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Accreditation of Responsible Persons of a certification body for equipment certificates, system certificates, and declarations of conformity (accreditation process of the FGW-Advisory Board)

Revision 6



Reason

The Technical Connection Rules for Medium-Voltage (VDE-AR-N 4110), High-Voltage (VDE-AR-N 4120) and Extra High-Voltage (VDE-AR-N 4130) apply to the planning, installation, operation and modification of power generating systems and storage systems which are connected to and operated in parallel to the medium-, high- or extra high-voltage grid of a grid operator.

Within the framework of the three Technical Connection Rules referred to above certification of power generating systems, power generating units and components as well as storage systems and FGW-accreditation of certification bodies is required. The certification bodies must be accredited in accordance with DIN EN ISO/IEC 17065 for the certification process FGW TG 8. The same also applies, with the exception of connections to the extra high-voltage grid (VDE-AR-N 4130), for the party issuing the declaration of conformity. The requirements as well as the accreditation process for certification bodies are described in this document. They must be applied from 1 March 2020.

Accreditation process

The FGW has established an Advisory Board to support the assessment and accreditation of Responsible Persons of a certification body. In contrast to the accreditation process under DIN EN ISO/IEC 17065, the FGW-accreditation only covers accreditation of individuals (personal accreditation). If accredited, such persons act for the certification bodies as a "Responsible Person". In terms of DIN EN ISO/IEC 17065, this means that the "responsible person" is responsible for the assessment of the evaluation.

The accreditation process comprises two stages - "provisional accreditation" and "full accreditation" - and is therefore structured in two steps. Furthermore, as part of the full accreditation, a distinction is made between

- the accreditation of Responsible Persons of a certification body for the issuance of unit and component certificates as well as certificates for storage systems (hereafter collectively referred to as "equipment certificate", as defined in TG 8),
- the accreditation of Responsible Persons within a certification body for the issuance of system certificates and
- the accreditation of Responsible Persons within a certification body for the issuance of declarations of conformity.

Responsible Persons of a certification body already fully accredited on the basis of the previous accreditation process automatically receive preliminary accreditation according to the new accreditation process for the three types mentioned above, equipment certificates, system certificates and declarations of conformity.

1 Provisional accreditation

The following documents are required for preliminary accreditation of Responsible Persons of a certification body for the issuance of equipment and system certificates as well as declarations of conformity. The documents are to be sent to the FGW Advisory Board in electronic form:

- Informal letter stating the type of accreditation (equipment certificates, system certificates and/or declarations of conformity).
- Name and full address of the certification body/company, which wishes to register a Responsible Person for provisional accreditation.
- Name and contact details of the Responsible Person.
- A person who is to receive preliminary accreditation must comply with the requirements for proof of qualifications and professional experience set out in Table 1 as well as the requirements for proof of additional knowledge.

Table 1: Overview of the requirements and possible proof for preliminary accreditation as a Responsible Person of a certification body

	Requirements	Possible proof
1	Higher qualification electrical engineering training.	Proof of a completed degree course in electrical engineering.
2	At least 4 years of professional experience in the area of grid integration of power generating units and systems as well as storage systems.	Signed curriculum vitae. Training and internships may not be counted as relevant professional experience.
3	Expertise in the field of the grid integration of power generating units and systems and proven planning, development or certification activities or research and development work in the area of power generating units and systems or comparable activities.	Proof from system certifiers: References (e.g. mention of projects, activities). Additional proof from unit certifiers: References (e.g. mention of projects, activities), knowledge regarding the testing and application of models for power generating units and systems, demonstrable design, development or certification work or research and development work in the area of power generating units and systems or comparable activities.
4	Detailed knowledge of VDE-AR-N 4110, VDE-AR-N 4120, VDE-AR-N 4130 and the FGW Guidelines TG 3, TG 4 and TG 8.	Submission of convincing proof with regard to points 2 and 3 of this table for training, working in panels.

- Written declaration from the applicant, that, in principle, there are no corporate interrelationships that might compromise the preparation of the certificate or the declaration of conformity in an independent, impartial, objective and autonomous manner (see form "Proof provided by the

Responsible Person regarding the preparation of equipment and system certificates as well as declarations of conformity”).

- A corresponding application for accreditation with a body accredited under the applicable GCR, according to DIN EN ISO/IEC 17065 for the TG 8 certification programme set up by a national member of a body accredited for the area of grid integration within the framework of the European Cooperation for Accreditation (“EA”) established in accordance with Directive (EC) No 765/2008 of the European Parliament and of the Council or the accreditation certificate.
- Acknowledgement of the FGW Data Privacy Statement including authorisation to forward the unchanged application documents to members of the FGW Advisory Board and to publish personal details relating to the accreditation status on the FGW website.
- The electronic files to be submitted may not exceed a total size of 15 MB. The files may be sent by e-mail or, by prior arrangement, by any other means, also encrypted.

Provisional accreditation process

- Receipt of the application documents by the FGW Advisory Board (see above, including Table 1, for scope of the application documents).
- Checking of the basic suitability by the FGW Advisory Board using the criteria listed in Table 1 within 8 weeks following receipt of the complete documentation.
- The electronic application documents are distributed by e-mail to the members of the FGW Advisory Board.
- Following completion of the checking process the FGW Advisory Board immediately notifies the applicant of the results of such checking process.
- If these results are positive, the applicant is included on the list of provisionally accredited Responsible Persons, which is published on the FGW website.
- If the result of the check is negative or the documents are incomplete, the applicant is provided with one opportunity to comment on the decision or to submit the missing documents.
- A repeated application for provisional accreditation can be made after 3 months at the earliest and is permitted only once.

The provisional accreditation is valid 18 months (date of notification of the provisional accreditation) and gives the candidate time to become fully accredited. An extension is possible after a clearly justified request, before the expiration of the period, once for 12 months. Upon expiry of this period the candidate is deleted from the accreditation list of certifiers for power generating units and systems. It is possible to make a renewed application. The provisional accreditation, in conjunction with a valid accreditation of the conformity assessment body, allows the holder to issue equipment or system certificates as well as declarations of conformity.

2 Full accreditation

The certification body must be accredited for the full accreditation.

Note: Equipment certificates, system certificates and declarations of conformity must bear the signature of the provisionally accredited Responsible Person as per section 7 (7.7.2) of DIN EN ISO/IEC 17065.

2.1 Process for the full accreditation of certification bodies for the issuing of equipment certificates

- As part of a real order, the applicant prepares an equipment certificate on the basis of current applicable regulations for a real power generating unit, which is used as the basis for the check within the process. If, due to transitional provisions applying, certifications are possible according to different published versions of regulations/guidelines, then the latest versions/regulations must be used.

Comment: If a unit certificate is submitted, this also qualifies the person for the issuance of component certificates. The submission of a component certificate exclusively qualifies the person for issuing component certificates.

- The person certifying equipment must arrange with the certificate holder which project can be used to verify the equipment certificate.
- The System certification body informs the FGW Advisory Board as soon as an order for preparing a system certificate is available, that makes use of an equipment certificate to be checked. No corporate interrelationships may exist between the system certifier who checks the equipment certificate and the applicant or his/her employer. For example, a company is not permitted to check its own equipment certificate nor is a parent company which is majority-owned by the subsidiary issuing the equipment certificate permitted. Independently of an order for the preparation of a system certificate, the implementation of the operating equipment certificate can be verified by a certification body.
- The system certifier carrying out the check must be at least preliminarily accredited.
- Submission of a complete equipment certificate including all attachments and models to the system certifier carrying out the check by the certificate holder.

Comments on the scope of the checking process:

- *The equipment certificate is to be checked to determine whether it can be used in the system certification process. The minimum scope is documented on the "Minimum scope for checking the equipment certificate" form.*
 - *Implementation of the unit model in standard simulation software and applicability for the system certification is to be checked.*
 - *Implementation constraints are to be recorded and documented by the system certifier performing the check.*
 - *The FGW Advisory Board is to be notified of the results of the checking process, the implementation environment and implementation constraints using the "Minimum scope for checking the equipment certificate" form.*
- The equipment certificate is checked by the system certifier. This check is performed as part of the preparation of the real ordered system certificate. Following completion of the checking process

the system certifier performing the check notifies the FGW Advisory Board of the results of the checking process. The equipment certificate is not sent to the FGW Advisory Board.

- If the results of the checking of the equipment certificate are positive, if there is a favourable opinion from the system certifier performing the check and if proof of the accreditation of the certification body under the current set of rules of TG 8 as well as VDE-AR-N 4110, VDE-AR-N 4120 or VDE-AR-N 4130 is available, full accreditation is granted to the Responsible Person by the FGW Advisory Board.
- If key conditions of the certification process are not met, each system certifier may inform the FGW Advisory Board of his/her and the Advisory Board then requests an opinion to be submitted by the unit certifier within a period of a maximum of 4 weeks. If the opinion indicates a deviation from the certification process, this necessarily results in the cancellation of the accreditation. In this case, the FGW Advisory Board notifies the applicant of the key points underlying the rejection.
- The applicant has the opportunity of re-submitting an equipment certificate for re-checking after expiry of 3 months.
- Upon leaving the appointed certification body the designation as a Responsible Person automatically becomes invalid.

2.2 Process for the full accreditation of certification bodies for the issuing of system certificates

- As part of a real order, the applicant prepares a system certificate on the basis of current applicable regulations for a real power generating system, which is used as the basis for the check within the process. If, due to transitional provisions applying, certifications are possible according to different published versions of regulations/guidelines, then the latest versions/regulations must be used.

Comments:

- o *The Technical Connection Conditions of the competent grid operator are to be taken into account – to the extent necessary – for the system certificate. The FGW Advisory Board requires acceptance of the system certificate by the competent grid operator, this is not mandatory, but accelerates the approval process. To accelerate the accreditation process it is recommended that system certificate be sent at the same time to the competent grid operator.*
- o *The power generating system must consist of at least two power generating units.*
- o *The submission of a system certificate A qualifies for the issuance of system certificates A, system certificates B and system certificates C/C1/C2. The submission of a system certificate B only qualifies for the issuance of system certificates B and system certificates C2.*
- The system certificate is checked by the FGW Advisory Board within 8 weeks of receipt by the FGW Advisory Board. Following completion of the checking process the FGW Advisory Board notifies the applicant of the results of such checking process.
- If the results of the checking of the system certificate are positive, if there is a favourable opinion from the grid operator and if proof of the accreditation of the certification body under the current set of rules of TG 8 as well as VDE-AR-N 4110, VDE-AR-N 4120 or VDE-AR-N 4130 is available, full accreditation is granted to the applicant. He/ She is then permitted to act as a Responsible Person.
- If key conditions of the certification process are not met or conformity assessments are carried out incorrectly, this necessarily results in a negative check. In this case, the FGW Advisory Board notifies the applicant of the key points underlying the rejection.

- The applicant has the opportunity of re-submitting a system certificate for re-checking after expiry of 3 months.
- Upon leaving the appointed certification body the designation as a Responsible Person automatically becomes invalid.

2.3 Process for the full accreditation of certification bodies for the issuing of declarations of conformity

- As part of a real order, the applicant prepares a declaration of conformity on the basis of current applicable regulations for a real power generating system, which is used as the basis for the check within the process. If, due to transitional provisions applying, it is possible to issue declarations of conformity according to different published versions of regulations/guidelines, then the latest versions/regulations must be used.

Comments:

- *The Technical Connection Conditions of the competent grid operator are to be taken into account – to the extent necessary – for the declaration of conformity. The FGW Advisory Board requires acceptance of the declaration of conformity by the competent grid operator; this is not mandatory but accelerates the approval process.*
- *The power generating system must consist of at least two power generating units.*
- *The declaration of conformity may be issued (according to Regulation (EU) 2016/631) on the basis of a system certificate A as well as a system certificate B.*
- The declaration of conformity is checked by the FGW Advisory Board within 8 weeks of receipt by the FGW Advisory Board. Following completion of the checking process the FGW Advisory Board notifies the applicant of the results of such checking process.
- If the results of the checking of the declaration of conformity are positive and if proof of the accreditation of the certification body under the current set of rules of TG 8 as well as VDE-AR-N 4110, or VDE-AR-N 4120 is available, full accreditation is granted to the applicant. He/ She is then permitted to act as a responsible person.
- If key conditions of the relevant requirements according to TG 8 are not met or check points are carried out incorrectly or are missing, this necessarily results in a negative check. In this case, the FGW Advisory Board notifies the applicant of the key points underlying the rejection.
- The applicant has the opportunity of re-submitting a declaration of conformity for re-checking after expiry of 3 months.
- Upon leaving the appointed certification body the designation as a Responsible Person automatically becomes invalid.

3 Current process

Fully accredited persons responsible for certifications must re-register with the FGW Advisory Board once a year, by 1 April at the latest, without being requested to do so using the current form "Recurring declaration regarding the appointment of the Person Responsible for preparing equipment certificates and system certificates as well as declarations of conformity". If re-registration has not taken place by 1st April, the accreditation of the Responsible Person is deleted.

4 Quality assurance

The FGW Advisory Board reserves the right to request unit/equipment or system certificates as well as declarations of conformity prepared by provisionally as well as fully accredited Responsible Persons on a random sample basis for quality assurance purposes. If key conditions of the certification process are not met for these certificates or if conformity assessments are carried out incorrectly or are missing, a grace period of 4 weeks is granted to comment on this and to remedy the mistakes, if required. If reasonable concerns are not addressed within this period of time, the Advisory Board will withdraw the accreditation.

Note: Please contact the FGW Secretariat in the case of questions or any issues arising in the course of the process.

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