create an account for agents or representatives also requires details about the company or individual they will be making the application on behalf of.



When an applicant's representative has an authority to act on behalf of the applicant, the representative must upload documentation (for example, a letter) that states that the agent or company employee is authorised to act on behalf of the applicant.

This verification process may occur at the time of registering in ROVER or when the representative first submits an application on behalf of an already registered applicant.

Further guidance will be made available about creating an account in ROVER when finalised.

## What information do I need to provide in the application?

To apply for a component type approval, you must complete the online application form and provide or upload the required information so that your application can be assessed.

Importantly, the Secretary needs to be satisfied that the applicant meets all of the eligibility criteria under section 177 of the Rules. This means that the applicant:

- can demonstrate compliance with the applicable road vehicle standards, or substantial compliance, and any non-compliance is only in minor and inconsequential respects
- has control over the design, componentry and manufacturing process or can demonstrate access to the same controls through a commercial agreement, including control over any changes relating to the design, componentry and manufacturing process
- can assure the design, componentry and manufacturing process will consistently produce the component or system
- can allow or arrange inspection of the premises or components used in the manufacturing process for the purposes of compliance with the applicable road vehicle standards and other requirements under RVS legislation
- will be able to access the original and subsequent versions of the **supporting information** for the approval and provide any required information about it to the Secretary for the period the approval is in force and for a further seven years after it expires
- will maintain accuracy and currency of the **supporting information** for the period the approval is in force
- will comply with all of the conditions that the approval will be subject and any other requirements under RVS legislation.

The definition of **supporting information** under section 5 of the Rules, in relation to the design and componentry of each road vehicle component covered, or to be covered, by a component type approval – means the information that sets out every aspect of vehicle component design and manufacture (including the source material, manufacturing process and equipment used in that process).

Suitable information to be provided as supporting information for a road vehicle component type approval may include, but not be limited to:

- test reports, UN approval documents or documents providing assurance of compliance to an alternative standard listed in the ADRs providing assurance that the road vehicle component meets the national standards
- certification compliance documentation
- quality management system manuals or overviews related to the facility that designs and manufactures the road vehicle component
- materials, invoices and specification documents for any materials used in the manufacture of the road vehicle component
- procedures for the manufacture and design of the road vehicle component
- design drawings and specification documentation for the road vehicle component.

The information provided in your application enables the department to:

- identify the person who is applying and would be granted the approval
- assess whether you (or any key management personnel) have contravened, or may have contravened, road vehicle legislation
- assess the level of control, or access, you have for the design, componentry and manufacturing processes of the vehicle component type or assembly/system
- assess whether you are capable of complying with all of the standard and any specified conditions the component type approval will be subject
- if granted, use details provided to publish your component type approval on the department's website.

When applying for a component type approval you will be required to:

- declare that you meet the eligibility criteria
- provide supporting documentation relating to the eligibility criteria
- identify the applicable national road vehicle standards (ADRs) relevant to the road vehicle component or assembly/system
- provide supporting documentation and information to demonstrate compliance with the applicable national road vehicle standards (ADRs).

The information submitted in the application is required under paragraph 174(2)(a) of the Rules as part of the approved form and is reviewed when considering whether to grant or refuse a component type approval.

**Table 1 Information you need to provide when applying for approval of a road vehicle component**

Features of the application process	What do you need to do or provide?
Who is seeking approval of the road vehicle component?	<p>Name, address and contact details of the applicant. It is the named applicant who will be the holder of the component type approval, and responsible for meeting the conditions within the approval.</p> <p>If an individual is applying, the details will be populated from the ROVER registration system.</p> <p>If a company is applying additional details such as ABN, ACN or certificate of incorporation (if located outside Australia) will be populated from the ROVER registration system.</p>
Who is completing the application?	<p>If you are not the applicant, but a representative or agent of the applicant then you will need to have relevant documents authorising you to act on behalf of the applicant.</p>
What is the address and contact details where the road vehicle component is designed and manufactured?	<p>Provide the location address and contact details of the place/s where the road vehicle component is designed and manufactured.</p> <p>This will allow the department access to premises for inspection purposes in deciding the application and for ongoing compliance monitoring activities of the component type approval, if granted.</p>
Is the road vehicle component for a bus chassis, trailer braking system or diesel engine?	<p>Select from a drop down list of: (please note that this list is subject to review and finalisation):</p> <ul style="list-style-type: none"> <li>• Bus chassis</li> <li>• Trailer braking system</li> <li>• Diesel engine</li> </ul> <p>Selection of one of the above will require specific technical information submitted with the application to enable a data sheet to be created and published (optional) with the component type approval, if granted, on the department's website.</p> <p>See also <a href="#">Bus chassis requirements</a> and <a href="#">Data sheets</a>.</p>
What are the identification details of the road vehicle component?	<p>Provide details about the road vehicle component;</p> <ul style="list-style-type: none"> <li>• Make; and</li> <li>• Model; and</li> <li>• a variant identifier if applicable.</li> </ul> <p>Note: if multiple variant details are provided, they must all meet the scope covered by test evidence and a data sheet may be required.</p>



Features of the application process	What do you need to do or provide?
<p>If you are the holder of a Component Registration Number (CRN) or Sub-Assembly Registration Number (SARN) in RVCS do you wish to have continuity of that registration number incorporated within your vehicle component type approval number?</p>	<p>Indicate by ticking Yes or No that you wish to use your CRN or SARN registration incorporated in your component type approval number.</p> <p>If Yes, provide the CRN or SARN registration number. If No, you will be given a component type approval number generated from ROVER.</p>
<p>What level of control do you have over all stages of design and production of the vehicle component?</p>	<p>You will need to indicate that you have one of the following:</p> <p><b>Control</b> over all stages of design, componentry and manufacture.</p> <p>By declaring you have <b>control</b>, we will expect that there is a quality management system in place.</p> <p>If indicated, an upload of the following supporting documentation is required for assessment by the department:</p> <ul style="list-style-type: none"> <li>➤ a copy of your ISO 9001 accreditation, if held, issued by an authority and that has a scope relevant to the design and manufacture of the road vehicle component; or</li> <li>➤ a Quality Management System (QMS) Summary document (see <a href="#">Table 2 details expected in a QMS Summary document</a>). Only a summary version of the quality management system in place is required to be submitted with your application. The full QMS must be available if requested by the Secretary after submitting your application or after the approval is granted.</li> </ul> <p>Or that you have:</p> <p><b>Access</b> to information relating to all stages of the design, componentry and manufacture, and to changes that may affect the component’s compliance with applicable road vehicle standards.</p> <p>By declaring that you have <b>access</b> to information we expect you will have a copy of the commercial agreement that you have in place with the manufacturer of the road vehicle component.</p> <p>Where indicated, upload a copy of the commercial agreement. The commercial agreement must:</p>

Features of the application process	What do you need to do or provide?
	<ul style="list-style-type: none"> <li>➤ provide the applicant with access to the design, componentry and manufacturing documentation for the road vehicle component; and</li> <li>➤ include access to the quality system documentation and any information relating to the design change control of the road vehicle component.</li> </ul>
<p>Are you able to demonstrate compliance with the applicable national road vehicle standards, including the extent of the compliance, relating to the vehicle component?</p>	<p>Choose from a drop down list each ADR that the vehicle component needs to comply with and indicate that the extent of the compliance either:</p> <ul style="list-style-type: none"> <li>• fully complies with the applicable national road vehicle standards; or</li> <li>• substantially complies with the applicable national road vehicle standards in force at the time.</li> </ul> <p>If you indicate the vehicle component substantially complies with the ADR, you will need to provide detailed information that nature and extent of the non-compliance is in only minor and inconsequential respects.</p> <p>For each ADR selected you will need to provide information and upload relevant documents as required to demonstrate compliance with the applicable national road vehicle standards. The information you may be required to provide may include:</p> <ul style="list-style-type: none"> <li>• results of testing conducted or held by an approved testing facility under the RVS legislation</li> <li>• an approval or other document issued by a contracting party to the 1958 Agreement (i.e. United Nations approvals)</li> <li>• a document that confirms compliance to an alternative standard that is covered in the applicable ADR.</li> </ul>
<p>Do you wish to specify a future date that the approval, if granted, will become effective?</p>	<p>The applicant may wish to specify a future date the component type approval, if granted, is to become effective.</p> <p>The date specified must be at least 60 business days after the date the application is submitted.</p>
<p>Have you contravened, or may have contravened road vehicle legislation?<sup>2</sup></p>	<p>Indicate by ticking Yes or No.</p> <p>If Yes, then a statement about occurrences will need to be added.</p>

<sup>2</sup> Contravention of road vehicle legislation would include a court ruling being given, whereas may have contravened is where the department has evidence that the person has contravened road vehicle legislation



Features of the application process	What do you need to do or provide?
<p>Has any member of the key management personnel of the applicant contravened or may have contravened road vehicle legislation?</p> <p><b>Key Management personnel</b>, of a body corporate means persons who have authority and responsibility for planning, directing and controlling the activities of the body corporate (whether directly or indirectly) and includes any director (whether executive or otherwise) of the body corporate.</p>	<p>Indicate by ticking Yes or No.</p> <p>If Yes, then details about the key management personnel and a statement about occurrences will need to be added.</p>
<p><b>Declaration</b></p> <p>Do you understand the intended use of the vehicle component?</p> <p>Have you provided all of the evidence required to demonstrate compliance with the applicable national road vehicle standards?</p> <p>Will you be able to arrange for the Secretary or inspector to inspect the premises where the vehicle components are produced?</p> <p>Have you uploaded all of the required supporting information relevant to the application?</p> <p>Are you able to access the original and subsequent versions of the supporting information whilst the approval is in force and for 7 years after it expires, or is revoked?</p> <p>Are you able to keep the supporting information up to date whilst the approval is in force?</p> <p>Will you be able to provide further specified information to the Secretary when requested?</p> <p>Will you comply with the component type approval conditions that apply?</p> <p>Will you be able to comply with any specified conditions in the approval, if granted?</p> <p>Do you understand the Secretary may refuse to consider the application, and that other considerations may be taken into account in deciding the application?</p>	<p>Indicate by ticking a declaration box that the applicant, or the person authorised to make the declaration on behalf of the applicant, agree to all of these questions and by checking the declaration box, you acknowledge that you have signed the declaration.</p> <p>See also what complying with the conditions of your approval means under the heading <a href="#">Conditions of approval</a>.</p> <p>See also the obligations of a component type approval holder under the heading <a href="#">Approval holder responsibilities</a>.</p> <p>See also the department's monitoring and enforcement responses under the heading <a href="#">Complying with your responsibilities</a>.</p>

Features of the application process	What do you need to do or provide?
Do you acknowledge that penalties are applicable for false or misleading information?	

## Supporting documents that you must have

You must be able to demonstrate that you have full control, or access to information over all stages of the design, componentry and manufacture of the road vehicle component. If you indicate you have full control, the department will expect you to have a Quality Management System (QMS) or have been accredited by the relevant international certification body and hold a valid ISO 9001 certificate with relevant scope that covers the road vehicle component.

In the case of a QMS, the department does not expect the full QMS to be uploaded and submitted with the application, but we would expect a QMS Summary document to be uploaded and submitted with the application, where indicated. The expected content of a QMS Summary document is covered in Table 2 below.

You must still have available the full QMS as it may be subsequently requested during the assessment process, that is after your application has been submitted. This means that a full QMS may need to be provided if requested by the Secretary, either in deciding the application or after the grant of the approval.

For details about the expected content of a full QMS, please see Attachment A.

If you indicated that you have control through access to information about the manufacturer's quality management system and design change control, you will be expected to upload a copy of the commercial agreement, contract or written advice that confirms your agreed level of access with the manufacturer.

All documents that you are required to upload with the application or requested by the Secretary after the approval is granted must be in English.

### Relevant ISO 9001 accreditation certificate

The ISO 9001 series provides the quality assurance framework for the design and manufacturing processes within an organisation to operate effectively and ensure that all components will meet requirements, including design change control.

An ISO 9001 certificate is not a requirement under RVS legislation, however where an ISO 9001 certificate is held you must ensure that it is current and the scope of the certification is relevant to the design and manufacture of the road vehicle component.

## QMS Summary document

Where a copy of an ISO accreditation is not provided, a QMS must be available. However, the department does not expect the full QMS document to be uploaded and submitted with your application, but rather a summarised version of your QMS is more efficient to decide your application.

A QMS Summary document should contain an overview of the full QMS, but must include sufficient details on the design controls, componentry used in production and the production processes used in the manufacture of the road vehicle component.

If the QMS Summary document does not provide sufficient information to enable the Secretary to be satisfied that eligibility criteria can be met, a request will be made to submit the full QMS document. The extent of details required within a QMS Summary document may be dependent on the type and complexity of the component and would generally provide briefer content of the full QMS. Details that may be included in a QMS Summary document are provided in Table 2 below.

**Table 2** Details expected within a QMS Summary document

QMS Summary Heading	Expected content
Overview of the scope and function of the QMS	Provide a brief description about the purpose of the QMS. This needs to be specific to the road vehicle component or the assembly the subject of the application for approval.
Responsibilities of personnel	Provide an overview of any personnel engaged by the applicant and their responsibilities relevant to the control stages of the design, componentry and manufacture of the component or assembly.
Systems review	Provide a brief description of the processes that ensure systems are regularly reviewed to maintain effectiveness.
Internal audits	Provide a brief description of the process that outlines the scope and frequency of internal audits to be conducted by the applicant.
Field service feedback and recall procedures	Provide a brief description of the process that outlines how the applicant maintains records on faults or issues reported on vehicles/components and what rectification processes are undertaken, including procedures for the voluntary recall due to safety or non-compliance issues.
Engineering documentation	Outline the process for the management of engineering documents, drawings, specifications, relating to the manufacture of the component.
Purchasing	Provide brief details about the system used by the applicant to control the purchase of componentry and/or materials for the design and manufacture of the vehicle component.

QMS Summary Heading	Expected content
Approved vendors register	Outline the process the applicant uses to register, including the criteria used to select the sources of goods and services related to the vehicle component or assembly.
Manufacturing procedures	Outline the manufacturing processes undertaken by the applicant that aligns with engineering documentation and the types of tools and equipment used to manufacture the vehicle component.
Material control and storage	Provide brief details about the system used by the applicant to ensure that only specified componentry or materials are provided to the manufacturing premises for the vehicle component or assembly being manufactured, including how defective, non-compliant or incorrect componentry is quarantined from the manufacture of the vehicle component or assembly.

### Written agreement to access information

When the level of control over all stages of design and production of the vehicle component is by access to information, the features the department would expect within a written agreement to access the required information includes:

- the component or system that the component type approval will cover
- the relevant parties to the agreement
- the component or system will be manufactured by the other entity
- confirmation that the component type approval applicant has access to the design and manufacturing information, and the inclusion of design and manufacture change management oversight
- the component type approval applicant has access to information and can arrange physical inspection of the design, componentry and manufacturing processes to support the component type approval holder's record keeping and to satisfy requests for information or inspection by the Secretary
- the component type approval applicant has access to QMS documentation, engineering documentation, test evidence, change management processes and procedures that maintain compliance with the applicable ADRs
- the component type approval applicant has access to documentation that the component will consistently meet compliance with the applicable ADRs.

## Compliance with applicable national road vehicle standards

Under paragraph 177(1)(a) and subsection 177(3) of the Rules the Secretary must be satisfied that the type of road vehicle component complies, or substantially complies, with the applicable national road vehicle standards, as in force at the time the approval is granted. If you nominate a future start date of the approval, compliance must be demonstrated against the nominated ADR's commencement date.

To demonstrate evidence of compliance with the applicable road vehicle standards we expect you to address requirements according to automated processes in ROVER when the application is made, or within component type approval specific evidence-forms. Details of the requirements are covered in Table 2 below.

Table 3 How compliance against ADRs is demonstrated

Evidence type	How ROVER operates	What is expected of the applicant
Applicable ADR	<p>The applicant will be able to select from menus within the application form each of the applicable ADR/s.</p> <p>For each ADR certain information will need to be provided to demonstrate compliance.</p> <p>The form of information provided will be dependent on the complexity of each ADR and may require more detailed and specific information with formulas, calculations, uploads and mandatory fields.</p> <p>Where an applicant seeks approval for a bus chassis (BC), diesel engine or vehicle braking system component types, the applicant must also provide the specifications that will form a datasheet that will be created and published with the approval, if granted.</p> <p>See also further detail about <b>Bus chassis (BC) requirements</b> under the separate heading below.</p> <p>You will also need to select whether the road vehicle component is:</p> <ul style="list-style-type: none"> <li>○ fully compliant with national road vehicle standards, or</li> </ul>	<p>The applicant must be able to provide information to demonstrate compliance for each applicable ADR, as required by the selections made in the application.</p> <p>Results from testing must be from an approved testing facility under RVS legislation.</p> <p>Road vehicle component selection for testing must follow the detailed instructions of how to select the worst case. Refer to the department's RVS External Guidance General Procedures xx/xx - <a href="#">Selection of Vehicles and Components for ADR Compliance Testing</a> (under review)</p> <p>If you have selected substantially compliant, you will need to upload relevant documentation that supports that the non-compliance is in only minor and inconsequential respects.</p> <p>See also <a href="#">Table 4 Expectations against eligibility criteria and other considerations</a>.</p> <p>Failing to provide relevant and sufficient information may result in the:</p>

Evidence type	How ROVER operates	What is expected of the applicant
	<ul style="list-style-type: none"> <li>substantially compliant with national road vehicle standards.</li> </ul> <p>If substantially compliant is selected then an indicator must be ticked that the non-compliance is in only minor and inconsequential respects.</p>	<ul style="list-style-type: none"> <li>assessment process being extended due to the requirement to request further information</li> <li>application being refused to be considered, or</li> <li>application being refused to be granted an approval.</li> </ul>
1958 Agreement	<p>Within each evidence form the applicant can select that an approval under the 1958 Agreement is being used to demonstrate compliance and an upload of the document must be made and submitted with the application.</p>	<p>The applicant must have a valid copy of the approval issued by a contracting party under the 1958 Agreement and which indicates the component complies with standards equivalent to the applicable national road vehicle standards.</p> <p>Upload of the relevant document with the application will streamline the assessment process.</p>
Alternative standard	<p>Within each evidence form the applicant can select that an alternative standard listed in the ADR is the basis of evidence of compliance and must upload the documentation to support the evidence.</p>	<p>The applicant must have relevant evidence documentation that supports the alternative standard listed in the ADR.</p> <p>Upload of all the relevant evidence will ensure the assessor is not required to pause the assessment of an application to request further information.</p>

### Treatment of test results conducted under RVCS registration

Subject to separate industry consultation paper:

'Discussion Paper - Component Type Approval – Test Reports not completed by an RVS Approved Testing Facility (March 2020)'

Text will be inserted when finalised.

## Bus chassis (BC) requirements

Manufacturers of vehicle category ME (heavy omnibus exceeding 5.0 tonnes) vehicles may use a bus chassis (BC) component type approval to demonstrate compliance with the applicable national road vehicle standards relevant to the chassis components of the bus.

To be granted a bus chassis component type approval, an applicant must provide evidence of compliance with the testing requirements of each ADR that is relevant to the bus chassis. The bus chassis will be treated as a road vehicle component. A road vehicle type approval applicant may then reference the component type approval number to demonstrate compliance with the ADRs covered by the component type approval for the completed vehicle type, along with supplemented evidence of compliance for other ADRs not related to the bus chassis.

The specific information that is required within a BC component type approval application includes details relating to:

- minimum mass and gross vehicle mass as specified by the applicant
- maximum permissible axle loads
- wheel base specifications
- location of secure vehicle identification marking
- engine make, typical number and location, and technical data
- transmission details

By providing all of the above information the holder of a component type approval for a bus chassis will be able to supply applicants of a ME vehicle category type approval the required detail and evidence of compliance to satisfy the road vehicle type approval process.

## Data sheets

Data sheets will be published by the department for individual component type approvals using the technical specifications populated by selections made in ROVER and submitted with the application to demonstrate evidence of compliance. Data sheets will generally be produced for a component type approval that will be used as part of a system. For example, individual component type approvals that are combined to construct a heavy trailer braking system, such as control systems, foundation brakes, suspension systems and total trailer brake systems.

## What if I had a CRN or SARN in the RVCS?

If you hold/held a Component Registration Number (CRN) or Sub-Assembly Registration Number (SARN) in the RVCS and you wish to continue to supply approved road vehicle components to vehicle manufacturers, you may wish to apply for a component type approval under the RVS legislation.

Applicants for road vehicle type approvals and approvals of Model Reports may wish to use component type approvals to demonstrate compliance with the applicable national road vehicle standards.



The Road Vehicle Standards (Consequential and Transitional Provisions) Act 2018 (transitional provisions) commences on the repeal of the MVSA. Under the transitional provisions holders of certain approvals under the MVSA may 'opt-in' to have their MVSA approval taken to be a road vehicle type approval under the RVSA, in force for 5 years, without providing evidence that they meet type approval eligibility criteria. A vehicle type approval holder under the RVSA who uses the opt-in concession may continue to reference CRNs and SARNs that were included in their MVSA approval. A component type approval granted before the repeal of the MVSA can be used to demonstrate evidence of compliance under the MVSA where necessary.

However, once the transitional provisions finish and the opt-in concession is no longer available, only RVS component type approvals will be able to be used as evidence as an option to demonstrate compliance when an applicant is seeking the grant of a road vehicle type approval.

During the transitional period (12 months) until the MVSA ceases (no later than 1 July 2022), CRNs and SARNs can be used for approvals issued under the MVSA.

Importantly, where an opt-in road vehicle type approval has used CRNs or SARNs as evidence and a variation to either the CRN or SARN is required, a component type approval under RVS legislation must be used as evidence.

## How do I re-apply for a component type approval after it expires?

Component type approvals expire after 7 years from the date specified in the approval notice, unless revoked earlier. When the component type approval expires, the approval holder must no longer supply the component type approval number for use as evidence of compliance, unless a new component type approval is granted.

If you are a component type approval holder under the RVS legislation and your approval is due to expire, you will be sent a notification and be able to select an option to re-apply for a component type approval in ROVER.

If a subsequent component type approval is granted for a previously approved road vehicle component, it will retain the same RVS approval number and the approval notice will confirm the date it comes into force, as well as an updated expiry date. You will still have the option to request a date of effect of the component type approval, noting that the date must be at least 60 business days after the date the application is submitted.

This approach provides a streamlined process and reduces the burden on approval holders seeking to re-apply for a component type approval before the 7-year expiry period.

## Personal information

The collection of personal details such as name and contact information has been considered under the Privacy Act 1988 and the department's Privacy Policy as reasonably necessary to

administer the provisions of RVS legislation, to assess your application and make decisions. Contact information associated with a component type approval is also required to maintain communication with applicants and approval holders.

Personal information, name and contact details, must be published on the department's website as required under section 228 of the Rules.

Further to this, disclosure of personal information to law enforcement agencies may be undertaken as required, including under subpoena or to support a law enforcement activity.

Requests from other government agencies to disclose personal information will be considered in conjunction with the requirements of the department's Privacy Policy.

Please contact the department's Privacy Officer for more information.

## Commercial information

You may need to upload additional information or documents as part of the application process, or when the department requests further information.

All information and documentation provided will be considered when deciding whether to grant, or refuse to grant, a component type approval.

The information and documentation will be treated as commercial-in-confidence at all times and any further disclosure will not be made without your consent unless it is required by law.

Only departmental staff with the appropriate authority will have the level of IT access required to assess or decide your application.

## Application fee

The Australian Government will continue to recover the costs of activities relating to the administration of RVS legislation from industry participants, consistent with the Australian Government Charging Framework.

The fee we charge for component type approval applications reflects the actual cost of processing applications. When an application is submitted, ROVER will prompt you to make a payment via the online payment system. The application's status will remain 'submitted-pending payment' until it is paid. If no payment is made after 30 days the delegate will refuse to consider the application. Confirmed payment will direct the application for assessment and the status will be updated to 'in progress'.

The following fee will apply:

Component type approval application fee: \$35.00

It is important to note that applications are not complete until the application fee has been paid and applications will not be considered until your payment has been received.

Payments can be made through a payment portal in ROVER.

Please note that the department will only accept payments via credit/debit card (Visa or MasterCard).

More information about fees is available at: [infrastructure.gov.au/vehicles/](http://infrastructure.gov.au/vehicles/)

## Can I change details in my application?

When you start a new application, ROVER will allow you to save your work, exit the system and return to your saved work as and when you need to. At any time before submission, you can change the details of your saved application.

If you need to make changes **after** submitting your application, the following scenarios cover how changes are managed:

- a) If the application has been submitted but not paid, you can withdraw the application and commence a new application
- b) If the application has been submitted and paid, it will return a status of 'in progress'. You can either:
  - notify the department that a change is required and provide further information when requested
  - withdraw the application and start a new application (please note that a new application fee is payable in this instance), or
- c) If the assessment has been completed and an approval issued, then you need to apply for a variation of the approval and pay any applicable fees (see also [Can I change details in a component type approval?](#) covered later in this document).

If you withdraw an application that has already been submitted and paid, the application fee will not be refunded.

It is important that you ensure all aspects of your component type approval application are accurate and comprehensive, so that the assessment period is not delayed.

As you progress through the application creation, submission, payment and decision, you will be able to view the status of your application at certain stages, as described in Table 3 below.

**Table 5 Application stages and ROVER statuses**

Application stage	Status in ROVER	Options available	Fees
Started	Draft saved	Withdraw/delete	Not applicable
Completed	Saved	Withdraw/delete or submit	Not applicable
Submitted, not paid	Submitted – pending payment	Withdraw	Fee payable
Submitted, paid	In progress	Withdraw	Paid

Application stage	Status in ROVER	Options available	Fees
		Email changes/errors	No refund available
Withdrawn	Withdrawn	New application	No refund available
Request for information	On hold – query pending	Withdraw	No refund available
Refused to consider application	Refused to consider	Re-apply	No refund available
Refused grant of approval	Refused	Appeal <sup>3</sup>	No refund available
Review of decision	Under appeal	Withdraw appeal	No refund available
Approval granted	Approved	Vary Suspend Revoke	Fees may apply  Not applicable
Approval due to expire	Approved	Re-apply	Fees to be paid
Approval expired	Expired	New application	Fees to be paid

More information about the statuses of applications from the ROVER portal will be available when finalised.

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<sup>3</sup> Appeal is to the Administrative Appeals Tribunal (AAT), not the department.

# Decision making – granting or refusing an approval

## What does the department do with the information provided?

The department will assess the information submitted in your application against the eligibility criteria, as set out in section 177 of the Rules, in addition to other considerations and relevant matters under section 178 of the Rules.

A recommendation will then be provided to the Secretary or the delegated decision maker whether to grant, or refuse to grant, an approval.

The department will consider:

- who is seeking the approval and any previous CRNs or SARNs in the RVCS
- the vehicle component type or system of components (assembly)
- the level of compliance with the applicable standards (fully complies or substantially complies)
- the level of control over the design and manufacture of the component (full control or access to information through an agreement)

Providing insufficient or incorrect information with your application, or not complying with a request made by the department under section 176 of the Rules, may result in the application being refused to be considered.

## What do we expect to assess?

To ensure the Secretary or the delegated decision-maker is satisfied whether to grant a component type approval, there is a consistent approach to assessing:

- the declarations that have been made as required in the application
- all the information required and supporting documents submitted with the application
- technical evidence provided in the evidence forms to demonstrate compliance with the applicable ADRs
- any additional information provided by the applicant when requested by the Secretary
- any other matter considered relevant to the specific application

The assessment focuses on the information, declarations and supporting documents submitted with the application.

It is therefore important that your application provides sufficient detail to enable the decision maker to grant an approval.

In instances of testing, it is expected that guidelines regarding selection of fleet will be followed, e.g. at least one road vehicle component must have been physically tested for compliance with the applicable ADRs and that evidence will be able to demonstrate the same compliance for each component type produced. More detail about selection of road vehicle components for testing is available at [<insert hyperlink>](#) (when material is finalised)

The department expects that you will have placed controls across all stages of the design, componentry and manufacture of road vehicle components, directly through your own controls, or indirectly through arrangements that allow you to have the appropriate processes in place. The ability to control all stages, or have access to information, ensures that the design, componentry and manufacturing process will consistently produce the road vehicle component subject of the approval.

More details about what the department expects an applicant to have in place to address all of the eligibility criteria and assessment considerations are detailed in Table 6 below.

**Table 6** Expectations against eligibility criteria and other considerations

Eligibility criterion	What do you need to have in place?
<p>Compliance with the applicable national road vehicle standards, as in force at the time the Secretary decides the application, in respect of being:</p> <ul style="list-style-type: none"> <li>• fully compliant</li> </ul>	<p>Fully compliant would require you to have:</p> <ul style="list-style-type: none"> <li>• evidence that demonstrates the road vehicle component complies with each of the applicable national road vehicle standards</li> <li>• provide the relevant information, which may also require the upload of documents including: <ul style="list-style-type: none"> <li>➤ results from testing approved testing facilities (see also treatment of <a href="#">test reports conducted under RVCS registration</a>)</li> <li>➤ a 1958 Agreement (UN) approval, noting that this will be afforded a more streamlined assessment approach. However, there may be occasions when additional scrutiny is applied to ensure the validity and appropriateness of the UN approval.</li> <li>➤ Applicants who use an alternative standard listed in the ADR as the basis of compliance must provide relevant documentation for that particular standard, ensuring that it is relevant and valid against the applicable ADR.</li> </ul> </li> </ul>
<p>Compliance with the applicable national road vehicle standards, as in force at the time the Secretary decides the application, in respect of being:</p> <ul style="list-style-type: none"> <li>• substantially compliant and the non-compliance is in minor and inconsequential respects</li> </ul>	<p>Substantially compliant would require you to have:</p> <ul style="list-style-type: none"> <li>• evidence available that supports the non-compliance to be considered minor and inconsequential e.g. documentation provided by an engineering expert or other form of justification to demonstrate: <ul style="list-style-type: none"> <li>➤ the non-compliance is due to a version of an alternative standard not accepted by the ADR at the time of the application, but there is an intention to update an ADR that will include the standard in the future</li> <li>➤ testing results from an approved testing facility under the RVS legislation demonstrating the intent of the test has been achieved, but was subject to minor environmental or technology variance preventing certain test requirements</li> <li>➤ the design specifications of the component can't meet all of requirements of the applicable road vehicle standard.</li> </ul> </li> </ul>

Eligibility criterion	What do you need to have in place?
<p>Control of all stages of the design, componentry and manufacturing processes of the component, in respect of having:</p> <ul style="list-style-type: none"> <li>• full control</li> </ul>	<p>To demonstrate that you have full control you would need to have either a:</p> <ul style="list-style-type: none"> <li>• ISO 9001 accreditation certificate, a copy will need to be submitted with your application; or</li> <li>• A full Quality Management System, noting that only the QMS Summary document is required to be submitted with the application (see <a href="#">Supporting documents you must have</a>).</li> </ul>
<p>Control of all stages of the design, componentry and manufacturing processes of the component, in respect of having:</p> <ul style="list-style-type: none"> <li>• access to information, including about any design changes</li> </ul>	<p>Access to information about the design, componentry and manufacturing processes, including any changes, would require you to have:</p> <ul style="list-style-type: none"> <li>• A copy of the written commercial agreement or contract with the manufacturer of the component, outlining the type of information the applicant will have access to that will ensure they have control over all stages of the design, componentry and manufacturing of the road vehicle component, including: <ul style="list-style-type: none"> <li>➢ the manufacturer's QMS</li> <li>➢ engineering documentation that covers any design change control procedures and how they may affect compliance with the applicable national road vehicle standards</li> <li>➢ test evidence</li> <li>➢ document/s that outline the process that is in place to ensure the applicant can identify when a change in design or manufacture has occurred and how the change is assessed to ensure ongoing compliance with the applicable national road vehicle standards.</li> </ul> </li> </ul>
<p>Conformity of production system to ensure that the design, componentry and manufacturing processes will consistently produce the type of road vehicle component</p>	<p>You must have available a conformity of production system. To support this system, it would be expected that you have either:</p> <ul style="list-style-type: none"> <li>• A quality management system (QMS); or</li> <li>• ISO 9001 accreditation certificate, issued by an authorised authority and which includes the scope relevant to the design and manufacture of a road vehicle component. Where an ISO 9001 accreditation certificate is provided, generally a QMS or a QMS Summary document would not be required to be provided.</li> </ul> <p>A full QMS <sup>4</sup>is not expected to be submitted with the application, however a QMS Summary document would be expected to be submitted. See <a href="#">Table 2</a> about the expected content of a QMS Summary document.</p>
<p>Location details of production and/or manufacturing facilities to enable access and inspection by the department</p>	<p>You must provide valid and updated details of the location and primary contact of the manufacturing facility.</p> <p>This may include the locations where the design, manufacture or where other components are used in the design and manufacture of the component.</p>

<sup>4</sup> The information to be included in a Full QMS is described in detail in Attachment A to this guide

Eligibility criterion	What do you need to have in place?
Record keeping	<p>You are expected to have:</p> <ul style="list-style-type: none"> <li>• Access to the original and all subsequent versions of the supporting information throughout the period that the approval is force, and for seven (7) years after the approval expires</li> <li>• An ability to make all information available when requested in writing by the Secretary, including the component's design and componentry documentation, test reports, engineering documentation, source materials and manufacturing processes</li> <li>• An ability to keep all of the information up to date throughout the period the approval is in force</li> <li>• An ability to comply with all of the standard and specified conditions within the approval, if granted</li> <li>• An ability to meet all other requirements of the RVSA, the Rules or any instrument under the RVSA that applies to the applicant or the road vehicle component.</li> </ul>
Ability to comply with all of the conditions in an approval, if granted	<p>You are expected to demonstrate:</p> <ul style="list-style-type: none"> <li>• An ability to comply with all of the standard and specified conditions within the approval, if granted</li> <li>• An ability to meet all other requirements of the RVSA, the Rules or any instrument under the RVSA that apply to the applicant or the road vehicle component.</li> </ul>

## Request for further information or inspection

During assessment, you may be asked to provide more specific information relevant to your application under section 175 of the Rules, to help decide whether to grant an approval.

You may also receive a request to inspect premises where the component is designed or manufactured, or to inspect components used in the design or manufacture of the component, to further assess aspects of the application.

You will receive a notification which will provide details about the request for information or inspection and will explain what information needs to be provided and when. The department will contact you to arrange a suitable time to inspect.

If you receive a request for further information (RFI) or inspection, you will be given a period of 30 days, or a longer time as specified in the request, to respond, the time to decide the application is paused until all the requested information is supplied or the inspection is completed.

An example where a longer period may be allowed is where the RFI is complex or detailed, or where the inspection may be at premises located overseas.

While under an RFI, the status of the application will be updated to 'on hold-query pending'.

The assessment will resume once the request for additional information or an inspection has been completed and the application status will be updated to 'in progress'.



Responses to requests for further information will be taken into account when deciding whether to grant the approval.

**Example:** a request may be made for further information about the details provided in a QMS Summary document and seek a copy of the full QMS. The applicant will need to provide the relevant QMS document in order to comply with the request.

## Refuse to consider an application for a component type approval

Applications need to include all relevant information, must be in the approved form and accompanied by the application fee to be considered.

The Secretary or the delegated decision maker may decide to refuse to consider an application, if the application does not provide the relevant information or if requests made by the Secretary or delegate have not been met.

This means that the application is not assessed and no decision is made to either grant an approval or refuse to grant an approval. You will be notified if the Secretary or delegated decision maker decides to refuse to consider your application.

Where a request for further information or an inspection has been made, you are able to submit relevant details or allow an inspection, to support your application.

This ensures all required information is made available for the decision maker to fully consider and decide the application.

If you fail to comply with a request for information or inspection within the time allowed, or fail to provide the relevant information requested, your application may be refused to be considered, under section 176 of the Rules.

Specifically, the Secretary or the delegated decision maker may refuse to consider an application for a component type approval if:

- the application is not in the approved form, noting that the IT system automates this process, however the required documents may not have been submitted with the application (while an upload may have been made it may not contain the relevant information)
- the application fee has not been paid (if no payment is made within 30 days of submission)
- the applicant has not complied with a request for further information or inspection within the 30 days, or longer period if allowed.

If you disagree with the decision to refuse to consider your application, you may apply for a review of the decision and this will be explained in the refuse to consider application notice.

## How long will it take to decide an application?

The Secretary or delegated decision maker must decide your application for approval of a road vehicle component within 60 business days after receiving the application. This is a legislated requirement under section 179 of the Rules. The department aims to notify the applicant within the 60 business days, however if there is a need to request further information or an inspection of premises or components, then the time to make a decision may be longer.

Definition of a **business day** under section 5 of the Rules: Means a day that is not a Saturday, Sunday or a public holiday in the Australian Capital Territory.

## Deciding an application for a component type approval

There are specific criteria that the Secretary or delegated decision maker will consider and must be satisfied with when deciding your application for a component type approval. These are set out in sections 177 and 178 of the Rules. Throughout the process you can expect a number of notifications from the department's IT system, ROVER, indicating what is happening with your application, including where a decision has been made to not consider your application, not to grant an approval, or that an approval has been granted.

Common notifications that you may receive are:

- that you have successfully saved your application
- that you have an application fee to pay
- that you have successfully submitted an application
- that you have successfully withdrawn an application
- that there is a request for further information or inspection that must be actioned
- that an amended or new ADR may impact your component type approval, i.e. a variation may be required
- that your approval is due to expire.

You will be informed of the decision to grant or refuse a component type approval with an appropriate notice. Where refusal decisions are made, the notices will include how you can seek a review of the decision.

The decision to grant a component type approval notice will clearly indicate the type of road vehicle component, the applicable standards and extent of compliance to which the approval applies, including the information and documents used to demonstrate evidence of compliance.

## Publishing component type approvals

Under section 228 of the Rules, for each road vehicle component type approval that is in force, the details will be published on the department's website, including:

- the name and contact details of the holder of the component type approval
- a copy of the current approval
- a copy of each previous version of the approval, if applicable.

## Approval numbering

If approval is granted, you will receive a component type approval number, which will be unique and generated automatically from ROVER.

If you indicated that you held a previous CRN or SARN in the RVCS for the same component and you want to maintain that number, then that number will be incorporated into the component type approval number under the RVS legislation. This will provide continuity of the existing numbering protocols.

If the submitted application is for a new component type approval then ROVER will generate a new approval number, allocated sequentially commencing from CTA060000.

If you re-apply for approval of a vehicle component type under RVS legislation before the previous component type approval expires, and if granted, your component type approval will retain the same approval number. In this instance the approval notice will indicate the date that it comes into force and updated expiry date.

## Approval holder responsibilities

A component type approval holder under the RVS legislation has important responsibilities. These will appear as standard and specified conditions detailed within the approval notice, if granted.

Conditions relating to a component type approval fall under section 184 of the Rules. These conditions ensure that legislative requirements can be controlled.

It is an offence under the RVS legislation if these conditions are not met and penalties may apply.

See also the information provided under the heading [Complying with your responsibilities](#).

### Summary of responsibilities

Component type approval holders have certain responsibilities to ensure the following requirements are met by every approval holder for every vehicle component or system type:

- the road vehicle component or system complies with the applicable road vehicle standards in force at the time it is provided for use or installation in a road vehicle
- conformity of production systems are maintained
- requested information or inspections are responded to appropriately
- records of the original and any subsequent versions of supporting information will be kept up to date for the period the component type approval is in force and for 7 years after it expires or is revoked
- installation instructions provided to an installer must be the latest version and appropriately detailed to ensure compliance with the applicable ADRs.

An approval holder must comply with all of the conditions within their approval. Table 6 lists the standard conditions that will always be applied to a component type approval and what the department expects the approval holder will maintain to ensure ongoing compliance.

Table 7 – Standard conditions applied to a road vehicle component type approval

Rules Reference	Condition detail	Expectations
Section 184 – Condition about compliance with national road vehicle standards	<p>The holder of a component type approval must ensure that the road vehicle component complies with the national road vehicle standards in force at the time that it is provided for use or installation in a road vehicle.</p> <p>The holder of the component type approval must be able to produce evidence that:</p>	<p>It is expected that the holder of a component type approval, and who continues to supply (sell, hire etc) their components, will ensure that the component continues to comply with the applicable standards at the point in time that it is made available for use or installation in a road vehicle.</p> <p>This will require relevant internal review procedures and processes that monitor developments and changes to ADRs or</p>

Rules Reference	Condition detail	Expectations
	<ul style="list-style-type: none"> <li>demonstrates that the road vehicle components covered by the component type approval comply with the national standards in force at the time the component is provided for use or installation; and</li> <li>could be taken into account for the purposes of subsection 177(2).</li> </ul>	<p>where non-compliance is able to be identified and addressed.</p> <p>This may include responding appropriately to messages sent by the department alerting the applicant well in advance to amended or new ADRs.</p> <p>You may be required to produce evidence that the road vehicle component continues to comply with the applicable ADRs.</p> <p>It is also expected that component type approval holders for components not required to comply with the national standards in certain respects or to a certain extent, have supporting documentation and can produce evidence to demonstrate the extent of the non-compliance and to the extent specified in the component type approval.</p>
Section 185 – Condition about a conformity of production system	<p>The holder of the component type approval must implement a conformity of production system that:</p> <ul style="list-style-type: none"> <li>governs the manufacturing process detailed in the supporting information for the approval; and</li> <li>ensures that, at the time that a component covered by the approval is manufactured, the component satisfies the applicable national road vehicle standards as in force at that time in the respects, or to the extent, that the component is required to comply with those standards.</li> </ul>	<p>It is expected the component type approval holder will have a means of evidencing the ability to manufacture the component or system of components, that exactly meets the design, and will produce components to the same requirements and in a consistent manner as the component used to test compliance with the applicable standards.</p> <p>A conformity of production system can be a single document or series of documents and involves control over all stages of the design and manufacturing processes that becomes the supporting information for the road vehicle component type approval.</p> <p>At any point during the period the road vehicle component type approval, if granted, is in force, the department may request to undertake compliance activities that focus on any aspect of the conformity of production system, such as:</p>

Rules Reference	Condition detail	Expectations
		<ul style="list-style-type: none"> <li>inspection of the design facility and information relevant to the design of the component</li> <li>inspect instruction documentation used in the manufacturing processes.</li> </ul>
<p>Section 186 – Condition about providing information etc. to the Secretary or an inspector</p>	<p>The holder of a component type approval, when requested in writing by the Secretary or an inspector, and within such reasonable time as is specified in the request must:</p> <ul style="list-style-type: none"> <li>provide, or arrange for the Secretary or an inspector to access, the original and any subsequent versions of the supporting information for the approval; and</li> <li>provide any information that the Secretary or inspector reasonably requires for the purposes of assessing whether the holder of the approval is complying with the Act, this instrument, or an instrument made under the Act or this instrument; and</li> <li>provide any other information or documents specified in the request about road vehicle components to which the approval applies; and</li> <li>provide written answers to questions, specified in the request, about road vehicle components to which the approval applies; and</li> <li>for the purposes of assessing whether road vehicle components or road vehicles containing road vehicle components to which the approval applies would comply</li> </ul>	<p>The approval holder is expected to comply with the written request within a reasonable time as specified in the request.</p> <p>The department aims to work with the approval holder to determine the time it may take to fulfil the request, including the amount of information requested, the urgency of the request, the complexity of the request, whether information is already available and whether fulfilling the request requires a degree of consideration, research, collaboration or liaison.</p> <p>The approval holder is required to provide any information that the department reasonably requires for the purposes of assessing whether the holder of the approval is complying with RVS legislation in relation to an approved road vehicle component.</p> <p>The information requested is not limited to being provided as written material, but may also be made available in video or photographic format, or by other means.</p> <p>When requested by the department, such records are expected to be made available and in English.</p> <p>The approval holder may also be required to allow or arrange for the Secretary or an inspector to inspect premises where the road vehicle component is designed or manufactured. This includes things, including documents associated with the component, QMS documents or IT systems.</p> <p>Inspection may also be required at third party premises where components have been</p>

Rules Reference	Condition detail	Expectations
	<p>with the applicable national road vehicle standards, to the extent that those standards relate to that component – allow or arrange for the Secretary or an inspector to inspect:</p> <ul style="list-style-type: none"> <li>○ premises where the road vehicle components are designed or manufactured; or</li> <li>○ things, including documents, associated with the design or manufacturing process.</li> </ul>	<p>provided to the component type approval holder to use in the manufacture of a component system or assembly.</p> <p>Access to third party premises, documents or things does not allow the department to directly enter premises of third parties without the consent of the approval holder or the third party.</p> <p>It is expected the component type approval holder will facilitate and make necessary arrangements with the third party, or at least provide relevant contact details when requested by the Secretary or an inspector. If the third party does not allow access, the approval holder may be in breach of this condition.</p> <p>As a request may occur at any time during the period the approval is in force, the approval holder must meet the requirements of the written request. This ensures the integrity of the evidence associated with the approved road vehicle components and the eligibility criteria provided by the approval holder maintaining effectiveness of the road vehicle component type approval process.</p>
<p>Section 187 – Condition about keeping up-to-date records of supporting information</p>	<p>A holder of an approval will be required to:</p> <ul style="list-style-type: none"> <li>● keep a record of the original and any subsequent versions of the supporting information for the approval while the approval is in force, and for the period of 7 years after it expires or is revoked; and</li> <li>● ensure that the supporting information for the approval is kept up to date while the approval is in force.</li> </ul>	<p>It is expected that the approval holder will have a records system in place suited to the capture of all information regarding design, componentry, manufacture, change processes, maintaining updated and version controlled material as required under the approval, including the capture and availability of:</p> <ul style="list-style-type: none"> <li>- the original and subsequent versions of supporting information for the approval for the period the approval is in force and for a period of 7 years after the approval expires or is revoked</li> <li>- the supporting information is kept up to date, supported by processes to</li> </ul>

Rules Reference	Condition detail	Expectations
		<p>maintain visibility of ADR changes or non-compliance detections and remedial action.</p> <p>When requested in writing by the department, such records are expected to be made available, in their most up to date form and in English.</p>
<p>Section 188 – Condition about providing instructions for use or installation of component</p>	<p>The holder of a component type approval must;</p> <ul style="list-style-type: none"> <li>• issue instructions for the use or installation of the component in a road vehicle that, if followed correctly, will ensure that the vehicle will comply with the applicable national road vehicle standards, as in force at the time that the holder of the approval provided the component for use or installation in a road vehicle, to the extent that those standards relate to that component; and</li> <li>• as at the time the holder of the approval provides the component for use or installation in a road vehicle – make the latest version of those instructions available to persons using or installing the component.</li> </ul>	<p>The approval holder must have processes in place that develop, capture and update the specific installation or fitting instructions. These may be requested by the department to support decision making, where required.</p> <p>Instructions for use or installation must be made available when the road vehicle component or assembly is supplied for use to industry sectors.</p> <p>Document reference numbers relating to instructions for use or installation of a component may be required when providing information in evidence forms, which may also be referenced in datasheets.</p> <p>When requested in writing by the department, the instructions are expected to be the latest version and made available in English.</p>

In addition to standard conditions, a component type approval holder may also need to satisfy any specified conditions under paragraph 183(a) of the Rules. These may appear separately on the approval, if granted, and relate to the approval holder’s specific or unique circumstances.

### Example of a **specific condition** applied to a component type approval

Circumstances – When a supplier identifies a systemic safety or non-compliance risk.

Specific condition – The holder of road vehicle component type approval must advise the department when they become aware of either a systemic safety or non-compliance risk, or where a recall in another jurisdiction of an approved road vehicle component which is also supplied to the Australian market.

Expectations – This specified condition places responsibility on the approval holder to remain vigilant of safety or non-compliance risks that may require voluntary recall action to rectify the risk in a timely and effective manner.

## Can I change details in a component type approval?

A component type approval holder may wish to change details of an approval, including:

- updating administrative details, such as contact name and details
- update the approval in response to a change to the national road vehicle standards
- update information about the supporting information or versions of documents previously submitted
- seeking to have a specified condition removed or added
- correcting information relating to other aspects of the approval.

To make changes, an approval holder may apply for variation of their approval through the ROVER portal.

### What if there are changes to the technical specifications of the vehicle component?

There may be instances where a technical change to the vehicle component occurs where that component has been used in combination with other components or systems and results in:

- an increase or decrease in a specification or value that results in a new worst case
- a change to physical fitment/dimensions or change in material used in construction
- a change in compatibility with other components or interface (different voltage/plug type/sensor requirements)

An assessment must be made to decide if the technical changes affect compliance of the component as a whole when used in combination with other components or systems.

In these instances, a variation of an approval would not be granted and a new application for a road vehicle component type approval would need to be submitted.

**Example of an application for a component type approval variation being refused** – the CTA applies to a control system for the purposes of ADR 38/XX. The control system combines with a suspension system and a foundation brake (and a CTA has been granted in relation to those components) to provide evidence of compliance to satisfy the ADR. Changes to input/output ratio or other performance characteristics of a control system would affect the compliance of the system as a whole. This is even though the changes to the individual CTA may itself not make it non-compliant. The CTA holder of the control system CTA may not be aware of all of the combinations where a particular approved road vehicle component is used and cannot be sure the change does not cause some applications of use to deviate outside compliance limits of the ADR.

## Application to suspend or revoke an approval

An approval holder may also seek to have their approval suspended or revoked. There is no associated fee for suspension or revocation of an approval.

If a suspension is requested, the specified time period for the suspension must be included.

The approval holder might request a suspension if they are making substantial changes to their business operations.

During the suspension period, the approval is not in force and, the published list of component type approvals will highlight it as suspended.

A request to revoke an approval means that the approval is ceased and removed permanently from the list of published component type approvals on the department's website.

A new application for a component type approval would need to be submitted if operations start up again after being revoked.

## Automatic suspension of a component type approval

An automatic suspension of a component type approval will occur if certain circumstances exist regarding new or amended national road vehicle standards, ADRs. These circumstances are listed in section 202 of the Rules, and include:

- an ADR is amended; or
- a new ADR is made; and
- the amended or new ADR would affect the requirements that apply to the road vehicle component covered by a component type approval; and
- the Secretary has not approved a variation of the approval (on application by the approval holder), or decided that a variation to the component type approval is not necessary.

You will be notified in advance of the applicable amended or new ADR at twelve, six and three months prior to the applicability time of a new or amended ADR.

To maintain accuracy and currency of the component type approval you will need to:

- provide evidence that demonstrates compliance with the amended or new ADR; or

- apply to vary the component type approval in response to the change to the ADR, demonstrating that the component covered by the approval already complies with the new or amended ADR (see also [When changes to a component type approval can be made](#)).

You will be notified in writing of the suspension, including the suspension start date, and again when the Secretary approves the variation of the component type approval, or has considered it is not necessary to vary the approval on the basis the component type approval already complies with the new or amended ADR.

If automatic suspension occurs, the component type approval will be marked as suspended on the publicly available list of component type approvals on the department’s website, until it is varied or revoked.

## Recall of an approved road vehicle component

The RVS legislation sets out the framework for the voluntary or compulsory recall of approved road vehicle components due to safety issues, or where non-compliance with the national road vehicle standards, or any other standards as determined under RVS legislation is identified.

The prime objective of the recall provisions is to ensure that safety or non-compliance issues are resolved in a timely and effective manner. Circumstances for compulsory and voluntary recalls are covered in Table 8 below.

Table 8 – Voluntary and compulsory recall circumstances relating to approved road vehicle components

Recall type	Action	Reasons for recall	Responsibility
Voluntary	Must notify the Minister within two days of taking recall action	<ul style="list-style-type: none"> <li>• an approved road vehicle component will or may cause injury to any person; or</li> <li>• a reasonably foreseeable use of a road vehicle component may or will cause injury to a person; or</li> <li>• the road vehicle component does not, or is likely that it does not meet the applicable national road vehicle standards.</li> </ul>	Supplier
Compulsory	Compulsory notice issued by the Minister	<ul style="list-style-type: none"> <li>• an approved road vehicle component will or may cause injury to any person; or</li> <li>• a reasonably foreseeable use of a road vehicle component will or may cause injury to a person; or</li> <li>• the road vehicle component does not, or is likely that it does not meet applicable national road vehicle standards</li> <li>• it appears that one or more suppliers of vehicles or components have not taken satisfactory</li> </ul>	Minister

Recall type	Action	Reasons for recall	Responsibility
		action to prevent the vehicles or components from causing injury to a person; or <ul style="list-style-type: none"> <li>it appears suppliers have not taken action to rectify any non-compliance with the national road vehicle standards that has been identified.</li> </ul>	

In the context of recall action, the **supplier** of an approved road vehicle component is generally the Original Equipment Manufacturer, or their Australian representative, as they are best placed to undertake recall action. However, in the case of approved road vehicle components, it may be the road vehicle component type approval holder who is best placed in the supply chain to undertake recall action.

More information about the processes and your responsibilities as a road vehicle component type approval holder under the recall provisions of the RVS legislation is available at [<insert hyperlink>](#)

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## Complying with your responsibilities

The department monitors and enforces compliance with the RVS legislation under both the RVSA (applying penalties) and the Rules (obligations of an approval holder). The department aims to encourage voluntary compliance and undertakes informed risk-based compliance activities to confirm compliance with RVS legislation. These compliance activities may involve:

- asking you to provide information in writing to assess whether you are complying with RVS legislation
- appointed inspectors physically entering premises to confirm compliance with RVS legislation (monitoring powers).

Appointed inspectors may also physically enter premises to gather material at your premises that is evidence of a contravention of RVS legislation (investigation powers).

### What if I don't comply?

Under the RVS legislation, offences and civil penalty provisions cover when a person (individual or company):

- breaches a condition of their approval
- breaches an obligation to provide records after an approval ceases to be in force
- provides a false or misleading declaration
- provides false or misleading information

If the department identifies non-compliance, our response will be proportionate to the risk being managed. Our response may include issuing infringement notices, applying for civil penalty orders or injunctions, or entering into enforceable undertakings.

# Self-assessment check list – am I ready to apply?

## Before you register in ROVER

- ✓ Are you an agent or representative of the applicant? If yes, do you have an electronic copy of your authorisation to act on behalf of the applicant?
- ✓ Do you have relevant proof of identify documents as required by the ROVER registration process?

## Before you start the application for a component type approval

- ✓ Do you have a unique make and model of the component?
- ✓ Are/were you registered with a CRN/SARN in the RVCS? If yes, do you have your CRN or SARN registration to ensure continuity of your approval number, if granted?
- ✓ Do you meet the eligibility criteria that ensures you have evidence demonstrating the road vehicle component:
  - a) Fully complies with the applicable ADRs; or
  - b) Substantially complies with the applicable ADRs and you have technical information to support that the non-compliance is only in minor and inconsequential respects?
- ✓ Do you have a list of all the ADRs that the road vehicle component must comply with (or substantially complies with)?
- ✓ Do you have the relevant information to demonstrate that the road vehicle component complies with the applicable ADRs?
- ✓ Do you have electronic copies of documents (either a copy of your ISO 9001 certificate, if held, or QMS Summary document, or full QMS if requested) to demonstrate conformity of production of the component?
- ✓ Do you have relevant record keeping processes in place to keep original and subsequent versions of supporting information up to date for the period the approval is in force, and for 7 years after the approval expires? Can you confirm these criteria if requested?
- ✓ If you do not have control over all stages of the design, componentry and manufacturing process for the road vehicle component, do you have a copy of the commercial agreement that allows you to access information relating to the design, componentry and manufacturing process?
- ✓ Have you identified who will be the primary contact for the approval and have their details?

## References and links

This section provides useful links and information relating to RVS legislation:

- [The Road Vehicle Standards Act 2018 \(RVSA\) as amended by the RVSLAA](#)
- [The Road Vehicle Standards \(Consequential and Transitional Provisions\) Act 2018 as amended by the RVSLAA](#)
- [The Road Vehicle Standards Legislation Amendment Act 2019](#)
- [The Road Vehicle Standards Charges \(Imposition – General\) Act 2018](#)
- [The Road Vehicle Standards Charges \(Imposition – Customs\) Act 2018](#)
- [The Road Vehicle Standards Charges \(Imposition – Excise\) Act 2018](#)
- [Road Vehicle Standards Rules 2019](#)

### Further information

For further information, please contact the department:

Visit: [infrastructure.gov.au/vehicles](http://infrastructure.gov.au/vehicles)

Email: [RVSAimplementation@infrastructure.gov.au](mailto:RVSAimplementation@infrastructure.gov.au)

Phone: 1800 815 272 (Monday to Friday, 9am – 5pm AEST, within Australia)

Phone: +61 2 6274 7444 (from overseas)

## Glossary

Acronym	Detail	Meaning
1958 Agreement	1958 Agreement as in Australian Treaty Series 2000	The Agreement concerning the Adoption of Uniform Technical Prescriptions for Wheeled Vehicles, Equipment and Parts which can be fitted and/or used on wheeled vehicles and the conditions for reciprocal recognition of Approvals granted on the basis of these prescriptions, done in Geneva on 20 March 1958, as amended and in force for Australia from time to time.
AAT	Administrative Appeals Tribunal	Conducts independent merits review of a wide range of administrative decisions made by the Australian Government.
ADR	Australian Design Rule	National road vehicle standards put into effect by legislative instruments pertaining to specific standards for vehicle and road vehicle components.
ECE	Economic Commission for Europe	United National Economic Commission for Europe.
M&I	Minor and Inconsequential	A component type approval may be granted even if the road vehicle component substantially complies with the national road vehicle standards (ADRs) and the non-compliance is considered minor and inconsequential.
Model Report	Model Report	A Model Report is the mechanism that allows certain road vehicles, or one or more variants to be: <ul style="list-style-type: none"> <li>• manufactured by the approved holder of a type approval; or</li> <li>• modified by the approved holder of a Registered Automotive Workshop (RAW);</li> <li>• in accordance with the work instructions contained within the approved Model Report; and</li> <li>• verified against the Model Report checklist by an approved Automotive Vehicle Verifier (AVV) to enable the vehicle or variant to be entered onto the Register of Approved Vehicles (RAV).</li> </ul>
MVSA	Motor Vehicle Standards Act 1989	An Act to provide for national motor vehicle standards, and for related purposes.

Acronym	Detail	Meaning
RAV	Register of Approved Vehicles	A publicly accessible online database of vehicles that comply with national road vehicle standards or are otherwise permitted for use on public roads under a concessional scheme. Generally, vehicles must be entered on the RAV with a type approval or concessional RAV entry approval before they are provided to the Australian market.
ROVER	Road Vehicle Regulator	The IT operating system for implementing the RVSA.
RVSA	Road Vehicle Standards Act 2018	An Act to provide for the regulation of road vehicles and road vehicle components, to set national road vehicle standards, and for other purposes.
RVCS	Road Vehicle Certification System	The departmental database for managing approvals for road vehicles and registrations for road vehicle components (under the Motor Vehicle Standards Act).
QMS	Quality Management System	A system that is employed by the manufacturer of a road vehicle component to ensure conformity of production

# Attachment A

## Quality Management System (QMS)

A full Quality Management System (QMS) is expected to be made available by the applicant at any point during the process, including after approval, if granted. A full QMS should cover aspects of the business and detail the specifics of each aspect of the QMS as outlined in the table below:

Table 7 – Expected details within a full Quality Management System (QMS)

Included content heading	Expected detail
<p><b>QMS scope and function</b> - A brief description of the purpose of the QMS and the type of modifications covered by the document.</p>	<p><b>Overview of the scope and function of the QMS:</b></p> <ul style="list-style-type: none"> <li>- The scope of the QMS should be relevant to the types of components or systems being manufactured</li> <li>- The function should specify the purpose of the QMS</li> <li>- The purpose of the QMS should be specific to the type of component or system being manufactured.</li> </ul>
<p><b>Responsibilities of personnel</b> - An overview of any personnel engaged by the applicant.</p>	<p><b>Responsibilities of personnel:</b></p> <p>The QMS should outline the responsibilities of personnel of the applicant.</p> <p>The following criteria as set out in the Rules, and the person(s) responsible, should be addressed:</p> <ul style="list-style-type: none"> <li>- Control over all stages of the design, componentry and manufacture of the road vehicle component or system</li> </ul> <p>OR</p> <ul style="list-style-type: none"> <li>- Access to information regarding the design, componentry and manufacture, including any changes that may affect compliance with the applicable national road vehicle standards</li> </ul> <p>AND</p> <ul style="list-style-type: none"> <li>- Conformity of production</li> </ul> <p>AND</p> <ul style="list-style-type: none"> <li>- Record keeping, including keeping the information regarding the road vehicle component or system up to date for the life of the approval and for seven years after its expiry.</li> </ul>

Included content heading	Expected detail
<p><b>Systems review</b> - A process that is embedded in the QMS to ensure that the systems outlined within the document are regularly reviewed to maintain effectiveness.</p>	<p><b>Systems review:</b></p> <ul style="list-style-type: none"> <li>- The QMS should outline in detail the process of reviewing the systems that are contained within the document. For example, reviewing the process for ordering components or materials and ensuring this is still relevant and current to the design and manufacturing process</li> <li>- This process should be regularly undertaken on the QMS as considered necessary by the person responsible.</li> </ul>
<p><b>Internal audits</b> - A process that outlines the scope and frequency of internal audits to be carried out by the applicant.</p>	<p><b>Internal audits:</b></p> <ul style="list-style-type: none"> <li>- The QMS should outline the procedure for conducting internal audits</li> <li>- It is expected that there will be a matrix of the individual departments or processes within the applicant's business, as well as scope of the audit to be carried out on each department</li> <li>- An internal audit schedule should be included in the process to ensure all departments or processes are audited on a regular basis.</li> </ul>
<p><b>Field service feedback and recall procedures</b> - The process that outlines how the applicant maintains records on faults/issues reported on vehicles they have provided components and the rectification processes undertaken, and a procedure for the recall of vehicles for safety or non-compliance issues.</p>	<p><b>Field service feedback and recall procedures:</b></p> <ul style="list-style-type: none"> <li>- The applicant's process for the collection of data relating to failures of road vehicle components or systems in the field should be outlined in this section</li> <li>- Reference should be made to a faults register or process that enables recurring issues to be identified</li> <li>- If a safety related or recurring issue is identified, a procedure should be in place that outlines the rectification process, provides guidance on when a recall should be considered and outlines the process.</li> </ul>
<p><b>Engineering documentation</b> - The process for the management of engineering documentation such as drawings and specifications related to the component being</p>	<p><b>Engineering documentation:</b></p> <ul style="list-style-type: none"> <li>- The QMS should outline the process that the personnel of the applicant undertake to ensure that the specified component or system has been tested to the</li> </ul>

Included content heading	Expected detail
<p>manufactured. References to how design changes in the component are managed and how regard is given to such to ongoing compliance with the applicable national road vehicle standards.</p>	<p>national standards and is of an identical specification to the component or system being manufactured.</p> <ul style="list-style-type: none"> <li>- The QMS should outline the process of numbering of drawings and subsequent revision processes</li> <li>- The QMS should detail how design change control is managed. It would be expected that the formal process of how a change of design or specification is initiated and the process undertaken by the applicant to ensure that the change does not affect the component or system's compliance with the national standards.</li> </ul>
<p><b>Purchasing</b> - Details of the system used by the applicant to control purchasing components or materials for the purpose of designing and manufacturing the road vehicle component.</p>	<p><b>Purchasing:</b></p> <ul style="list-style-type: none"> <li>- The QMS should outline the process for purchasing components and materials for the manufacture of road vehicle components or assemblies</li> <li>- The QMS should address how the correct specification components or materials are ordered.</li> <li>- Specific references to how a purchase order specifying the correct components or materials is created should be included, and how this process is updated and kept current.</li> </ul>
<p><b>Approved vendor register</b> - A register of suppliers from which the applicant sources goods or services. This register is generally compiled based on the quality and timeliness of supply of the goods or services.</p>	<p><b>Approved vendor register:</b></p> <ul style="list-style-type: none"> <li>- The QMS should outline the process that the applicant undertakes to compile the approved vendor register</li> <li>- The QMS should clearly set out the criteria that will be used to rate suppliers of goods and services to determine whom the corporation will approve as a vendor.</li> </ul>
<p><b>Supplier quality assurance</b> - Records held by the corporation that give an assurance that the quality of the goods or service provided by suppliers have been assessed on a regular basis. This information is generally used to develop and maintain the approved vendors register.</p>	<p><b>Supplier quality assurance:</b></p> <ul style="list-style-type: none"> <li>- The QMS should outline the process used by the applicant to determine a supplier's quality assurance. This may be simply by requiring ISO certification or by establishing a supplier ranking based on a set of criteria. Factors that may be considered are: <ul style="list-style-type: none"> <li>o quality of goods and services provided by individual suppliers</li> </ul> </li> </ul>



Included content heading	Expected detail
	<ul style="list-style-type: none"> <li>○ timeliness of the supply goods and services provided</li> <li>○ identification of issues related to goods and services supplied once a vehicle has been provided</li> <li>- Once a ranking is established for the supplier, the process should link this information to the approved vendors register.</li> </ul>
<p><b>Manufacturing procedures</b> - Detailed procedures outlining the manufacturing processes to be undertaken by the applicant to ensure that the road vehicle component or system manufactured are done so in accordance with the engineering documentation. This section of the QMS should also outline the types of tools and equipment that will be used in the manufacture of road vehicle components.</p>	<p><b>Manufacturing procedures:</b></p> <ul style="list-style-type: none"> <li>- The QMS should outline the procedures to be undertaken for the manufacture of road vehicle components or systems</li> <li>- The QMS should outline the process that ensures that the engineering drawings and specifications are transferred into work instructions for use by the personnel that are manufacturing the road vehicle component or system</li> <li>- References to the tools and equipment, the required calibration and maintenance procedures should be included in this section.</li> </ul>
<p><b>Material control and storage</b> - Details of the system used to ensure that only the specified components or materials are provided to the manufacturing plant for the road vehicle component or system being manufactured. The process for quarantine of non-conforming components or materials used in the manufacture of road vehicle component or system.</p>	<p><b>Material control and storage:</b></p> <ul style="list-style-type: none"> <li>- A detailed system outlining the process of receiving components or materials used in the manufacture of road vehicle components.</li> <li>- This process should outline the procedures that should be followed to ensure that the correct components or materials have been received and are in a condition that makes them fit to be used in the manufacture of a road vehicle component.</li> <li>- The process should also outline how defective or incorrect components or materials are quarantined and how the applicant ensures that only the correct components and materials are used in the manufacture of the road vehicle component.</li> </ul>