



CIRCULAR 0-15-1

DESKTOP AUDITS OF ADR EVIDENCE OF COMPLIANCE

1. INTRODUCTION

1.1. Applicants for Identification Plate Approval (IPA) for motor vehicles and road trailers lodge evidence of compliance with the applicable ADRs via Summary of Evidence reports (SE forms) with the Road Vehicle Certification System (RVCS). The SE forms provide one or more of the following:

- A summary of test data from the source document e.g, the original test report demonstrating compliance with ADR requirement;
- The document reference of the source document from which the SE form has been prepared e.g, drawing number; or
- The UNECE Approval number where the vehicle meets an acceptable alternative standard.

1.2. These Circular sets out the preferred administrative arrangements for conducting desktop audits of SE forms lodged with RVCS.

1.3. The purposes of the desktop audits are to confirm that:

- the information on a SE form lodged in support of an application for IPA matches the information on the source document;
- the source document has sufficient information to confirm that all the requirements of the ADR are met; and
- All the variants capable of being supplied to Australia are covered by a valid IPA.

1.4. Desktop audits will not replace conformity of production audits or test facility inspections however; good performance in desktop audits is likely to lead to fewer physical audits.

2. APPLICABILITY It is intended that all Licensees with current IPAs for road motor vehicles and road trailers will be subject to a desktop audit. The frequency of desktop audits will be based on risk methodology.

2.2. Each desktop audit will cover one SE form and SF form if applicable.

2.3. A copy of the original test report and/or evidence document from which a SE form has been prepared will be examined during a desktop audit. Where production components are not directly referenced in the test reports, the licensees would be expected to provide design change control information for components/vehicle systems modified since the original certification tests.



3. PROCEDURE

3.1. Selection of SE forms for audit.

3.1.1. Selection of SE forms will be based upon factors that include, but are not limited to, the following:

- Introduction of a new ADR or amended ADR.
- Evidence of or perceived non-compliance with an ADR for a particular vehicle category in the field.
- SE forms requiring only the 'reference of the document that provides proof of compliance'.
- SE forms in support of a proposed conformity of production audit of a design facility and/or a production facility.

3.2. Request for specific documents.

3.2.1. The Licensee selected for desktop audit will be notified of the reference of the SE form to be audited and the documents to be provided for examination which will include original test reports, design change control information and Variant Evidence Matrix as per Attachment 1 of Circular 0-13-1 – 'Conformity of Production'.

3.2.1.1. They may include completed trailer final inspection reports for trailers.

3.2.2. The Licensee is requested to provide the documents within 15 working days of the date of the notice. For large and complex reports, an extension of time for submission of documents will be considered by the Administrator.

3.2.3. The documents should be translated to English if not in English. For large and complex reports, a request for translation of only relevant sections will be considered by the Administrator.

3.2.4. Where the requested documents do not provide sufficient information to determine that the vehicles comply with all the requirements of the ADR, further documents may be sought.

3.2.5. Any anomaly or deficiency or request for further information will be communicated to the Licensee via the RVCS as a discussion item against the IPA for response by the licensee.

4. Notification of outcome of the desktop audit

4.1. A notice will be sent to the Licensee advising when the desktop audit is completed and satisfactory.

4.2. Appropriate action will be taken if a desktop audit is unsatisfactory or cannot be satisfactorily completed within six months. It may include:

- Another desktop audit during the 12 months period; and or
- A request for the Licensee to 'show cause' why the IPA should not be suspended, cancelled or varied.