

**ClassNK**

NIPPON KAIJI KYOKAI

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# Small Wind Turbine Type Certification

## Revision Record

Revision No.	Revision Date	Revised Sections	Reasons for Revision
0	11.01.2016	-	Newly enacted
1	10.16.2017	Overall	Reviewed overall provisions. The content on occasional surveillance previously in section 9 was newly moved to section 10. As a result, content on changes previously in section 10 was moved to section 11.
2	01.11.2018	6.4.6	Delete expansion period of review for renewal.
3	01.04.2020	-	Revised due to organizational restructuring and changes in department names.
4	01.02.2021	Overall	The inconsistency of guideline was revised Added provisions regarding refusal of certification
5	01.10.2021	Overall	Change of document number Item number reset Update the figures

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**1. Applicability**

-1. This guideline sets forth the provisions on type certification of wind power generation facilities with a wind receiving area of 200 m<sup>2</sup> or less (hereinafter referred to as “small wind turbine”) used in product certification operations.

**2. Definition of Terms**

-1. The terms used in this guideline and their definitions shall be in accordance with JIS Q 17065, JIS C 1400-22, as well as the following terms.

Terms	Definition
Register	Documents that register and publish products that have been confirmed to conform to ClassNK’s certification standards.
Registrant	A manufacturer that manufactures wind turbine types and shall indicate clients registered on the register who have been granted ClassNK’s type certification among the clients who have requested provision of ClassNK’s type certification operations.
Certification record date	A day each year designated to be the certification date after issuance of a certification document. For example, it refers to September 30 each year from 2017 onward if the issuance date of the certification document is September 30, 2016.
IAF	International Accreditation Forum, the international organization of an institution that grants accreditation to product certifying institution, etc.
MLA	Multilateral Recognition Arrangement.
Accreditation agency	An institution that grants accreditation after evaluation of conformity to standards applicable to the certification operations provided by the accreditation agency.
ILAC	International Laboratory Accreditation Cooperation, an international organization of institutions that certify laboratories and inspection agencies.
MRA	Mutual Recognition Arrangement.
Laboratory	Institutions capable of providing testing operations in accordance with the provisions set forth in product specifications. In particular, an accredited laboratory shall refer to a laboratory that has been evaluated for its conformity to testing operation standards and has been granted certification.

**3. Certification Standard**

-1. ClassNK shall carry out evaluation for type certification of small wind turbines according to the following specifications as well as the specifications quoted therein. As a general rule, the latest versions of the specifications shall be applicable, but only when found to be appropriate by ClassNK, specifications that are not the latest version may be applied. In addition, identical international standards may also be applied.

- (1) JIS C 1400-22: Wind Turbine Conformity Testing and Certification
- (2) JSWTA0001: Specifications on the Performance and Safety of Small Wind Turbines (Japan Small Wind Turbines Association Standards)

-2. ClassNK shall carry out evaluation for type certification of small wind turbines in reference of the following specifications as well as the specifications quoted therein. Only when found to be appropriate by ClassNK, these specifications may be applied.

- (1) JIS C 1400-2: Design Requirements for Small Wind Turbines

- (2) JIS C 1400-11: Acoustic Noise Measurement Techniques
- (3) JIS C 1400-12-1: Power Performance Measurements of Electricity Producing Wind Turbines
- (4) JEC-2130: Synchronous Motor
- (5) JEC-2137: Induction Motor

-3. When ClassNK finds it to be appropriate, international specifications, national specifications, rules of certifying institutions and the like other than the above may be applied as certification standards. However, in this case, the scope of certification may deviate from the scope approved by the Japan Accreditation Board (JAB).

## 4. General

### 4.1 Language and unit

- 1. All communications and books submitted to ClassNK shall be in Japanese or English. Communications and books in other languages shall not be accepted unless otherwise approved by ClassNK.
- 2. All communications and documents submitted to ClassNK shall use the SI base units.
- 3. The certification documents issued by ClassNK shall be written in both Japanese and English.
- 4. The evaluation reports issued by ClassNK shall be created in Japanese.

### 4.2 Fees, etc.

- 1. The fees, etc. charged by ClassNK for the certification operations it provides shall be in accordance with its separately stipulated provisions. ClassNK shall maintain the right to change the provisions regarding fees, etc. at will.
- 2. The fees, etc. for ClassNK's certification operations shall be billed to the client according to ClassNK's separately stipulated provisions and paid by the client at the time of applying for certification operations and/or when completing (or canceling application of) certification operations.
- 3. The quotation on certification operations issued by ClassNK is based on the provisions on fees, etc. at the time of issuance of the quotation, and ClassNK may create a new quotation and present it to the client if there is a change of the fees, etc. or a significant increase in workload from the time of initial quotation.
- 4. If the client cancels its application before completion of the certification operations, the client shall be billed for the workload involved until that point in time.

### 4.3 Eligibility of client

- 1. The client shall possess the capability to take comprehensive responsibility with regards to communication on acquiring certification and the preservation of certification.

### 4.4 Provision of information

- 1. The client shall provide sufficient and accurate information (documents, records, etc.) deemed necessary by ClassNK for the provision of certification operations.
- 2. The client shall make sure that ClassNK can use the records of all communication in accordance with applicable specifications or other relevant specifications as well as records of measures taken as necessary.

### 4.5 Confidentiality

- 1. ClassNK shall not disclose to third parties information on specific organizations or clients that it has come to know in the process of carrying out certification operations without the written agreement of the said organization or client except when particularly requested by an accreditation agency according to the accreditation agency's standards.
- 2. Notwithstanding the provisions in section 4.5-1., ClassNK shall notify information that it has disclosed according to law to the organization or client when requested for disclosure of information to a third party by law.

- 3. ClassNK shall handle all information pertaining to the client obtained from sources other than the client (e.g. filers of complaint or regulatory authorities) as confidential.

#### 4.6 Filings of complaints and objections

- 1. If ClassNK receives a filing of complaint or objection from a client or stakeholder, it shall follow the provisions described in “RE-5 Guidelines on Filings of Complaints and Objections.”

#### 4.7 Use of NK-PASS

- 1. The submission method of documents to be submitted upon request of ClassNK shall, in principle, be submitted via NK-PASS; however, when deemed appropriate by ClassNK, they may be submitted by mail or email.

### 5. Management of Certification System

#### 5.1 Evaluation module and classification of certification

- 1. The certification operations provided by ClassNK shall, in principle, be carried out through a combination of all evaluation modules indicated in Figure 1.
- 2. ClassNK shall provide the following one type of certification operation.
  - (1) Type certification: All modules
- 3. However, the certification operation may not be of the type described in section 5.1-2. if a standard other than the certification standard indicated in section 3-1. is used.

#### 5.2 Certification document and symbols

- 1. The effective period of certification documents issued by ClassNK shall be as follows.
  - (1) Type certification document: 5 years
- 2. ClassNK shall issue a certification document to the client after checking that the small wind turbine submitted for application conforms to the certification standards and the granting of the certification document is approved.
- 3. Registrants are required to apply for re-issuance of the certification document to ClassNK when losing or staining it.
- 4. The validity of the certification document shall only be applicable to products manufactured on or after the issuance date of the certification document.
- 5. Registrants are required to apply for the issuance of a certification seal to ClassNK without fail when shipping a certified product from their manufacturing site. For more details, they shall follow the provisions in “RE-4 Guidelines on the Use of Certification Documents and Symbols.”
- 6. Registrants may use symbols. For more details on use, they shall follow the provisions in “RE-4 Guidelines on the Use of Certification Documents and Symbols.”

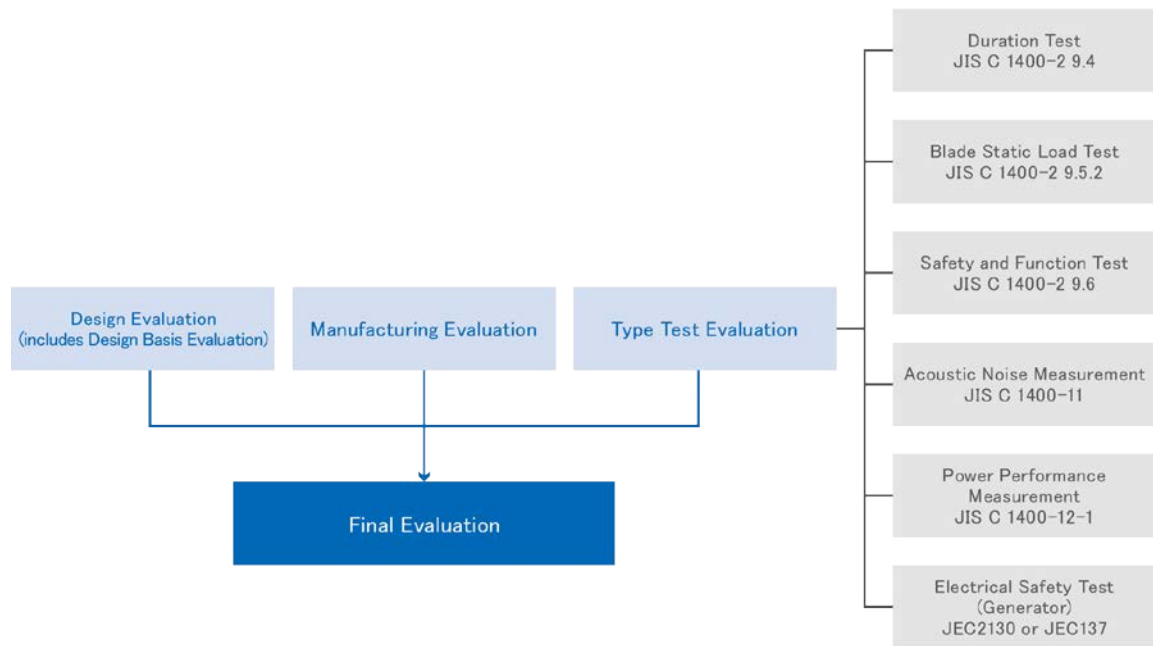


Figure 1. Process of Type Certification and Evaluation Modules

5.3 Register

-1. ClassNK shall register and publish at least the “certification number,” “type number,” “registrant name,” “certification standard,” “small wind turbine class,” “certification document issuance date,” “certification document expiration date,” and “registered PCS type number” when deciding to grant a type certification document.

-2. ClassNK shall promptly renew the register and publish the renewed version when deciding on changes to the certification content, temporary suspension of certification, removal of temporary suspension of certification, cancellation, or termination that has an impact on the register.

5.4 Preservation of certification

-1. Registrants shall apply to ClassNK for implementation of surveillance within the designated period in the frequency of either item (1) or (2) below to maintain certification.

(1) If the registrant has obtained ISO 9001 certification from a certifying institution that has been accredited by an accreditation agency that is a member of IAF MLA, the registrant shall apply for and complete surveillance once during the effective period between two and three years after the certification date (i.e. third year after certification). An example is shown in Figure 2.

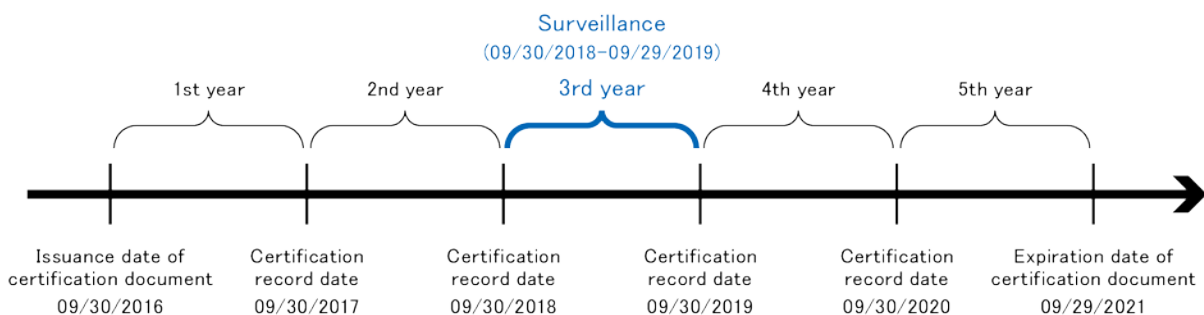


Figure 2. Frequency of Implementing Surveillance in the Case of Possessing ISO 9001 Certification



- (2) If the registrant has not obtained ISO 9001 certification from a certifying institution that has been accredited by an accreditation agency that is a member of IAF MLA, the registrant shall apply for and complete surveillance once every year (four times during the effective period) within three months before or after the certification record date. An example is shown in Figure 3.

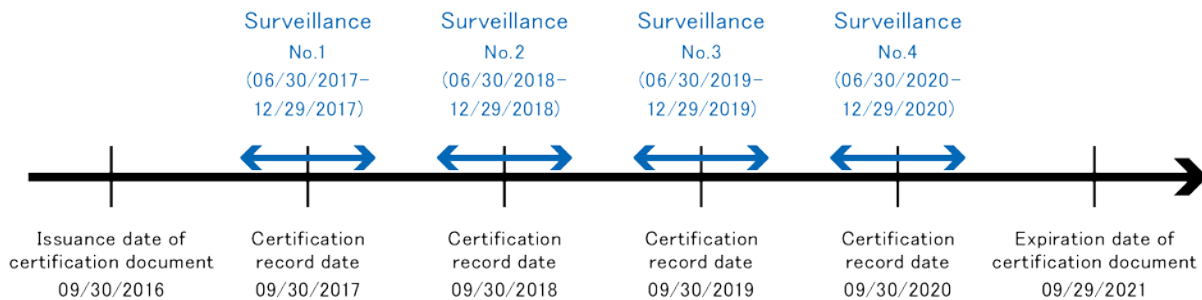


Figure 3. Frequency of Implementing Surveillance in the Case of Not Possessing ISO 9001 Certification

- 2. Registrants shall promptly notify ClassNK regarding changes to the following matters.
  - (1) Changes in legal, commercial, or organizational status or ownership of registrant
  - (2) Changes in organization or management of registrant
  - (3) Changes in registrant’s contact information
- 3. Registrants shall only execute changes in the following matters after prior report to ClassNK, ClassNK’s evaluation, and receiving approval.
  - (1) Changes of registrant
  - (2) All changes of product design
  - (3) Major changes of the manufacturing method of products
  - (4) Major changes of the quality management system
- 4. Registrants shall promptly report to ClassNK (within one week) of the discoveries or reports received from external parties regarding the following matters on certified products by using ClassNK’s specified format.
  - (1) Information that the product may not conform to the requirements of the certification standard
  - (2) Damages or accidents that may cause harm to the user of the product or the product’s periphery
  - (3) Any faults to the product
- 5. ClassNK shall conduct an occasional surveillance when it deems surveillance necessary regarding the content reported by the registrant pursuant to the provisions in section 5.4-4.
- 6. To maintain the validity of the certification, registrants shall apply to ClassNK for re-certification to renew the certification and undergo ClassNK’s review between six months prior to the expiration date of the certification document and the actual day of the said expiration.

5.5 Temporary suspension, cancellation, or termination of certification

- 1. If the certified product or registrant falls under any of the following matters, ClassNK shall temporarily suspend certification and notify registrant to that effect, including the period of suspension.
  - (1) If the product or registrant falls under section 5.4-5.
  - (2) If the registrant has not paid the fees for the certification operations by the due date
  - (3) If the registrant has not applied for re-evaluation for surveillance or renewal during the applicable period
  - (4) If the surveillance or re-certification for renewal is not completed within the deadline
  - (5) If there is a serious non-conformity or an explanation including intentional falsehood by the registrant during re-evaluation for surveillance or renewal

- (6) If the registrant acts, speaks, or publishes on his/her print materials or website in a way such that ClassNK's status, honor, and legitimacy would be impugned because of the registrant's lack of understanding toward certification
  - (7) If the registrant uses the certification document or symbols in ways that would cause misunderstanding
- 2. Registrants shall not ship their products during a period from the day that ClassNK decides on the temporary suspension of certification to the day it decides to remove the temporary suspension.
  - 3. If the registrant does not complete ClassNK's specified measures by the deadline with regards to the temporary suspension of certification, ClassNK shall cancel the certification and notify the cancellation to the registrant.
  - 4. If the registrant disagrees with ClassNK's decision to temporarily suspend certification or cancel certification, he/she may declare filing of an objection toward ClassNK in accordance with "RE-5 Guidelines on Filings of Complaints and Objections."
  - 5. ClassNK may invalidate the certification document regardless of its effective period when the registrant notifies it of the termination of certification.
  - 6. If the certification document expires, the registrant shall promptly return to ClassNK the certification document. In addition, the registrant shall stop, dispose, or delete all publicity and advertising via print materials or website speaking of the certification or using the symbols, and the registrant shall notify ClassNK once he/she has completed this.

#### 5.6 Registrant's continuous obligations

- 1. The registrant shall execute the matters on the certification seals prescribed in section 5.2-5.
- 2. The registrant shall execute the matters on the preservation of the certification prescribed in section 5.4.
- 3. The registrant shall compile an annual report consisting of ClassNK's separately specified matters on the certified product, registrant, and supplier during the one year from the date certification was granted until the certification record date each year and submit it to ClassNK by the last day of the month following the certification record date.

## 6. Initial Certification

### 6.1 General

- 1. The flow of initial certification is shown in Figure 4.

### 6.2 Prior consultation

- 1. Clients who would like ClassNK to provide them with certification operations may consult ClassNK by phone or in person with regards to the certification operations in advance. However, they shall check the content of the documents that ClassNK publishes prior to the consultation.
- 2. Clients may check ClassNK's interpretation on the provisions of certification standards during the prior consultation or evaluation. However, ClassNK does not provide advice on design or requests for consulting or the like.

### 6.3 Quotation

- 1. Clients who would like to be provided with ClassNK's certification operations shall submit a quotation request form using ClassNK's designated form.
- 2. ClassNK shall review the content of the quotation request form and issue a quotation to the client. If the quotation request form is incomplete, ClassNK shall notify the client to that effect.

#### 6.4 Conclusion of basic agreement

- 1. ClassNK and the client shall conclude a basic agreement using ClassNK's designated form.

#### 6.5 Application

- 1. After agreeing to the conclusion of a basic agreement, the client shall submit an application form to ClassNK using ClassNK's designated form.
- 2. ClassNK shall review the content of the application form that the client submitted and shall notify the client if it has accepted the application. If the application form is incomplete, ClassNK shall notify the client to that effect. If the application is rejected, ClassNK notifies the requester of the reason.
- 3. If the following matters arise after application, the client shall promptly report to ClassNK the necessary details.
  - (1) Changes of the client (including change of name)
  - (2) Changes of applicable type name
  - (3) Changes of design
  - (4) Changes of other important matters

#### 6.6 Evaluation of each module

- 1. The client shall submit to ClassNK the necessary documents for its evaluation in accordance with the requirements of applicable standards.
- 2. If a non-conformity is found in ClassNK's evaluation, ClassNK shall notify the client to that effect, and the client shall take corrective measures.
- 3. Type tests shall be carried out, in principle, by one of the following methods.
  - (1) (Recommended) Testing at a testing site of a laboratory by a laboratory that has been accredited by an accreditation agency that is an ILAC MRA member
  - (2) (Recommended) Testing at a testing site provided or designated by the client under the supervision of a laboratory that has been accredited by an accreditation agency that is an ILAC MRA member
  - (3) Testing by a laboratory that is not accredited under ClassNK's supervision and presence

#### 6.7 Final evaluation

- 1. When the evaluation of all necessary modules is completed, ClassNK holds a wind turbine certification committee as necessary, considers the deliberation on certification there, and prepares the final evaluation report.
- 2. As a general rule, no unresolved matters are acceptable in the small wind turbine type certification.

#### 6.8 Certification decision

- 1. ClassNK shall make a certification decision based on the final evaluation results.
- 2. ClassNK shall issue a certificate to the client if it decides to award certification.
- 3. If ClassNK decides to refuse certification, it shall notify the client of the reason for the decision.

#### 6.9 Billing and payment of fees, etc.

- 1. ClassNK shall issue a bill according to the quotation form stipulated in section 4.2.
- 2. The registrant shall pay to ClassNK the fees, etc. by the due date set forth in the bill after receiving the bill.
- 3. ClassNK invalidates the certification document as prescribed under section 5.5-1. (2) and section 5.5-3. if the client does not make the payment set forth in the bill by the due date.

Flow of Initial Certification Review for Small Wind Turbine Type Certification

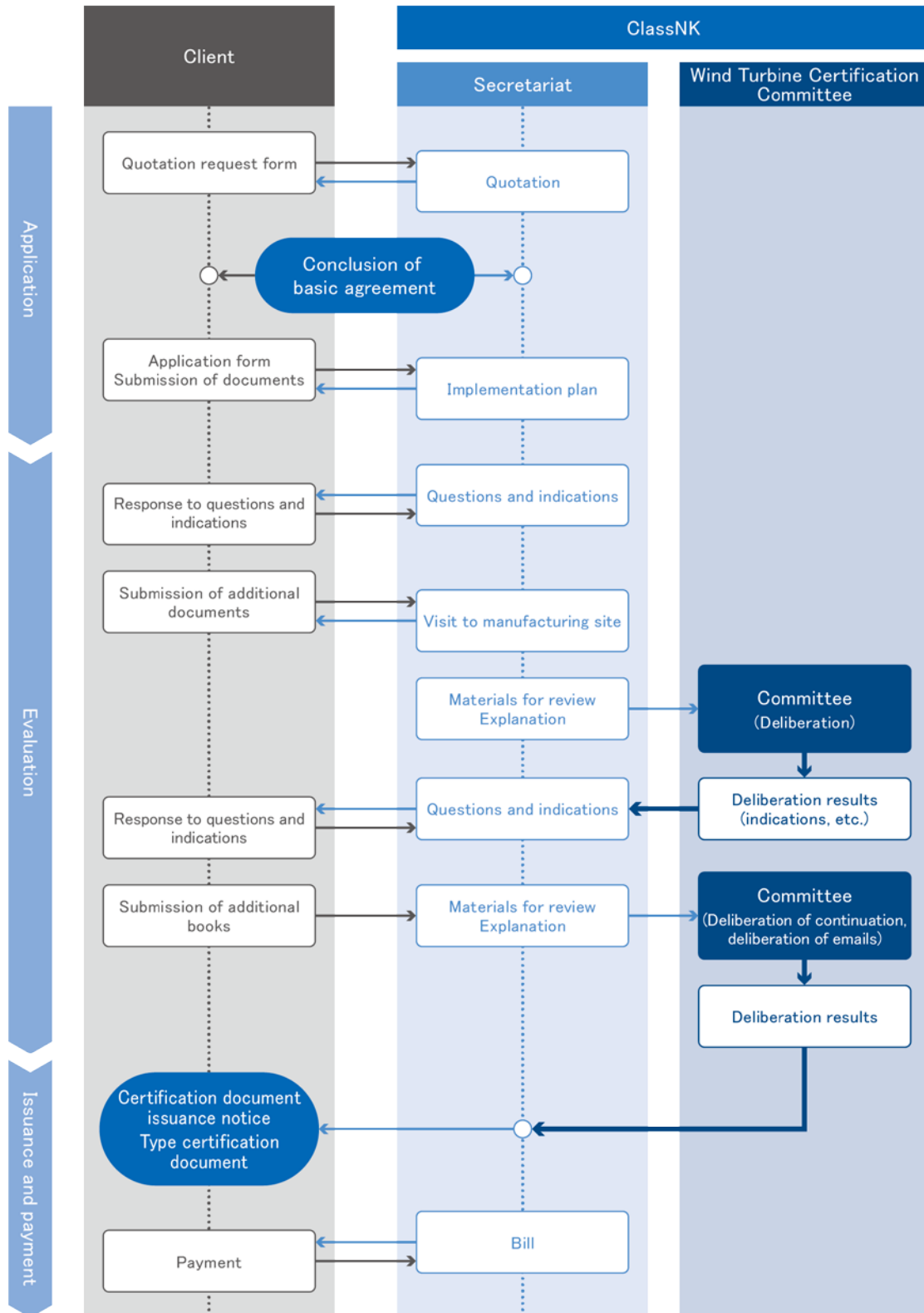


Figure 4. Flow of Initial Certification

**7. Re-Certification for Renewal**

**7.1 General**

-1. The flow of re-certification for renewal is shown in Figure 5.

Flow of Re-Certification Review for Renewal of Small Wind Turbine Type Certification

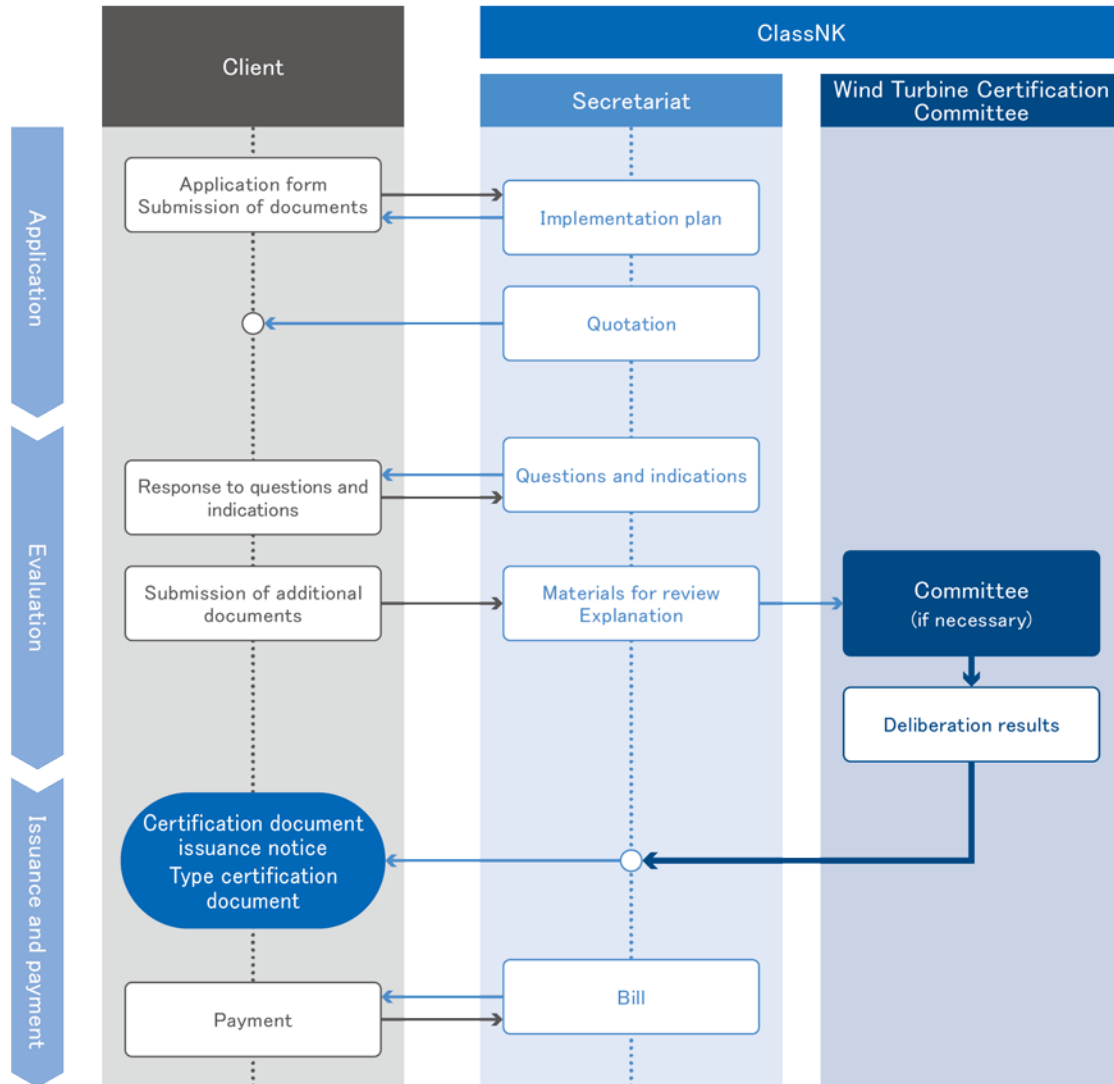


Figure 5. Flow of Re-certification for Renewal

**7.2 Application**

- 1. The registrant shall submit an application form to ClassNK using ClassNK’s designated form.
- 2. ClassNK shall review the content of the application form that the client submitted and shall notify the client if it has accepted the application. If the application form is incomplete, ClassNK shall notify the registrant to that effect.
- 3. ClassNK shall create a quotation form according to the content of the application and issue the quotation form to the registrant.
- 4. If the application is not made by the deadline specified in this guideline, ClassNK suspends the certification as specified in 5.5-1. (3) above.

**7.3 Evaluation of each module**

- 1. As a general rule, ClassNK shall conduct evaluation according to the initial evaluation. However, ClassNK may omit part of the evaluation when deeming it to be appropriate.
- 2. The registrant shall submit to ClassNK the necessary documents for its evaluation in accordance with the requirements of applicable standards.
- 3. If non-conformity is found in ClassNK’s evaluation, ClassNK shall notify the registrant to that effect, and the registrant shall take corrective measures.
- 4. If the evaluation is not completed by the date specified in this guideline, ClassNK suspends the certification as specified in 5.5-1. (4) above.

**7.4 Final evaluation**

- 1. When the evaluation of all necessary modules is completed, ClassNK holds a wind turbine certification committee as necessary, considers the deliberation on certification there, and prepares the final evaluation report.

**7.5 Certification decision**

- 1. ClassNK shall issue a certificate to the client if it decides to award certification.
- 2. ClassNK shall issue a certificate to the client if it decides to award certification. If the registrant receives a renewed certification document, the registrant shall promptly return the invalidated certification document to ClassNK.
- 3. If ClassNK decides to refuse certification, it shall notify the client of the reason for the decision.

**7.6 Billing and payment of fees, etc.**

- 1. ClassNK shall issue a bill according to the quotation form stipulated in section 4.2.
- 2. The registrant shall pay to ClassNK the fees, etc. by the due date set forth in the bill after receiving the bill.
- 3. ClassNK invalidates the certification document as prescribed under section 5.5-1. (2) and section 5.5-3. if the client does not make the payment set forth in the bill by the due date.

**8. Surveillance**

**8.1 General**

- 1. The flow of implementing surveillance is shown in Figure 6.

**8.2 Application**

- 1. The registrant shall submit an application form to ClassNK using ClassNK’s designated form.
- 2. ClassNK shall review the content of the application form that the client submitted and shall notify the client if it has accepted the application. If the application form is incomplete, ClassNK shall notify the registrant to that effect.
- 3. ClassNK shall create a quotation form according to the content of the application and issue the quotation form to the registrant.
- 4. If the application is not made by the deadline specified in this guideline, ClassNK suspends the certification as specified in 5.5-1. (3) above.

**8.3 Evaluation**

- 1. ClassNK shall conduct surveillance to the registrant in accordance with the provisions in section 5.4-1.
- 2. The main content of evaluation in the surveillance shall be the evaluation of manufacturing. However, ClassNK may omit part of the evaluation when deeming it to be appropriate.
- 3. The registrant shall submit to ClassNK the necessary documents for its evaluation in accordance with the requirements of applicable standards.
- 4. If non-conformity is found in ClassNK’s evaluation, ClassNK shall notify the registrant to that effect, and the registrant shall take corrective measures.

- 5. ClassNK shall prepare a report when the evaluation is completed.
- 6. If the evaluation is not completed by the date specified in this guideline, ClassNK suspends the certification as specified in 5.5-1. (4) above.

**8.4 Certification decision**

- 1. When the surveillance is completed, ClassNK holds a wind turbine certification committee as necessary, considers the deliberation on certification there, and notifies the registrant to that effect.
- 2. If ClassNK decides to refuse certification, it shall notify the registrant of the reason for the decision.

**8.5 Billing and payment of fees, etc.**

- 1. ClassNK shall issue a bill according to the quotation form stipulated in section 4.2.
- 2. The registrant shall pay to ClassNK the fees, etc. by the due date set forth in the bill after receiving the bill.
- 3. ClassNK invalidates the certification document as prescribed under section 5.5-1. (2) and section 5.5-3. if the client does not make the payment set forth in the bill by the due date.

Flow of Surveillance Review for Small Wind Turbine Type Certification

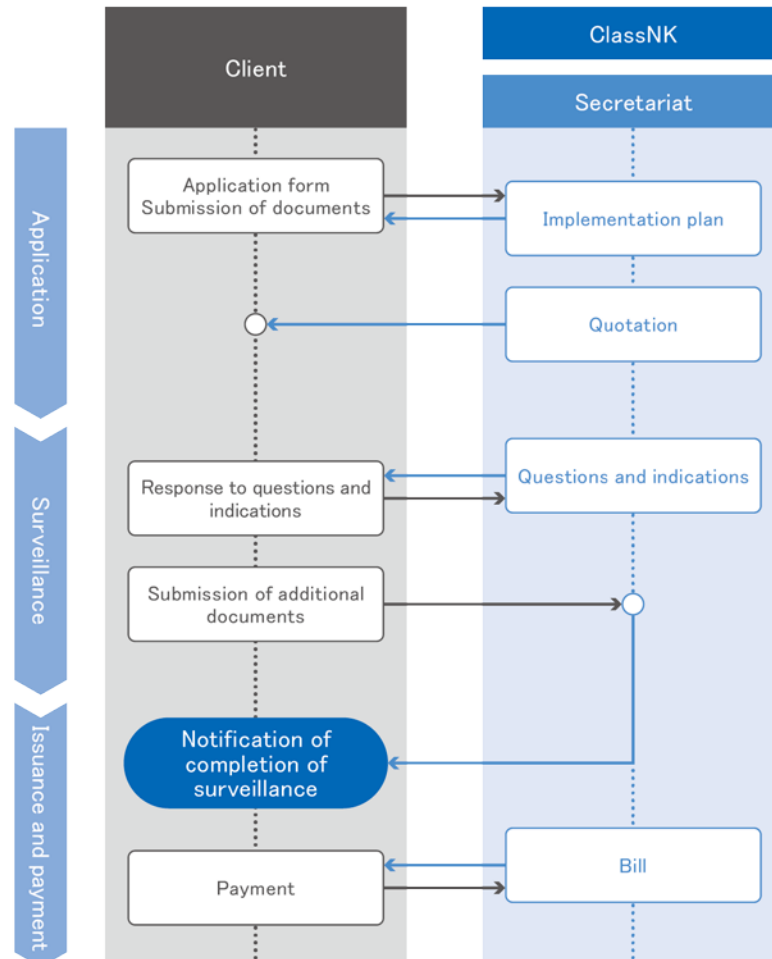


Figure 6. Flow of Surveillance

**9. Occasional Surveillance**

9.1 General

-1. The flow of implementing occasional surveillance is shown in Figure 7.

Flow of Occasional Surveillance Review for Small Wind Turbine Type Certification

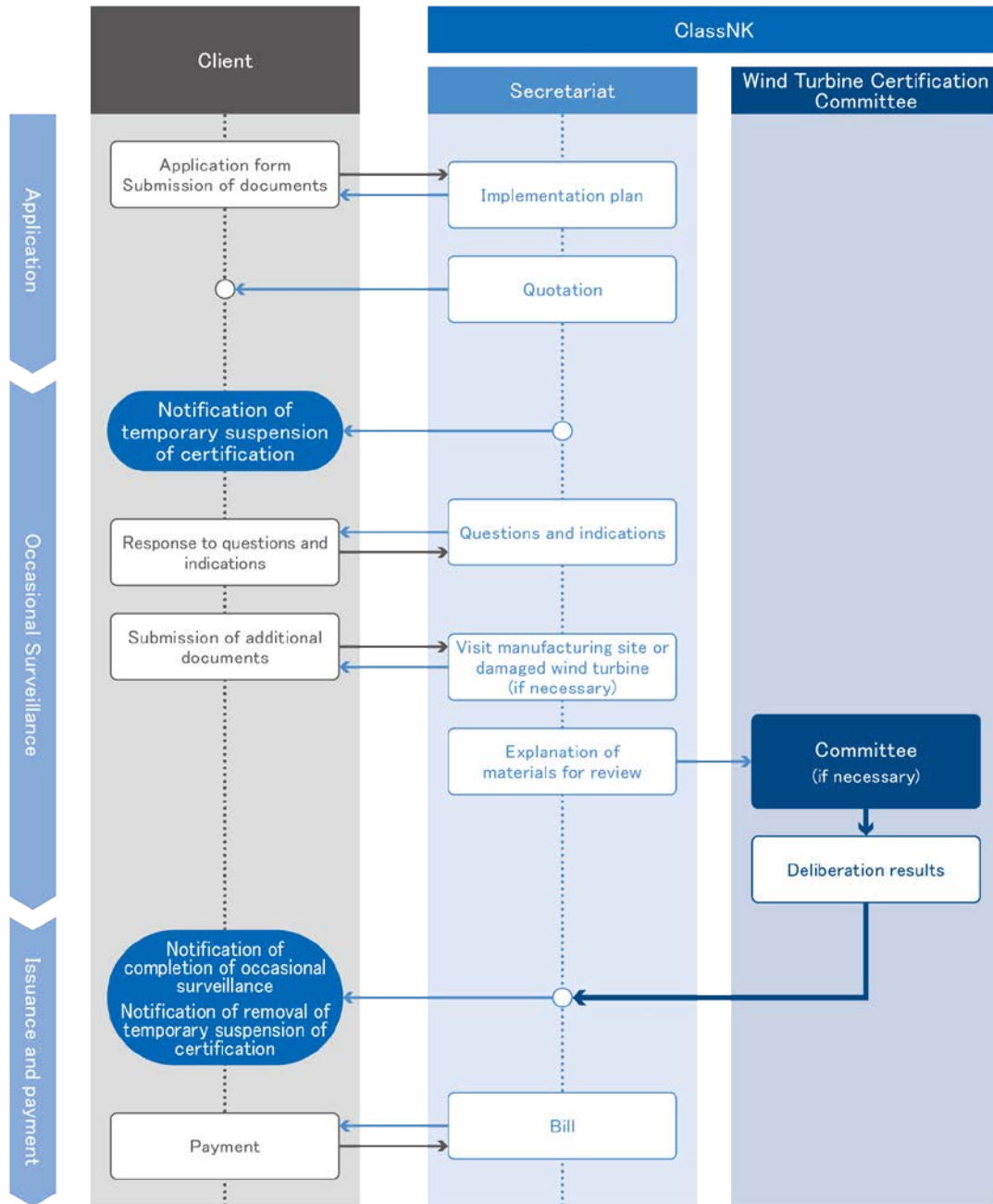


Figure 7. Flow of Occasional Surveillance

9.2 Application

-1. ClassNK shall notify the registrant when it deems that the registrant falls under the provisions of section 5.4-5. and shall notify the registrant to that effect.



- 2. ClassNK shall create a quotation form according to the content of the evaluation and issue the quotation form to the registrant.

### 9.3 Evaluation

- 1. ClassNK may investigate matters that fall under 5.4-4. above and conduct field surveys (manufacturing plants, existing wind turbines, etc.) as necessary. The registrant must submit the documents necessary for the evaluation of ClassNK.
- 2. If a non-conformity is found in ClassNK's evaluation, ClassNK shall notify the registrant of the content of non-conformity and the due date to respond, and the registrant shall correct the non-conformity by the due date.
- 3. ClassNK shall create a report when confirming correction of non-conformity

### 9.4 Certification decision

- 1. When the evaluation is completed, ClassNK holds a wind turbine certification committee as necessary, considers the deliberation on certification there, and informs the registrant that the suspension of certification has been lifted.
- 2. If the correction of nonconformity is not completed by the response date, ClassNK revokes the certification according to the previous 5.5-3.
- 3. If ClassNK decides to refuse certification, it shall notify the registrant of the reason for the decision.

### 9.5 Billing and payment of fees, etc.

- 1. ClassNK shall issue a bill according to the quotation form stipulated in section 4.2.
- 2. The registrant shall pay to ClassNK the fees, etc. by the due date set forth in the bill after receiving the bill.
- 3. ClassNK invalidates the certification document as prescribed under section 5.5-1. (2) and section 5.5-3. if the client does not make the payment set forth in the bill by the due date.

## 10. Changes

### 10.1 General

- 1. The implementation flow of changes to certified products is shown in Figure 8.

### 10.2 Application

- 1. The registrant shall submit an application form to ClassNK using ClassNK's designated form.
- 2. ClassNK shall review the content of the application form that the client submitted and shall notify the client if it has accepted the application. If the application form is incomplete, ClassNK shall notify the registrant to that effect.
- 3. ClassNK shall create a quotation form according to the content of the application and issue the quotation form to the registrant.
- 4. However, ClassNK may omit a part or all of the evaluation and approve changes when deeming it to be appropriate

### 10.3 Evaluation

- 1. ClassNK shall conduct evaluation of the necessary modules according to the content of the changes that have been applied for.
- 2. The registrant shall submit to ClassNK the necessary documents for its evaluation in accordance with the requirements of applicable standards.
- 3. If non-conformity is found in ClassNK's evaluation, ClassNK shall notify the client to that effect, and the client shall take corrective measures.
- 4. If conformity with the standards can be confirmed for each module implemented, ClassNK holds a wind turbine certification committee as necessary, considers deliberation on certification there, and prepares a report.

**10.4 Certification decision**

- 1. Based on the evaluation results, ClassNK shall issue a rewritten new certificate according to the changed contents if there is a change in the contents of the previous certificate.
- 2. When the registrant receives the rewritten certificate, they shall promptly return the old certificate to ClassNK
- 3. If ClassNK decides to refuse certification, it shall notify the registrant of the reason for the decision.

**10.5 Billing and payment of fees, etc.**

- 1. ClassNK shall issue a bill according to the quotation form stipulated in section 4.2.
- 2. The registrant shall pay to ClassNK the fees, etc. by the due date set forth in the bill after receiving the bill.
- 3. ClassNK invalidates the certification document as prescribed under section 5.5-1. (2) and section 5.5-3. if the client does not make the payment set forth in the bill by the due date.

Flow of Review of Changes for Small Wind Turbine Typel Certification

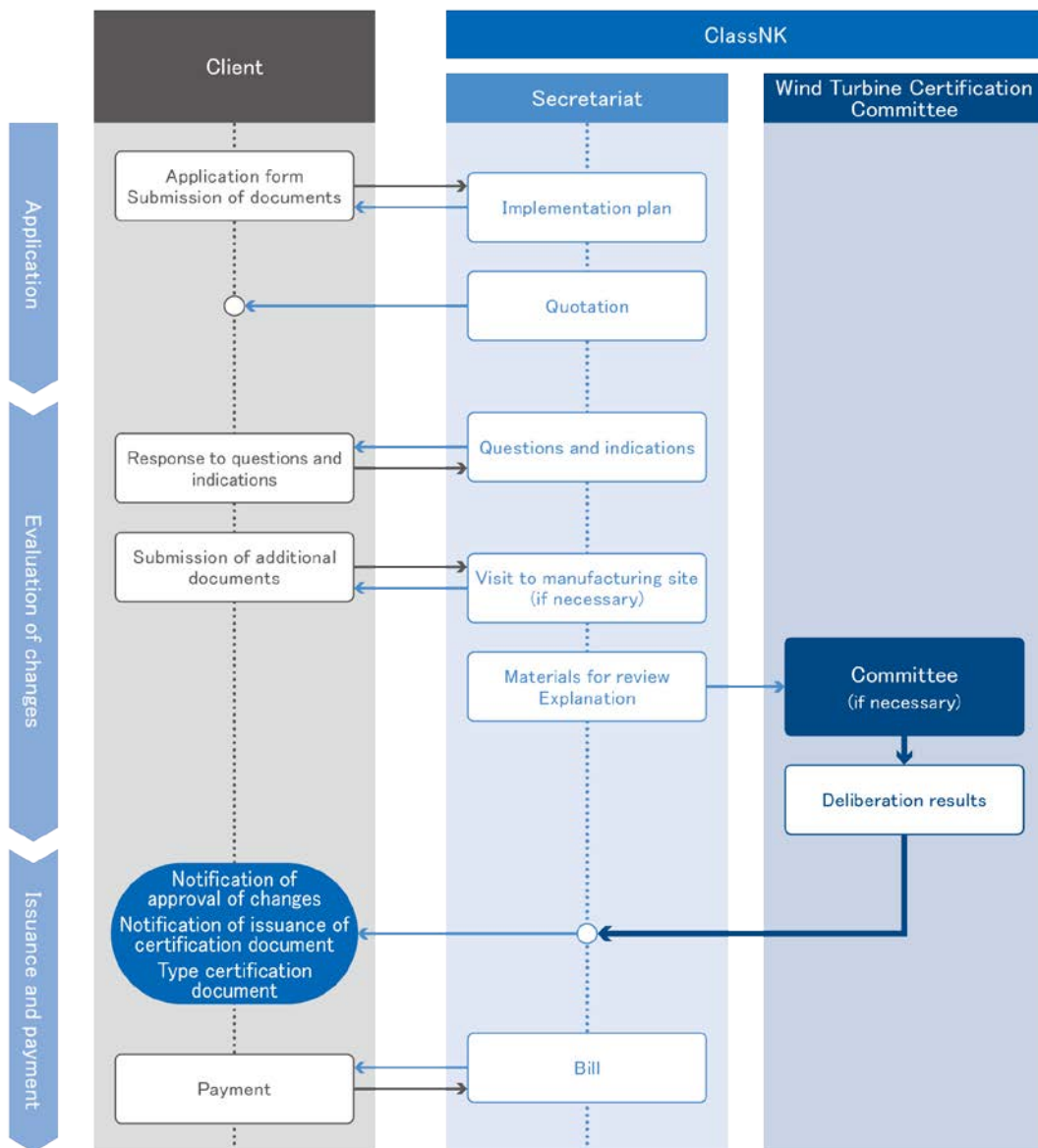


Figure 8. Implementation Flow of Changes to Certified Products



**SERVICE PROCEDURE**

NKRE-SP-0001 / October 2021

**ClassNK**

## Small Wind Turbine Type Certification

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