

RE-SP-0003

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Wind Farm Certification
Procedures

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1. Revision Record

Revision Number	Revision Date	Revised Sections	Reason for Revision
0	01.12.2017	-	Newly established
1	10.01.2018	Whole	Integrated appearance Added Article 10.5
2	01.06.2018	10.3.1	Corrected errors
3	01.04.2019	Whole	Changed document numbers and overall appearance
4	01.05.2019	Whole	Completely revised

2. Application

2.1 General

- 1. This procedure stipulates wind farm certifications for wind power plants.
- 2. In principle, this procedure shall apply to wind power plants in Japan with an output of 500 kW or more than 500 kW and that are subject to the Electric Business Act. In other cases, the provisions separately specified by Nippon Kaiji Kyokai (hereafter referred to as "ClassNK") shall be applied as appropriate.

3. Terms and Definitions

3.1 General

- 1. The major terms and definitions used in this procedure shall conform to JIS Q 17065 and JIS C 1400-22, or shall be as follows.
 - (1) "Requester" means a person who submits an application for examination pertaining to wind farm certification.
 - (2) "NK-PASS" refers to the document submission and management system available on ClassNK website.
 - (3) "Registration" refers to a document that registers wind farms for which ClassNK has issued the certification documents. This document is intended to be disclosed.
 - (4) "Registrant" refers to a party to whom ClassNK issues the certification documents, among those who have requested ClassNK to provide wind farm certification services (requesters).

4. Certification Criteria

4.1 General

- 1. ClassNK evaluates wind farm certification by applying the following standards, together with the specifications cited therein. In principle, the latest version of such standards and the specifications cited therein shall be applied. However, in cases other than those where it is always required to apply the latest version, and where the old version is also valid, the application of the standards that are not from the latest version and the specifications cited therein may be permitted only when ClassNK determines it appropriate. In addition, application of international standards of equivalence should also be permitted.
 - (1) JIS C 1400-1: Wind turbines - Part 1: Design requirements
 - (2) JIS C 1400-3: Wind turbines - Part 3: Design requirements for offshore wind turbines
 - (3) Ordinance No. 53, Ministry of International Trade and Industry of March 27, 1997: "Ministerial Ordinance Prescribing Technical Standards for Wind Power Generation Facilities"
 - (4) 20140328 Bureau of Commerce, No. 1: "Interpretation of Technical Standards for Wind Power Generation Facilities"
 - (5) Japan Society of Civil Engineers: "Guidelines and Explanation for the Design of Support Structures of Wind Power Generation Facilities (2010 version)"
 - (6) Germanischer Lloyd (GL) Guideline for the Certification of Wind Turbines 2010
 - (7) Germanischer Lloyd (GL) Guideline for the Certification of Offshore Wind Turbines 2012
 - (8) JIS C 1400-22: Wind turbines - Part 22: Wind turbine conformity testing and certification (JIS C 1400-22, the same shall apply hereinafter)
- 2. International standards, national standards, and regulations of certification bodies other than those listed above may also be applied as certification standards if ClassNK determines it appropriate.

5. General

5.1 Language and units

- 1. Japanese shall be used in principle for communication with ClassNK and in the documents to be submitted. English is acceptable if ClassNK determines it appropriate. Other languages shall not be accepted.
- 2. The SI unit system shall be used in principle for communication with ClassNK and in the documents to be submitted.
- 3. Certificates issued by ClassNK shall be written in both Japanese and English.
- 4. Certification evaluation reports issued by ClassNK shall be prepared in Japanese.

5.2 Provision of information

- 1. The requester shall provide sufficient and accurate information (documents, records, etc.) that ClassNK determines necessary for providing certification services. Documents shall be submitted as requested by ClassNK.
- 2. The requester shall make available to ClassNK, as required, the records of all communications and the actions taken in accordance with the applicable standards or other relevant standards, etc.

5.3 Submission of documents from the requester

- 1. The documents requested by ClassNK shall be submitted through NK-PASS in principle, and may also be submitted by postal mail and/or e-mail if determined appropriate by ClassNK.

6. Terms and Conditions of Providing Services

6.1 General

- 1. The conditions set forth in this article shall apply to any and all services provided by ClassNK related to wind farm certification (hereinafter, "services"), and shall be deemed to form part of all contracts and other agreements concluded by ClassNK with regard to the services.
- 2. ClassNK shall perform the services with adequate care and in an appropriate manner as an expert.
- 3. The services shall be provided in accordance with these procedures, on the premise of the conditions described in (1) and (2) below:
 - (1) The document concerning the wind farm certification, which is issued after ClassNK has performed the services, is to indicate the state of the wind farm at the time when the services were performed. In addition, the document shall not be intended to certify or report beyond the matters and the scope stated therein.
 - (2) Documents issued by ClassNK related to the wind farm certification services are intended for use by its requesters or duly authorized persons, and are not intended for use by any other third party.
- 4. Nothing in the conditions of providing services or in any documents issued by ClassNK related to the services shall excuse the requester or any other parties from any product warranty, other contractual obligations that they are obliged to assume, or negligence, nor shall it grant any claim for reimbursement, compensation, or any other claim against any third party.
- 5. Fees for providing services shall be paid on the following conditions:
 - (1) Fees, etc. for the certification service provided by ClassNK shall be in accordance with the stipulations established separately by ClassNK. ClassNK shall have the right to change the provisions on fees, etc. voluntarily.
 - (2) The estimate for the certification services issued by ClassNK is based on the provisions of the fee, etc. made at the time of issuance. If the fee, etc. is changed or the number of man-hours involved is significantly changed from the original estimate, a revised estimate shall be prepared and presented to the requester.
 - (3) Fees, etc. related to the certification services provided by ClassNK shall be claimed in accordance with the

provisions separately defined by ClassNK after the relevant certification service is completed, and shall be paid by the requester within 60 days from when the invoice is issued.

- (4) In case of a delay in payment, we shall charge a delay loss of 5% per year.
- (5) If the requester withdraws the request for the certification services for their convenience, we shall charge the requester for the fee of the portion of the services already performed.

6.2 Confidentiality

-1. All documents and information provided to ClassNK are confidential and shall not be disclosed to any third party for purposes other than those for which they were offered, unless the party who provided the document or information agrees in advance. The results of the services performed by ClassNK shall be treated as confidential in the same way. However, the details or copies of documents, or information or results of the services performed shall be disclosed only if duly requested under the law by a court order, legal proceedings, or by official authorities such as a national government.

6.3 Interpretation

-1. The conditions and rules of providing services, and the effect, application, and interpretation of the documents issued by ClassNK shall be determined by ClassNK.

7. Responsibilities

7.1 Responsibilities

-1. ClassNK or its officers, employees, agents, or subcontractors shall not be liable in any way for any losses, damages, or expenses incurred by any person as a result of any act, omission, or negligence during the provision of the services.

7.2 Compensation

-1. Despite the provisions defined in Article 7.1, if it is demonstrated that a loss, damage, or expense incurred by the requester is attributed to any action or omission resulting from the negligence of any officer, employee, agent, or subcontractor of ClassNK, ClassNK shall compensate for the loss, damage, or expense so demonstrated up to the amount of the fee requested and received by ClassNK for the services performed.

7.3 Claim for compensation

-1. Any claim for the compensation for loss, damage or expense as stipulated in Article 7.2 shall be made in writing to ClassNK within six months from the date on which the service was first performed. If no claim for compensation is made within this period, any claim for the compensation shall be deemed waived.

8. Miscellaneous Provisions

8.1 Appeal

-1. If the requester is dissatisfied with the result of the wind farm certification service performed in accordance with these procedures, they may request that ClassNK investigate the wind farm concerned within 30 days from the day following the date of issue of the wind farm certificate in writing, according to the "RE-5 Complaints and Objections Procedures."

8.2 Other

-1. ClassNK may conclude a non-disclosure agreement upon request of the requester. The details of such agreement shall be determined upon separate deliberation.

9. Governing Law and Agreed Jurisdiction, etc.

9.1 Governing Law and Agreed Jurisdiction, etc.

-1. The interpretation of the procedures shall be in compliance with the laws of Japan, and the Tokyo District Court shall be the exclusive agreement jurisdictional court of the first instance for all disputes related to the procedures.

10. Implementation of Evaluations Related to Certification

10.1 Evaluation module and type of certification

-1. The certification services provided by ClassNK consists of all the modules shown in (1) to (5) below for the type-certified wind turbines in principle. The relationships between individual modules are shown in Figure 1.

- (1) Site conditions assessment
- (2) Design basis evaluation
- (3) Integrated load analysis
- (4) Wind turbine (RNA) design evaluation
- (5) Support Structure design evaluation

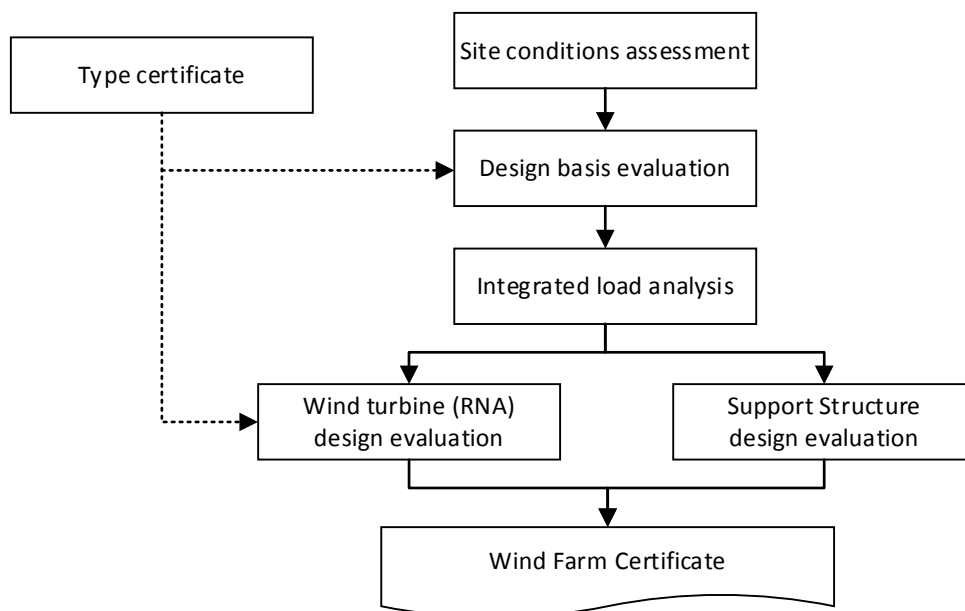


Fig. 1: Evaluation module for wind farm certification

-2. When the wind power plant of interest is located onshore, the following modules described in (1) to (3) may be used instead of the previous item "-1". The relationship between the modules in this case is shown in Figure 2.

- (1) Site conditions assessment [wind conditions]
- (2) Wind turbine (RNA) design evaluation [including design basis evaluation, integrated load analysis]
- (3) Support Structure design evaluation [including Site conditions assessment [Geotechnical / Earthquake conditions], design basis evaluation, integrated load analysis]

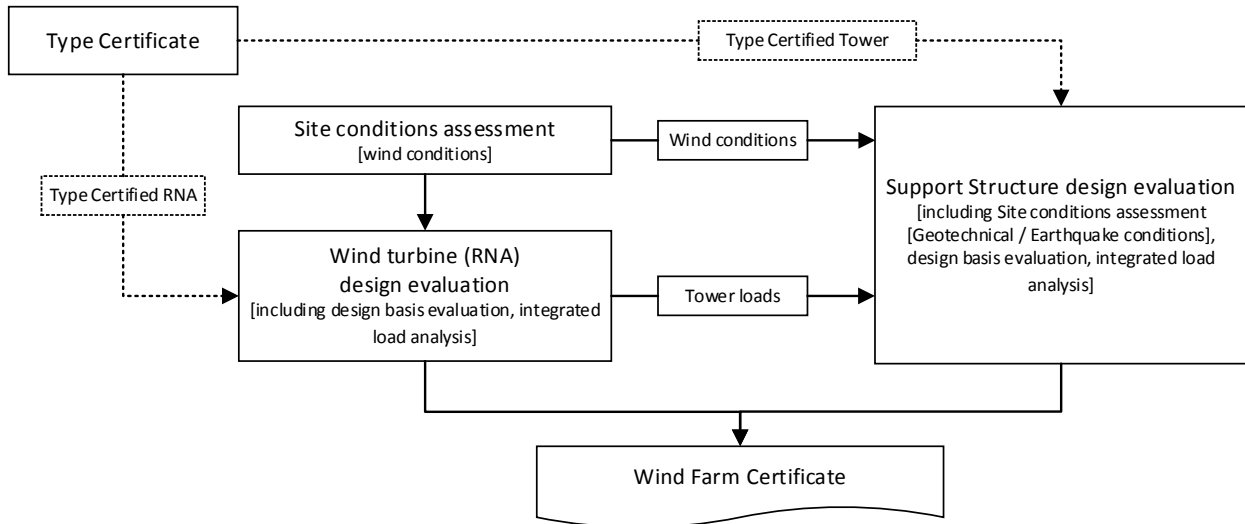


Fig. 2: Evaluation module for wind farm certification [in the case of onshore wind power plants]

-3. If the wind farm is located onshore, the requester can specify whether all or only some of the modules shown in the preceding item "-2" should be implemented. In this case, the requester shall notify ClassNK to this effect when applying for certification as described in Article 11.

10.2 Certification documents and symbols

-1. If it is confirmed that the design of the proposed wind turbine and the support structure conforms to the certification standards, ClassNK shall issue certification documents to the requester in accordance with the implementation procedures defined in Article 10.1.

-2. The certification documents issued by ClassNK shall be the following described in (1) to (5). In principle, no expiration date is set for these certification documents.

- (1) Wind Farm Certificate
- (2) Site Conditions Conformity Statement and Certification Evaluation Report (site conditions evaluation)
- (3) Design Basis Evaluation Conformity Statement and Certification Evaluation Report (design basis evaluation)
- (4) RNA Design Conformity Statement and Certification Evaluation Report (wind turbine design evaluation)
- (5) Support Structure Design Conformity Statement and Certification Evaluation Report (support structure design evaluation)

-3. When the wind power plant is located onshore, the certification documents issued by ClassNK shall be either all of the following described in (1) to (4) or a combination of (2) to (3), regardless of the previous Item "-2". In principle, no expiration date is set for these certification documents.

- (1) Wind Farm Certificate
- (2) Site Conditions Conformity Statement and Certification Evaluation Report (site wind conditions evaluation)
- (3) RNA Design Conformity Statement and Certification Evaluation Report (wind turbine design evaluation)
- (4) Support Structure Design Conformity Statement and Certification Evaluation Report (support structure design evaluation)

- 4. Only in cases specifically permitted by ClassNK, certification documents may be issued with outstanding issues and a response time limit specified therein. In such cases, the validity of the certification documents shall expire by the time limit, and if necessary measures are not taken by the time limit, the certification shall be cancelled.
- 5. For any certification documents listed in Item 10.2-2, if there is a change in the description and related information in the submitted document, which is reviewed by ClassNK in its evaluation module, the certification documents shall be invalidated.
- 6. For the use of certification documents and symbols, the registrant shall follow "RE-4 Guidelines on the Use of Certification Documents and Symbols."

10.3 Registration

- 1. When it is decided that a wind farm certification shall be awarded, ClassNK shall register at least the name of the wind power station, the wind turbine type, the number of wind turbines, the subject to be certified, the certificate number, the date of issue, and the expiration date (if applicable) in the Registration, and make such information open to the public collectively every quarter. The same shall apply when there is a change in the description of certification that affects the Registration.
- 2. If it is decided to cancel or terminate certification is decided, the Registration shall be promptly renewed and publicized.

10.4 Cancellation or termination of certification

- 1. If any of the following applies to the certified wind farms and registrants, ClassNK shall consider canceling the certification and notify the registrant thereof, including the due date for response.
 - (1) In the case where fees related to certification services are not paid by the due date
 - (2) In the case where, due to insufficient understanding of the certification, the registrant takes action, makes a statement, or publishes printed materials or web pages that may undermine the status, honor, or legitimacy of ClassNK
 - (3) In the case where the certification documents were used misleadingly
- 2. If the registrant fails to complete the action by the response due date set out in Item 10.4-1, ClassNK shall cancel the certification and notify the registrant accordingly.
- 3. If the registrant is dissatisfied with the decision on certification or revocation of certification made by ClassNK, they may express a formal objection against ClassNK, in accordance with "RE-5 Guidelines on Filings of Complaints and Objections ."
- 4. ClassNK shall terminate certification when the registrant notifies us of the termination.
- 5. When the certification is cancelled or terminated, the registrant shall promptly return the certification documents to ClassNK, or destroy it.

10.5 Occasional surveillance

- 1. Occasional surveillance shall be conducted when ClassNK deems it necessary.
- 2. If a nonconformity is found in an evaluation made by ClassNK, the registrant shall be notified of the nature of the nonconformity and the due date for response and shall correct the nonconformity by that date. If, however, after consultation with the registrant, no agreement will be reached with the registrant regarding the due date for response, a due date that can be agreed upon between ClassNK and the registrant shall be reestablished.
- 3. If correction is not completed by the due date for response, the certification shall be revoked and the registrant shall be notified accordingly.

10.6 Changes

- 1. The registrant may apply for a change review if there is a change in the description of the certification documents issued by ClassNK.
- 2. The registrant shall return the original certification documents to ClassNK or destroy it, as soon as they receive the changed certification documents.

11.Procedures for applying for certification

11.1 Initial application

- 1. Application for the initial certification shall be accepted upon receipt of the submitted "RE-081-03 Application for Wind Farm Certification (Initial)," which is publicized by ClassNK. The requester shall be deemed to have agreed with the description of the procedures upon submission of the application form.
- 2. When the requester submits an application for certification review, ClassNK shall accept the application after confirming that there are no defects in the description of the application, and send the application form for certification review with a seal of acceptance to the requester.
- 3. The fees related to the certification shall be presented to the requester by ClassNK in the form of an estimate prepared in accordance with the provisions of Item 6.1-5, depending on the description of the application form for certification review. In addition, an order or the like shall be processed separately in response to a request from the requester.

11.2 Application for changes

- 1. The acceptance of an application for a change in certification shall be made upon submission of the "RE-081-04 Application for Wind Farm Certification (Change)," which is publicized by ClassNK. The requester shall be deemed to have agreed with the description of the procedures upon submission of the application form.
- 2. When the requester submits an application for certification review, ClassNK shall accept the application after confirming that there are no defects in the description of the application, and send the application form for certification review with a seal of acceptance to the requester.
- 3. The fees related to the certification shall be presented to the requester by ClassNK in the form of an estimate prepared in accordance with the provisions of Item 6.1-5, depending on the description of the application form for certification review. In addition, an order or the like shall be processed separately in response to a request from the requester.

End