Products and Mobility Certification Rule

Summary

1 OBJECTIVE

This Certification Rule establishes the criteria used by TÜV Rheinland do Brasil Ltda for granting and maintaining the license to use the Conformity Mark of the Brazilian Conformity Assessment System (SBAC) or TÜV Rheinland do Brasil Ltda.

2 TERMS AND ABBREVIATIONS

CNPJ	National Register of Legal Entities
RTQ	Technical Regulations
CRC	Certification Rule Supplement
EA	European Cooperation for Accreditation
IAAC	Interamerican Accreditation Cooperation
ILAC	International Laboratory Accreditation Cooperation
CBTL	Certification Body Testing Laboratory
INMETRO	National Institute of Metrology, Quality and Technology
OCP	Product Certification Body
SBAC	Brazilian System of Conformity Assessment
CGCRE	General Coordination of Accreditation
3DDS	The 3DDS system is the tool used by TÜV Rheinland to electronically make the generated certification documents available, i.e. certificate, maintenance confirmation letter, suspension warning letter, closure warning letter, test reports, among others. Through this system it is possible to control the validity of the certification process. When starting a certification process, the customer receives a message, by e-mail, with information to perform his registration in the system. In case of doubts or difficulties in the platform, we ask you to send the e-mail questions to qualidade@bvr.tuv.com.
Mark of Conformity	Mark of Conformity registered, affixed or issued in accordance with the criteria established by INMETRO, based on the principles and policies adopted within SBAC or TÜV Rheinland, indicating an adequate level of confidence that the products comply with the respective technical standards or RTQ related to the complements of this rule.
Batch	Set of equipment or devices with identical characteristics belonging to the same model, series or type (the least

	collective of the three), produced by the same manufacturer in the same plant.
Others	For other terms or definitions not determined herein, please refer to Inmetro Ordinance No. 248/2015.

3 GENERAL CONDITIONS

For the admission to the Conformity Mark, a product must subjected the initial tests and checks set out in the specific working instructions for the respective product categories, herein referred to as CRC (Certification Rule Supplement).

The license to use the Mark of Conformity will only be granted if the applicant and/or its possible suppliers have the means of production and testing (personnel, facilities and equipment) able to guarantee the constant conformity of the product. The CRCs may fix for each product category the test equipment considered as the minimum necessary to ensure such conformity.

It shall also indicate the tests to be carried out and their method.

When the manufacture of the product is in its entirety, or in specific parts, entrusted by the applicant to a third party, the applicant itself must demonstrate and guarantee in time - under penalty of losing the validity of the license - the existence of stable relations, of a contractual or corporate nature, with its suppliers.

The granting of a license to use the Mark of Conformity and its maintenance is subject to the conditions provided for in the contract, in addition to the technical conditions provided for in this Rule.

The tests and verifications for admission to the Mark of Conformity, as well as the control tests, are performed in laboratories as established in the specific CRC.

Acts relating to the granting of a license to use the Mark of Conformity, particularly tests and checks carried out at TÜV Rheinland Laboratories, will be carried out under a commitment of confidentiality, including with third parties.

It is forbidden to advertise requests in progress, which are allowed only after the respective license for the use of the Mark of Conformity has been granted.

NOTE: TÜV Rheinland may refuse to accept an application or maintain a contract for a client's certification when substantiated or demonstrated reasons exist, such as the client participating

in illegal activities, having a history of repeated nonconformities with certification/product requirements, or similar client issues.

4 CONDITIONS OF THE CONCESSION

Use of the Mark of Conformity is strictly reserved to the applicant, except in the event of assignment or transformation of the company, in which case TÜV Rheinland must be notified in time to examine the variation that has occurred and judge whether the license to use the Mark of Conformity has been granted.

TÜV should check that the use of the Mark of Conformity used in the product or company documentation is not misleading the recipients of the message.

In particular, the use of the Certification, i.e. the use of the Certificate and the Mark of Conformity is inappropriate when:

- Certification has not yet been granted, or has been revoked;
- Certification has been suspended;
- The Certification has been used in products not covered by the Certification.

For all art, advertising, publicity, or other media, where the mark of conformity is used, the client must send a new e-mail to the SEAPO/Inmetro technical team requesting prior approval for the use of the mark.

To do so, the client must prepare a model/print of the advertising in question and send it to the e-mail: seapo@inmetro.gov.br requesting approval.

Only after its approval, the Mark may be used in any advertising.

5 CONFORMITY ASSESSMENT MECHANISM

Steps:

Certification Request

The applicant must formalize his intention to certify his product(s) using the form provided by TÜV Rheinland.

Note: The condition of legal representative of the product manufacturer, foreign or domestic, must be clear in the application form.

Critical Analysis of Application

Stage in which TÜV Rheinland evaluates the conditions for fulfill the request.

Note 1: TÜV Rheinland does not provide or offer Internal Audits for its certified clients.

Note 2: TÜV Rheinland does not provide audits for TUV Group companies.

Note 3: TÜV Rheinland does not certify another conformity assessment body in its certification activities (management systems, product, etc.).

Proposal Issue, Acceptance and Contract

Step of formalizing the Certification Process.

Documentation Analysis

TÜV Rheinland must carry out the analysis of the respective documents relevant to the product being requested.

If any of the documents required by the specific order (RAC) or in 6.2.1 of the RGCP are not presented in their final form by the Supplier applying for certification, upon delivery of the documentation and provided that this fact does not interfere with the other stages of the Initial Evaluation process, this fact must be made explicit by TÜV and certification will only be concluded when all the documents are in their final form and duly approved by TÜV.

Initial Audit

TÜV Rheinland will send an audit plan (with opening meeting, audit performance and closing meeting) in agreement with the applicant, informing the audit agenda, audit team and all necessary logistics.

The audit will be carried out with the verification of the items foreseen in the specific CRC.

Type Test

The initial tests shall be carried out according to the test plan defined by TÜV Rheinland.

In the case of certification schemes which accept existing test reports, these shall take into account what is laid down in the specific ordinance.

Use of Laboratory

Laboratories must be selected as defined in the specific CRC.

Analysis Report

Document prepared by the TÜV Rheinland technical team based on the evaluation of the documentation and evaluation reports generated during the process evaluation stage.

Decision of the Procedure

Once all items required by this Rule have been met, the process will be reviewed by a Technical Certifier who did not participate in the evaluation stage of the certification process. If the ordinance requires or the area defines as necessary, it will also be submitted to a technical committee.

If the process is approved, the Certificate of Conformity is issued and made available in 3DDS to the applicant after the contract is signed and the commercial conditions between TÜV Rheinland and the applicant are met.

Certification Maintenance

Established according to the requirements of the specific CRC.

Recertification

Established according to the requirements of the specific CRC.

6 RECOGNITION OF CERTIFICATION ACTIVITIES

For recognition and acceptance of certification activities, such as test results or factory inspection reports, implemented by a certification body or by a test laboratory operating abroad, TÜV Rheinland may accept if they maintain a mutual recognition agreement (MoU - Memorandum of Understanding) for conformity assessment activities or if they are members of the ILAC, EA, IAAC or CB Scheme.

In all situations, TÜV Rheinland, a member of the SBAC, is responsible for compulsory certification.

Use of Testing Laboratories

The criteria for laboratory use should be as described below, except when CRC's establish specific criteria.

Note: The area specific CRC (Certification Rule Supplement) should be consulted to verify the types of laboratories that can be used, considering their relevance to the type of Certification: compulsory, voluntary or voluntary without scope.

Acceptance of results from accredited testing laboratories by foreign accrediting bodies

The laboratory must be accredited by an accreditation body which has signed a multilateral mutual recognition agreement, established by one of the cooperations listed below. The scope of the signed agreement should include the accreditation of testing laboratories.

- Interamerican Accreditation Cooperation (IAAC);
- European co-operation for Accreditation (EA);
- International Laboratory Accreditation Cooperation (ILAC);
- Certification Body Testing Laboratory (CBTL).

Note 1: When the accredited laboratory is first party, the tests must be accompanied by TÜV or OCP with whom TÜV Rheinland maintains Agreement.

Note 2: Results from CBTL laboratories will only be accepted for voluntary certifications without the Inmetro mark.

The scope of the laboratory accreditation shall include the test method applied within the scope of the Regulation referenced in the CRCs.

Test reports issued by the laboratory should contain a clear and unambiguous identification of its accredited laboratory status.

7 OBLIGATIONS OF THE APPLICANT (LICENSED COMPANY)

Accept all conditions set out in this document, the product-specific RAC, the legal provisions and the contractual provisions relating to licensing, irrespective of their transcription.

Maintain the technical-organizational conditions that served as the basis for obtaining the certificate of conformity and manufacture the product subject to each individual approval in accordance with the approved sample. If the applicant intends to make changes to the product, project, descriptive memorial or production process of the certified object and admitted to the

Conformity Mark, these must be previously communicated to TÜV Rheinland, which may repeat the initial tests, in whole or in part, on behalf of the applicant.

In such a case, TÜV is entitled to request that the model type or number reference be changed.

Consent and facilitate to TÜV Rheinland or its contractor, upon proof of this condition, the audit and follow-up work, as well as the performance of tests and other certification activities as established in the specific CRC.

Apply the Conformity Identification Mark to all certified products, according to the criteria established in this document and in the object-specific RAC. As well as, distinguish your certified products from non-certified products so as not to generate misunderstandings. The certified product cannot maintain the same coding as an uncertified product (code and template).

Submit to Inmetro, for authorization, all disclosure material in which the Conformity Identification Mark appears.

Keep available the records of all complaints and the respective corrective actions taken, regarding the products covered by the license to use the Conformity Mark.

Respond to notifications from Inmetro, within the established deadlines, requesting clarifications related to the investigation processes of non-conformities detected in the certified object.

Request Inmetro to register the object, in cases where the regulation requires it, providing all the information requested in the registration process.

Provide Inmetro with all information requested by it, regarding the certification process of the product object of the RAC, forwarding, when necessary and requested, supporting documents.

Inform TÜV Rheinland of any transfer or change in an administrative or manufacturing establishment listed on the certificate. In this case, TÜV Rheinland reserves the right to perform an extraordinary audit.

Immediately inform TÜV Rheinland in case the manufacture or import of the certified product model ceases definitively. The client will be asked for a closure audit and if this does not allow the audit to be carried out, this information must be relayed to Inmetro.

Consent and facilitate all enquiries that TÜV Rheinland intends to make with the production facilities, as well as within its production and commercial activities.

In the event of TÜV's cancellation as a certification body, the certificate holder must migrate to another OCP at the latest by the deadline for the next maintenance or recertification, whichever occurs first.

Return the Conformity Identification Marks with sequential numbering to the Inmetro/Dconf Pre-Market Control Coordination within 10 (ten) days, in case of cancellation of the certification."

Report, on request from TÜV Rheinland, the manufactured quantity of certified products.

Pay the rights for the license to use the Mark of Conformity.

The certificate holder must reimburse TÜV Rheinland the costs resulting from the follow-up actions in the market determined by Inmetro, as provided for in item 14 of the RGCP.

Inform Inmetro within 48 hours when it identifies that the certified object placed on the market presents non-conformities that put the consumer's health and safety and the environment at risk, so that it may request Senacon/DPDC of the Ministry of Justice to withdraw the product from the market and recall it, as well as arrange for the product to be withdrawn from the market and given final destination in compliance with current legislation.

When announcing the recall of certified products that present non-conformities, do so in accordance with the rules of Ordinance MJ487/2012.

The granting of a license to use the Mark of Conformity in no way modifies the applicant's liability and legal guarantees with respect to consumers of the product(s).

Accept the decisions relevant to certification made by TÜV Rheinland, resorting, in the last instance, in cases of complaints and appeals, to the Inmetro Ombudsman.

The licensed company has technical, civil and criminal responsibility for the products manufactured or imported by it, as well as for all documents related to certification, will no possibility of transferring this responsibility.

To present to TÜV the process that it will use to systematically disseminate information to all its customers, on the period of adequacy intended for commerce to make its products available without the Conformity Identification Seal, while this period lasts.

The certificate holder must consider the deadlines given by TÜV, the testing laboratory and Inmetro for timely entry into Maintenance and Recertification Assessments.

8 OBLIGATIONS OF THE CERTIFIER

Implement and enforce the requirements of this Rule.

Do not to have pending issues with Inmetro.

To have trained personnel, keeping a record of qualification and training actions, to be able to competently conduct the entire certification process provided for in the object-specific RAC.

Proceed with the product certification according to the requirements established in this document and in the specific RAC, resolving the doubts with Dconf/Inmetro.

Plan the maintenance and recertification activities in order to timely meet the adequacy deadlines set forth in the regulations and their updates.

Evaluate the conformity of the product samples to the regulation/norm as well as provide the results of the audits that are performed.

Feed and keep updated, within 5 (five) working days, the database of certified products and services provided by Inmetro, with information regarding the certificate, including issue, scope suitability, suspension and cancellation.

Select, in agreement with the applicant for certification, the laboratory to be used in the certification process, based on the requirements established in this document and the object-specific RAC.

The interpretation of the results contained in the test reports issued by the laboratories is the exclusive responsibility of TÜV, and the latter must not accept that the laboratory does so.

TÜV must require laboratories to inform the measurement uncertainties inherent in the tests performed.

Keep the applicant informed of any changes in the documents governing certification and the License to Use the Brand now granted through e-mails marketing’s and news available on the TÜV Rheinland website.

Maintain confidentiality about all data of companies that may have access by virtue of this contract or the rule and demand the same secrecy from their auditors, technicians and specialists.

Keep in force the mark(s) that compose the mark of conformity and the right to license and/or sublicense them.

Submit to Inmetro/Cgcre, for analysis and approval of use, the Memoranda of Understanding, in the scope of the RGCP and the specific RAC, established with other Certification Bodies.

When requested, make available to Inmetro/Dconf all the records and information related to the certification processes carried out by OCP, within a maximum period of 5 (five) working days.

Collect, at any time and by determination of Inmetro, in case of suspicions or duly justified denouncements, samples in the market to perform tests defined in the specific RAC, following the foreseen sampling criteria, bearing the costs related to the collection and tests, observing the provisions in item "14 – Market Monitoring" of the RGCP.

Immediately communicate to Inmetro, within a maximum period of 48 hours, any information on recall, even if preliminary, i.e., in the investigation phase, provided by companies that have their certified object.

If accreditation is suspended, TÜV Rheinland must inform its clients of this condition and, while it is in this condition, it may not carry out any initial certification granting activity or grant recertifications or extension of spacing for current certifications. During the suspension period, TÜV must carry out all activities related to the maintenance of current certificates, as long as their scope is not extended.

In case of cancellation of accreditation, TÜV must cancel certificates issued on the date of completion of migration to the receiving OCP or, if there is no migration, on the date of maintenance or renewal of the certificate issued, whichever occurs first, as well as update the Prodcert System within 5 (five) days.

9 EXTENSION OR REDUCTION OF THE SCOPE OF CERTIFICATION

The interested company may formally request TÜV to extend the scope of the certification. TÜV will analyze the request and verify the need for further testing and/or factory evaluation.

In the reduction of scope the company must:

- Provide TÜV with the list and quantity of products remaining in stock that still bear the Mark of Conformity;
- Evaluate its advertising material so as not to unduly disclose the certification;

- TÜV will analyze the need for a verification audit from the documentation. Another certificate with the new scope will be issued. The new certificate will be made available within the 3DDS platform and communicated to CGCRE if within the SBAC.

10 APPEALS

TÜV Rheinland is responsible for all decisions at all levels of the appeal handling process. TÜV Rheinland handles appeals according to its procedure MS-0000372 - Complaint Management. To avoid conflicts of interest, it ensures that appeals are examined and processed by qualified and independent personnel.

TÜV Rheinland will not take any discriminatory action against the appellant. Below is a description of the appeal handling process:

1. Receive the appeal;
2. Records the occurrence and identifies it;
3. Performs the investigation of the facts;
4. Define the necessary actions if applicable;
5. Take the actions described;
6. Inform the appellant of the outcome of the investigation;
7. Follow up, if necessary;
8. Closes the appeal process.

TÜV Rheinland confirms receipt of the appeal by e-mail and provides the appellant with the result. If the company does not agree with the certifier's decisions during the certification process and during certification maintenance, it may appeal within 30 (thirty) days of notification of the decision, explaining the reasons for its disagreement to the TÜV Rheinland accreditation department.

If the company does not agree with the certifier's decision, it may appeal to the CGCRE (appeal valid only for certifications with CGCRE accreditation).

TÜV Rheinland will send the appellant a final reply (letter or e-mail) at the end of the appeal processing process.

11 DURATION AND MAINTENANCE OF CERTIFICATION

The Product Certificate shall have the validity determined in the certificate, except for the reason of renunciation or revocation provided for in this Rule, it shall be renewed for an equal period after the proposal and OV, when applicable, and so on.

12 COMPLAINTS

Complaints can be registered using the form available in the "Contact Us" field on the TÜV Rheinland website. Complaints will be received, analyzed, handled and answered impartially by a team designated for this purpose.

13 SUSPENSION OF CERTIFICATION

TÜV Rheinland may decide to suspend a product's Certification when:

- The applicant and/or manufacturer Prevents or hinders the performance of the certification process activities;
- In the periodic Follow-up Audits and Tests, finds serious non-conformities that affect the quality of the product or the Manufacturing Quality Management System;
- Not responding to corrective actions for non-conformities within the stipulated deadlines;
- Incorrect use of the conformity mark;
- The Company is in default of its commitments;
- There is a formal request from the Company's legal representative, who will inform TÜV of the reason(s) for suspension and the duration of the suspension. This suspension of the certificate of conformity can be for a maximum of 03 months.
- If there are significant changes in the items of the Company's Manufacturing Quality Management System or in the product, and the Company does not communicate this to TÜV Rheinland.

After the suspension, TÜV Rheinland must:

- Update the information of the suspended certificate in the 3DDS system and inform CGCRE of Inmetro (and other regulatory bodies, if any) of the suspension of the Product Certificate of Conformity and its respective duration;
- Follow the dates established by the Company to remedy the non-conformities.

Such suspension may be revoked only when it has been verified that the Company has taken effective corrective action and TUV Rheinland has made the necessary modifications to ensure that the indications of public information, use of marks and formal certification documents are that the product remains certified.

If there is a decision to reduce the scope of certification as a condition for re-establishment, the same procedure should be used in this case.

14 CANCELLATION OF CERTIFICATION

TÜV Rheinland may decide to cancel a product certification:

- In the event of non-compliance with the commitments made, described in this Rule for the Grant and Maintenance of the SBAC or TÜV Rheinland Mark of Conformity License;
- In cases of non-conformity affecting product quality or the Company's Manufacturing Quality Management System, not resolved within 6 (six) months;
- In case of bankruptcy of the company;
- In the event of non-payment of amounts due to TÜV Rheinland, whenever the company persists in its default, notwithstanding a written warning sent after one month from its dispatch;
- If there is a change in the Rule for Granting and Maintaining the SBAC or TÜV Rheinland's Mark of Conformity License and the company does not guarantee conditions or does not comply with the new requirements within the established time frame.

In case of cancellation, the Company undertakes to:

- Destroy / interrupt the disclosure of all advertising material that alludes to the certification or identification of the Conformity Mark;
- Do not use the Product Conformity Certificate and any existing reproductions.

TÜV Rheinland must, upon cancellation:

- Inform the Company of the reason for cancellation;
- Update the information of the cancelled certificate in the 3DDS system and inform CGCRE of Inmetro (and other regulatory bodies, if any) of the cancellation of the Product Certificate of Conformity;

- Withdraw and collect any debts;
- If applicable, obtain from the company the list of products remaining with the Mark of Conformity, in order to maintain its control over the use of the Mark of Conformity.

15 RESIGNATION

The Company may disclaim certification:

- When not accepting the variations in economic conditions;
- When it does not accept the variations introduced in this Certification Rule and/or in the object-specific RAC for the Granting and Maintenance of the License for the Use of the SBAC or TÜV Mark of Conformity;
- When not accepting the variations of the reference standards;
- When no longer manufacturing the product subject to certification;
- For other reasons that must be analyzed by TÜV Rheinland.

In the event of resignation, the Company undertakes to:

- Forward to TÜV Rheinland a document signed by its legal guardian or its designee informing them of its decision;
- Settle any debts with TÜV Rheinland;
- Return the original and no longer use copies of the Product Compliance Certificate;
- No longer use the SBAC or TÜV Rheinland Mark of Conformity;
- Destroy/interrupt disclosure of any advertising material alluding to the SBAC or TÜV Rheinland Mark of Conformity Certification or identification.

TÜV must, upon a resignation:

- If applicable, obtain from the company the list of remaining products with the Mark of Conformity, in order to maintain its control over the use of the Mark of Conformity.

16 VARIATION OF CERTIFICATION REQUIREMENT

In the event of variations in certification requirements, TÜV Rheinland will inform the applicant, who will be able to adapt to the new requirements within the period indicated, or waive the granting of the Mark of Conformity.

If the license is maintained, TÜV Rheinland will evaluate the need for tests on new samples and may request new documents or models for the appropriate purposes.

The applicant will be responsible for the costs of any new testing at TÜV Rheinland's rates.

17 COMPLEMENTS TO THE CERTIFICATION RULE – CRC

To better understand this Rule it was necessary to create additional documents. These documents are the "Certification Rule Supplement" which are complementary criteria for the scope of certification of TÜV Rheinland do Brasil Ltda.

These complements are available on the TÜV Rheinland website, separated by voluntary and compulsory services.

18 REVISION HISTORY

Review	Changes	Date	Responsible
0	Change in document model and coding from MS-0028648_en Rev.2 to RC-001_EN.	10.02.2021	Débora Reis
1	Inclusion of Ordinances 200/2021 (New RCGP) and 618/2019. Exclusion of Ordinance No. 487, of March 15, 2012.	17.05.2021	Débora Reis

19 EXTERNAL REFERENCE DOCUMENTS

- Portaria nº 200, de 29 de abril de 2021.
- Portaria n° 248, de 25 de maio de 2015.
- Portaria nº 618, de 1 de julho de 2019.