

**Certification Agency Name  
Manufacturer Name**

To: <Available CB/FE Contact Name>, <CB/FE Address/Phone Number (if available)>, <CB/FE Email Address>  
<Available Manufacturer Contact Name>, <Manufacturer Address/Phone Number (if available)>, <Manufacturer Email Address>

Re: **Product Incident Report**, <PIRtYY0No>, <Product Name>, <CB/IB>

**Electrical Safety Authority (“ESA”) mandate:**

Electrical Safety Authority (“ESA”) operates in Ontario, Canada as a Delegated Administrative Authority on behalf of the Ontario provincial government, under the *Electricity Act* (1998) and the *Safety and Consumer Statutes Administration Act*.

As part of its mandate, ESA is delegated the authority to enforce the Ontario Electrical Safety Code and Ontario Regulation 438/07 (Product Safety). More details about ESA and the regulations it enforces can be found at <http://www.esasafe.com/>

**Report Summary:**

ESA was notified of <Introduction, including: reporting party, description of product, incident> Details and photos are included in the incident report.

<If the product is available for examination>The product involved in the incident is available for your examination. Please feel free to contact <Contact information of the person who has the product> to arrange for product shipment.

**Obligations and Expectations:**

Note that organizations supplying electrical products into Ontario are required under the terms of Regulation 438/07, section 8 (5), to assist in any Product Safety investigation:

*“Upon the request of the Authority, the following persons or organizations shall assist in the investigation of the serious electrical incident or accident or the defect in the design, construction or functioning of the electrical product or device:*

- 1. The manufacturer, wholesaler, importer, product distributor or retailer of the electrical product or device that is the subject of the report.*
- 2. The certification body that certified the electrical product or device that is the subject of the report.*
- 3. The field evaluation agency that examined the electrical product or device that is the subject of the report.”*

You are being requested to participate in a Product Safety investigation and to provide the requested information as noted in **Appendix I (Instructions for Completing the PIR Response Template)** included with this Product Incident Report.

In order to provide transparency in the investigation process, you are expected to share any available information with other involved parties, as well as with ESA, during the course of the investigation. You are expected to assist other involved parties, as well as ESA, in obtaining any information requested.

**Expected time frames to submit the required report(s):**

ESA requires you to submit a report utilizing the attached PIR Response Template. A report can be submitted either in two stages (Preliminary Report & Final Report) or as one report including all the required information. See the PIR Response Template for more information on these options.

*<Based on the risk assessment results, select the appropriate wording:>*

*<Priority 1 :>*

Given that the alleged product failure has been determined by ESA to fall within priority 1 (high risk), ESA is requesting your preliminary or final report no later than *<DATE - two weeks from the date of this PIR>*.

*<Priority 2 :>*

Given that the alleged product failure has been determined by ESA to fall within priority 2 (medium risk), ESA is requesting your preliminary or final report no later than *<DATE – one month from the date of this PIR>*.

*<Priority 3 :>*

Given that the alleged product failure has been determined by ESA to fall within priority 3 (low risk), ESA is requesting your preliminary or final report no later than *<DATE – Two months from the date of this PIR>*.

If a preliminary report is submitted, a final report incorporating the remaining required information must be submitted no later than *<DATE – Three months from the date of this PIR>*

We look forward to your response and appreciate your assistance in determining whether a public notification and/or corrective action is required.

If you identify that a public notification is required, we would appreciate your immediate response.

Sincerely,

*<Sender signature>*

CC: Jacques Martin, SCC  
Normand Breton, ESA  
*<Additional required parties>*

## FIELD REPORT INFORMATION SHEET

<b>A.</b>	<b>PRODUCT INFORMATION:</b>	DATE:	dd/mm/yyyy	C.O. File #	Our File #
	Generic Name of Product:				Model Or Cat. No.:
	Name of Manufacturer:	Electrical Ratings:			
<b>B.</b>	<b>CERTIFICATION/APPROVAL ORGANIZATION:</b>				
	Control, File, Issue or L/R Number(s):			Product Category:	
	Certification Mark is on:				
	<input type="checkbox"/>	Product	<input type="checkbox"/>	Package	<input type="checkbox"/> Literature
<b>C.</b>	<b>LOCATION OF PRODUCT:</b>				
	Name:				
	Address:				
<b>D.</b>	<b>SOURCE OF THE REPORT:</b>		<b>MUST BE COMPLETED BY SUBMITTOR!</b>		
	Name:			Title:	
	Jurisdiction:	Electrical Safety Authority		Telephone Number:	
	Address:				
	Inspector				
<b>E.</b>	<b>NATURE OF THE PROBLEM:</b>				
<b>F.</b>	<b>HAS INSPECTOR REJECTED USE?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please Specify				
	<b>FIELDS G AND H FOR ESA USE ONLY</b>				
<b>G.</b>	<b>CERTIFICATION ORGANIZATION REPLY:</b>		<b>DATE:</b>	dd/mm/yy	
<b>H.</b>	<b>CERTIFICATION ORGANIZATION COMMENTS:</b>				



**PHOTOS/PICTURES OF THE INCIDENT:**

## Appendix I

### Instruction for Completing the PIR Response Template

#### REPORT COMPLETION STEPS:

- Organizations assisting ESA in the investigation should use the PIR Response Template or incorporate the required information into their reporting format.
- Some of the PIR Response Template sections are split into two sections; one for the manufacturer response, and the other for the CB or FE agency response. The involved company or organization has the right to comment on any of the provided analysis to enhance the quality of the investigation.
- The affected companies can submit a report earlier than the due date. If all sections are available, a report can be submitted substituting the preliminary and the final reports.
- If the manufacturer is no longer in business or not able to conduct the analysis, the CB or FE agency is required to complete the manufacturer sections, to the best of its knowledge.

## PIR Response Template

Date: mm/dd/yy

Subject:

ESA File Number:

CB / FE File Number:

**Preliminary Report  
Complete Sections (A), (B) and (C)**

*Note: The root cause is a critical element. If this cannot be determined at the preliminary report stage by the manufacturer, within the expected reporting period, then the expectation is to provide to ESA this information as soon as possible thereafter.*

**Final Report  
Complete Sections (D), (E) and (F)**

*Note: If the preliminary report did not include all the required sections, the final report should be completed with the missing information.*

### **Section (A)**

**Number of Reported Incidents to the Manufacturer and the Certification Body / Field Evaluation Agency:**

- (1) **To be completed by the manufacturer:**  
The number of all reports to the manufacturer of similar issues with either the same component or same product type but different model or colour.
- (2) **To be completed by the Certification Body / Field Evaluation Agency:**  
The number of all reports to the Certification Body or Field Evaluations Agency of similar issues with either the same component or same product type but different model or colour.

### **Section (B)**

**Additional Information about Contributing Factors:**

**To be completed by the Manufacturer and the Certification Body / Field Evaluation Agency:**

Use this section to provide any additional information on contributing factors that may have resulted in the initial incident(s), if possible.

### **Section (C)**

**Root Cause Analysis:**

- (1) **To be completed by the manufacturer:**  
Provide the root cause(s) that led to the reported incident(s) and a brief summary of the analysis that may include:
  - o Construction review of the product subject of this report:
  - o Possible Internal Factors:
  - o Possible External Factors:
  - o Design and issues and /or changes:
  - o Production process issues and /or changes:
  - o Material and /or components issues and /or changes:
  - o Testing methodology utilized to recreate the incident, if deemed necessary:
  - o Test Results:
  - o Conclusion:
- (2) **To be completed by the Certification Body / Field Evaluation Agency:**  
Include the following information:
  - o Non-conformance(s) noted during factory audit reports, if appropriate:
  - o Results of comparative analysis between the product involved in the incident and the original product's construction review, if practical:
  - o Testing methodology utilized to recreate the incident, if deemed necessary:
  - o Test Results:
  - o Conclusion:

**Section (D)****Recommendations and Action Plan:****To be completed by the Manufacturer and the Certification Body / Field Evaluation Agency:**[Use this section to list the recommendations and the action plan to implement them.](#)

Recommendation	Action	By Whom	Due Date	Verified By

**Section (E)****Supplementary Information (If available):****To be completed by the Manufacturer and the Certification Body / Field Evaluation Agency:****Section (F)****Appendices (If available):****To be completed by the Manufacturer and the Certification Body / Field Evaluation Agency:**

### **Additional guidance information:**

This guideline is designed to assist companies that have been requested to assist the Electrical Safety Authority 'ESA' in an electrical product safety investigation. It will serve to identify the type of information that should be included as a minimum as specified in the Final Industry Guidelines for the Management of Electrical Product Safety, dated July 14, 2008.

The information provided will be kept confidential to the extent allowed by law and/or ESA's privacy policy. This information will be shared only for the purposes directly connected to administration of the Product Safety Regulation (Reg. 438/07). ESA may share reported information with the certification body, field evaluation agency, wholesaler, importer or distributor of the product which is the subject of the report.

**The Final Industry Guidelines for the Management of Electrical Product Safety, section 6.12, outlines the requirements for assisting ESA in an investigation. Primary Producers (manufacturers, importers and national brand owners) are expected to assist by:**

- providing all supporting information;
- providing information obtained through normal processes;
- undertaking internal investigations and/or testing required to determine the root cause of a suspected product defect as requested by ESA;
- cooperating with any testing that may be required.

Examples of the type of assistance product suppliers may be requested to provide include:

- providing information on product distribution, design, materials;
- providing information about complaints, returns, repairs or service orders;
- providing information on nature of defect or defects identified in the evaluation or testing of the product;
- taking further action to correct the problem, and
- providing additional information or evidence to help:
  - identify the hazard,
  - assess the risk,
  - determine corrective action and/or prevention such as
    - test data,
    - safety-related complaints,
    - design and production data,
    - certification or field evaluation reports,
    - cooperating on market surveillance activities, or
    - informing the public about the product defect.

Providing assistance in determining and implementing the appropriate corrective action may also be required. Product suppliers are expected to respond to a request for assistance as follows:

- Priority 1 cases – within 2 weeks;
- Priority 2 cases – within 30 days (1 month);
- Priority 3 cases – within 60 days (2 months).

**Certification Bodies / Field Evaluation Agencies are expected to provide the following:**

- available information; or
- information that they would obtain through their normal processes to investigate an accident, incident or defect with a product they certified or evaluated. This includes:

1. Responding to Product Incident Reports (PIRs) issued by ESA staff as outlined below:

- The CB or FE agency shall provide, within the timelines outlined below, all relevant information on any and all similar incidents with the same or similar product types that may provide evidence of a pattern of failure, a product defect or any other safety concern.

- A preliminary report shall be submitted to ESA as follows:
  - Priority 1 cases – within 14 days;
  - Priority 2 cases – within 30 days (1 month);
  - Priority 3 cases – within 60 days (2 months).
- A final report shall be submitted to ESA within 90 days. It is the responsibility of the CB/FE agency to advise ESA in a timely fashion if submission of the final report within 90 days is not possible.
- A CB/FE agency will, at ESA's request, provide updates (by telephone or email) on an ongoing investigation or report, at intervals no greater than every two weeks.
- For the purposes of the regulation, reports will generally observe the following format:
  - Section A: Number of Reported Incidents (to either or both of the CB/FE agency or manufacturer, including those with the same component or same product type with different model or colour);
  - Section B: Additional Information about Contributing Factors;
  - Section C: Root Cause Analysis (root cause of incident and summary of analysis);
  - Section D: Recommendations and Action Plan (suggestions for corrective action, if required, and implementation plan);
  - Section E: Additional Information (if available);
  - Section F: Appendices (if available).

A copy of the report template is included in Section 7 of this guidance document.

- A preliminary report will contain Sections A to C, inclusive. A final report will contain Sections A to D, inclusive, and may contain Sections E and/or F at the CB/FE agency's option.
2. Providing assistance in the **investigation and assessment** of accidents, incidents or defects involving products certified or evaluated as outlined below:
- When requested, the Certification Body or Field Evaluation Agency shall provide assistance in determining the root cause of the defect in the product, which may include testing of the product in question.
  - When requested, the Certification Body or Field Evaluation Agency shall assist in determining the appropriate corrective action that may be required to protect public safety.

For these investigations, there shall be a mutually agreed upon scope of work, timelines and deliverables.

To respect confidentiality, test facilities and test results shall remain confidential unless doing so could result in undue hazard to the public.

3. Provide consultation on development of a corrective action as outlined below:
- When requested, the Certification Body or Field Evaluation agency shall provide assistance in consultation with ESA and the involved manufacturer, retailer, distributor or importer to determine and evaluate an appropriate corrective action when the need for such has been confirmed.