



Information for obtaining and retaining



type-approvals

and

**Compliance Statement
(Conformity of Production)**

from RDW

**European Community Directives and Regulations
ECE Regulations United Nations**



EUROPEAN UNION



United Nations

Introduction

This manual is intended for the manufacturers of motor vehicles, trailers, systems, parts and/or separate technical units that are planning to sell these products on the market in Europe and/or in countries that have signed the ECE regulations. The products can only be brought on the market in the European Community and Member States of the United Nations with a valid [type-approval](#).

The information in this manual can be used to obtain and retain e4 and E4 type-approvals and the Compliance Statement from the Netherlands vehicle authority, RDW.

Summary

As a manufacturer, you are obliged to maintain an effective quality system in order to actively ensure that your products comply with the requirements in the type-approval and the legislation. RDW is charged with the task of assessing the effectiveness of that quality system. A positive assessment will lead to a compliance statement.

Organisations that bring products on the market have certain responsibilities. In general, those organisations must ensure that the end user can use the products safely and that the environment is not harmed unnecessarily. Legislation has been developed and implemented to ensure that all manufacturers comply with the same regulations. The European Union prescribes all the rules in EU Directives and Regulations. The United Nations publishes its rules in ECE regulations. All stakeholders are obliged to comply with the legislation.

About this manual

This manual provides manufacturers with a detailed explanation of all the steps they must follow and the rules they must comply with in order to obtain and retain type-approvals and Compliance Statement. We realise that the information in this manual comes on top of all the other documentation, legislation and regulations that manufacturers must read, understand, submit and comply with, so we have included concrete terms of reference to make it easier for you.

This manual consists of two parts. The first part explains RDW's general requirements and process and follows the structure of most directives and regulations. The second part of this manual describes how you apply for an (initial) assessment of the conformity of production (CoP) and which documentation you require. It also includes information about the minimum requirements for each document.

RDW values your knowledge and experience as a partner. We would therefore welcome any observations and/or remarks you might have about this manual. We will use that information to keep improving our quality and services. If you have any remarks and/or questions, please email them to cop@rdw.nl.

RDW, Vehicle Admission & Surveillance Department

TABLE OF CONTENTS

Area of application.....	1
Definitions	1
Type-approval authority.....	1
Manufacturer: holder of the type-approval.....	1
Notified technical service.....	1
Initial assessment	1
Conformity of Production (CoP)	1
Compliance Statement.....	1
WMI code.....	1
Part 1: Processes	2
Initial assessment	2
Application for type-approval	2
Conformity of Production (CoP)	3
The process displayed in a flow chart	4
Your obligations as the manufacturer.....	4
Obligations of the approval authority	5
Obligations of the specified technical services	5
Details and additional information.....	5
Costs of supervision.....	5
Annual contribution.....	5
Withdrawal of type-approvals and definitive termination of production.....	6
Forced withdrawal of type-approvals.....	6
Part 2: Applying for an initial assessment and the requisite documents for maintaining Conformity of Production (CoP)	7
Collecting the documents	7
Explanation of each document	7
Submitting documents	7
Description of and points of focus for each document.....	9
A. Application form	9
B. Company registration	9
C. WMI Certificate.....	9
D. ISO 9001 or ISO/TS 16949 Certificate	9
E. Procedure CoP inspection; effectiveness and quality assurance	10
F. CoP inspection plan	10

G. Procedure for non-standard products.....	11
<i>Document description:</i>	11
H. Procedure for corrective measures.....	11
I. Procedure for inspecting changes in the regulations	12
J. Procedure for changes in design and development.....	12
K. Procedure for withdrawal of type-approvals	13
L. Procedure for residual stock arrangement.....	13
M. Procedure related to repair and maintenance information (RMI).....	13
N. Procedure controllability Certificate of Conformity (CoC).....	14
O. Procedure and agreement for multiphase manufacturers.....	14
Application form for supervision and CoP release	15
List of production location(s)*	17

Area of application

This manual is intended for the manufacturers of motor vehicles, trailers, systems, parts and/or separate technical units (hereinafter called 'products'). It explains how you can obtain and retain EC (e4) and ECE (E4) type-approvals and Compliance Statement from the Netherlands vehicle authority, RDW.

Definitions

Type-approval

A type-approval is a document issued by the type-approval authority for a particular type of product. It consists of three parts:

1. The type-approval certificate signed by the type-approval authority.
2. The information document issued by the manufacturer.
3. The test report issued by a notified technical service.

Type-approval authority

Every European Member State has an authority that grants (e/E) approval certificates. The Member States are obliged to verify that the product conforms with the requirements and that the holder of the type-approval complies with all the requirements described in the regulations in question.

Manufacturer: holder of the type-approval

This is the organisation that is responsible for the product, the production and the conformity of the production. The manufacturer does not need to be involved in all stages of the production.

Notified technical service

An accredited organisation with (access to) test equipment that it uses to perform inspections and tests. Technical services are registered by the type-approval authority. They perform the mandatory tests in accordance with the legislation governing the products for which the manufacturer must have a type-approval.

Initial assessment

Verification by the type-approval authority of the measures proposed by the manufacturer on how to guarantee the conformity of the products during production. The initial assessment must be performed before the type-approval is issued. Once this assessment has been completed successfully, it will be followed by an 'initial assessment notification'.

Conformity of Production (CoP)

These are the measures taken by the manufacturer to guarantee that the production process conforms with the type-approval and the requirements laid down in the legislation.

Compliance Statement

This is a document issued by the type-approval authority after it has been verified that the measures taken by the manufacturer to guarantee the conformity of production were effective.

WMI code

WMI stands for World Manufacturers Identification; the code consists of a number of fixed positions in the vehicle identification number.

[TABLE OF CONTENTS](#)

Part 1: Processes

RDW assesses all new manufacturers and known manufacturers if the expiry date of their compliance statement or initial assessment notification is shorter than nine months. Is the period of validity longer than nine months? In that case, a regular assessment is not necessary. Regardless of the assessment type, you will be asked to submit specific documents. Those documents can differ for each assessment type. This manual describes the necessary documents and the minimum information that those documents must contain in order to be accepted by RDW. [Requisite documents](#)

Initial assessment

Before RDW can issue a type-approval, it verifies whether you have (implemented) adequate plans to effectively guarantee the conformity of production. Your first application submitted to a type-approval authority is called an 'initial assessment'.

You submit an application for an initial assessment by filling in the [form](#). It is important that you append all the requisite documents in the specified order.

- If you do not have a certified quality system, an initial assessment audit or factory inspection must be held on the basis of ISO 9001, including the CoP procedures.
- RDW evaluates the documents for the initial assessment to verify whether all the information complies with the requirements.
- RDW can decide to conduct an initial assessment audit in addition to analysing the documents.
- Is the result of the initial assessment satisfactory? Then RDW will issue an 'initial assessment notification'. This document is valid for a maximum of one year.
- After the initial assessment notification has been issued, you can apply for type-approvals.

[Requisite documents](#)

Application for type-approval

- An application for a type-approval is submitted through a technical service.
- Type-approvals are issued for a defined product type.
- The product definition of a type-approval can vary in the numerous directives and regulations. A product type is often described as a group or series of products with the same specific properties.
- Every directive and regulation determines the area of application of the relevant legislation. As the manufacturer, it is your responsibility to submit an application for the specific legislation that applies to the product you are bringing on the market.
- You must describe the technical details of the product in an information document that conforms with the structure of the regulation.
- You must submit the information document together with product samples to the technical service for verification and tests.
- The type-approval authority will issue a type-approval after 1) the technical service has tested the product in accordance with the applicable legislation and 2) when the test results show that the product complies with the requirements after the information document has been verified on the basis of the product.
- You should keep a record of the type-approvals. Has the regulation, the design, the production or the information document changed? Or is production about to be terminated? Then you must verify whether it is necessary to adjust the type-approval.

[Requisite documents](#)

[TABLE OF CONTENTS](#)

Conformity of Production (CoP)

- When you have a type-approval and you bring products on the market, you must verify the conformity of the production process.
- You yourself may determine how you obtain the demonstrable proof of the conformity of production that you use to comply with the regulations in question. Among other things, this is influenced by the type-approval category, the production scale and the production process.
- If, as the manufacturer, you make any changes in the CoP information or the documents that were submitted, you must notify the approval authority of these changes by filling in this [form](#).
- You must ensure that the CoP is demonstrated by analyses of the production processes and inspections and tests of the production samples, as agreed during the initial assessment.
- As the holder of the type-approval you are always fully responsible for the CoP. You must be able to show at all times that you are in compliance with the CoP requirements as stipulated in the applicable legislation.
- Do the results of the analyses, inspections and tests show that you are not in compliance? Then you must take the necessary steps to restore the conformity of production and notify the approval authority.
- RDW verifies the implementation of the CoP measures.

Six to nine months before a compliance statement expires, RDW will contact you if you have been selected for a full assessment. The selection is based on the estimated risks. Risk-based supervision consists of a risk score of all known manufacturers on the basis of the following five criteria:

1. Whether the manufacturer is ISO certified or accredited
2. Results achieved during previous assessments
3. The type of product (environment and safety have priority)
4. The time since the last physical audit on location at the manufacturer's
5. Product deviations and complaints known to RDW.

As the manufacturer, you can therefore influence a number of these criteria. Good scores during assessments, ISO certification and the correct products contribute directly to a low risk score and therefore less strict supervision by RDW. If you are awarded a lower risk score, you will receive an email with a number of questions later – before the compliance statement has expired. RDW will start the assessment as soon as all the requested information and requisite documentation have been received.

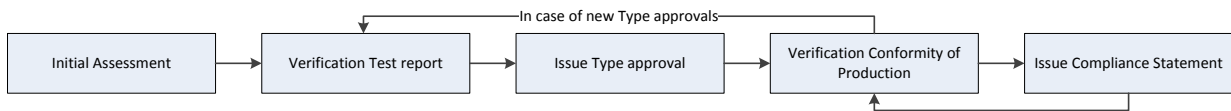
During the response period, you can email any questions, remarks and doubts to cop@rdw.nl. If you do not supply all the requisite information, RDW can withdraw the type-approvals and/or the compliance statement or assign a higher risk. That then makes it more likely that an audit will be performed. During an administrative assessment, RDW only verifies the documents that have been submitted. If the documents comply with at least the specified requirements (see part 2), the positive assessment will be completed straight away. RDW will then issue a compliance statement.

If RDW conducts an audit, the implementation of the documents that were submitted will be verified. If you also fully use the documents submitted earlier in the process, the result of the audit will be positive for those points. If problems are detected during an assessment, you are given three months' response time to present the scale of the problem and the cause, correction and corrective measures to RDW. After 3 months, regardless of the response that RDW has received, RDW will issue a decision about the CoP.

[Requisite documents](#)

[TABLE OF CONTENTS](#)

The process displayed in a flow chart



Obligations

When type-approvals are being obtained, three stakeholders are involved: you as the manufacturer, the technical service and the approval authority. Each has its own obligations on the basis of the legislation.

Your obligations as the manufacturer

As the holder of the type-approval, you must satisfy the following requirements.

- You must obtain the necessary type-approvals for the specific products before you bring them on the market.
- You should ensure that the type-approval is valid at all times.
- You must implement and maintain an effective quality system in order to guarantee the CoP.
- You must produce the products in accordance with the type-approval and legal requirements.
- You should bring the products on the market in accordance with the requirements.
- You must act and take responsibility if products do not conform.
- In order to verify the CoP, you must give the approval authority's inspector access to all the production locations at all times.

The stipulations in the CoP and the verification by the approval authority are set out in:

- Appendix 2 of Revision 2 of the Geneva Agreement of 20 March 1958 (parts and systems)
- Appendix X of EC Directive 2007/46/EC (vehicle categories M, N, O: passenger vehicles, commercial vehicles and trailers)
- Appendix VI of EC Directive 168/2013/EC (vehicle category L: two-wheeled or three-wheeled vehicles and quads)
- Appendix IV of EC Directive 167/2013/EC (vehicle category T, R, C and S): agricultural and forestry vehicles)
- Appendix I of EC Directive 97/68/EC (mobile machines not intended for road use) requirements as laid down in various EC Directives and/or ECE regulations.

Legislation is regularly amended. It is your responsibility as the manufacturer to keep up-to-date with any amendments and, where appropriate, to change the products, production and organisational structure. Relevant publications can be obtained in the following way:

- website EU (EC Directives and Regulations): http://ec.europa.eu/enterprise/sectors/automotive/documents/directives/index_en.htm
- Eurlax website (EU legislation): <http://eur-lex.europa.eu/en/index.htm>
- UNECE website (ECE regulations): <http://www.unece.org/trans/main/welcwp29>
- RDW's website: <http://www.rdw.nl/sites/tgk/englishversion>

[TABLE OF CONTENTS](#)

Obligations of the approval authority

The approval authority that has issued the type-approval is obliged to verify whether all the requirements have been complied with. This verification consists of five steps:

1. Registering and maintaining the information and registration submitted by the manufacturer.
2. Assessing the contents of the quality system in relation to the CoP and type-approval.
3. Regularly inspecting whether the holder of the type-approval is complying with the CoP requirements.
4. Taking action if the holder of the type-approval is not complying with the requirements.
5. Notifying the technical services that can perform the type-approval tests.

Obligations of the specified technical services

The type-approval authority is obliged to notify the technical services. They will perform the mandatory tests in accordance with the legislation governing the products for which you want a type-approval. The results of the test will be specified in the test report. The notified technical services must be able to produce a valid notification certificate. This must have been issued by the approval authority and must be applicable for the parties applying for a type-approval.

Details and additional information

Costs of supervision

It is your responsibility to ensure that the production conforms with the requirements, including the legally mandatory verification by the approval authority. You will therefore be charged all the costs for the audits or verifications. The costs include the hours spent travelling, making preparations, the audit itself and the follow-up. In addition, meals, accommodation and travel costs will be charged to you. For information about the prices, see the following link: www.rdw.nl. In order to limit the costs, RDW tries to combine CoP audits for various manufacturers on the same trip or in the same area.

Annual contribution

All manufacturers to whom RDW has issued a type-approval pay an annual contribution. This contribution covers the costs of:

- (extra) communication for the initial assessment compliance statement
- processing all the changes you made in the information that is relevant for the CoP (except for the type-approval Statement (TAS))
- regular analyses of documents (up to two hours for each analysis)
- regular supply by RDW of information about legislation.

The contribution is not dependent on the number of type-approvals owned by the manufacturer. N.B.: Payment of the annual contribution does not imply that the compliance statement has been extended.

[TABLE OF CONTENTS](#)



Voluntary withdrawal of type-approvals

When you definitively terminate the production of a product for which RDW had issued a type-approval, you should notify RDW. RDW will then investigate whether all the CoP requirements have been complied with. Following this, RDW will issue confirmation of the definitive termination of production. After this confirmation has been issued, you can no longer produce the product in question or use the relevant type-approval certificate, number and/or marking.

You continue to be responsible for all vehicles, parts and individual technical units that were produced before production was definitively terminated. All other Member States will be notified about the matter.

Withdrawal of type-approvals and definitive termination of production

Type-approvals are invalid under the following circumstances.

- If the legislation on the basis of which the type-approval was issued is repealed or replaced
- If the legal requirements become stricter
- If you definitively terminate production
- If you do not comply with the stipulations in the legislation.

Forced withdrawal of type-approvals

If you do not correct the deviations or refuse to make the mandatory payments, RDW can decide to withdraw the type-approval(s). A withdrawal is irreversible. Following a withdrawal, you will not be permitted to produce the motor vehicles and trailers and/or their systems, parts and separate technical units and/or bring them on the market. Are type-approvals for individual technical units, systems and/or parts used in type-approvals for entire vehicles (Whole Vehicle type-approvals; WVTA)? If so, they are invalid if one of the individual type-approvals is withdrawn.

All other Member States are notified about this withdrawal and a risk analysis is performed or market supervision or an inspection is carried out. You are obliged to recall motor vehicles that have already been sold, including their trailers and/or systems, parts and separate technical units that are deemed to be unsafe or to pose a risk to the environment.

Despite the recall, you remain responsible for compliance with all the requirements stipulated in the legislation for the motor vehicles and their trailers and/or their systems, parts and technical units that were produced before the type approval was withdrawn.

[TABLE OF CONTENTS](#)

Part 2: Applying for an initial assessment and the requisite documents for maintaining Conformity of Production (CoP)

This second part of the manual explains how you can register as a new manufacturer and which documentation you will need. It also specifies which information you must supply if your location and/or production process has changed. Lastly, it specifies which documents RDW will ask you to submit when a CoP assessment is performed so that you can retain your compliance statement and in that way still be entitled to (apply for) type-approvals.

Collecting the documents

See the table displayed on the following page. The table lists the documents that are necessary for each type of service (application or assessment). This is specified with the – and + symbols. All the documents for your application specified with a + should be included in the email that you send to RDW.

Do you not have one or more of the documents? You should indicate this by placing an X in the table after the name of the relevant document. For example, if your company is not ISO-certified.

Explanation of each document

When you click a document, you can see which information the document must contain in order to be accepted. The pages after the table include explanations of each document.

Submitting documents

You must submit all documents as separate documents and as attachments to your email to RDW. Are you using larger documents that cover several subjects, such as a quality manual? Then you should create a separate document for each subject that contains only the relevant information. Is this not possible because the text is located in different places in the document? If this is the case, you should clearly shade all the text related to the subject and submit the combined texts for each subject.

The application form is included as an appendix to this manual. If the application form is one of the requisite documents, fill in the form here and submit the entire manual with the correct name: *A. Application form*. To avoid any confusion, please do not change the layout of the form.

You must submit the documents and requisite information in Dutch or English. Documents submitted in any other language are not accepted.

Clearly give the documents the same names as those specified in the table. Therefore, the name must first include the letter of the subject in the following table, followed by the title of the document. For example: *F. CoP inspection plan* ***.

Attach all the documents to an email and send the email to cop@rdw.nl.

[TABLE OF CONTENTS](#)

I. Procedure for inspecting changes in the regulations

Document description:

Description of the way the legislation and regulations are kept up-to-date. The document ensures that the relevant regulations are available and implemented in the quality system.

Points of focus and additional RDW requirements:

- Always give the document a document number, version and date.
- Describe possible relationships with other procedures.
- Describe the regulation that was used and that must be checked.
- Describe the location or internet page where regulations can be viewed.
- Describe how often the regulation is checked.
- 6. Describe how updated, withdrawn and general regulations are monitored.
- 7. Describe how you guarantee the application of the correct regulation.
- 8. Describe how the changes are recorded for updated regulations.
- 9. Determine the impact of the change on the type-approval and CoP.
- 10. Determine the implementation date (which must be before the date of the statutory requirement).
- 11. Describe the implementation method for any changes in the process.

J. Procedure for changes in design and development

Document description:

Description of the actions taken if the manufacturer or supplier adapt the design, production process or composition of materials.

Points of focus and additional RDW requirements:

- 1. Always give the document a document number, version and date.
- 2. Describe possible relationships with other procedures.
- 3. Describe the traceability of the changes.
- 4. Verify the impact of the changes in relation to the type-approval and describe the way they are recorded.
- 5. Describe the action to be taken if there is an impact on the type-approval, including the possible re-testing of the product.
- 6. Describe the measures to ensure that the changed product is only brought on the market after the type-approval has been adjusted.

[Back to requisite documents](#)

[TABLE OF CONTENTS](#)

K. Procedure for withdrawal of type-approvals

Document description:

Procedure on how to act when production is definitively terminated.

Points of focus and additional RDW requirements:

1. Always give the document a document number, version and date.
2. Describe possible relationships with other procedures.
3. Describe how you register the following with RDW: the relevant approval number(s), the date on which production will be terminated, the last chassis number (VIN) produced if it involves the production of whole vehicles, and the last serial numbers.

For manufacturers with a type-approval for whole vehicles (WVTA) according to Framework Directive 2007 /46 (vehicle category M, N, O), Regulations 167/2013 (vehicle category T, C, R, S) and 168/2013 (vehicle category L), the following processes also apply:

L. Procedure for residual stock arrangement

Document description:

Description of how the requirements in the residual stock arrangement are complied with.

Points of focus and additional RDW requirements:

1. Always give the document a document number, version and date.
2. Describe possible relationships with other procedures.
3. Determine the termination of type-approval, type, variant and version.
4. Describe how the relevant approval authorities are notified.
5. Describe how the importers/distributors are notified.
6. Describe the method used to inspect the stock.
7. Describe the application procedure for residual stock with the relevant authorities, including an explanation of the technical and economic reasons why these vehicles cannot comply with the new technical requirements.
8. Describe how the last production date and VIN are determined.

M. Procedure related to repair and maintenance information (RMI)

Document description:

Description of how independent market participants, after making a reasonable effort using websites, have easy and unlimited access to information about repairs and maintenance.

Points of focus and additional RDW requirements:

1. Always give the document a document number, version and date.
2. Describe possible relationships with other procedures.
3. Ensure that RDW has a free insight into data.
4. Describe the reference to the regulation and type-approval.

[Back to requisite documents](#)

[TABLE OF CONTENTS](#)

N. Procedure controllability Certificate of Conformity (CoC)

Document description:

Description of how to draw up, submit and manage a CoC for vehicles produced in conformity with a type-approval.

Points of focus and additional RDW requirements:

1. Always give the document a document number, version and date.
2. Describe possible relationships with other procedures.
3. Describe the format of the CoC; physical or digital.
4. Describe the verification of the vehicle data.
5. Describe the verification with the type-approval.
6. Describe how an original CoC is drawn up and managed (how, where, when).
7. Describe the formulation and management of a duplicate CoC.
8. Describe how to minimise the risks of falsifying the CoC.
9. Describe how the signing of the CoC is organised.

O. Procedure and agreement for multiphase manufacturers

Document description:

Description of the cooperation between the manufacturers of the whole vehicle and a description of agreements, previous phases and contracts.

Points of focus and additional RDW requirements:

1. Always give the document a document number, version and date.
2. Describe possible relationships with other procedures.
3. Describe how the contract is determined with the current manufacturer phase.
4. Ensure that the contents of the contract comply with the conditions in the Directive.
5. Describe the verification of data exchange.
6. Describe the organisational structure of RMI, including access to RMI for third parties.
7. Describe the structure and possible retention of original chassis numbers.
8. Submit the agreement signed by the manufacturers as an attachment.

[Back to requisite documents](#)

[TABLE OF CONTENTS](#)

Application form for supervision and CoP release

Manufacturer*

Company
Address
Postal code/City/Country
Telephone
Email

CoP contact person*

Ms. Mr.
Function/position
Telephone
Email

Representative of management (CoP manager)*

Ms. Mr.
Function/position
Telephone
Email

Invoice address and contact person for finance (if different to manufacturer)

Company
 Ms. Mr.
Address
Postal code/City/Country
PO Box number (where applicable)
Telephone
Email

Applicant (if different to manufacturer – for example, technical service)

Company
 Ms. Mr.
Address
Postal code/City/Country
Telephone
Email

Representative in Europe in accordance with 2007/46/EC art. 5.3, 167/2013 art 8.4 or 168/2013 art. 9.4 (where applicable)

Company
 Ms. Mr.
Address
Postal code/City/Country
Telephone
Email

[TABLE OF CONTENTS](#)



List of production location(s)*

For initial assessments: always complete this list for all the relevant production locations.

For CoP only complete the list if there are changes in relation to the compliance statement.

Production location

Name
Department
Address
Postal code/City/Country

Production location

Name
Department
Address
Postal code/City/Country

Production location

Name
Department
Address
Postal code/City/Country

Production location

Name
Department
Address
Postal code/City/Country

Production location

Name
Department
Address
Postal code/City/Country

Production location

Name
Department
Address
Postal code/City/Country

Production location

Name
Department
Address
Postal code/City/Country

Production location

Name
Department
Address
Postal code/City/Country

{If you have more than eight locations, please send the list as a separate document}

[TABLE OF CONTENTS](#)