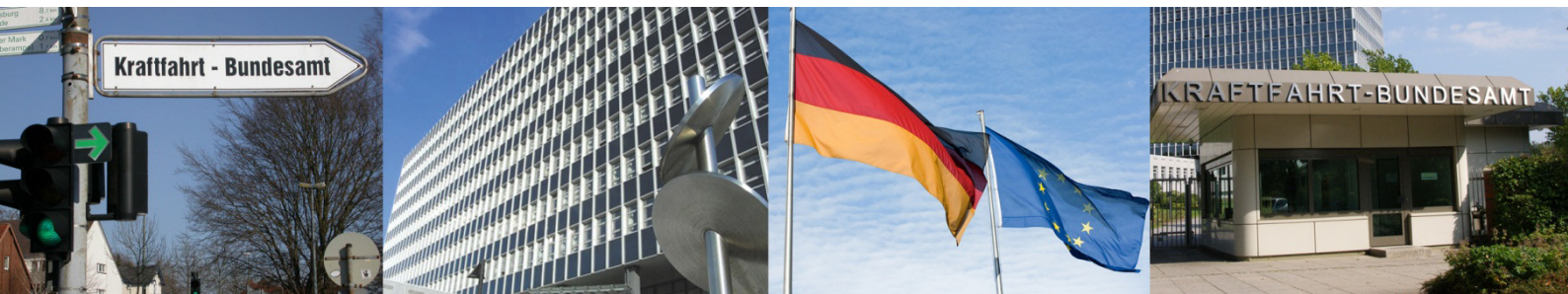


**Kraftfahrt-
Bundesamt**



Information Sheet on Initial Assessment (MAB)

Version: September 2023

Information Sheet on Initial Assessment (MAB)

List of modifications

Modification			Modified section	Description of modification	Author
No.	Date	Version			
1	2012.05.21	1.1	Form 9	Announcement in advance added	D. Hansen
2	2013.06.05	1.2	Section 6	Contract on the establishment of manufacturer's capacity, required only in justified cases	D. Hansen
			Section 9, Form 9.2	E-Typ application added	
3	2016.04.21	1.3	Section 5 Form 5.	Application details revised	P. Baldenegger
			Section 6 Form 6.1 and 6.2	Term "subsidiary company" corrected.	
			Section 9 Form 9.1 and 9.2	Term "Type" removed in declaration and contract on the establishment of manufacturer's capacity	
			All	Application has been upgraded by the term "comments section" Editorial revision	
4	2023.06.28	1.4	Section 5 Form 5.1	Application details revised	P. Baldenegger
			Section 9 Form 9.1 and 9.2	Application and E-Typ application extended	
			All	Editorial revision and adaptation to requirements from Regulation (EU) 2018/858 listed below	

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Information Sheet on Initial Assessment (MAB)

Section 1

1. General information

The Kraftfahrt-Bundesamt (KBA, Federal Motor Transport Authority) grants type approvals for complete and incomplete vehicles and for vehicle components (parts, systems, separate technical units) in accordance with national and international statutory regulations.

Interested companies will be able to find out from this information sheet,

- whether they will be able to hold a type approval and
- what requirements they must fulfil before a type approval can be issued to them.

Additional information on this information sheet can be found on the KBA homepage (www.kba.de) in the subject area of type approval, etc. under the section Questions and Answers.

In order to obtain type approvals from the KBA an initial assessment must be carried out. An initial assessment means that the company proves who it is, how it will produce in accordance with the type approval and fulfil its rights and obligations as a future type approval holder. For this purpose forms are provided that must be completed and submitted to the KBA. In addition there may also be an on-site inspection in the facilities of the future type approval holder.

This information sheet covers only the general requirements. Special features that only apply to special approval items, directives or regulations are not discussed in detail here for reasons of clarity. There are sometimes different requirements for special approval procedures, such as multi-stage type approvals and type approvals for small series, individual EU vehicle approvals or expiring series. Required information can be found in other information sheets also available on the KBA homepage (www.kba.de).

Each section explains one aspect of the approval procedure and the pre-printed forms applicable to the corresponding aspects will also be provided. For example, the forms from Chapter 8 must be filled out if the approval holder wishes to be represented against the KBA.

A company based outside the European Union that applies for type approval under Regulations (EU) 2018/858, 167/2013 and 168/2013 or the associated individual EU legal acts or Regulation (EU) 2016/1628 must have at least one authorised representative based in the European Union for the purposes of the type approval procedure, who can represent it against the KBA. Furthermore, these above-mentioned legislations require the company to appoint an authorised representative based within the European Union for the purposes of market surveillance.

Please select the required forms and send them filled out in the original and signed by hand (no scanned signature), to the following address:

Kraftfahrt-Bundesamt
Abteilung Typgenehmigung
24932 Flensburg

Information Sheet on Initial Assessment (MAB) Section 1

The forms should not be changed, as changes lead to queries, may require an additional legal assessment and can significantly delay processing.

Special questions that arise from the kind of approval objects or the particularity of special legal provisions should be clarified by submitting a written request to the KBA.

In addition to the mentioned postal address, the following contact options are available:

Type approvals for M1- and N1-vehicles 421@kba.de

Type approvals for all other vehicle types except M1 and N1 422@kba.de

Type approvals for vehicle components 423@kba.de

Information Sheet on Initial Assessment (MAB) Section 2

2. Definition of terms for this information sheet

Applicant

The applicant is the term given to the legal entity that applies for granting of a type approval for itself to the KBA. Applicants may be manufacturers that may also be represented vis-à-vis the KBA by an appointed representative. Producers, authorised representatives or exclusive distributors may also be applicants.

Approval object

This is a synonym for products for which it is intended to apply for a type approval or for which a type approval has already been issued.

Authorised representatives or exclusive distributors

The terms "authorised representative" or "exclusive distributor" are only used in association with type approvals according to the German national vehicle safety standard (StVZO) (Allgemeine Betriebserlaubnisse (ABE) and Allgemeine Bauartgenehmigungen (ABG)).

Authorised representatives or exclusive distributors may be entrusted by producers to submit type approval applications. They must prove to the KBA that they are responsible for matters regarding the type approval procedure and for conformity of production and have made all the necessary arrangements for this.

CoP-report

The report on procedures guaranteeing conformity of production is an essential part of the initial assessment as well as for the periodic checks of the approval holders. For the initial assessment a CoP-report must be issued for the on-site inspection as well as for the certification procedure. Form, example and explanatory notes for completion can be found at www.kba.de.

E-Typ

Secure multitenant data exchange procedure via the internet offered free of charge by the KBA. E-Typ guarantees a simple, secure and traceable approval procedure and should therefore be used by the applicant.

Maker

"Maker" is the term given to the entity that undertakes the final approval-relevant production step that creates the "approval object" which is then used by the end user. A maker, in contrast to a manufacturer, is not responsible for all aspects of the type approval process and for ensuring conformity of production.

Manufacturer

"Manufacturer" is the term given to the person or body that demonstrates that he/it is responsible to the KBA for all aspects of the type approval process and for ensuring conformity of production. It is not essential that the manufacturer is also the maker (see above).

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Trade name or mark

Trademark which is permanently labelled on the approval object. If the approval object should be marked with a foreign trade name or mark, the approval holder must have a release for marking by the owner of the trademark.

Type approval

Confirmation by the type approval authority that a series-produced type of similar vehicle or vehicle part complies with the applicable national or international regulations.

Type approval holder

The type approval holder is the person or body who is responsible for all aspects of the type approval procedure and for ensuring conformity of production. Manufacturers, producers, authorised representatives or exclusive distributors acting for the producer may become type approval holders. Appointed representatives, makers or suppliers cannot become type approval holders.

Verification of conformity

Verification of conformity means measures undertaken by the KBA that are used to verify that the finished product is conform to the type approval or that the facilities and installations at the company justify the expectation that the finished products will be conform to the type approval.

Producer

The term "producer" is only used in association with national type approvals (Allgemeine Betriebserlaubnis (ABE) and Allgemeine Bauartgenehmigung (ABG)). In this information sheet the term "producer" is used instead of the term "Hersteller" (manufacturer) that is used in the German national Straßenverkehrs-Zulassungs-Ordnung (StVZO, National vehicle safety standard). This is in order to differentiate the producer from the manufacturer in international law (see definition above). The producer makes the approval object or commissions a third party to finish them.

If the producer is located in the European Economic Area (EEA) it or its representative must demonstrate that it is responsible to the KBA for all aspects of the type approval process and for ensuring conformity of production and have made all the necessary arrangements for this. If the producer is located outside the EEA then it must entrust its authorised representative or exclusive distributor to make the application for type approval. These then become responsible – in place of the producer – for all of the above stated issues.

Supplier

The supplier, in contrast to the maker, does not undertake the final approval-relevant production that creates the approval object which is then used by the end user.

Information Sheet on Initial Assessment (MAB)

Section 3

3. Rights and obligations of the approval holder

As the holder of the type approval, the approval holder has the right to produce and to place a generally unlimited number of approved products (approval objects) on the market in the countries that apply the regulation.

The approval holder is obliged in return to ensure the conformity of production.

The obligations as an approval holder extend in particular to the following:

- Approval objects may only be placed on the market under the type approval if they are conform to the type approval in every respect.
- For every approval-relevant change to the approval object, the approval holder must immediately apply for the corresponding change regarding the type approval at KBA.
- The current version of any type approval regulations relevant to the approval object must be known.
- The type approval that has been granted may only be used for as long as this is allowed based on the approval status (observance of deadlines regarding prohibitions for placing the product on the market).
- For any change in the legal form, the name and address of the company resp. producers and manufacturers the KBA must be informed immediately. Changes to the contact persons named to the KBA as well as the opening of insolvency proceedings must be reported.
- All the documentation relevant to the approval object – such as approval copies, certificates of conformity and similar must be provided when placing those products on the market.
- Procedures to ensure conformity of production with the approved product are defined, applied and documented. This also applies to external manufacture.
- A conformity check of the manufacturing processes and/or the approved products must be made possible by the KBA or its representative.
- All fees and costs which arises in connection with the initial assessment, the granting of type approval and conformity checks at the KBA, must be taken by the approval holder.

The obligations arising from the type approval may not be assigned to third parties. Any agreements of this kind are inadmissible and have no effect on the KBA.

Failure to comply with the obligations may result in the revocation of approvals. If, in the case of such a revocation, the notice of revocation cannot be delivered despite multiple attempts, it will be publicly served via the KBA homepage.

Information Sheet on Initial Assessment (MAB) Section 4

4. Basic requirements

4.1 Application for type approval by companies located in Germany

Type approvals are issued to natural persons or to legal entities.

The following document must be submitted in the original or as certified copy.

- Current excerpt from the commercial register (if the applicant is required to be registered in the commercial register)

or

- Current business registration (applies to applicants who are not registered in the commercial register, but who operate a business)

It is not necessary to submit an original extract from the commercial register if the originality can be verified by the KBA in the common register portal of the states (www.handelsregister.de).

4.2 Application for type approval by companies located outside Germany

Type approvals are issued to natural persons or to legal entities. At the beginning of the initial assessment, the legal identity must be verified by an official registration document. This document must be submitted to the KBA either as an original document or as a certified copy.

If this document not already (exclusively or additionally) has been drafted in German or English by the issuing authority, a translation must be provided in German or English either as an original document or as a certified copy.

A translation must be issued by an authorised sworn or certified interpreter or translator. In case of doubt, the KBA may request evidence of such authorisation.

It is not necessary to submit an original registration document if the originality can be verified. This includes, for example, portals of the issuing authority, which the KBA can access free of charge.

Information Sheet on Initial Assessment (MAB) Section 5

5. Verification of the quality assurance system and conformity of production

The initial assessment is generally only carried out once. It is valid for as long as the assessed company remains the holder of type approvals for products that were the subject of the initial assessment that was carried out. The first type approval must issue within 12 months after the positive completion of the initial assessment (written confirmation by the KBA). It remains valid as long as the approval holder fulfils the KBA regulations on verification of conformity. If applications for approval of products of a different kind are submitted it may be necessary to expand the existing initial assessment.

For a general assessment of a company the form 5.1 "Application details" must be filled out.

For proof of quality assurance measures and conformity of production you can choose between the following options:

5.1 Option 1

Applicants can choose the on-site inspection.

The inspection can be carried out

- by the KBA itself
- by certification bodies designated by the KBA (technical service, category C)
- in exceptional cases, previously agreed with KBA by another body

If the inspection is carried out by the KBA itself, we will notify you of a date for inspection after submitting the documents. In this case please fill out form 5.2 "Declaration on carrying out an inspection".

The granting of a type approval is only possible after the inspection has been carried out and the initial assessment has been completed.

5.2 Option 2

For the purpose of the initial assessment, submission of suitable documentation shall also be accepted as evidence of your quality assurance system. The following documents may be acceptable:

- a CoP-report that refers to a valid and suitable certificate in accordance with the DIN Norm EN ISO 9001 quality standard or at least an equivalent QM-standard (e.g. IATF 16949),
- or
- a confirmation issued by another European type approval authority of the initial assessment which has successfully carried out,

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A certificate is deemed suitable/acceptable if it meets the following requirements:

- The certificate was issued by a certification body designated as technical service by the KBA (technical service category C). A list of designated certifying bodies can be found as "List of designated technical services" on the KBA website (www.kba.de). In addition to that the technical service has attested the approval-relevant requirements. For this purpose the document "report on procedures guaranteeing conformity of production" (CoP-report) must be submitted to KBA. Submission of the certificate to the KBA is only required with regard to form 5.3 (Note: The technical service is aware of these requirements). In cases of doubt, the certificate should be submitted to the KBA in advance for review.
- The CoP-report covers the production of the approval objects.

The mentioned certificates or CoP-reports are not required for the manufacturer. The approval holder must ensure that he has integrated the manufacturer with the affected approval objects in his own QM system.

If the CoP-report and thus the confirmation of the approval-relevant requirements is missing, form 5.3 "Declaration of proof of the approval-relevant requirements" including the certificate must be submitted or option 1 must be chosen.

5.3 Fees and charges

If an on-site inspection for the initial assessment is carried out by the KBA, then the KBA will charge a fee in accordance with Gebührenordnung für Maßnahmen im Straßenverkehr (GebOSt, scale of fees and charges for road traffic related services) for the on-site inspection. In addition disbursements and any other travel related expenses must be refunded.

In all other cases the KBA does not charge any fees for the initial assessment.

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Form 5.1

Application details

1. In what capacity do you intend to file the application for approval?

- a) As manufacturer/producer that makes all approval objects in-house and /or in legally dependent company

[Note: Legally dependent companies must be supplied to KBA formless on giving the names and addresses. A maker is only considered as legally dependent if he is a further additional branch from the manufacturer/producer located in the same country.]

- b) As manufacturer/producer that produces whole approval objects in-house but that also sub-contracts a certain proportion of approval objects for external manufacture

[Note: It is necessary to submit a declaration or a contract establishing capacity as manufacturer - see section 6 of the information sheet on initial assessment.]

- c) As manufacturer that does not produce in-house but is responsible to the Kraftfahrt-Bundesamt (KBA) for meeting the requirements pertaining to the type approval procedure and conformity of production

[Note: It is necessary to submit a declaration or a contract establishing capacity as manufacturer - see section 6 of the information sheet on initial assessment.]

- d) As authorised representative or exclusive distributor that is applying for national type approval (Allgemeine Betriebserlaubnis (ABE) or Allgemeine Bauartgenehmigung (ABG)) in accordance with StVZO

[Note: It is necessary to submit an authorisation to apply for national type approval (ABE or ABG) - see section 7 of the information sheet on initial assessment.]

2. Detailed information:

Number of registration document:

Officially registered name:

[Note: Hereafter and in the Forms from the information sheet on initial assessment the address of the officially registered name must be given.]

Street, number:

Post code, town:

Country:

Phone:

E-mail:

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Postal address (if different):

Name:

Street, number:

Post code, town:

Contact for type approvals:

Name:

Phone:

E-mail:

3. Who will pay the fees?

- The approval holder
- His representative
- The following centre:

(Name of company)

(Street, number)

(Post code, town)

(Country)

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Section 5

4. Workforce

Workforce total: _____

Number of staff in the quality assurance department: _____

5. Type approvals are requested for the following products (approval objects):

Approval objects

Regulation (e.g. VO (EU) 2018/858, UN-Regulation no. 10, § 22 StVZO)

6. For brands and/or trademarks that are not our own, corresponding authorisations are available.

7. Where may approved products be removed for verification of conformity purposes?

In our company

At the maker's company

At the following centre:

(Name of company)

(Street, number)

(Post code, town)

(Country)

**Information Sheet on Initial Assessment (MAB)
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The accuracy of the information 1. to 7. of this form is confirmed

(Officially registered name of applicant)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
Section 5**

Form 5.2

Declaration on carrying out an inspection

Our company

(Officially registered name of applicant)

(Street, number)

(Post code, town)

(Country)

is applying for a type approval.

We are aware that the initial assessment can only be completed on the basis of a positive verification after the on-site inspection (yet to be carried out) by the Kraftfahrt-Bundesamt (KBA). Furthermore we are aware that a first type approval cannot be granted before initial assessment is completed.

We undertake

- to enable the on-site inspection to be carried out,
 - to pay the costs and fees relating to this issue on time
- and
- to reimburse the expenses incurred by the KBA.

We ask KBA to suggest a date for the on-site inspection.

(Officially registered name of applicant)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
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Form 5.3

Declaration on verification of approval-relevant requirements

Our company

(Officially registered name of applicant)

(Street)

(Postcode, town)

(Country)

is applying for a type approval.

The QM certificate issued to our company by

in accordance with quality standard

does not take into account the approval-relevant requirements.

We undertake to provide evidence that these requirements have been met during the course of the next routine monitoring audit and/or during the course of recertification of our company. The technical service (certifier) shall send the report on procedures guaranteeing conformity of production (CoP-report) for confirmation of the approval relevant requirements to the Kraftfahrt-Bundesamt (KBA) by (DD.MM.YYYY).

We are aware that approvals granted to our company are subject to verification of approval-relevant requirements. Failure to provide such verification evidence by the agreed date may lead to type approvals being revoked by the KBA.

(Officially registered name of applicant)

(Place, date)

(Signature)

Verification by the above named technical service

(Place, date)

(Signature)

Information Sheet on Initial Assessment (MAB) Section 6

6. Notes on recognition as manufacturer in the case of external manufacture

Type approvals in accordance with international EU and UNECE legislation can only be granted to the manufacturer of the approval object. Where this manufacturer is located is of no consequence to the issue of approvals.

Type approvals according to StVZO may only be granted to the manufacturer (producer) of the approval objects if he is domiciled within the EEA.

The following forms apply to companies that

want to apply for approval as manufacturer although the crucial phase (final step) of manufacture takes place at another, legally independent company (external manufacture). The forms do not apply to companies that would like to apply for type approval as manufacturer, and

- subcontract manufacture of the approved product to a legally dependent company

or

- subcontract the manufacture of vendor parts to third-party companies, but that themselves subsequently carry out the final manufacturing stage leading to the product as sold to the end-customer for the purpose of type approval.

The forms also not apply to companies that apply for approval as an exclusive distributor or authorised representative of the producer.

The following procedures are possible:

1. In principle, the manufacturer should issue to the KBA a "Declaration on the establishment of manufacturer's capacity for vehicles/vehicle parts in cases of external manufacture". This is recommended by the KBA.
2. If required in an individual case, the manufacturer can use a "Contract on the establishment of manufacturer's capacity for vehicles/vehicle parts in cases of external manufacture" with the maker and submit it to the KBA as original.

The specific mention of a type when specifying the approval object limits the declaration and the contract to this type designation.

**Information Sheet on Initial Assessment (MAB)
Section 6**

Form 6.1

Declaration on the establishment of manufacturer's capacity for vehicles/vehicle components in cases of external manufacture

We, the company

(Officially registered name of manufacturer)

(Street, number)

(Postcode, town)

(Country)

hereinafter referred to as "**company A**", shall have company

(Officially registered name of the maker)

(Street, number)

(Postcode, town)

(Country)

hereinafter referred to as "**company B**", manufacture the following approval objects
(Please specify equipment type(s), vehicle class(es) and/or regulations):

Information Sheet on Initial Assessment (MAB) Section 6

Company A declares as follows thereto:

§ 1

- (1) **Company A** has the technical responsibility for the approval objects that are manufactured by **company B** and is authorised to give instructions directly to the competent departments of **company B** on the assembly, installation process and observance of quality standards. The authority to give instructions shall also include the right to check the assembly and/or manufacturing facility and to supervise and monitor the assembly and production process.
- (2) In order to ensure that the quality standards are complied with,
- Company A**
 - Company B**
 - A third company
- (3) In order to carry out the afore-mentioned instructions, **company A** maintains its own quality management system, which, as a minimum, fulfills the requirements prescribed for an initial assessment. The quality management system of **company A** applies to the approval objects manufactured by **company B** for them within the scope of this agreement.
- (4) The approval objects supplied by **company B** subjected to a product audit at regular intervals in order to ensure that said products conform to the approved type.
- (5) Non-conforming approval objects identified by
- Company A**
 - Company B**

must be clearly marked and it must be ensured that they are not placed on the market.

If products that do not conform to the approved type are delivered despite the quality control measures, **company A** shall coordinate the recall action.

§ 2

Company A is the manufacturer of the approval objects produced by **company B** and is responsible for fulfilling all obligations in connection with the type approval. Company A is liable for all obligations in relations with the Kraftfahrt-Bundesamt (KBA). Agreements to assign these obligations are inadmissible and have no binding effect on the KBA.

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§ 3

- (1) The KBA and/or its representatives are entitled at any time to inspect the approval objects manufactured by **company B** on behalf of **company A**, as well as the production facilities, materials and tools used during production. This shall also apply to the observance of this declaration. **Company A** ensures that the KBA and/or its representatives have access at any time, including unannounced access, to the production facilities of **company B** and that they can carry out such inspections.
- (2) The costs of these inspections are borne by **company A** in its capacity as manufacturer and holder of the type approval.

§ 4

- (1) The KBA and/ or its representatives are entitled at any time to inspect the approval objects manufactured by **company B** on behalf of **company A** or to have them inspected or, in the case of EU/ UNECE type approvals or comparable type approvals, to carry out an audit to verify the conformity of production (CoP-Q audit). **Company A** ensures that the KBA and/or its representatives have access to the production facilities and storage facilities of **company B** at any time and can carry out corresponding inspections without hindrance.
- (2) The costs of these audits are borne by **company A** as manufacturer and holder of the approval, unless diverging statutory legislation applies. The costs of CoP-Q audits will be invoiced to **company A** as holder of the type approval in accordance with the Gebührenordnung für Maßnahmen im Straßenverkehr (GebOSt, current scale of charges for road traffic measures).

§ 5

Company A has to inform the KBA immediately in writing of any change in its relationship with **company B**.

(Officially registered name of **Company A**)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
Section 6**

Form 6.2

**Contract on the establishment of manufacturer's capacity for
vehicles/vehicle components in cases of external manufacture**

We, the company

(Officially registered name of manufacturer)

(Street)

(Postcode, town)

(Country)

hereinafter referred to as "**company A**", shall have company

(Officially registered name of the maker)

(Street)

(Postcode, town)

(Country)

hereinafter referred to as "**company B**", manufacture the following approval objects
(Please state equipment type(s) and/or vehicle class(es) and/or regulations):

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We conclude the following agreement:

§ 1

(1) **Company A** shall assume the technical responsibility for the products requiring approval manufactured by **company B** and shall be authorised to give instructions directly to the competent departments of **company B** on the assembly, installation process and observance of quality standards. The authority to give instructions shall also include the right to check the assembly and/or manufacturing facility and to supervise and monitor the assembly and production process.

(2) **Company B** shall ensure that the instructions given by **company A** are fully observed.

(3) In order to ensure that the quality standards are complied with,

- Company A**
- Company B**
- A third company

shall supply the necessary manufacturing and installation documentation as well as documents pertaining to scope of tests and means of testing to be used by **company B**. In case of any deviation from the approved manufacturing and installation procedure, **company A** shall have the right and the duty to have the production interrupted if necessary.

(4) In order to carry out the afore-mentioned instructions, **company A** shall maintain its own quality management system, which shall, as a minimum, fulfil the requirements prescribed for an initial assessment. The quality management system of **company A** shall also be applied to the approval objects manufactured by **company B** for them within the scope of this agreement.

(5) The approval objects supplied by **company B** shall undergo a product audit at regular intervals in order to ensure that said products conform to the approved type.

- (6) **Company A**
 Company B

shall identify any non-conforming products clearly and shall ensure that they are not placed on the market.

If products that do not conform to the approved type are delivered despite the quality control measures, **company A** shall coordinate the recall action.

§ 2

Company A shall be manufacturer of the approval objects produced by **company B** and shall be solely responsible for fulfilling all obligations in connection with the type approval. **Company A** shall be liable for such obligations in relations with the Kraftfahrt-Bundesamt (KBA). Agreements to assign these obligations shall not be allowed and no binding effects shall ensue from them for the KBA.

Information Sheet on Initial Assessment (MAB)
Section 6

§ 3

- (1) The KBA and/or its representatives shall be entitled at any time to inspect the approval objects manufactured by **company B** on behalf of **company A**, as well as the production facilities, materials and tools used during production. This shall also apply to the observance of this agreement.
- (2) The costs of these inspections shall be borne by **company A** in its capacity as manufacturer and holder of the type approval.

§ 4

- (1) The KBA and/or its representatives shall be entitled at any time to make or arrange for a second inspection of the approval objects manufactured by **company B** on behalf of **company A** or, in case of EU/UNECE-type approvals or comparable approvals, to carry out a Conformity of Production (CoP) Audit.
- (2) The costs of these audits shall be borne by **company A** in its capacity as manufacturer and holder of the approval, unless diverging statutory legislation applies. The costs of CoP Audits shall be invoiced to **company A** as holder of the type approval in accordance with the GebOST (Gebührenordnung für Maßnahmen im Straßenverkehr, English: current scale of fees and charges for road traffic related services).

§ 5

Company A shall inform the KBA immediately in writing of any change in its relationship with **company B**.

(Officially registered name of **Company A**)

(Place, date)

(Signature)

(Officially registered name of **Company B**)

(Place, date)

(Signature)

Information Sheet on Initial Assessment (MAB) Section 7

7. Obtaining a national type approval through an exclusive distributor or an authorised representative of the producer

7.1 What are national type approvals granted for?

ABE in accordance with § 20 StVZO are granted for certain vehicle categories for which an international type approval is not prescribed.

Insofar as parts comprise a separate technical unit that may be treated autonomously during the approval procedure, national type approvals may also be granted here (§ 22 StVZO). In particular cases it may be reasonable to check with the KBA beforehand if a national type approval for specific vehicle parts may be granted. The vehicle parts for which national type approvals (ABG) must be granted, are clearly defined in § 22a of StVZO.

7.2 Who may hold a national type approval?

In addition to granting of a type approval to a producer (manufacturer) of an approval object located within the European Economic Area (EEA), it is also possible to grant a type approval to another company:

- If the approval object will be manufactured within the EEA, the type approval may be applied for by a company that is located within the EEA. This company then becomes the authorised representative of the producer.
- If the approval object will be manufactured outside the EEA, the type approval may be granted to an exclusive distributor that is located in Germany or to an authorised representative of the producer that is domiciled outside Germany but inside the EEA.

For approval objects that are manufactured in Germany only the producer can be the type approval holder.

The requirements to be met by an exclusive distributor or an authorised representative are, according to type approval legislation, the same. An "Authorisation to apply for a national type approval" (ABE/ABG) (Form 7.1), signed by the producer, together with a "Confirmation of application for national type approval" (ABE/ABG) (Form 7.2), signed by the exclusive distributor or authorised representative must be submitted. This authorisation may apply to one type or to a range of types of products.

7.3 Who is responsible for the obligations associated with the type approval?

Responsible is always the approval holder which means, depending upon the circumstances (see above), that it is the sole responsibility of the authorised representative or the exclusive distributor.

**Information Sheet on Initial Assessment (MAB)
Section 7**

Form 7.1

Authorisation to apply for

**National type approval
(ABE)**

(in accordance with §§ 20 or 22 StVZO)

**National type approval
(ABG)**

(in accordance with § 22 a StVZO)

We, the company

(Officially registered name of the producer of the approval objects)

(Street, number)

(Postcode, town)

(Country)

herewith confirm that

(Officially registered name of the applicant)

(Street, number)

(Postcode, town)

(Country)

may apply for type approvals for the following approval objects:
equipment type(s), vehicle class/(es) and/or type(s):

Information Sheet on Initial Assessment (MAB) Section 7

We assure that no further application has been made for the above-mentioned products by us or by any company authorised by us in Germany.

The applicant has assured us to grant us access to the approval documentation at all times and to immediately inform our company of any changes arising in connection with the type approval.

We have granted the applicant the following rights for which he must assume on his own responsibility in connection with the approval object:

1. Representatives of the applicant shall be given unhindered access to our production and storage facilities at any time for the purpose of checking the products that are to be produced or that have been produced.
2. The applicant is authorised to name persons to monitor the compliance of the production also in the production process. Should such persons issue instructions that are in conformance with the existing approval, our company undertakes to observe such instructions.

We acknowledge that we are aware of the following:

- a) The marking of the product with the officially assigned approval marks may only be carried out with the agreement of the type approval holder.
- b) The marking of the above-mentioned products with the officially assigned approval marks may only be carried out if they are manufactured by us and if they are conform to the type approval.
- c) When manufacturing licenses are given to other companies the officially assigned approval mark may not be affixed on the products manufactured there.
- d) Violations of the type approval may result in revocation.
- e) Upon expiry of this authorisation the rights assigned in connection with the type approval end.

Any change to this authorisation will be immediately communicated in writing to the Kraftfahrt-Bundesamt (KBA).

(Officially registered name of the producer)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
Section 7**

Form 7.2

Confirmation of application for

**National type approval
(ABE)**

(in accordance with § 20 or § 22 StVZO)

**National type approval
(ABG)**

(in accordance with § 22a StVZO)

We, the company

(Officially registered name of the applicant)

(Street, number)

(Postcode, town)

(Country)

undertake to initiate all required measures to ensure that only such approval objects

(of the equipment type, vehicle class and/or the type)

are delivered, which comply in all respects to the type approval documents.

We are able to ensure the compliance of the approval objects with the ABE and/or ABG.

We undertake

- to allow the Kraftfahrt-Bundesamt (KBA) and/or its representatives unhindered access to our storage facilities at any time,
- to ensure that the approved products can be removed and tested,
- to bear the costs associated with the conformity inspection and
- to immediately notify the KBA of any change in the legal form and the business address of the producer of the approval objects.

(Officially registered name of the applicant)

(Place, date)

(Signature)

Information Sheet on Initial Assessment (MAB) Section 8

8. Representation of the approval holder towards KBA

The following forms 8.1 to 8.5 may be used by any company that wants to be represented. A technical service cannot be an authorised representative for the manufacturer in the type approval procedure.

The naming of an authorised person for delivery or the payment of fees by a third parties are not prerequisites for the granting or the validity of a type approval.

In detail, the following must be observed:

An authorised representative (Forms 8.1 and 8.2)

- can perform all necessary or possible acts for the granting, extension, continuity or cancellation of a type approval on behalf of the applicant/approval holder. The performance of an action by the authorised representative has the same effect as the performance of this action by the applicant/approval holder himself.

An authorised person for delivery (Forms 8.3 and 8.4)

- cannot take actions such, as applying for type approvals, on behalf of the applicant/approval holder. He only acts as a recipient of mail. The serving of a document to the authorised person for delivery has the same effect as serving this document to the applicant/approval holder himself.

Payment of fees by third parties (Form 8.5)

- can facilitate the payment process and therefore accelerate the approval process in individual cases. The assumption of fees includes all costs arising in connection with the initial assessment, the granting of approval and verification of conformity by the KBA.

The naming of an authorised representative, an authorised person for delivery or a third party that will pay the fees may be revoked at any time. Such revocation does not affect the validity of already granted type approvals.

A type approval holder who is located outside the European Union and is covered by Regulations (EU) 2018/858, 167/2013, 168/2013 or 2016/1628 must simultaneously appoint a new authorised representative located in the European Union when the previous authorised representative appointed at the KBA is cancelled.

The forms are not required to assign these duties to another specific person in the company of the applicant/approval holder.

**Information Sheet on Initial Assessment (MAB)
Section 8**

Form 8.1

Appointing a representative

We, the company

(Officially registered name of the applicant)

(Street, number)

(Postcode, town)

(Country)

appoint

(Official company name or name of the representative)

(Street, number)

(Postcode, town)

(Country)

as our representative. We agree that the measures initiated by our representative have the same legal effect as if these measures had been initiated by ourselves.

This power of attorney also includes (check all that apply)

- the receipt of documents to be delivered to our company
- the authorisation according to Regulations (EU) 2018/858, 167/2013, 168/2013 or 2016/1628
- the authorisation for the purposes of market surveillance according for example Regulation (EU) 2018/858

The appointment of a sub-representative is excluded.

We immediately notify the Krafftahrt-Bundesamt (KBA) in writing of the cancelation of the representative.

**Information Sheet on Initial Assessment (MAB)
Section 8**

(Officially registered name of the applicant)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
Section 8**

Form 8.2

Confirmation of the representative

We,

(Official name of the company or name of the representative)

(Street, number)

(Postcode, town)

(Country)

(Phone)

(Email)

agree to take responsibility for

(Officially registered name of the applicant)

(Street, number)

(Postcode, town)

(Country)

to assume the duties of a representative. This includes the following tasks (check all that apply) in accordance with the information given in form 8.1

- the receipt of documents to be delivered
- the authorisation according to Regulations (EU) 2018/858, 167/2013, 168/2013 or 2016/1628

Information Sheet on Initial Assessment (MAB)
Section 8

- the authorisation for the purposes of market surveillance according for example Regulation (EU) 2018/858

We undertake to immediately notify the KBA of any change in the legal form, the name and the business address.

(Official name of the representative)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
Section 8**

Form 8.3

Appointing an authorised person for delivery

We, the company

(Officially registered name of the applicant)

(Street, number)

(Postcode, town)

(Country)

appoint

(Official name of the company or person authorised for delivery)

(Street, number)

(Postcode, town)

(Country)

as our authorised person for delivery and hereby grant the authority to receive all written communications on behalf of our company with the result that written communications delivered to the representative shall have the same legal effect as if such written communications had been delivered to ourselves.

The appointment of a sub-representative is excluded.

We immediately notify the Kraftfahrt-Bundesamt (KBA) in writing of the cancellation of the authorised person for delivery.

(Officially registered name of the applicant)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
Section 8**

Form 8.4

Confirmation of the authorised person for delivery

We,

(Official name of the company or person authorised for delivery)

(Street, number)

(Postcode, town)

(Country)

(Phone)

(Email)

agree to take responsibility for company

(Officially registered name of the applicant)

(Street, number)

(Postcode, town)

(Country)

to assume the duties as authorised person for delivery.

We undertake to immediately notify the Kraftfahrt-Bundesamt (KBA) in writing of any change in the legal form, the name and the business address.

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(Official name of person authorised for delivery)

(Place, date)

(Signature)

**Information Sheet on Initial Assessment (MAB)
Section 8**

Form 8.5

Confirmation of payment of fees by third parties

We,

(Official name of the company or person that undertakes to pay the fees)

(Street, number)

(Postcode, town)

(Country)

(Phone)

(Email)

herewith agree to pay all fees and costs of company

(Officially registered name of the applicant)

(Street, number)

(Postcode, town)

(Country)

incurred in connection with (check all that apply)

- the initial assessment
 - the granting of type approvals
- at the Kraftfahrt-Bundesamt (KBA)

Information Sheet on Initial Assessment (MAB)
Section 8

We undertake to immediately notify the Kraftfahrt-Bundesamt (KBA) in writing of any change in the legal form, the name and the business address.

(Official name of the company or person that undertakes to pay the fees)

(Place, date)

(Signature)

Information Sheet on Initial Assessment (MAB) Section 9

9. Application after Initial Assessment completed

After successful completion of the initial assessment, the KBA sends a corresponding written confirmation. After completion of the initial assessment, it is possible to apply for type approvals and participation in the E-Typ document exchange system.

9.1 Application for granting of a type approval

Type approvals are only granted by the KBA if a written application is submitted. For this purpose we strongly recommend to use Form 9.1 "Application for granting of a type approval", to avoid queries and longer processing times. Even if an application is submitted by an authorised representative the applicant's full company name and address must be clearly stated.

The type designation of the approval object for which the type approval is being applied for is important. The type designation can be freely chosen, but must not exceed 80 characters (25 characters for complete vehicle approvals) and must not contain the following special characters: ', #, ", %. The type designation is of central importance as a classification feature for processing the application in the KBA data processing system. To avoid queries and delays, therefore, please ensure that the type is written consistently in all documents submitted to the KBA.

It is not obligatory to fill the comment field in the application form. For example, reasons for extension or additional information about the requested type (e.g. size, category) can be provided. Upon submission of the application the KBA is immediately entitled to charge a fee. The amount of the approval fee is fixed in the Gebührenordnung für Maßnahmen im Straßenverkehr (GebOSt, scale of fees and charges for road traffic related services). A corresponding excerpt from this scale of fees and charges can be found on the KBA website (www.kba.de).

9.2 Application for participation in the data exchange system E-Typ

For secure and smooth handling of the approval procedure, the KBA uses the document exchange system E-Typ. Participation is only possible after the Initial Assessment has been completed. This system involves the secure exchange of electronic documents without file size limitations. Access takes place via the internet using the HTTPS protocol, i.e. in encrypted form.

Further information on E-Typ can be found in the user manual on the KBA homepage (www.kba.de).

To participate in E-Typ, the Form 9.2 should be used, which can be submitted with the other documents for the Initial Assessment.

If the application for participation in the document exchange system E-Typ is requested after successful completion of the initial assessment, the form can be sent directly to the email address TAA-Admin@kba.de

**Information Sheet on Initial Assessment (MAB)
Section 9**

Form 9.1

Application for granting of a type approval

Date of application _____

Kraftfahrt-Bundesamt
24932 Flensburg

Application for granting/extension of a type approval

Dear Sir or Madam,

we,

(Official name)

(Street, number)

(Postcode, town)

(Country)

as representative (according to form 8.1) of the company (name and corporate seat)

as the company's exclusive distributor or authorised representative (according to Form 7.1) of the company (name and corporate seat)

hereby apply for

Granting of a type approval

An announcement of the approval number in advance is required

Extension of the type approval number granted to our company

Information Sheet on Initial Assessment (MAB)
Section 9

This concerns

- The granting/extension of a national type approval (ABE) subject to § 20 and 22 of the StVZO
- The granting/extension of a national type approval for specific technical parts (ABG) subject to § 22a of the StVZO
- Correction of the type approval no. _____

- The granting/extension of a type approval in accordance with
EU Directive no. _____
as last amended by Directive: _____
- The granting/extension of a type approval in accordance with
UN Regulation no. _____
as last amended by: _____

for

- a system a separate technical unit
- a component, vehicle part a vehicle

Generally understandable description of the approval object:

Type

Different billing address (if required):

(Name)

(Street, number)

**Information Sheet on Initial Assessment (MAB)
Section 9**

(Postcode, town)

(Country)

(Email)

Different postal address (if required):

(Name)

(Street, number)

(Postcode, town)

(Country)

(Email)

Remarks (optional, e.g. note for Typblatt- or DETA lock):

Information Sheet on Initial Assessment (MAB)
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Contact person for this application is:

Name:

Phone:

E-mail:

Order no. (if required)

Your sign (if required)

In the case of an application for an internationally valid type approval we assure, that no corresponding application for this type has already been made by us or a representative authorised by us, in Germany or in countries which are also be entitled to grant type approvals as contracting parties, no approval authority has refused or revoked the granting of a type approval for this type, nor has the application for type approval for this type been withdrawn by us.

Enclosures: - -

**Information Sheet on Initial Assessment (MAB)
Section 9**

Form 9.2

Application for participation in the document exchange system E-Typ

Kraftfahrt-Bundesamt
24932 Flensburg

Dear Sir or Madam,
we,

(Official name)

(Street, street number)

(Postcode, town)

(Country)

- as approval holder
 as the company's representative (according to form 8.1) for

(Officially registered name and corporate seat)

- hereby apply for participation in the document exchange system E-Typ.
 hereby apply for a change to our already granted account authorisation(s) (e.g. company name, address, contact person, user, technical services).

Generally understandable description of the approval object:

The following contact is appointed for user support for E-Typ:

Name:

First name:

E-mail address:

Phone:

Information Sheet on Initial Assessment (MAB) Section 9

The following user accounts are to be set up: ¹⁾

_____	_____	_____
(Name)	(First name)	(E-mail address)
_____	_____	_____
(Name)	(First name)	(E-mail address)
_____	_____	_____
(Name)	(First name)	(E-mail address)
_____	_____	_____
(Name)	(First name)	(E-mail address)
_____	_____	_____
(Name)	(First name)	(E-mail address)

Information Sheet on Initial Assessment (MAB) Section 9

The following technical services are to be cooperated with: ¹⁾

(Official name of the technical service)

(Street, street number)

(Post code, town/city)

(Country)

(Official name of the technical service)

(Street, street number)

(Post code, town/city)

(Country)

Official name of the technical service

(Street, street number)

(Post code, town/city)

(Country)

¹⁾. All technical services for the cooperation must be listed here (including in the event of changes).

Information Sheet on Initial Assessment (MAB) Section 9

By participating in E-Typ I undertake to comply with the following obligations:

- User names and passwords are kept secret from unauthorised third parties.
- If user names become invalid (e.g. leaving of the registered user), the Kraftfahrt-Bundesamt (KBA) has to be notified (informally) immediately.
- Only the information and documents required for the type approval procedure are exchanged in E-Typ.

Violations of these obligations may result in claims for compensation of damage on the part of the KBA.

I am aware that

- an approval entered in E-Typ by the KBA (administrative act) is deemed published with regard to administrative law on the third day after its entry,
- the application for participation in E-Typ is approved only after the Initial Assessment has been completed.

(Officially registered name of the applicant)

(Place, date)

(Signature)

Legal notice

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24932 Flensburg
Germany

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