储能系统用锂蓄电池和电池组
安全与性能认证规则

Lithium Cells and Battery Packs for Energy Storage Systems
Implementation Rules for Safety and Performance Certification

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0 引言

本规则由精准通检测认证（广东）有限公司（简称PTC）发布，版权归精准通检测认证（广东）有限公司所有，任何组织及个人未经精准通检测认证（广东）有限公司许可，不得以任何形式全部或部分使用。

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本规则的制定符合GB/T 27065（ISO/IEC 17065）等标准及本机构产品认证质量手册、程序文件的要求，并向各方传达认证程序和要求，使各项认证相关活动得以规范有效开展。

This rule is developed in compliance with GB/T 27065 (ISO/IEC 17065) and other standards, as well as the requirements of the Product Certification Quality Manual and procedure documents of this body. It communicates certification procedures and requirements to all parties to ensure that all certification-related activities are conducted in a standardized and effective manner.

本规则所称认证，是对认证单元（一组电池类型、材料体系、结构、容量及层级相近的相似产品型号）及其实施认证委托的生产者持续符合本规则适用标准能力的评定与确认。型式试验只对认证单元中选定的代表性型号样品实施，认证证书覆盖认证单元全部型号；证书的有效性以获证后监督持续合格为条件。认证委托人对所提交委托资料及样品的真实性、合法性负责。

Certification under this rule means the evaluation and confirmation of a certification unit (a group of similar product models with similar battery type, material system, construction, capacity and level) and of the capability of the producer entrusting the certification to continually comply with the applicable standards of this rule. The type test is performed only on samples of the representative model selected from the certification unit, and the certification certificate covers all models of the certification unit; the validity of the certificate is conditional on continuous qualification in post-certification surveillance. The certification client shall be responsible for the authenticity and legality of the submitted entrustment documents and samples.

制定单位：精准通检测认证（广东）有限公司

Drafting Organization: Precise Testing & Certification (Guangdong) Co., Ltd.

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This rule is a public document. PTC shall make the current effective version of this rule and its revision records freely available on its official website (www.ptc-lab.com), accessible to any interested party without request. Information on the development, revision and withdrawal of this rule shall also be published on PTC's website and filed with the CNCA as required.

1 适用范围 Scope of Application

本规则适用于电能存储系统用锂离子电池单体（下称“电池单体”）和电池组（含电池组系统，下称“电池组”）的安全认证，包括安全认证和安全＋性能认证。

This rule applies to safety certification of lithium-ion battery cells for electric energy storage systems (hereinafter referred to as “battery cells”) and battery packs (including battery pack systems, hereinafter referred to as “battery packs”), including safety certification and safety plus performance certification.

本规则适用的电能存储系统应用包括但不限于：

The electric energy storage system applications covered by this rule include, but are not limited to:

a）电信；

a) Telecommunications;

b）中央应急照明和报警系统；

b) Central emergency lighting and alarm systems;

c）固定式发动机启动；

c) Stationary engine starting;

d）光伏系统；

d) Photovoltaic systems;

e）家用（住宅）储能系统（HESS）；

e) Household (residential) energy storage systems (HESS);

f）大容量储能：并网/离网。

f) Large-capacity energy storage: grid-connected/off-grid.

上述列举的电能存储系统并未包括所有的设备，未列出的设备也可能包含在本规则的范围内。

The energy storage systems listed above do not cover all equipment; equipment not listed may also fall within the scope of this rule.

本规则适用于GB 44240—2024规定范围内的电能存储系统用锂蓄电池（单体）和电池组（含电池组系统）。产品是否属于本规则范围，以GB 44240—2024第1章的适用范围为准，不另设额定能量分界。

This rule applies to lithium secondary cells and battery packs (including battery pack systems) for electric energy storage systems within the scope specified in GB 44240—2024. Whether a product falls within the scope of this rule shall be determined by the scope of application in Clause 1 of GB 44240—2024, and no separate rated-energy threshold is set.

列入强制性产品认证目录的便携式电子产品用锂离子电池和电池组、移动电源、电动自行车用锂离子蓄电池等产品，不适用本规则。

Products listed in the Catalogue of Compulsory Product Certification, such as lithium-ion cells and batteries for portable electronic products, power banks and lithium-ion batteries for electric bicycles, are not covered by this rule.

GB 44240—2024为强制性国家标准，本规则据此开展的是自愿性产品认证，不属于强制性产品认证，认证证书不作为产品进入市场的强制准入凭证。本规则不适用于：——车用动力蓄电池（GB 38031范围）；——船舶用蓄电池；——储能集装箱整柜（仅其内部电池组按本规则认证）。

GB 44240—2024 is a mandatory national standard, whereas the certification carried out under this rule is voluntary product certification and does not belong to compulsory product certification; the certification certificate is not a mandatory market-access credential. This rule does not apply to: — traction batteries for vehicles (within the scope of GB 38031); — batteries for ships; — complete energy-storage containers (only the battery packs inside them are certified under this rule).

2 认证模式 Certification Mode

认证模式：

Certification mode:

型式试验+获证后监督

Type test + post-certification surveillance

认证的基本环节包括：

The basic certification procedures include:

A.认证的申请

A. Certification application

B.产品型式试验

B. Product type test

C.认证结果评价与批准

C. Evaluation and approval of certification results

D.获证后的监督

D. Post-certification surveillance

申请人申请认证时可选择安全认证、安全＋性能认证。安全认证依据GB 44240—2024《电能存储系统用锂蓄电池和电池组 安全要求》；性能认证在安全认证基础上增加GB/T 36276—2023《电力储能用锂离子电池》等相应项目的检测。

When applying for certification, the applicant may choose safety certification or safety plus performance certification. Safety certification is based on GB 44240—2024 Safety requirements of lithium secondary cells and batteries for use in electric energy storage systems; performance certification adds, on the basis of safety certification, testing of the corresponding items under GB/T 36276—2023 Lithium-ion battery for electrical energy storage.

3 认证单元划分Certification Unit Division

a）电池单体、电池组作为不同的认证单元申请。

a) Battery cells and battery packs shall be applied for as different certification units.

b）制造商、生产厂或生产场地不同的产品作为不同的认证单元申请；不同生产场地生产的相同产品只做一次型式试验，其他生产场地的产品送样核查，并出具报告。

b) Products of different manufacturers, plants or production sites shall be applied for as different certification units; for identical products produced at different production sites, the type test shall be performed only once, and products from other production sites shall be subject to sample submission verification, with a report issued.

c）电池类型与材料体系（正极材料、负极材料、隔膜、电解液）、关键材料/零部件、外形结构（方形、圆柱、软包装）、电池单体连接方式（串并联）、电路设计（含电池组管理单元）、标称电压相同的产品，以单元内最大额定容量型号为基准，其余型号的

额定容量不低于该基准的80%时，可作为相同的认证单元申请，最大容量型号的试验结果对单元内较小容量型号向下覆盖。

c) For products identical in battery type and material system (cathode material, anode material, separator, electrolyte), key materials/components, external construction (prismatic, cylindrical, pouch), cell connection mode (series/parallel), circuit design (including the battery management unit) and nominal voltage, where the model with the largest rated capacity in the unit is taken as the reference and the rated capacity of the other models is not lower than 80% of that reference, they may be applied for as the same certification unit, and the test results of the largest-capacity model shall cover the smaller-capacity models in the unit downward.

d）热管理方式（风冷、液冷等）不同的电池组应划分为不同的认证单元申请。

d) Battery packs with different thermal management methods (air cooling, liquid cooling, etc.) shall be divided into different certification units for application.

以ODM、OEM方式认证的，按本机构有关ODM/OEM认证的规定执行，证书有效期不超过相关协议有效期。

For certification in ODM or OEM mode, the relevant provisions of PTC on ODM/OEM certification shall apply, and the validity period of the certificate shall not exceed the validity period of the relevant agreement.

4 认证委托 Certification Entrustment

4.1 认证委托的提出与受理Submission and Acceptance of Certification Entrustment

认证委托人可通过PTC官方网络途径或书面向PTC提出认证委托。认证委托人需按要求准确填写必要的企业信息和产品信息。

The certification client may submit a certification entrustment to PTC via PTC's official online channel or in writing. The certification client shall accurately fill in the required enterprise and product information.

PTC依据相关要求对认证申请进行审核后发出受理或不予受理的通知，或要求认证委托人整改后重新提出认证申请。

After reviewing the certification application in accordance with relevant requirements, PTC shall issue a notice of acceptance or non-acceptance, or require the certification client to make corrections and re-submit the certification application.

资料评审一般不超过15个工作日。

Document review shall normally take no more than 15 working days.

4.2 申请资料Application Documents

认证委托人应在申请受理后，向PTC提交有关的申请资料和技术资料，包括：

Upon acceptance of the application, the certification client shall submit relevant application and technical documents to PTC, including:

（1）认证申请书；

(1) Certification application form;

（2）认证委托人、生产者、生产厂的注册证明（如营业执照、组织机构代码证等）；

(2) Registration certificates of the certification client, producer and manufacturing plant (e.g. business licence, organization code certificate, etc.);

（3）代理人委托书（如有）；

(3) Power of attorney for the agent (if applicable);

（4）认证协议书；

(4) Certification agreement;

（5）产品描述信息，必要时包括：型号规格、技术参数（电池类型、材料体系、标称电压、额定容量、额定能量、工作温度范围、安全工作参数等）、结构、关键零部件和/或材料清单、产品照片、同一认证单元内不同规格产品的差异说明等；

(5) Product description information, including where necessary: model and specification, technical parameters (battery type, material system, nominal voltage, rated capacity, rated energy, operating temperature range, safe operating parameters, etc.), construction, list of key components and/or materials, product photos, description of differences among products of different specifications within the same certification unit, etc.;

（6）认证委托人、生产者、生产企业之间签订的有关协议书或合同（如ODM/OEM协议）；对于变更申请，相关变更项目的证明文件；

(6) Relevant agreements or contracts concluded among the certification client, producer and manufacturing enterprise (e.g. ODM/OEM agreements); for change applications, supporting documents for the items to be changed;

（7）其它需要的文件。

(7) Other documents as required.

认证委托人应对提供资料的真实性负责。

The certification client shall be responsible for the authenticity of the submitted documents.

本机构对认证委托人提供的认证资料进行管理、保存，并负有保密义务。

PTC shall manage and retain the certification documents provided by the certification client and shall be under an obligation of confidentiality.

4.3 实施安排 Implementation Arrangement

PTC在受理后制定认证实施的具体方案，并将其通知认证委托人。认证实施的具体方案通常包括以下内容：

After acceptance, PTC shall formulate a specific certification implementation plan and notify the certification client. The specific certification implementation plan usually includes the following:

a) 需要提交的申请资料清单；

a) List of application documents to be submitted;

b) 实验室信息；

b) Laboratory information;

c) 有关PTC工作人员的联系方式；

c) Contact information of relevant PTC staff;

d) 其他需要说明的事项。

Other matters requiring explanation.

5 认证实施 Certification Implementation

5.1 型式试验 Type Test

5.1.1 型式试验方案 Type Test Plan

PTC在受理认证申请后，指定实验室实施型式试验，由实验室制定型式试验方案，并告知认证委托人。试验和验证方案包括：样品要求和数量、检测和验证标准及项目、实验室信息等。

After accepting the certification application, PTC shall designate a laboratory to carry out the type test. The laboratory shall formulate the type test plan and inform the certification client. The test and verification plan includes sample requirements and quantities, testing and verification standards and items, laboratory information, etc.

5.1.2 型式试验样品要求 Sample Requirements for Type Test

5.1.2.1 送样原则 Sample Submission Principle

a) PTC从申请认证单元中选取代表性样品进行产品检验。试验样品应为出厂检验合格的产品。申请单元中只有一个型号的，送本型号的样品。

a) PTC shall select representative samples from the applied certification unit for product testing. The test samples shall be products that have passed the factory inspection. Where the application unit contains only one model, samples of that model shall be submitted.

b) 以系列产品申请认证时，应从系列产品中选取一种“具有代表性的产品”作为主检型号样品进行检验。“具有代表性的产品”应该是该系列产品中具有对安全和性能影响最不利的元件、结构和外壳组合的型号产品，主检型号样品应能覆盖系列产品的性能、安全、保护和环境要求，不能覆盖时，还应选择申请单元内的其它型号产品做补充试验。

b) Where a series of products is applied for certification, one “representative product” shall be selected from the series as the principal test model sample for testing. The “representative product” shall be the model whose combination of components, construction and enclosure is the most unfavourable to safety and performance in the series. The principal test model sample shall cover the performance, safety, protection and environmental requirements of the whole series; where they cannot be covered, other models within the application unit shall also be selected for supplementary tests.

c) 申请人负责按认证机构的要求选送样品到指定检测机构，并对样品负责。

c) The applicant shall be responsible for selecting and sending samples to the designated testing institution in accordance with the requirements of the certification body, and shall be responsible for the samples.

5.1.2.2 样品数量 Sample Quantity

送样数量见附件1。试验样品应为生产后6个月内的产品，具体样品数量以满足认证标准规定的试验项目所需为准。

The sample quantities are given in Annex 1. The test samples shall be products manufactured within the previous 6 months, and the specific sample quantities shall be as needed to satisfy the test items specified in the certification standards.

5.1.2.3 样品及资料处置 Disposal of Samples and Documents

试验结束并出具试验报告后，有关资料由检测机构保存，样品按PTC有关规定处置。

Upon completion of tests and issuance of test reports, relevant documents shall be retained by the testing institution, and samples shall be disposed of in accordance with PTC's relevant provisions.

5.1.3 型式试验依据标准 Standards for Type Test

1）GB 44240—2024《电能存储系统用锂蓄电池和电池组 安全要求》

GB 44240 — 2024 Safety requirements of lithium secondary cells and batteries for use in electric energy storage systems

2）GB/T 34131—2023《电力储能用电池管理系统》

GB/T 34131—2023 Battery management system for electrical energy storage

3）GB/T 36276—2023《电力储能用锂离子电池》

GB/T 36276—2023 Lithium-ion battery for electrical energy storage

5.1.4 型式试验的实施 Execution of Type Test

5.1.4.1 试验项目及要求 Test Items and Requirements

产品检验项目为该产品标准规定的涉及安全要求的试验。电池单体安全试验项目包括电安全（高温外部短路、过充电、强制放电等）、环境安全（振动、加速冲击、重物冲击、挤压、热滥用、跌落、浅刺等）、热失控（电池热失控）等项目；电池组安全试验项目包括电安全（过充电、外部短路等）、电池组管理单元/电池组管理系统要求、过热控制、跌落、电池组系统热扩散等项目。质量与性能试验项目为申请人选择的认证范围所适用的项目，依据GB/T 36276—2023相应项目试验。

The product test items are the tests relating to safety requirements specified in the product standard. The safety test items for battery cells include electrical safety (external short circuit at high temperature, overcharge, forced discharge, etc.), environmental safety (vibration, acceleration shock, mechanical shock, crush, thermal abuse, drop, shallow piercing, etc.) and thermal runaway (cell thermal runaway); the safety test items for battery packs include electrical safety (overcharge, external short circuit, etc.), battery management unit/battery management system requirements, over-temperature control, drop and thermal propagation of the battery pack system, etc. The quality and performance test items are those applicable to the certification scope selected by the applicant, tested in accordance with the corresponding items of GB/T 36276—2023.

5.1.4.1.1 电池组管理单元（BMS）按GB/T 34131—2023规定的适用项目检测，至少包括：过充电保护、过放电保护、过电流保护、短路保护、温度保护、采样精度、通信功能。

5.1.4.1.1 The battery management unit (BMS) shall be tested on the applicable items specified in GB/T 34131—2023, including at least: overcharge protection, over-discharge protection, over-current protection, short-circuit protection, temperature protection, sampling accuracy and communication functions.

5.1.4.2 试验方法 Test Methods

依据标准规定的和/或引用的检测方法和/或标准进行检验。

Testing shall be conducted in accordance with the test methods and/or standards specified and/or referenced in the standards.

5.1.4.3 型式试验时限 Time Limit for Type Test

型式试验检验时间见附件1。（因检验或验证项目不合格，企业进行整改和复测的时间不计算在内）。必要时，实验室可安排技术人员对认证产品进行现场技术验证。

The type-test period is given in Annex 1 (excluding time spent by the enterprise for rectification and retesting due to non-conformity of test or verification items). Where necessary, the laboratory may assign technical personnel to conduct on-site technical verification for the certified product.

5.1.4.4 判定 Judgement Criteria

型式试验应符合产品标准的要求。

The type test shall comply with the requirements of the product standards.

当型式试验或验证项目部分不合格时，原则上，整改应在6个月内完成，超过该期限的视为认证终止。

If partial non-conformities are found in type test or verification items, rectification shall in principle be completed within 6 months; beyond this period, the certification shall be deemed terminated.

5.1.5 检测报告 Test Report

实验室按照标准完成型式试验后，按照规定出具检测和验证报告。

After completing the type test in accordance with the standards, the laboratory shall issue the test and verification reports as required.

5.1.6 关键零部件的要求 Requirements for Key Components

关键元器件/零部件清单见附件2。为确保获证产品的一致性，关键元器件/零部件技术参数/规格型号/制造商(/生产厂)发生变更时，持证人应及时提出变更申请，并送样进行检验（或提供书面资料确认）。经PTC批准后方可在获证产品中使用。

The list of key components is given in Annex 2. To ensure consistency of the certified product, where the technical parameters/specification and model/manufacturer (manufacturing plant) of key components are changed, the certificate-holder shall promptly submit a change application, and submit samples for testing (or provide written confirmation). Such components may be used in the certified product only after approval by PTC.

5.2 认证评价与决定 Certification Evaluation and Decision

PTC对申请资料、型式试验结论、有关资料/信息等进行综合评价，做出认证决定。对符合认证要求的，批准并颁发认证证书。

PTC shall conduct a comprehensive evaluation of the application documents, type-test conclusions and relevant documents/information, and make the certification decision. Where the certification requirements are met, PTC shall approve and issue the certification certificate.

5.3 认证时限 Certification Time-Limit

认证时限指自受理认证申请之日起至颁发认证证书时止所实际发生的工作日。包括型式试验时间、认证结果评价和批准时间，及证书制作时间。

The certification time-limit refers to the actual working days from acceptance of the certification application to the issuance of the certification certificate, including the type-test period, the time for evaluation and approval of certification results, and the time for certificate production.

PTC对认证各环节的时限做出明确规定，并确保相关工作按时限要求完成。认证委托人须对认证活动予以积极配合。认证时限：自受理之日起至颁发证书止，一般为80个工作日（不含型式试验、委托方整改及补充样品时间）。型式试验时限见附件1，其中电池单体30个工作日、电池组45个工作日、含热失控／热扩散试验的电池组系统60个工作日。

PTC shall specify clear time-limits for each certification phase and ensure that relevant work is completed within the required time-limits. The certification client shall cooperate actively in the certification activities. Certification time-limit: generally 80 working days from acceptance to the issuance of the certificate (excluding type testing, client rectification and supplementary sample time). The type-test periods are given in Annex 1: 30 working days for battery cells, 45 working

days for battery packs, and 60 working days for battery pack systems involving thermal runaway/thermal propagation tests.

型式试验时间见附件1（因检测项目不合格整改和复试时间不计算在内）。当整机零部件和材料需要进行随机试验时，如果其试验所需时间超过整机试验时间，型式试验时间按零部件/材料最长的试验时间计算。

The type-test period is given in Annex 1 (excluding time for rectification and retesting due to non-conformity of test items). Where components and materials of the complete unit need to be tested at random, and the time required exceeds the testing time of the complete unit, the type-test period shall be determined by the longest testing time of the components/materials.

6 获证后的监督 Post-Certification Surveillance

6.1 获证后监督方式和频次 Methods and Frequency of Post-Certification Surveillance

获证后监督方式包括：生产现场抽取样品检测或市场抽样检测两种方式之一或组合。

Post-certification surveillance shall adopt either or a combination of the following methods: sample testing by sampling at the production site or market-sampling testing.

通常情况下，对获证企业及产品，从颁发首张证书之日起12个月内进行第一次监督检测，以后每年至少一次。

Under normal circumstances, the first surveillance test for certified enterprises and products shall be conducted within 12 months from the date of issuance of the first certificate, and at least once a year thereafter.

6.2 生产现场抽取样品检测 Sample Testing by Sampling at Production Site

6.2.1 生产现场抽取样品检测原则 Principles for Sample Testing by Production-Site Sampling

对获证产品进行生产现场抽样检测，抽样检测的样品应在生产合格品中随机抽取。

For sampling tests of certified products at the production site, samples shall be randomly selected from qualified products in production.

6.2.2 生产现场抽取样品检测内容 Contents of Sample Testing by Production-Site Sampling

认证检测采用的标准所规定的项目均可作为抽样检测项目。

All items specified in the standards adopted for certification testing may be used as sampling-test items.

6.3 市场抽样检测 Market-Sampling Testing

6.3.1 市场抽样检测原则 Principles for Market-Sampling Testing

对获证产品必要时，进行市场抽样。认证委托人、生产者、生产企业应积极配合，如提供获证产品的销售信息，以及使用方、经销商和/或销售网点信息等。

Market sampling shall be performed for certified products where necessary. The certification client, producer and manufacturing enterprise shall cooperate actively, e.g. by providing sales information of the certified products and information on users, distributors and/or sales outlets.

6.3.2 市场抽样检测内容 Contents of Market-Sampling Testing

市场抽样包括产品一致性核查和/或产品检测。认证检测采用的标准所规定的项目均可作为抽样检测项目。PTC根据不同产品的质量情况，进行部分或全部项目的检测。

Market sampling includes product consistency verification and/or product testing. All items specified in the standards adopted for certification testing may be used as sampling-test items. PTC shall test some or all of the items according to the quality situation of different products.

6.4 非例行监督检测 Non-Routine Surveillance Testing

持证人若发生下列情况之一，PTC将增加非例行监督检测：

PTC shall impose additional non-routine surveillance testing if the certificate-holder falls under any of the following circumstances:

1）获证产品发生严重质量问题或用户提出严重投诉、产品问题较多的持证人；

1) The certificate-holder whose certified products have serious quality defects, or receive serious user complaints, or have relatively many product problems;

2）有足够的信息表明持证人因变更组织机构、生产条件、管理体系等可能影响产品符合性或一致性时。

2) Where sufficient information indicates that changes to the certificate-holder's organizational structure, production conditions or management system may affect product conformity or consistency.

6.5 获证后监督结果的评价 Evaluation of Post-Certification Surveillance Results

PTC对抽取样品的检测结论和有关资料/信息进行综合评价。评价通过，可继续保持认证证书、使用认证标志；评价不通过，PTC应当根据相应情形做出暂停或撤销认证证书的处理，并予公布。

PTC shall carry out a comprehensive evaluation of the test conclusions of sampled products and relevant documents/information. If the evaluation is passed, the certification certificate may be maintained and the certification mark may continue to be used; if the evaluation is not passed, PTC shall suspend or withdraw the certification certificate according to the corresponding circumstances and publish the decision.

6.6 获证后监督的组成 Composition of Post-Certification Surveillance

获证后监督由下列活动的一项或多项组成：

Post-certification surveillance shall comprise one or more of the following activities:

a）生产现场生产一致性核查（含关键零部件、结构、标识与认证批准状态的一致性）；

a) On-site production consistency verification (including consistency of key components, construction and marking with the approved certification status);

b）生产现场抽取样品检测；

b) Sampling and testing at the production site;

c）市场抽样检测；

c) Market sampling and testing;

d）与获证产品生产、质量管理有关的文件与记录核查。

d) Review of documents and records relating to production and quality management of the certified products.

首次获证后监督应包含a）项。本规则不设独立的初次工厂检查，产品持续符合性由上述监督活动结合持证人质量保证能力自我声明保证；采用该方式的理由（产品风险等级、生产技术成熟度、获证后监督有效性及历史不合格数据）见认证方案风险说明。

The first post-certification surveillance shall include item a). This rule does not provide for a separate initial factory inspection; continued product conformity is ensured by the above surveillance activities in combination with the certificate-holder's self-declaration of quality assurance capability. The reasons for adopting this approach (product risk level, maturity of production technology, effectiveness of post-certification surveillance and historical non-conformity data) are given in the risk statement of the certification scheme.

7 认证证书 Certification Certificate

7.1 认证证书的保持 Maintenance of Certification Certificate

本文件覆盖的认证证书有效期一般为3年。有效期内，证书的有效性依赖PTC的获证后监督获得保持。

Certification certificates covered by this document are generally valid for 3 years. Within the validity period, the validity of the certificate is maintained through PTC's post-certification surveillance.

ODM和OEM证书的有效期按其相关协议中的有效期，但不超过3年；ODM证书的有效期还应不超过初始认证证书的有效期。

The validity period of ODM and OEM certificates shall follow the validity period specified in their relevant agreements, but shall not exceed 3 years; the validity period of an ODM certificate shall also not exceed that of the initial certification certificate.

认证证书有效期届满，需要延续使用的，认证委托人应当在认证证书有效期届满前90天内提出认证委托。证书有效期内最后一次获证后监督结果合格的，PTC在接到认证委托后直接换发新证书。

Where continued use is required upon expiry of the certification certificate, the certification client shall submit a certification entrustment within 90 days before expiry. If the last post-certification surveillance during the validity period was qualified, PTC shall directly issue a new certificate upon receiving the certification entrustment.

7.2 认证证书覆盖产品的变更 Changes to Products Covered by the Certification Certificate

产品获证后，如果其产品发生变更以及认证证书的相关信息、标准等发生变更时，认证委托人应向PTC提出变更批准/备案的申请。

After product certification is granted, in case of product changes or changes to relevant certificate information, standards, etc., the certification client shall apply to PTC for change approval/change filing.

7.2.1 变更委托和要求 Change Entrustment and Requirements

以下内容发生变更时，认证委托人应向PTC提交变更申请：

A change application shall be submitted to PTC by the certification client when any of the following items is changed:

a. 获证产品名称、型号命名方式、技术参数更改；

a. Changes to the name, model designation or technical parameters of the certified product;

b. 在证书上增加或减少同种产品其它型号；

b. Addition or removal of other models of the same product on the certificate;

c. 产品认证所依据的国家标准、认证规则变化；

c. Revision of national standards or certification rules upon which product certification is based;

d. 认证委托人、生产者、生产企业名称和/或地址更改；

d. Changes to the name and/or address of the certification client, producer or manufacturer;

e. 产品中关键件、材料更改；

e. Modification of key components and materials in the product;

f. 软件内容、版本变化；

f. Changes to software content or version;

g. 产品的关键元器件、结构或材料发生了涉及本规则检测标准项目的变化；

g. Changes to key components, construction or materials of the product involving the testing standard items of this rule;

h. 生产企业的质量体系发生变化（例如所有权、组织机构或管理者发生了变化）；

h. Changes to the quality system of the manufacturing enterprise (e.g. changes in ownership, organizational structure or management);

i. 其他。

i. Other items.

对于隶属同一生产者的多个生产企业的相同产品、相同内容的变更，认证委托人可仅提交一次变更委托，PTC对变更涉及的认证证书予以关联使用。

For identical-content changes to the same product manufactured by multiple plants under the same producer, the certification client may submit only one change entrustment, and PTC shall apply it to the related certification certificates.

7.2.2 变更评价和批准 Change Evaluation and Approval

PTC根据变更的内容，对提供的资料进行评价，确定是否可以批准变更。如需样品检测（和/或技术验证），应在检测（和/或技术验证）合格后方能批准变更。原则上，应以最初进行全项型式试验的代表性型号样品作为变更评价的基础。

PTC shall evaluate the submitted documents according to the content of the change to determine whether the change can be approved. Where sample testing (and/or technical verification) is required, the change may be approved only after the testing (and/or technical verification) is qualified. In principle, the representative model sample that underwent the original full-item type test shall serve as the basis for change evaluation.

7.2.3 变更备案 Change Filing

对于不涉及关键元器件、结构和材料的变更，在不需要提供样品试验的情况下，可由PTC认可的生产企业认证技术负责人确认批准，保存相应记录并报PTC备案。

For changes not involving key components, construction or materials, and where sample testing is not required, the change may be confirmed and approved by the certification technical responsible person of the manufacturing enterprise recognized by PTC, with corresponding records kept and filed with PTC.

认证技术负责人由生产者任命/授权，并经PTC考核认定；认证技术负责人应具有独立行使其职能的权力，具备实施其职能的能力；认证技术负责人不得兼任其他生产者的认证技术负责人；认证技术负责人变更时，生产者负责上报PTC并重新申请考核认定。

The certification technical responsible person shall be appointed/authorized by the producer and assessed and recognized by PTC; the certification technical responsible person shall have the authority to independently perform his/her functions and be capable of implementing them; the certification technical responsible person shall not concurrently serve as the certification technical responsible person of another producer; when the certification technical responsible person is changed, the producer shall report to PTC and re-apply for assessment and recognition.

7.3 认证证书覆盖产品的扩展 Expansion of Products Covered by Certification Certificate

认证委托人需要扩展已经获得的认证证书覆盖的产品范围时，应向PTC提出变更申请。

When the certification client needs to expand the product scope covered by an existing certification certificate, a change application shall be submitted to PTC.

PTC根据认证委托人提供的扩展产品有关技术资料，核查扩展产品与原认证产品的差异，确认原认证结果对扩展产品的有效性，并针对差异做补充试验或生产现场产品进行检查。核查通过的，PTC根据认证委托人的要求单独颁发或换发认证证书。

Based on the technical documents of the expanded product provided by the certification client, PTC shall verify the differences between the expanded product and the originally certified product, confirm the validity of the original certification results for the expanded product, and conduct supplementary tests or on-site product inspection at the production site for the differences. If the verification is passed, PTC shall issue a new or renewed certification certificate separately as requested by the certification client.

原则上，应以最初进行全项型式试验的代表性型号样品作为扩展评价的基础。

In principle, the representative model sample that underwent the original full-item type test shall serve as the basis for expansion evaluation.

7.4 认证证书的注销、暂停和撤销 Cancellation, Suspension and Revocation of Certification Certificate

7.4.1 暂停 Suspension

发生下列情形之一，本机构暂停认证证书并书面通知持证人：

PTC shall suspend the certificate, with written notice, where any of the following circumstances occurs:

a）获证后监督检测结论不合格，经整改仍不符合要求；

a) Surveillance test results are unsatisfactory and remain so after correction;

b）关键零部件、结构、材料发生变更未按规定申请并获得批准；

b) Changes to key components, construction or materials are made without application and approval as required;

c）无正当理由未在规定期限内接受获证后监督；

c) Surveillance is refused without justification within the prescribed period;

d）未按期缴纳认证费用；

d) Certification fees remain unpaid when due;

e）获证产品与认证批准状态不一致且未在限期内纠正；

e) The certified product is inconsistent with the approved certification status and is not corrected within the given period;

f）持证人主动申请。暂停期限最长6个月。

f) The holder applies voluntarily. The suspension period shall not exceed 6 months.

7.4.2 恢复 Reinstatement

暂停期间持证人应停止使用认证证书和认证标志；完成整改后可提出恢复申请，经核查（必要时含检测）合格后恢复，恢复日期为核查合格之日。

During suspension the holder shall cease use of the certificate and the certification mark; after completing rectification, the holder may apply for reinstatement, and the certificate shall be reinstated upon passing the verification (including testing where necessary); the reinstatement date shall be the date on which the verification is passed.

7.4.3 撤销 Revocation

发生下列情形之一，本机构撤销认证证书：

PTC shall withdraw the certificate where any of the following circumstances occurs:

a）暂停期满未完成整改或整改后仍不合格；

a) Rectification is not completed within the suspension period or remains unsatisfactory after rectification;

b）以欺骗、贿赂等不正当手段获得认证；

b) Certification was obtained by improper means such as fraud or bribery;

c）转让、伪造、变造认证证书或认证标志；

c) The certificate or certification mark is transferred, forged or altered;

d）获证产品存在严重缺陷造成人身、财产损害。

d) The certified product causes personal injury or property damage due to serious defects.

7.4.4 注销 Cancellation

持证人主动放弃认证、产品停产且不再恢复生产或企业依法注销的，本机构注销认证证书。

PTC shall cancel the certificate where the holder voluntarily abandons the certification, production is discontinued and will not be resumed, or the enterprise is deregistered according to law.

7.4.5 处理程序 Handling Procedure

上述处理按PTCRZ-QP-12a《产品认证 批准、保持、延长、暂停、恢复、撤销和注销的条件和程序》执行；作出暂停、撤销、注销决定的同时按第12条报送证书状态信息，并在本机构网站公告。

The above handling shall follow PTCRZ-QP-12a Conditions and Procedures for Approval, Maintenance, Extension, Suspension, Reinstatement, Withdrawal and Cancellation of Product Certification; simultaneously with a decision to suspend, withdraw or cancel, certificate status information shall be reported in accordance with Clause 12 and announced on PTC's website.

7.5 认证证书的使用 Use of Certification Certificate

持证人应遵守PTC有关产品认证证书管理的相关规定。

The certificate-holder shall comply with PTC's relevant provisions for the administration of product certification certificates.

8 认证标志 Certification Mark

认证标志的管理、使用应当符合PTC有关认证标志管理的相关规定。

The administration and use of the certification mark shall comply with PTC's relevant provisions governing the administration of certification marks.

8.1 准许使用的标志式样 Permitted Mark Specimen

式样如下图所示：

The specimen is shown in the figure below:



8.2 标注方式 Marking Method

如施加标志，证书持有者应按照PTC有关产品认证标识的相关规定执行。可以在产品本体、铭牌、说明书、包装上施加认证标志。

Where the mark is affixed, the certificate-holder shall act in accordance with PTC's relevant provisions on product certification marking. The certification mark may be affixed on the product itself, nameplate, instruction manual or packaging.

9 收费 Fees

认证收费按PTC《认证收费规则》收取。

Certification fees shall be charged in accordance with PTC's Rules for Certification Charges.

10 认证责任 Certification Liabilities

PTC应对做出的认证结论负责。

PTC shall be liable for its certification conclusions.

指定实验室应对检测结果和检测报告负责。

The designated laboratory shall be liable for test results and test reports.

认证委托人应对其所提交的委托资料及样品的真实性、合法性负责。

The certification client shall be liable for the authenticity and legality of the submitted entrustment documents and samples.

11 技术争议及申诉 Technical Disputes and Appeals

认证委托人提出的申诉、投诉和争议按照PTC的相关规定处理。

Appeals, complaints and disputes raised by the certification client shall be handled in accordance with relevant provisions of PTC.

12 认证证书有效性查询与认证信息报送 Validity Verification of Certification Certificates and Reporting of Certification Information

12.1 本机构在官方网站（www.ptc-lab.com，下同）“证书查询”栏目，向公众提供免费、实时、便捷的玩具认证证书有效性查询服务，无需注册、无需付费；查询结果至少包括证书编号、认证委托人名称、生产者名称、生产企业名称及地址、产品名称与型号、认证依据标准名称与版本、认证模式、发证日期、证书有效期及证书状态（有效 / 暂停 / 撤销 / 注销）。

PTC shall provide, on its official website (www.ptc-lab.com, the same below) under the “Certificate Verification” section, a free, real-time and easily accessible service for verifying the validity of toy certificates, without registration or payment; the result shall at least include the certificate number, client name, producer name, manufacturer name and address, product name and model, certification standards and versions, certification mode, date of issue, validity period and certificate status (valid / suspended / withdrawn / cancelled).

12.2 本规则为本机构自行制定并发布的认证规则，依据本规则出具的认证证书按 12.1 规定的方式查询；本机构不以提示引导、链接跳转或任何其他方式，将国家认监委网站作为本机构认证证书有效性的查询途径。

This rule is a certification scheme developed and issued by PTC itself; certificates issued under this rule shall be verified as specified in 12.1, and PTC shall not, by prompts, hyperlinks, redirection or any other means, use the CNCA website as the means of verifying the validity of its own certificates.

12.3 本机构将 12.1 规定的查询方式报送国家认监委并向社会公开，查询方式发生变更的，应于变更前 10 个工作日在网站公告。

PTC shall report the verification method in 12.1 to the CNCA and make it public, and shall announce any change on its website 10 working days in advance.

12.4 本机构按《市场监管总局关于加强认证信息报送和认证证书信息查询管理的公告》（2026 年第 28 号）通过“认证认可业务信息统一上报平台”报送下列信息：

In accordance with Announcement No. 28 of 2026 of the State Administration for Market Regulation, PTC shall report the following through the unified reporting platform for certification and accreditation:

a）认证计划，于计划实施 3 日前报送，计划变更的，于原计划开始日期前 1 日 23 点前报送，计划撤销的于实施前报送，计划终止的，于实施结束前报送；

certification plans, 3 days before implementation, changes before 23:00 of the day preceding the original start date, cancellations before implementation and terminations before the end of implementation;

b）认证结果信息，于结果产生后 1 日内报送认证活动、认证人员、认证对象信息；

certification results, within 1 day after the result is generated, covering certification activities, personnel and objects;

c）证书状态信息，于出具认证证书以及作出暂停、注销、撤销证书决定的同时报送；

certificate status, at the same time as the certificate is issued or a decision to suspend, cancel or withdraw is made;

d）分支机构信息，于设立后 10 日内报送。

branch information, within 10 days after establishment.

12.5 本机构对报送信息的全面性、真实性、准确性负责，不得有虚假、误导或遗漏的情况。

PTC shall be responsible for the completeness, truthfulness and accuracy of the reported information and shall not report false, misleading or omitted information.

12.6 认证委托人、生产者、生产企业应按本机构要求及时、准确提供报送所需的企业信息、产品信息及认证活动信息，并对其真实性负责，信息变更的应在变更后 5 个工作日内书面告知本机构。

The client, producer and manufacturer shall provide the required information in a timely and accurate manner and be responsible for its truthfulness, and shall notify PTC in writing within 5 working days of any change.

附件1储能系统用锂蓄电池和电池组送样要求及检验时限 Sample Submission Requirements and Testing Time-Limits for Lithium Cells and Battery Packs for Energy Storage Systems

储能系统用锂蓄电池和电池组送样要求及检验时限见表A.1。

The sample submission requirements and testing time-limits for lithium cells and battery packs for energy storage systems are shown in Table A.1.

表A.1 储能系统用锂蓄电池和电池组送样要求及检验时限

Table A.1 Sample Submission Requirements and Testing Time-Limits

产品 Product	依据标准 Reference Standard	送样数量 Sample Quantity	检测时限 Testing Time-Limit
电池单体 Battery cell	GB 44240—2024	主检样品3只；差异型号每型号2只 3 principal test samples; 2 samples for each model with differences	30个工作日 30 working days
电池组（含电池组系统） Battery pack (including battery pack system)	GB 44240—2024	主检样品1套；差异型号每型号1套；大型电池组在满足试验要求的条件下按实验室要求确定 1 principal test sample set; 1 set for each model with differences; for large battery packs, as required by the laboratory provided the test requirements are met	30/45/60个工作日* 30/45/60 working days*
质量性能项目（适用时） Quality and performance items (where applicable)	GB/T 36276—2023	按实验室要求 As required by the laboratory	30个工作日 30 working days

注1：同一申请单元中有多个型号时，检测机构核对型号差异说明后，根据需要决定是否要补送样品及补送的型号和数量。

Note 1: Where there are multiple models in the same application unit, the testing institution shall, after checking the description of model differences, decide whether additional samples need to be submitted and the models and quantities thereof.

注2：因检测项目不合格，企业进行整改和重新检验的时间不计算在内。检测时限从收到样品和检测费用算起。

Note 2: Time spent by the enterprise for rectification and re-testing due to non-conformity of test items is not included. The testing time-limit starts from receipt of the samples and testing fees.

附件2：储能系统用锂蓄电池和电池组产品描述 Product Description for Lithium Cells and Battery Packs for Energy Storage Systems

申请编号：

Application No.:

申请人名称：

Name of Applicant:

认证单元名称：

Name of Certification Unit:

一、申请认证产品信息 I. Information on the Products Applying for Certification

1、申请认证单元覆盖产品型号、规格说明：

1. Description of models and specifications covered by the certification unit applying for certification:

2、申请认证产品参数：

2. Parameters of the products applying for certification:

3、申请认证产品图纸、照片、铭牌等（可另附页）

3. Drawings, photos, nameplates, etc. of the products applying for certification (additional pages may be attached)

4、样品参数（表格、照片）

4. Sample parameters (tables, photos)

二、关键原材料/零部件/元器件清单 II. List of Key Raw Materials/Components/Devices

表A.2 储能系统用锂蓄电池和电池组关键原材料/零部件/元器件清单

Table A.2 List of Key Raw Materials/Components/Devices for Lithium Cells and Battery Packs for Energy Storage Systems

产品 Product	名称 Name	型号 Model	参数 Parameters	生产厂家 Manufacturer
电池单体 Battery cell	电芯（正极材料、负极材料、隔膜、电解液） Cell (cathode material, anode material, separator, electrolyte)		正负极主材、隔膜/电解液规格、标称电压、额定容量、内阻 Main cathode/anode materials, separator/electrolyte specifications, nominal voltage, rated capacity, internal resistance	
	外壳/封装材料（钢壳、铝壳、铝塑膜等，含泄压装置） Case/packaging materials (steel case, aluminium case, aluminium-plastic film, etc., including pressure-relief device)		材质、规格、阻燃等级 Material, specification, flame-retardant rating	
	极耳及连接部件 Tabs and connecting parts		材质、规格尺寸 Material, dimensions	

产品 Product	名称 Name	型号 Model	参数 Parameters	生产厂家 Manufacturer
	保护器件（热熔断体、限流元件等） Protective devices (thermal-links, current-limiting elements, etc.)		动作参数 Operating parameters	
电池组 Battery pack	电池单体（电芯） Battery cells		与电池单体清单一致 Consistent with the battery cell list	
	电池组管理单元（电池管理系统） Battery management unit (battery management system)		采样精度、保护功能（过充电、过放电、过电流、短路、温度） Sampling accuracy, protection functions (overcharge, over-discharge, over-current, short circuit, temperature)	
	保护器件（热熔断体、熔断器、限流元件等） Protective devices (thermal-links, fuses, current-limiting elements, etc.)		电压、电流、温度参数 Voltage, current and temperature parameters	
	连接器、线束 Connectors, wire harnesses		线径、载流能力 Wire diameter, current-carrying capacity	
	外壳、绝缘与隔热材料 Case, insulating and thermal-insulating materials		材料、阻燃等级、尺寸 Material, flame-retardant rating, dimensions	
	热管理部件（风机、液冷板、冷却液等） Thermal management components (fans, liquid cooling plates, coolant, etc.)		规格、参数 Specifications, parameters	
	泄压/消防部件（适用时） Pressure-relief/fire-protection components (where applicable)		规格、参数 Specifications, parameters	

注1：以上主要零部件/元器件仅为参考，根据产品实际设计和应用可能有所不同。

Note 1: The main components/devices listed above are for reference only and may differ according to the actual design and application of the product.

注2：相关认证情况是指零部件/元器件获得的认证，包括CCC认证、自愿性认证、IECEE-CB证书以及其它国际认证。

Note 2: “Relevant certification status” refers to the certifications obtained by the component/device, including CCC certification, voluntary certification, IECEE-CB certificates and other international certifications.

三、申请人声明 Applicant's Declaration

本组织保证该产品描述中产品信息及关键原材料/零部件/元器件（受控部件）等与申请认证的产品信息保持一致。通过认证后，如果不影响设计定型的产品信息需变更或关键原材料/零部件/元器件（受控部件）需进行变更，本组织将向本机构提出变更申请，经本机构批准后才会对获证产品实施变更，以确保该规格型号在认证证书有效期内始终符合认证要求。

This organization guarantees that the product information and key raw materials/components/devices (controlled parts) in this product description are consistent with the information of the products applying for certification. After certification is granted, if product information that does not affect the finalized design needs to be changed, or key raw materials/components/devices (controlled parts) need to be changed, this organization will submit a change application to PTC, and changes to the certified product will be implemented only after approval by PTC, so as to ensure that this model always complies with the certification requirements within the validity period of the certification certificate.

本组织保证只在获证产品中使用认证证书及认证标志。

This organization guarantees that the certification certificate and certification mark are used only on the certified products.

申请人Applicant：

(公章Official Seal)

日期：　年　月　日

Date:　(YYYY-MM-DD)