<u>भारतीय मानक ब्यूरो</u> (केन्द्रीय मुहर विभाग - I)

हमारा सन्दर्भः सीएमडी-1/2:16:6

24 जुलाई 2024

विषय: बीआईएस (अनुरूपता निर्धारण) विनियम, 2018 की अनुसूची-11 की अनुरूपता निर्धारण स्कीम-1V के अंतर्गत ट्रांसफॉर्मर के स्टाम्पिंग/लेमिनेशन/कोर (वाइंडिंग के साथ या बिना) के लिए अनुरूपता प्रमाणपत्र के संचालन के दौरान निगरानी के लिए दिशानिर्देश

उपर्युक्त विषय पर सक्षम प्राधिकारी द्वारा अनुमोदित दस्तावेज़ सभी संबंधित पक्षों के कार्यान्वयन के लिए सलंग्न है। यह संशोधित दिशा-निर्देश पहले के दस्तावेज़ सन्दर्भ:CMD-I/2:16:6 दिनांक 02 जून 2023 को तत्काल प्रभाव से प्रस्थापित करते हैं।

> (मोहित जनोहिया) वैज्ञ-'डी'/सीएमडी-I

प्रमुख, सीएमडी-।

उपमहानिदेशक (प्रमाणन एवं सीएसएम)

Bureau of Indian Standards (Central Marks Department - I)

Our Ref: CMD-I/2:16:6 24 July 2024

Subject: Guidelines for surveillance during operation of Certificate of Conformity for Stampings/ Laminations/cores of transformers (with or without winding) under the conformity assessment Scheme – IV of Schedule – II of BIS (Conformity Assessment) Regulations, 2018

The document on the above subject as approved by the Competent Authority is attached herewith for implementation by all concerned. These revised guidelines supersedes the earlier document Ref: CMD-I/2:16:6 dated 02 June 2023 with immediate effect.

(Mohit Janoiya) Sc.D/CMD-I

Head, CMD-I

DDG (Certification & CSM)

परिचालित/circulated to:

सभी क्षेत्रीय कार्यालयों/ शाखा कार्यालयों All ROs/BOs

सभी उपमहानिदेशक (क्षेत्रीय) All DDGRs

प्रमुख, सी॰एस॰एम॰ विभाग Head, CSMD

अन्य सभी संबंधित पक्ष - बीआईएस इंट्रानेट के माध्यम से All other concerned - through BIS intranet

BUREAU OF INDIAN STANDARDS (CENTRAL MARKS DEPARTMENT - I)

Our Ref: CMD-I/2:16:6 23 July 2024

Subject: Guidelines for surveillance during operation of Certificate of Conformity for Stampings/ Laminations/cores of transformers (with or without winding) under the conformity assessment Scheme – IV of Schedule – II of BIS (Conformity Assessment) Regulations, 2018

- 1) This document stipulates the guidelines for surveillance by BIS with respect to monitoring the operation of Certificates of Conformity (CoC) granted by BIS to manufacturers of Stampings/laminations/ cores of transformers (with or without winding).
- 2) These guidelines are to be read in conjunction with the BIS Act, 2016; BIS Rules, 2018 and BIS (Conformity Assessment) Regulations, 2018 and guidelines framed thereunder, as per Scheme–IV of Schedule–II of these regulations as well as any Product Specific Guidelines for grant of certificate of conformity for Stampings/ Laminations/cores of transformers (with or without winding) under Scheme IV of Schedule II of BIS (Conformity Assessment) Regulations, 2018.
- 3) The intent of surveillance in case of this product is to check for compliance to the essential requirement for this product mandated in the Steel and Steel Products (Quality Control) Order, 2020 i.e. that Stampings/laminations/cores of transformers (with or without winding) shall be made from BIS standard marked Grain Oriented Electrical Steel Sheet and Strip conforming to IS 3024:2015 or Cold rolled non-oriented electrical steel sheet and strip conforming to IS 648:2006 or Fe based amorphous strip delivered in the semi-processed state conforming to IS 16585:2016.
- 4) The primary mode of surveillance in this case is factory surveillance i.e. visits to the manufacturing units which are holding CoC. These surveillance visits may be conducted by the BIS certification officer or technical auditor of empanelled agency through CSMD. However, as far as possible, it is preferable that surveillance visits especially under Scheme-IV are carried out by the BIS certification officer at the concerned BO.
- 5) During the surveillance visit, the following actions shall be taken up:
 - (i) Physical verification of availability of ISI marked material and dispatch of stampings/lamination/cores under CoC
 - (a) During the visit, the labels on the ISI Marked material available shall be physically verified to check that the material has been manufactured by a BIS license holder holding a valid licence.

- (b) In addition, the thickness of the coil of ISI marked electrical steel/material as well as the thickness of the stampings/laminations made from said ISI marked material shall be checked to verify the traceability.
- (c) In addition, materials being dispatched shall be checked to ensure that they are being sent with valid CoC bearing the assigned CoC Number with test certificate.

(ii) Verification of traceability through records

- (a) As per product specific guidelines for grant of CoC, Holder of certificate of conformity is required to submit to the concerned BO the details of electrical steel purchased and consumed by them, enclosing the Mill Test Certificates and also the details of Stampings/ laminations/ cores of transformers manufactured and dispatched by them from this steel, on a quarterly basis. These submitted records shall be cross checked with the records available in the factory for conformity.
- (b) The compliance to the defined Inspection and Testing Plan shall be checked.
- (c) Details of raw material purchase/consumption and production/dispatch records as declared by the CoC holder shall be verified to check that only electrical steel/material manufactured by a BIS license holder holding valid licence is being used to manufacture the product and also that the product is being dispatched under the valid CoC with a test certificate.
- 6) Certification, Surveillance and Monitoring Department (CSMD) shall prepare and circulate the plan for domestic surveillance in case of this product. The inspection and surveillance activities of foreign manufacturers shall be planned and prepared by Foreign Manufacturers Certification Department (FMCD) with approval of the competent authority. The factory inspection and surveillance activities of foreign manufacturers (and domestic manufacturers, till further orders) shall be undertaken by certification officers of BIS.
- 7) Generally, one surveillance visit per year may be carried out for each manufacturing unit holding a certificate of conformity. For any special inspection visit (other than surveillance and complaint investigation), the inspection charges of ₹ 7,000 shall be taken in advance.
- 8) Till the time web/mobile application based module for surveillance is updated for this product, surveillance visits under Scheme-IV shall be reported with requisite details in the presently available space fields of web/mobile application. The remaining places may be left blank or filled as Not applicable. At the end of the report, any other should be selected and scanned pages of inspection/factory test reports are to be uploaded. The reporting template for guidance is enclosed as *Annexure I*.

- 9) The surveillance inspection may be deemed unsatisfactory in the following situations
 - (i) Use of non ISI marked material to manufacture Stampings/laminations/ cores of transformers
 - (a) If there is sufficient evidence (through physical verification, verification of records or combination thereof) that the CoC holder has used non ISI marked material to manufacture Stampings/laminations/ cores of transformers and/or supplied this product without the valid CoC with a test certificate.
 - (b) In such cases, review of performance of the CoC holder shall be taken up and based on the same, the CoC may be placed under suspension by the Head BO. Simultaneously, a show-cause notice shall be issued to the CoC holder informing them that BIS intends to pursue legal action against them for violation of the QCO and giving them 15 days time to establish that they did not violate the QCO (personal hearing may be granted). (template for guidance enclosed as *Annexure II*) Revocation of suspension may be considered once the CoC holder is able to establish that they did not violate QCO. If not, suspension may be followed by initiation of cancellation proceedings.
 - (ii) Noncompliance to SIT and minor discrepancies in records etc.
 - (a) In case deviation from prescribed SIT or minor discrepancies is observed in records but which does not constitute sufficient evidence that the CoC holder has used non ISI marked material to manufacture Stampings/laminations/cores of transformers and/or supplied this product without the valid CoC with a test certificate, the CoC holder shall be advised to take corrective actions and inform within prescribed time limit (normally not more than 15 days). (template for guidance enclosed as *Annexure III*)
 - (b) In such cases, if it is observed that the CoC holder has not taken sufficient corrective actions, the case may be processed for imposition of suspension. Before imposition of suspension, a notice shall be issued by the Head BO seeking explanation from CoC holder giving 10 days time from the date of issuance of the notice. (template for guidance enclosed as *Annexure IV*)
 - (A) In case no reply is received within the stipulated time, the suspension shall be imposed.
 - (B) In case reply is received within stipulated time, it shall be examined and reviewed by the Head BO. If the reply received is satisfactory informing all the requisite corrective actions have been taken by CoC holder, the case shall be taken up for verification of corrective actions through immediate surveillance visit preferably within the next 20 days.

- (C) In case during the first surveillance visit after issuing the notice for suspension, it is observed that the corrective actions have not been implemented by the CoC holder, the case may be processed for imposition of suspension without any further notice.
- (D) In case reply received is partial or incomplete, the case may be processed for imposition of suspension without any further notice.
- (c) The decision to impose suspension shall be communicated to the CoC holder. (template for guidance enclosed as *Annexure V*) Suspension may be revoked after verification of corrective actions undertaken by the manufacturer.
- 10) (i) The BOs may arrange visit(s) as given below to check compliance with suspension orders and any possible violation of the BIS Act, 2016 and Rules, Regulations framed thereunder:
 - (a) No response received from the CoC holder within 15 days from the date of communication of necessary instructions by BIS Visit within next 15 days.
 - (b) If there is still no response from the CoC holder after the visit, the case may be processed for initiating proceedings for cancellation.
 - (ii) In case of detection of misuse or any violation of the provisions of the BIS Act, 2016 and Rules, Regulations framed thereunder, further necessary action shall also be taken as per provisions.
- 11) Before cancelling a certificate of conformity, a cancellation notice of not less than twenty-one days shall be given (template attached *Annexure VI*). Before issuing cancellation notice, the DDGR shall satisfy herself/himself about completeness of information and facts of the case. Where DDGR is satisfied that it is necessary to issue cancellation notice, she/he shall record the reasons while taking decision for issuance of cancellation notice.
 - (i) In case no reply is received within stipulated time, the certificate of conformity may be cancelled.
 - (ii) In case reply is received within stipulated time, it shall be examined and reviewed by the DDGR. Where the DDGR is satisfied that it is necessary to cancel the certificate of conformity, she/he shall record the reasons while taking decision for cancellation.
 - (iii) If the certificate of conformity is not cancelled, the matter shall be taken up for corrective actions and its verification as per applicable paras (9(ii)) of this document.

- (iv) The competent authority shall take into account merits of the case and facts presented by manufacturer during personal hearing and shall pass speaking orders for the final decision taken.
- (v) The decision to cancel the certificate of conformity shall be communicated to the manufacturer. (template attached as *Annexure VII*)
- 12) This issues with the approval of Competent Authority.

(Mohit Janoiya) Sc.D/CMD-I

Head, CMD-I

DDG (Certification & CSM)

circulated to:

- i) All ROs/BOs
- ii) All DDGRs
- iii) Head, CSMD
- iv) All other concerned through BIS intranet

Annexure - I

BUREAU OF INDIAN STANDARDS REPORT OF SURVEILLANCE INSPECTION

(..... inspection since the grant of CoC/Renewal)

	NO - l upto:	IR No
1)	(i) CoC Holder:(ii) Product: Stampings/ Laminations/cores of tr	ransformers (with or without winding)
2)	Special inspection charges, if applicable	
3)	Date of inspection	
4)	Person(s) contacted	
5)	Previous inspection	
	(i) Date (iii) Conclusions and recommendations	(ii) Conducted by
	(iv) Result of last 2 SURVEILLANCE VISITS	S:
6)	Action taken by firm on advice on previous visi	t / failure of sample:

- (i) Physical verification of availability of ISI marked material and dispatch of stampings/lamination/cores under CoC
- (a) ISI Marked material available has been manufactured by a BIS license holder holding valid licence. (Yes/No)
- (b) Thickness of the coil of ISI marked electrical steel/material as well as thickness of the stampings/laminations made from said ISI marked material are the same (Yes/No/ N.A.) In case of N.A., reasons to be stated
- (c) Product being dispatched being sent with valid CoC bearing the assigned CoC Number. (Yes/No)

(ii) Verification of traceability of through records

Verify the following: (Deviations if any to be recorded)

7)

- (a) Factory Records of the details of electrical steel purchase and consumption, including Mill Test Certificates, and details of Stampings/ laminations/ cores of transformers manufactured and dispatched matches with quarterly data submitted to BIS and indicates use of only ISI Marked material for manufacture (Yes/No)
- (b) Compliance to Scheme of Inspection and Testing (SIT) requirements and maintenance of Test records satisfactorily: Yes/No
- (c) The product is being dispatched under the valid CoC with a test certificate indicating the assigned CoC number. (Yes/No)
- (iii) Any major change without approval / intimation : Yes / No

*In case no is recorded against any of the above, suitable remarks shall be mentioned

8)	Sampling	of Product f	or Independent	Test (market sa	ample of ISI Marked	material):
\sim ,	Duilipini					

- (i) Code:
- (ii) IS No.:
- (iii) Product / Size / variety:
- (iv) Batch no. / DOM
- (v) Laboratory:
- (vi) Counter sample: Yes / No
- (vii) Name and Licence number of the manufacturer (BIS licensee Mill)

Note: Details on test request to be enclosed.

- 9) Conclusions and Recommendations Satisfactory / Need improvement / Unsatisfactory
 - (i) Any action to be taken including suspension
 - (ii) Any other observation/comments for better appraisal of the report

Inspected by: (Name)
Designation:
Date:

Annexure - II

Our	Rei: BU/Coc No. Date:
Subj	ject: Suspension of CoC for (Product name)
M/s	
Dear	Kind Attn: (Name of the CEO/MD) r Madam/Sir,
1)	This has reference to the certificate of conformity No
2)	Further, reference is invited to discrepancies observed during surveillance inspection visit dated (copy enclosed)
3)	Due to the
4)	You are not permitted to use the above mentioned product with certificate of conformity including dispatch of any stock in hand. You are, therefore, advised to ensure stoppage of use of certificate of conformity for the product with immediate effect & confirm the same immediately by suitable means like speed post/e-mail/online portal. You are also advised to submit us the following details as on the date of receipt of communication: i) Quantity of material held in stock: ii) (a) Batch/Control Unit (C.U.)/Lot No(s). and date(s) of manufacture; (b) Brand; (c) Size/type/grade/variety; iii) Packing details; and iv) Pending Orders for material, if any with purchasers' names and addresses
5)	You are further required to inform BIS within 15 days of the issuance of this letter i) the details of corrective actions taken along with applicable supporting evidence

, failing which it will be presumed that you do not have such material in stock.

ii) the quantity available in your stock pertaining to non-conforming Batch/C.U./Lot

- 6) As you have been found contravening the essential requirements against the certificate of conformity is granted to you which is also a violation of the (Quality Control) Order, 20...., BIS is considering the matter to launch prosecution in the Court of Law for violation of said Quality Control Order. If you desire to be heard in person or through a representative authorised by you on your behalf, you may seek an appointment for such a hearing with the undersigned, after submitting your written explanation.
- 7) Kindly note that, according to Paragraph 5 of Scheme-IV of Schedule-II under the BIS (Conformity Assessment) Regulations, 2018, the certificate of conformity fee is payable by you even during the period when certificate of conformity is not in operation due to suspension.
- 8) The reply with information sought should be sent immediately by return speed post/e-mail but not later than 15 days from the issuance of this letter failing which your certificate of conformity will be considered for cancellation as per Regulation 19 of the BIS (Conformity Assessment) Regulations, 2018.
- 9) Kindly acknowledge the receipt and ensure compliance.

Encl. As above

Signature of designated authority (Name of designated authority)

Copy to: Quality Control In-charge (Manufacturer Name & Address)

Annexure - III

Our	Ref: BO/Coc No. Date:
_	ect: Unsatisfactory performance pertaining to CoC for (Product name)
M/s	
Dear	Kind Attn: (Name of the CEO/MD) Madam/Sir,
1)	This has reference to the certificate of conformity No
2)	A surveillance inspection was carried out at your factory premises on
3)	You are advised to take appropriate corrective actions to avoid such discrepancies in future and intimate BIS the details of actions taken along with applicable supporting evidence within 15 days from the issuance of this letter.
4)	You are required to investigate the reasons for non-conformity by reviewing your quality assurance system and to take appropriate corrective actions which are relevant to the observed non-conformities. Some probable causes that could have led to occurrence of this non-conformity may be attributed (but is not limited) to
5)	Kindly note that in case, complete/satisfactory reply is not received within the stipulated period or performance during next surveillance visit is also found unsatisfactory, suspension may be imposed in accordance with clause (a) of sub-paragraph (5) of Paragraph 11 of Scheme - IV of Schedule - II under the BIS (Certification) Regulations, 2018.
6)	Kindly acknowledge the receipt and ensure compliance.
Than	king you Signature of designated authority
Encl:	(Name of designated authority) As above

Annexure - IV

	Our Ref: BO/CoC No.	Date:
	Subject: Notice for suspension of CoC	for (Product Name)
	M/s	
	Kind Attn: (Name of the	e CEO/MD)
	Dear Madam/Sir,	
1)	This has reference to the certificate of conformity by BIS under its conformity assessment Scheme-I which is valid up to	
2)	Further, reference is invited to discrepancies obser-	_
3)	Due to the	f sub-paragraph 5 of paragraph 11 of ty Assessment) Regulations, 2018, it is
4)	In case you have anything to say in this matter, y Bureau within 10 days from the date of issuance o or reply received is incomplete or you fail to undert conformity will be put under suspension without any	f this notice. In case no reply is received ake corrective actions, your certificate of
5)	This notice is being issued without any prejudice to action under the BIS Act, 2016.	the right of this Bureau to take any legal
6)	Kindly acknowledge the receipt and ensure complia	nce.
	Thanking You,	Signature of designated authority (Name of designated authority)
	Encl.: As above	

Annexure - V

Our	Ref: BO/Coc No. Date:		
Subj	Subject: Suspension of CoC for (Product name)		
M/s			
	Kind Attn: (Name of the CEO/MD)		
Dear	· Madam/Sir,		
1)	This has reference to the certificate of conformity No		
2)	Further, reference is invited to our earlier letter dated		
3)	Due to the		
4)	You are not permitted to use the above mentioned product with certificate of conformity including dispatch of any stock in hand. You are, therefore, advised to ensure stoppage of use of certificate of conformity for the product with immediate effect & confirm the same immediately by suitable means like speed post/e-mail/online portal. You are also advised to submit us the following details as on the date of receipt of communication: i) Quantity of material held in stock: ii) (a) Batch/Control Unit (C.U.)/Lot No(s). and date(s) of manufacture; (b) Brand; (c) Size/type/grade/variety; iii) Packing details; and iv) Pending Orders for material, if any with purchasers' names and addresses		
5)	You are further required to inform BIS within 15 days of the issuance of this letter i) the details of corrective actions taken along with applicable supporting evidence		

, failing which it will be presumed that you do not have such material in stock.

ii) the quantity available in your stock pertaining to non-conforming Batch/C.U./Lot

- 6) Kindly note that, according to Paragraph 5 of Scheme-IV of Schedule-II under the BIS (Conformity Assessment) Regulations, 2018, the certificate of conformity fee is payable by you even during the period when certificate of conformity is not in operation due to suspension.
- 7) The reply with information sought should be sent immediately by return speed post/e-mail but not later than 15 days from the issuance of this letter failing which your certificate of conformity will be considered for cancellation as per Regulation 19 of the BIS (Conformity Assessment) Regulations, 2018.
- 8) Kindly acknowledge the receipt and ensure compliance.

Encl. As above

Signature of designated authority (Name of designated authority)

Copy to: Quality Control In-charge (Manufacturer Name & Address)

Annexure - VI

Ou	r Ref: BO/Coc No. Date:
Sul	bject: Notice for cancellation of CoC for(Product Name)
M/s	s
	Kind Attn: (Name of the CEO/MD)
Dea	ar Madam/Sir,
1)	This has reference to the certificate of conformity No granted by BIS under its conformity assessment Scheme-IV for (Product name) which is valid up to
2)	The following product non-compliances were observed with regard to the operation of the above certificate of conformity which is in violation of the provision of Regulation of the BIS (Conformity Assessment) Regulations, 2018.
	(RO/BO to give the reasons for proposed cancellation in this space)
3)	In view of the above, it is proposed to cancel the certificate of conformity No
4)	Your certificate of conformity is already under suspension w.e.f
	 i) Quantity of material held in stock ii) (a) Batch No(s) and date(s) of manufacture; (b) Brand; (c) size/type/grade/variety
	iii) Packing details; andiv) Pending orders, if any with purchasers' name and address

5) In case you have anything to say in this matter, you may submit your explanation to the Bureau within 21 days from the date of issue of this notice, failing which, it will be presumed that you are no longer interested in continuing the said certificate of conformity and as such the certificate of conformity will be processed for cancellation without any further reference to you.

This notice is being issued without any prejudice to the right of this Bureau to take any legal action under section 29 of the BIS Act, 2016.

- 6) If you desire to be heard in person or through a representative authorised by you on your behalf, you may seek an appointment for such a hearing with the undersigned, after submitting your written explanation.
- 7) Kindly acknowledge the receipt and ensure compliance.

Thanking You,

Signature of designated authority (Name of designated authority)

Encl.: As above

Annexure - VII

Our	Ref: BO/Coc No. Date:
Sub	ject: Cancellation of CoC for(Product Name)
M/s	
	Kind Attn: (Name of the CEO/MD)
Dear	Madam/Sir,
1)	This has reference to the certificate of conformity No granted by BIS under its conformity assessment Scheme-IV for (Product name) which was valid up to
2)	Further, reference is invited to cancellation notice dated, your reply dated and personal hearing held on
3)	It has been decided to cancel your certificate of conformity after as per the provision of Regulation of the BIS (Conformity Assessment) Regulations, 2018 due to the following reasons: (BO to mention the reasons)
4)	Your above mentioned certificate of conformity, therefore, stands cancelled w.e.f As already informed earlier as well, you are neither entitled to use this certificate of conformity after or to claim in your advertisements or in any other publicity material that you are a holding certificate of conformity granted by BIS or your product after
5)	Any publicity material such as handbills, pamphlets, letterheads, etc. claiming that you hold BIS certificate of conformity for your above mentioned product should be destroyed or such markings obliterated/defaced immediately. This should be confirmed by you at the earliest, positively within 15 days.
6)	Further, you are advised to furnish a statement of your product as follows: i) Quality of material held in stock: a) Type or Grade b) Variety c) Brand, if any ii) Batch/Control Unit (C.U.)/Lot No. iii) Packing iv) Pending orders, if any and purchaser's name and address

- 7) Please note that any material found with BIS certificate of conformity after, will be deemed to be the violation of the provisions of the BIS Act 2016, and Rules and Regulations framed thereunder and action will be taken as per the BIS Act 2016, and Rules and Regulations framed thereunder.
- 8) You are advised to surrender the original certificate of conformity along with all the attachments/endorsements sheets, etc. and also submit an undertaking to the fact that you have not retained photocopy of the said documents and shall not produce it anywhere under any circumstances subject to prior permission from BIS in this regard.
- 9) If you are aggrieved by the above order, you may prefer an appeal to the Director General, Bureau of Indian Standards within ninety days from the date of the order with a fee of two thousand rupees as per provisions of section 34 of the BIS Act 2016 read along with Rule 37 of the BIS Rules 2018.
- 10) Please acknowledge the receipt and ensure compliance.

Signature of designated authority (Name of designated authority)