

भारतीय मानक ब्यूरो
(केन्द्रीय मुहर विभाग - I)

हमारा सन्दर्भ: सीएमडी-I/2:16:6

21 दिसंबर 2022

विषय: बीआईएस (अनुरूपता निर्धारण) विनियम, 2018 की अनुसूची-II की अनुरूपता निर्धारण स्कीम-IV 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 सलग्न है।

(मोहित जनोहिया)
वैज्ञ-सी/सीएमडी-I

प्रमुख, सीएमडी-I

उपमहानिदेशक (प्रमाणन एवं सीएसएम)

Bureau of Indian Standards
(Central Marks Department - I)

Our Ref: CMD-I/2:16:6

21 December 2022

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.

(Mohit Janoiya)
Sc.C/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, आई०टी०एस० विभाग
Head, ITSD

प्रमुख, सी०एस०एम० विभाग
Head, CSMD

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

BUREAU OF INDIAN STANDARDS

(CENTRAL MARKS DEPARTMENT - I)

Our Ref: CMD-I/2:16:6

21 December 2022

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 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 issued by CMD-II.
- 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. Although in the case of Scheme-I, surveillance visits to licensed manufacturing units are being paid by both BIS Certification Officers and Authorized Inspection Agents. **However, it has been decided that for this product, only BIS Certification Officers shall conduct the factory surveillance visits, till further orders.**
- 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 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.

(iii) Drawal of market sample of ISI Marked material

During the factory surveillance visit, samples of the ISI Marked input material available shall be drawn as market sample and sent for testing to the relevant third party labs. (Although the test results of these samples shall be shared with both the licensee and the CoC holder, in case of non-conformity of the market sample, only the licensee's performance review shall be taken up as per prescribed guidelines.)

- 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.
- 8) Till the time a web or mobile application based module for surveillance is developed for this product, BIS certification officers shall conduct the surveillance visits and prepare reports as per the format for factory surveillance visit for CoCs for Stampings/laminations/ cores of transformers (with or without winding) using the

format at *Annexure - I*. The signed inspection report shall be uploaded in the communication window.

- 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**
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.
In such a case, 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). 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 continued till the time the legal proceedings for violation of QCO are in currency.
- (ii) **Noncompliance to SIT and minor discrepancies in records etc.**
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). Suspension may be considered in case CoC holder fails to comply with BIS instructions in this regard.
- 10) This issues with the approval of Competent Authority.

(Mohit Janoiya)
Sc.C/CMD-I

Head, CMD-I

DDG (Certification & CSM)

circulated to:

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

Annexure - I
BUREAU OF INDIAN STANDARDS
REPORT OF SURVEILLANCE INSPECTION
(. inspection since the grant of CoC/Renewal)

CoC NO -
Valid upto:

IR No.....

- 1) (i) CoC Holder:
(ii) Product: Stampings/ Laminations/cores of transformers (with or without winding)
- 2) Special inspection charges, if applicable
- 3) Date of inspection
- 4) Person(s) contacted
- 5) Previous inspection
 - (i) Date
 - (ii) Conducted by
 - (iii) Conclusions and recommendations
 - (iv) Result of last 2 SURVEILLANCE VISITS:
- 6) Action taken by firm on advice on previous visit / failure of sample:
- 7) Verify the following: (Deviations if any to be recorded)

(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 the coil of ISI marked electrical steel/material as well the thickness of the stampings/laminations made from said ISI marked material are the same (Yes/No)
- (c) Product being dispatched being sent with valid CoC bearing the assigned CoC Number. (Yes/No)

(ii) Verification of traceability of through records

- (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 for Independent Test (market sample of ISI Marked material) :
- (i) Code :
 - (ii) Product / Size / variety :
 - (iii) Batch no. / DOM
 - (iv) Laboratory :
 - (v) Counter sample : Yes / No
 - (vi) 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: