



USNC Conformity Assessment Policy Coordinating Committee Meeting
MINUTES

Hosted By FM Approvals
Four Points by Sheraton Hotel
1125 Boston Providence Turnpike
Norwood, MA 02062

Tuesday, 17 May 2016
9:00 am – 4:00 pm (EDT)
(Meeting #19)

Members Present

| | |
|---------------------------|-------------------------------|
| Tim Duffy | Chair, Rockwell Automation |
| Steven Margis | Vice Chair, UL |
| Wynn Bowman | Star Associates International |
| Elisabeth George | Philips |
| Paul Green | Intel |
| William Lawrence | FM Approvals |
| Evan Massey* | ABB Inc. |
| Alec McMillan | Rockwell Automation |
| Edward Mikoski, Jr. | ECIA |
| Robert Sherwin | EAPC Wind Energy Service |
| Joan Sterling | Intertek |
| Michael Woodford | AHRI |
| Jianchao Zeng | FDA |
| Tony Zertuche | USN General Secretary, USNC |
| Kendall Szulewski-Francis | USNC |

Guests Participating

| | |
|--------------------|----------------------------|
| Phil Piqueira | USNC President, UL |
| John Thompson | USNC President – Elect, UL |
| Ethan Biery | Lutron Electronics |
| Robert Kretschmann | Rockwell Automation |
| Kevin Lippert | Eaton |
| Dennis Oddsen | Hubbell Incorporated |
| Greg Orloff | CSAS Group |
| Kenneth Rempe | Siemens Industry, Inc. |
| Steve Rood | Legrand, North America |
| Joe Tretler | ANSI |

*** = Via Teleconference**

† = Part

1. Call to Order and Introductions

The meeting was called to order by the Chair, Mr. Tim Duffy, at 9:01 AM (EDT). He welcomed everyone to the meeting and extended his appreciation to FM Approvals for hosting these meetings. Bill Lawrence from FM Approvals gave a brief safety overview of the emergency exit procedures.

1.1. Approval of the Draft Agenda

Mr. Duffy called attention to the Draft Agenda for the day's meeting and invited suggestions for additions – none were suggested. The agenda (**USNC CAPCC 155A**) was considered approved as circulated.

1.2. Approval of the Minutes – Meeting – 12 January 2016

Mr. Duffy called attention to the Minutes (**USNC CAPCC 154**) of the January 12, 2016 meeting held at Sony in San Diego, CA, and noted the following correction:

Steven Margis was not in attendance.

This correction was accepted and the Minutes of the 12 January 2016 meeting were considered approved with no additional changes or corrections being suggested.

2. Outstanding Action Items

Action Item #1 – CAB PUB 123-17025

Mr. Duffy stated that CAB PUB 123-17025 has been distributed for comment and encouraged members to review this document and notify the USNC staff of any concerns/comments no later than May 27, 2016. Also, Ms. Joan Sterling encouraged conformity assessment members/organizations to join these committees.

Action Item #3 – USNC Nomination of CAB WG Experts

Mr. Margis reported that a process for nominating USNC CAB WG Experts had been developed to be included in the CAPCC Terms of Reference.

Mr. Duffy thanked Mr. Margis leading this effort and Mr. Joel Solis for assisting.

Action Item #4 – Procedure for Hosting CA Meetings in US

Mr. Margis reported that the procedure for hosting a CA meeting in the US had been included in the CAPCC Terms of Reference. In regards to including this in the USNC Statutes see section 10.2.

3. Development of the CAPCC Response to the USNC Council for the BTG Recommendations

Mr. Duffy lead the discussion to develop the CAPCC's input to the USNC Council for its efforts to address the budget goals set by the ANSI Board Task Group. Mr. Duffy stated that Mr. Steve Margis created a spreadsheet to better gauge how many ANSI staff hours/resources are used in support of CAPCC activities. Mr. Zertuche noted that a specific billing code had been created to track the amount of time ANSI staff spends on CAPCC matters. Mr. Duffy stated that the USNC CA systems will have to begin contributing to the overall USNC budget, and prefaced that these dues could range between \$5,000 and \$15,000 for each sub-committee. The specific payment amount will be based off the final analysis of the hours the ANSI staff attributes to CAPCC work.

4. USNC/IECQ – Overview of Operating Procedures, Treasurer, and Budget Plan

Mr. Richard McDermott submitted a report on the USNC/IECQ (**ATTACHMENT A**). He provided an update on the changes that were made to the committee's Rules of Procedure (**ATTACHMENT B**). Mr. McDermott stated that the Secretary and Treasurer Positions had been combined into one, and that due to the inability of the former Chair of the USNC/IECQ to complete

his term, Mr. McDermott was elected as “interim” Chair of USNC/IECQ until someone else can be found and elections held. In regards to USNC/IECQ’s budget, Mr. McDermott noted that the USNC/IECQ was being funded by the ECC Corporation which holds the Secretariat. Mr. McDermott also stated that members of USNC/IECQ were unwilling to impose dues upon themselves which is greatly contributing to the issues with the system’s budget. Mr. Duffy expressed concerns that while the USNC/IECQ has a funding agreement with ECCC, the USNC does not, and therefore, the USNC is open to a high level of liability in this situation. Mr. Duffy reminded the members that the ECCC is **not** the US Member Body of the IECQ; as only the USNC/IECQ can fulfill that role. Mr. Duffy suggested that Mr. McDermott work with Mr. Margis to review the numbers and create a more transparent budget (ACTION ITEM #1). It was noted that the IECQ website must be corrected to state that the USNC/IECQ is the US Member Body of the IECQ and not ECCC as currently referenced (ACTION ITEM #2).

5. Liaison Reports

5.1 ANSI Conformity Assessment Policy Committee (CAPC)

Joan Sterling stated that there was little to report on past CAPC activities. The next committee meeting is on Wednesday, June 1, 2016. The meeting on June 1st will be a half day event as the other half is a NPC meeting. At the June 1st CAPC meeting, the committee will be accepting reports from those who are not signatories, such as China, and discussing/reviewing the ICAC documents as well as the OMB A-119 revision. The OMB A-119 revision is focused on standards more so than the conformity assessment portion. The goal of the OMB A-119 discussion is to provide guidance on CA that is in line with the standard.

5.2 ICAC - ANSI International Conformity Assessment Committee

Mr. Duffy referred to the “CASCO ROADMAP” regarding the review of standards which occurs every five years. Mr. Duffy stated that a review of the following items has recently passed or is quickly approaching:

- **17030** – Review will be done at some point in 2016.
- **17065** – Review was done last year, will be done again in 2020.
- **17021** – Review of this series (Part 1, 2 and 3) is occurring now.

Mr. Duffy stated that the next categories for review are food safety and certification audits. He also reported on the following ICAC items that are currently in action:

- **17011 – General Requirements for Accreditation Bodies Accrediting Conformity Assessment Bodies**

Mr. Duffy reported that ANSI submitted multiple complaints regarding this item to ISO/CASCO. He informed USNC CAPCC that another draft of 17011, taking comments into consideration, and adding new language regarding certain accreditation schemes, will be disseminated in the near future. Mr. Duffy clarified that ILAC and IAF members will be obligated to apply this standard.

- **17065 – Conformity Assessment: Requirements for Bodies Certifying Products, Processes and Services**

Mr. Duffy reported that ANSI submitted multiple comments regarding this matter.

- **17025 – General Requirements for the Competence of Testing and Collaboration Laboratories**

Mr. Duffy reported that this item is still open for comments as stated before.

6. Reports on the Conformity Assessment Systems

6.1 USNC/IECRE Update

Mr. Bob Sherwin provided a report on the IECRE and USNC/IECRE (**ATTACHMENT C**). He reported that the USNC/IECRE is making great progress across the board. The first area of progress is membership – the IECRE now has eighteen industry members and two pending approval. He stated that the system worked tirelessly to bring owner-operators and end-users into the fold, which in turn makes discussions more efficient. Mr. Sherwin stated that the wind industry will be distributing its first certificates this year, which is considered a very quick turnaround for the industry. In regards to goals for this year, Mr. Sherwin stated that they are moving to the new schemes that have been approved by the IEC and upping attendance at meetings. He noted that some of the smaller wind manufactures were struggling to switch to the IEC approved mechanism – progress is slow but steady. Mr. Sherwin confirmed that the important topic of dues for membership in the IECRE will be discussed at the next teleconference meeting scheduled for June 16, 2016, and noted that while the IECRE membership is on the climb, the group has also lost a few members due to an increase in membership dues.

6.2 IECEE and USNC/IECEE Update

Mr. Duffy and Mr. Margis reported on the IECEE and the USNC/IECEE. The system committee is 19 members strong, including 14 industry members. At the last meeting, Mexico greatly increased its participation. Mr. Duffy stated that there are a few items the USNC/IECEE is focusing on:

- Video witnessing of testing for IECEE. Video witnessing is being assessed for suitability for project work but is not intended as a suitable solution for assessment of laboratories.
- The need to formulate an implementation timeline and enforcement mechanism for modified procedures.
- The USNC/IECEE budget, the creation of a new USNC/IECEE finance model, including funds to be a Sponsor of the 2022 IEC General Meeting as well as a candidate host for a future IECEE Certification Management Committee (CMC) meeting.

Mr. Margis discussed the following:

- Interpretation of term limits as applied to a representative that serves a term that is separated by 1 or more years into another term. This, in effect, would say that term limits are for consecutive coverage and not for lifetime of an individual. Any conclusion on this item may have a wider impact to its interpretation throughout the IEC.
- The proposed restructuring of the IECEE by the Chair. The proposal calls for the consolidation of reporting structure of Working Groups and Task Forces under a series of higher level Committees. If this proposal proceeds, the USNC/IECEE would seek to ensure they are part of this revised leadership structure. The USNC/IECEE wants to ensure that duplication and added costs are not introduced into the System.
- The need to utilize the “Emergency Information” section on the IEC meeting registration portal and consideration for the “ICE” (In Case of Emergency) features on cell phones and related portable devices running similar operating systems.

Mr. Kevin Lippert inquired as to whether the relationship with Mexico was established through CANENA. Mr. Margis replied that it was done through direct communications with Mexico’s National Committee, and the goal now is to increase participation from more Latin American countries.

6.3 USNC/IECEX Update

Mr. Evans Massey dialed in to provide the USNC/IECEX update. Mr. Massey briefly noted that there has been a change of employment for Ms. Dalia El Tawy – she now works for Siemens Power. He

also stated that membership remains about the same and that the next meeting is being held in South Africa in September of 2016. Mr. Massey reported that non-electrical standards are now being published for the purpose of certification. Mr. Massey also discussed one of the USNC/IECEX's concerns with the current balloting process and transparency, as comments are not shared amongst the committee. The USNC/IECEX is looking into changing this process so more information regarding ballots can be distributed.

In regards to the following agencies, Mr. Massey reported that:

- OSHA – reports on a regular basis
- MSHA – contact left agency
- BSEE – no representation
- USCG – contact retired

The USNC/IECEX is addressing the issues of contract vs. peer assessment. Mr. Massey informed CAPCC that they are submitting comments on peer assessment reports and pushing for a “review committee” to be established to examine group audits before they are passed onto management. Mr. Massey informed the CAPCC that there is an issue regarding the group known as the ‘Executive’. Mr. Lippert inquired as to the decisions that have been made by this Executive and what/if anything has happened? Mr. Massey responded that no decisions have been made to their knowledge, but that is the problem – if decisions are being made they are not being clearly communicated. The authority of the Executive is not clear; therefore, Mr. Massey stated the US is pushing for clarification on the Executive's role and powers. Mr. Massey also discussed the budget – the IECEX is currently working off of projected values leading to a slight disconnect in the numbers. Also, IECEX plans to Sponsor the General Meeting in 2022 at the \$10,000 level (aiming towards \$15,000). In response to the possible dues for the subcommittees Mr. Massey did state that it could hinder the IECEX's ability to host future meetings.

7. USNC/CAPCC Subcommittee on Operation Procedures of USNC Conformity Assessment Systems

7.1 Review of the Operating Procedures of the USNC Conformity Assessment Systems

Mr. Margis reported that he will schedule a meeting to conduct a full review of the Operation Procedures of each CA system with representatives from each subcommittee. To Mr. Margis knowledge, IECQ is the only outlier at the moment. Mr. Edward Mikoski inquired as to who is on this review panel. Mr. Margis said that he will gather names and distribute the panel participants (**ACTION ITEM #3**).

7.2 CAPCC Governance

Mr. Duffy informed CAPCC that the USNC Officers discussed and agreed that the Statutes Workshop, set to take place on Thursday, May 19, would be focused on the overarching principles contained within the Statutes. Mr. Duffy reminded the CAPCC members that comments about the Statutes will be accepted by Mr. Tony Zertuche, General Secretary, until Wednesday, May 18, 2016. Mr. Duffy reviewed the ten items that were of concern for the CAPCC and strongly encouraged members to review the Statutes for possible CA issues before Thursday.

8. USNC/CAPCC Regulatory Labeling Working Group Update

Mr. Gary Schrempp reported that ICAC voted in favor of a proposal to create a Working Group dedicated to drafting a standard in regards to electronic labeling. ICAC approved this proposal and submitted it, in turn, to ISO/CASCO. Mr. Schrempp stated that CASCO agreed with the creation of a WG. However, CASCO recommended that IEC JTC1 SC 31 ultimately take over the work. Mr. Duffy inquired as to why JTC1 SC 31 was recommended to take control of this WG. In addition, Mr. Margis noted that if JTC1 SC 31 does take ownership of this WG, this will remove any documents

created by JTC1 from the CASCO tool box. Mr. Margis emphasized that the tool box is a collection of fundamental conformity assessment related documents, and therefore it may not be beneficial to transfer oversight of the WG. Mr. Schrempp replied that JTC1 SC 31 seemed like an odd choice but was unsure of which committee would be a better fit. Mr. Duffy recommended CASCO, who also holds responsibility for ISO/IEC 17030 (General Requirements for Third Party Marks), as a possible suggestion. It was agreed that Mr. Schrempp would recommend CASCO retain this work item instead of JTC1 SC 31.

9. CAPCC Task Force on Conformity Assessment Communication Update

Mr. Schrempp reported that the task force was successfully created and hosted a webinar regarding CA communications. Mr. Schrempp also noted that he has joined IEC CAB WG 14. He stated that the WG is presenting its findings/recommendations to the CAB in June and will disband following that meeting as a result of completion of its work. The CAPCC recommended that Mr. Schrempp encourage the WG to consider all options before disbanding since there is still a hefty amount of work to do in this area.

10. CAB Meeting in June - Update

Mr. Duffy provided a brief report on items of interest that are going to be discussed at the June 13th CAB meeting in Geneva. He specifically noted:

- The use of the Emergency Contact portion of the IEC meeting registration system.
- CAB/1492 regarding ITU collaboration – The creation of an ad hoc group by CAB to assess ITU's request to collaborate with the IEC on a CA service. Oversight of this ad hoc group has been transferred from the CAB to the IECEE.
- WG 11 is looking to expand the toolbox concept by bringing together materials from the Systems related to system testing, peer assessment, and personnel competencies.
- A new Council Board requirement that states that IEC CA Systems review stakeholder involvement at national mirror committees based on annual reporting from each body. This requirement will be applied via the implementation of the new IEC CA 01 Basic Rules.
- A review of the budgeting process to enable budgets to be developed in line with more current reporting of actual financial results.

11. Conformity Assessment Issues in the Americas

Mr. Zertuche gave a brief report on the COPANT meeting, labeling them a success primarily regarding the Masterplan Meeting. He noted that representatives from Turks and Caicos made an interesting comment regarding conformity assessment and their national committee's lack of understanding regarding the topic. Also, Mr. Zertuche noted that many of the Affiliate Countries and Associate IEC Members mentioned the impact costs have on becoming Full IEC Members. They also noted a desire to become Members within IEC CA Systems of interest. Mr. Margis responded that provisions are already defined for non-full Member IEC countries for participating in IEC CA Systems and that the IEC LARC office or IEC CA Secretariat can help them to better understand the requirements.

12. Status Report on US Government Activities Related to Conformity Assessment

Ms. Amy Phelps submitted a report and briefly discussed its contents (**ATTACHMENT D**). Ms. Phelps reported that on the Cybersecurity/Risk Management front, there are many organizations that are starting to develop cybersecurity conformity assessment programs. Regarding OSHA, Ms. Phelps stated that they intend to publish an update to the NRTL Program Directive in the Federal Register for public comment in May and that the comment period will be open for 60 days following. She mentioned that the updated directive aligns OSHA policies and minimum performance standards for

NRTLs with ISO/IEC 17025 and ISO/IEC 17065. Mr. Duffy inquired as to e-labeling and how it may be an interesting topic for a workshop with government regulatory agencies. Ms. Phelps stated that she does not have an update on these workshops but that she will reach out to the contact for more information (ACTION ITEM #4).

13. International Outreach

Mr. Zertuche provided a brief report on the status of the USNC's regional outreach initiatives. He stated that the last FINCA meeting was in September 2015 in Colombia, and that the first half day was a workshop open to those in the home country. This workshop dealt with CA and electrical codes. Mr. Zertuche reported that this meeting was very productive and that the next meeting will be held in Buenos Aires, Argentina Sept. 29th – 30th, 2016. He also mentioned that the Canadians reached out to the USNC to set up an all-day meeting between the US, Canada, and Mexico in Argentina to enhance strategic standardization in North America. Both Mr. McMillian and Mr. Piqueira suggested that instead of an all-day meeting we have a tri-national dinner in order to mitigate negative perceptions to those FINCA members in South America. Mr. Zertuche agreed and stated that he will reach out to the Canadians to suggest a dinner (ACTION ITEM #5).

Mr. Zertuche reported that both the COPANT meeting in Ecuador in April, 2016 and the PASC meeting in Bali in May, 2016 were also successful. He stated the focus of the IEC at the PASC meeting was the development of the new IEC Masterplan. In addition, he reported that Indonesia has plans to offer to host the GM in 2024, and that the Japanese were very active in campaigning for their candidate for SMB Chair.

13.2 Reinvention Laboratory at 2016 IEC General Meeting, Frankfurt

Mr. Zertuche reminded CAPCC members that the new German National Committee initiative for the IEC GM, the Reinvention Laboratory, still has spots available for those interested in presenting. The German National Committee asks that the USNC actively participate.

14. USNC Participation in the IEC Young Professionals Program

Mr. Zertuche stated that this year is the most successful yet in terms of applicants – the USNC office received 18 submissions! He noted that the application packets would be disseminated shortly for the panel's review and winner selection.

15. 2016 CAPCC/CAB Meeting Schedule

Mr. Duffy reviewed the upcoming meetings for the CAPCC /CAB. Mr. Zertuche called for volunteers to host the 2017 Management Meetings. Also, it was noted that the SMB meeting in February 2017 will be in Mexico City, not Geneva, and that the SMB meeting will be on Monday, February 13, 2017, not Tuesday.

16. ACTION ITEMS

Action Item #1 - Mr. McDermott should develop transparency around the USNC/IECQ budget so it may be integrated by Steven Margis into the USNC/CAPCC Financial spreadsheet being utilized in the IEC BTG Finance dialogue and reported at future USNC CAPCC meetings.

Action Item #2 – The IECQ website must be corrected to state that the USNC/IECQ is the US Member Body of the IECQ and not ECCC as currently referenced.

Action Item #3 - Mr. Margis reported that he will schedule a meeting to conduct a full review of the operation procedures of each CA system with representatives from each subcommittee. Mr. Margis stated that those interested in volunteering for this Task Force should reach out to him.

Action Item #4 - Mr. Duffy inquired as to e-labeling and how it may be an interesting topic for a workshop with government regulatory agencies. Ms. Phelps stated that she does not have an update on these workshops but that she will reach out to the contact for more information.

Action Item #5 - Mr. Zertuche will reach out to the Canadians to suggest a dinner meeting instead of an all-day session between the US, Canada, and Mexico at FINCA.

Action Item #6 – Mr. Zertuche will circulate the most up to date version of the USNC/IEC CA Operating Procedures with the minutes of this meeting.

17. Adjournment

Meeting was adjourned approximately at 4:08 PM (EST) by Mr. Tim Duffy.