



USNC/CAPCC 51

5 August 2013

USNC Conformity Assessment Policy Coordination Committee

MINUTES

Meeting/Teleconference

Dell, Inc.

Round Rock, TX

Tuesday, 30 April 2013

MEMBERS PARTICIPATING

Lal Bahra, Dell, Inc.(Council Member)

Timothy T Duffy, Rockwell Automation (Chair, CAPCC, CAB Member, Council Member)

William T Fiske (*), Intertek (Treasurer, USNC/IECEEx) (TMC Member)

Gordon Gillerman (PT*), NIST

Paul Green, Intel Corp , USNC/IECEE Treasurer

Don Mader, UL Retired

Steven Margis, UL, Vice Chair, USNC/IECEE

Evans Massy (*), Reliance Electric Co., Vice Chair, USNC/IECEEx

Alec McMillan, Rockwell Automation (USNC VP – Technical) (Council Member)

Jeff Olson (PT *), Flowserve Corp, Chair, USNC/IECEEx

Sam Sciacca, SCA Consulting (IEEE) (Council Member)

Joel Solis (*), NEMA, Secretary, USNC/IECEE and USNC/IECEEx

Joan E Sterling, Intertek Testing Services, CAB Alt Mbr, (Council Member)

Tony Zertuche, ANSI, Deputy General Secretary, USNC

Charlie Zegers, ANSI, General Secretary, USNC

GUESTS PARTICIPATING

Sonya Bird, UL (Council Member)

Wynn Bowman, Star Associates Int'l (TMC Member – ECC Corp)

C P (Sandy) Butterfield (PT *), Boulder Wind Power, Chair, IEC/TC 88

Jonathan Colby, (*PT) Verdant Power, USNC Expert CAG WG 15

George Kelly (*PT), Secretary, IEC/TC 82

William G Lawrence, Jr., FM Approvals, TA/USNC TAG TC 31, (TMC Member)

James E Matthews, Corning Incorporated (IEC VP – SMB Chair)

Keith A Mowry, (PT*), UL, LLC, Chair, ANSI International Conformity Assessment Committee

Melanie Nadeau (PT *), Emera (Former Chair, TC 114)

Philip M Piqueira, GE (USNC President) (Council Member)

Stephen G Rood, Legrand/Pass & Seymour (NEMA) (Council Member)

Gary Schrempp (PT), Dell Inc

William H Scofield, The Boeing Co (ECC Corp) (TMC Member)

Paris Stavrianidis, FM Approvals (Council Member)

Robert A Williams, UL (USNC VP – Finance) (Council Member)

MEMBERS NOT PARTICIPATING

Harvey Berman, Vice Chair, USNC/IECQ
Jeo Chapman, Secretary/Treasurer, USNC/IECQ
Lloyd Condra, The Boeing Co (Chair, USNC/IECQ)
Lawrence B Farr, Eaton Electrical (TA 17A, Mbr ACOS)
Lane Hallenbeck, ANSI
Ben C Johnson, Thermon Industries (Council Member)
Edward F Mikoski, Jr., PT, ECIA, (Council Member)
Paul Moliski, Intertek Vice Chair, USNC/IECEE
Stan H Salot, Jr, President, USNC/IECQ (Council Member)

PT – Part Time

* - By Teleconference

1 Call to Order and Introductions

The meeting was called to order by Chair Tim Duffy at 9:00 a.m. (CDT). He welcomed everyone to Round Rock and to Dell Inc. and thanked them for their participation. He expressed his appreciation to Dell and particularly to Gary Schrempp and Lal Bahra for their help and hospitality in sponsoring this series of USNC meetings.

Mr Gary Schrempp, former Dell member of the Committee, provided a number of logistical related announcements.

This was followed by self-introductions.

1.1 Approval of the Draft Agenda

Mr Duffy invited suggestions for additions to the agenda and Mr Solis recommended that the subject an OSHA mark be added. The Chair indicated that it would be addressed under Other Business. The Draft Agenda (USNC CAPCC 42 Revised) was considered approved as revised.

1.2 Approval of the Minutes – Meeting – 15 January 2013

The Chair called attention to the Minutes of the 15 January 2013 meeting (USNC/CAPCC 41) held at Sony Electronics, San Diego, CA and asked if there were any changes or corrections. None were suggested and, as a result, these Minutes were considered approved.

2. CAPCC Membership Recruitment

Mr Zegers noted that the recruitment of new CAPCC members is on-going and will be a permanent element of the Committee's program. The goal is to build Committee membership to the maximum extent possible. Any suggestions for new members should be submitted to the General Secretary so that invitations can be extended. Since the last meeting, invitations for membership have been circulated to the USNC/IECEE, USNC/IECEX and USNC/IECQ. In

addition, an invitation was extended to Mr Benjamin Goldstein, U S Department of Energy, who participated in the CAPCC meeting in San Diego. Also, Mr Gordon Gillerman has provided a list of potential contacts including regulators, trade associations, and others who will be invited to consider membership.

3. Liaison Reports

3.1 Report of ANSI CAPC

Ms Sterling reported that the next meeting of the ANSI Conformity Assessment Policy Committee (CA) was scheduled for 14 May.

3.2 Report by Tim Duffy – Liaison ANSI ICAC

Tim Duffy provided a brief report on the CASCO documents that have been processed to the ANSI International Conformity Assessment Committee (ICAC) since January and indicated that Mr Keith Mowry, Chair of the Committee, will be joining us via teleconference to highlight its work.

4. ANSI International Conformity Assessment Committee (ICAC) – Keith A Mowry, ICAC Chair, UL, LLC

Mr Mowry called attention to a flow chart that depicts the ANSI ICAC Process (ATTACHMENT A) and he described in detail how the process develops ANSI comments and input on CASCO documents. He particularly emphasized the use of teleconferences in order to give all interested parties the opportunity to be heard. Mr Mowry also described how USNC comments are integrated into the development of a joint response to both ISO and IEC and agreed that the more comments received from the USNC constituency the better.

During discussion, the following subjects were discussed:

- CASCO documents should be circulated to a wider audience within the USNC/IEC, e.g. the USNCs of the System.
- USNC should encourage IEC to appoint Experts to CASCO Working Groups not only IEC staff but subject matter Experts as well.
- The USNC should consider appointing Experts to CASCO Working Groups.
- The Systematic Review of specific CASCO standards is an important part of the ICAC process

5. Next CAB Meeting – 10 June 2013, Geneva

5.1 USNC Proposal Concerning ISO/CASCO New Work Item Proposals

Mr Duffy reminded the Committee that the USNC had submitted a proposal to CAB to add the IEC review of ISO/CASCO New Work Item Proposals to the CABPUB process. At the present time, while the IEC constituency is invited to consider and vote on draft CASCO documents it does not have access nor an opportunity to vote on NWIPs. CAB members have been invited to vote on this subject in document CAB/1127/DV (**ATTACHMENT B**).

5.2 Draft Agenda – CAB Meeting – 10 June 2013

Mr Duffy noted that the Draft Agenda for the 10 June CAB meeting in Geneva is scheduled to be circulated on 13 May.

5.3 CAB WG 10 – CAB Policy and Strategy

Ms Sterling has been a member of WG 10 for some time and Mr Duffy recently joined. They provided a status report on the WG which was originally mandated to consider CAB's responsibilities for the implementation of the 2011 IEC Masterplan including the USNC's proposal, submitted in 2009, for Automatically Appointed members on CAB, similar to that on SMB. In addition, consideration is being given to recommending the increase in membership from the current 12 to possibly 15. It was further reported that the IEC Executive Committee and Council Board are involved in discussions related to the possible reorganization of CAB. It is assumed that a coordinated approach to these various activities will be pursued.

During discussion, it was noted that the current CAB Chair would be reaching the term-limited end of his 2nd term in 2014 and that the USNC should carefully consider its options with respect to offering a nominee for his replacement. It was agreed that Messrs Duffy, Margis, Zegers and Ms Sterling would form an Ad Hoc Group to consider the subject of a potential nominee for CAB Chair for CAPCC's consideration. (**ACTION ITEM #1**)

5.4 CAB WG 12 – Energy Efficiency

Mr Duffy reported that Mr Kerry McManama had resigned from UL and from IECEX and, therefore, would no longer be able to serve as a USNC Expert to CAB WG 12. He noted that much of the energy efficiency work has fallen to the IECEE but that an effort should be made to determine if anyone is interested in being appointed as an Expert to WG 12. Those interested were invited to contact Messrs Duffy and Zegers.

5.5 CAB WG 16 – Systems Approach in CA

The current USNC Experts on CAB WG 16 are Ms Sterling and Messrs Duffy, Margis and Gillerman. It was reported that WG 16 has a working relationship with SMB AHG 35 (Systems Group) and as that work progresses, the CAB WG will address the conformity assessment related issues. WG 16 is scheduled to meet the day prior to the June CAB meeting in Geneva and the USNC members will be suggesting agenda items to the Convener.

6. 77th IEC General Meeting – New Delhi, India

6.1 Activities Anticipated for CAB Meeting - 22 October 2013, New Delhi

Mr Duffy noted that it is obviously too early to anticipate the issues that will be included in the CAB agenda for New Delhi, however, he expressed the belief that the most significant issue will involve the implementation of the IEC Masterplan 2011 and the potential reorganization of CAB. These issues are under active consideration at several levels within the IEC organization and when documents are made available they will be shared with CAPCC.

6.2 CAB Members to be nominated for three-year terms (2014-2017)

Calling attention to document C/1784A/DC, Mr Duffy reported that there are four openings for CAB membership and nominations have been invited by 10 May. The Primary Representatives from Australia and France are term limited and those National Committees, if nominated, will have to propose other candidates as their representatives. The Russian Federation and the US are not term limited and their representatives can be nominated for additional, full terms.

During discussion, consideration was given to the question of whether or not the USNC should nominate other countries that it feels should be represented on CAB. Also, whether or not the USNC should actively seek the endorsement of other National Committees for Mr Duffy's candidacy. It was agreed that the CAPCC Ad Hoc Group that was formed to consider the subject of the CAB Chair should also address these two subjects.

6.3 Consideration of Options Concerning the Appointment of USNC Alternate to CAB Over the Next 3 Years

At the Chairman's request, Mr Zegers reported that the USNC Nominations Committee had considered the subject of the position of CAB Alternate and decided that, with Mr Duffy's election imminent, the time was right to consider if any changes were needed in the current selection process. It was noted that, according to IEC rules, while the Primary CAB Representative must be elected, the Alternate position is the responsibility of the related National Committee which can appoint an individual, as appropriate, for one year, two years or the entire 3-year term. With a primary representative potentially serving a total of six years and with there being three Systems, different Alternates could serve two years each.

During discussion, it was agreed that regardless of who is appointed, that individual had to represent all Systems and had the expertise to do the job. Also that it would be beneficial to pare up a Primary and Alternate for an entire term. The overall consensus was that the USNC should maintain its current system for selecting its CAB Alternate, that being an Open Call System of interested volunteers.

6.4 Nominations of Conformity Assessment Officers for the 2013 IEC Thomas A Edison Awards – CA

Mr Duffy called attention to Administrative Circular AC/10/2013 – Nomination of conformity assessment officers for the 2013 IEC Thomas A Edison Award – Conformity Assessment. The IEC deadline for nominations is 15 May and while the USNC was successful with its two nominees last year, this year no nominations have as yet been submitted.

During discussion, Mr Solis indicated that consideration was being given to several candidates and Mr Duffy invited all members to give serious consideration to the criteria for this Award.

6.5 List of USNC Appointed Experts on CAB Working Groups

Mr Duffy called attention to the list of USNC Experts currently serving on CAB Working Groups (**ATTACHMENT C**).

7. Status Reports of High Priority Issues for Each System

7.1 Report – President’s Task Force on Conformity Assessment Systems

Mr Bob Williams, Chair of the President’s Task Force, reported that revised Procedures for each of the three Systems have now been received by Mr Zegers and are ready for further review as appropriate. During discussion, it was agreed that these Procedures would first be sent to the Task Force for a brief review after which they would be circulated to CAPCC along with the comments received and then, if appropriate, to Council for vote.

7.2 IECEE and USNC/IECEE

Mr Duffy provided a brief report on the IECEE System and the activities of the USNC/IECEE. His report is provided as **ATTACHMENT D**. He highlighted the following:

- Administration
- Treasurer’s Report
- Current Activities
 - USNC/IECEE Rules of Procedures
 - IECEE Secretary’s Term of Office – Status of Pierre de Ruvo
 - CAB Proposal on Affiliate Country Program (ACP)
 - Restructure the PSF into Policy and Strategy Committee (PSC)
 - Nomination Process for IECEE Officers
 - Voting by Correspondence and Abstentions in Voting

In addition, Mr Duffy and/or Mr Margis provided brief reports on the following:

- IECEE Motor Efficiency Labeling Program
- ITU’s Conformance and Interoperability Program
- Brazil’s Possible Reinstatement into the IECEE System
- MLAs, a USNC/IECEE specific topic that could be of interest to the other Systems

7.3 IECEX and USNC/IECEX

Mr Evans Massey provided a brief report on the IECEX System and the activities of the USNC/IECEX His report is provided as **ATTACHMENT E**. He highlighted the following:

- Administration
- Treasurer's Report
- Current Activities
 - Questionnaire ExMC/717A/Q: Use of Manufacturers' Test Data for IECEx Certification
 - OSHA Recognition of the IECEx System
 - Election of USNC/IECEX Officers
- USNC/IECEX has offered to host the IECEx meetings in 2017

It was also announced the Mr Kerry McManama had resigned his position as Chair of IECEx.

7.4 IECQ and USNC/IECQ

Mr Wynn Bowman provided a brief report on the IECQ System and the activities of the USNC/IECQ. His report is provided as **ATTACHMENT F**. He highlighted the following:

- IEC IECQ Update
 - IECQ Organization Status
 - IECQ Certifications
 - Program/Scheme Development Activities
 - Financial Position
 - 2013 IECQ Management Committee Meeting
- Items of Interest
- IECQ Working Groups
- USNC/IECQ Officers
- USNC/IECQ Organization Membership
- USNC/IECQ Joint Project

8. Status Report on IEC/TC 82 – Solar Photovoltaic Energy Systems, by Mr George Kelly, New International Secretary and TAG Secretary

Mr George Kelly joined the meeting by teleconference and provided a brief up-date on the TC's efforts to investigate and pursue a conformity assessment program that meets the needs of its technical area. He highlighted the contacts that have been made with CAB Officers and Staff, with contacts for the three CA Systems, with other TCs including TC 88 and TC 114. In response to a question, he confirmed that TC 82 was well aware of the need to keep standards

and conformity assessment criteria separate. At the present time, TC 82 is still considering its options.

9. Up-date on CAB/IEC TC 88 Certification Advisory Committee (CAC) - Sandy Butterfield, Chair, IEC TC 88, Boulder Wind Power Joined by Ms Melanie Nadeau, Former Chair, IEC/TC 114

Mr Sandy Butterfield joined the meeting by teleconference and provided a brief up-date on the CAB/IEC TC 88 Certification Advisory Committee. He was joined by Ms Melanie Nadeau of Canada, Former Chair of IEC/TC 114. Mr Butterfield highlighted the current structure of the Committee and its many activities, accomplishments and on-going challenges. He reported on the establishment of the WT CAC SC 22 (Wind Turbine Certification Advisory Committee Subcommittee 22) Finally, both he and Ms Nadeau discussed the proposed establishment of a separate IEC Renewable Energy System (IEC General System for Certification to Standards Relating to Plant, Equipment and Services Associated with Renewable Energy Systems which was initiated by TC 114. The genesis and rationale for this proposal were explained as was the contacts that have been made to date to obtain buy-in to the concept (i.e. IEC/TC 82(Solar Photovoltaics), TC 88 (Wind Turbines), TC 114 (Marine Energy) and TC 117 (Solar Thermal)). **(ATTACHMENT G)**

During discussion it was again suggested that consideration be given to changing the designation of WT CAC SC 22 so as not to be confused with IEC/SC 22. Also, two additional TCs were mentioned as possible contacts for the RE System, TC 21 (Secondary Cells and Batteries) and TC 105 (Fuel Cell Technologies). There appeared to be a consensus of support for the proposed new RE System that would address each of the related technologies in one System that leverages their commonalities.

10. FINCA (Forum of the IEC National Committees of the Americas) (Argentina, Brazil, Canada, Chile, Columbia, Mexico and USA) (Philip M Piqueira, GE, USNC President)

Mr Piqueira reported that the USNC will be hosting the 2013 FINCA meeting in the US at a venue and location yet to be decided. (Secretary's Note: Subsequent to this meeting it was decided that the FINCA meeting would be held at the American Welding Society (AWS) Headquarters in Miami, FL on 4 – 5 September). In addition to discussing and sharing each National Committees positions on the various agendas for the IEC General Meeting, the membership will further discuss the Thought Paper that was introduced by Canada and the USNC at the 2012 FINCA meeting in Toronto. This paper attempted to improve the effectiveness and value of FINCA. Also, a draft MoU between FINCA and COPANT may be finalized. For this year's meeting two Panel Discussion are being planned, one on Conformity Assessment and the other, Young Professionals in the Americas.

11. Status Report – USNC CAPCC Ad Hoc Group – China

Mr Duffy reported that Mr Stan Salot, Convener of this Ad Hoc Group, was not present because of his attendance at the IECQ meeting in Singapore. The Chair broached the subject of the future of this Group and the overall consensus was that, although there are electrotechnical issues that need to be addressed with China, they are being addressed by organizations and entities that appear to have more clout and power to resolve the issues than the USNC. Some of the

issues are being addressed at the IEC CAB level, others by ANSI and the US Government, others by related trade associations. It was felt that the USNC could add very little to that mix beyond dialogue with the Chinese National Committee during its Outreach Meeting in New Delhi.

Mr Zegers was requested to circulate the list of China issues developed by the Ad Hoc Group to the Committee. **(ACTION ITEM #2)**

Based on this position, CAPCC decided to disband the Ad Hoc Group – China. However, it was agreed that although the Group has been disbanded it was emphasized that if any member has an issue with respect to China, or any other country, that CAPCC should know about and possibly be able to do something about, they should feel free to raise the issue with Messrs Duffy, Margis and/or Zegers. It is possible that CAPCC or one of the Systems USNCs may be able to address this issues on a case by case basis. When submitting such issues, as much specific information and references as possible should be submitted to clearly define the issues.

12. Report by Jonathan Colby, Verdant Power, Member, CAB WG 15 - Marine Energy – Conformity Assessment

Mr Jonathan Colby joined the meeting by teleconference and reported on CAB WG 15 – Conformity Assessment Needs of the Marine Energy Industry. **(ATTACHMENT H)** He highlighted the following:

- CAB WG 15 Meetings
- Progress on Marine Energy CA Scheme
- Concept for Renewable Energy CA System
- Schedule
- Next Steps

During his presentation, Mr Colby indicated that Marine Energy doesn't fit under the existing systems and the development of a Renewable Energy CA System (IECRE) should be pursued.

13. CAPCC Task Force on Conformity Assessment Communications

Chair Duffy reminded the Committee that this Task Force was established at the meeting in Norwood, MA, in August 2012 but it has not, as yet, begun to function . The membership consists of the following with Sonya Bird agreeing to provide liaison to the USNC Communications and Continuing Education Committee:

Tim Duffy
Gordon Gillerman (Chair)
Sonya Bird
Lane Hallenbeck
Joan Sterling
Charlie Zegers
Diane C Thomson, SES

Mr Gillerman noted his intent to have the group meet via teleconference prior to the next CAPCC meeting. He also noted that he was chairing a session on Conformity Assessment for the Standards Engineering Society (SES), a session in which Joan Sterling will also be participating.

During discussion it was agreed that the group, when it meets, should consider issues such as its scope and the audience that should be targeted for future communications and public relations efforts. Mr Duffy also noted the following items which will be discussed.

- **Informational Brochure on IEC and USNC Conformity Assessment Systems**

Published copies of this brochure were provided to the Committee.

- **Malcolm Baldrige National Quality Award**

Several meetings ago it was suggested by a CAPCC member that consideration should be given to applying for this Award.

- **USNC CAPCC Conformity Assessment Bibliography**

Also for consideration is the question of whether or not CAPCC should maintain a CA Bibliography. As a related item, Mr Zegers noted the document “The ABC’s of the U S Conformity Assessment System” developed by Ms Maureen A Breitenberg, April 1997. Because this document is so highly regarded, he questioned if there was any intention on the part of NIST to up-date it?

14. USNC Strategic Objectives Program

Mr Duffy reminded the Committee that a day-long Strategic Planning Session took place in conjunction with the USNC Management meetings in Norwood, MA, in August 2012. From that effort Five Core Elements were highlighted along with Strategic Objectives and specific Action Plans for each. Mr Duffy serves as Champion for Core Element 5 and CAPCC is charged with developing the plan to the maximum extent possible.

- Core Element 5: Coordinating USNC positions on Electrotechnical Conformity Assessment (CA) issues which related to, or impact, the IEC global agenda Champion: Timothy T Duffy

Mr Duffy called attention to document USNC/CABCC 48 (**ATTACHMENT D**) which is the initial draft for consideration. A Task Force consisting of Tim Duffy, Steve Margis, Joan Sterling and Gordon Gillerman will address the Committee’s input and develop another draft for further consideration. Mr Duffy prompted a discussion of each of the items and noted the comments received.

15. Other Business

15.1 OSHA NRTL Mark

As was mentioned at the start of the meeting, Mr Solis requested additional information on a possible OSHA NRTL mark. Chair Duffy indicated that Mr David W Johnson of OSHA has been invited to make a presentation at the 10 September CAPCC meeting at NEMA HQ in Rosslyn, VA and this would be a good time to address this subject. Mr Johnson is Director, Office of Technical Programs & Coordination Activities, USDOL – OSHA, Directorate of Technical Support & Emergency Management.

15.2 Costa Rica Workshop

Mr Zertuche reported that the USNC was working with Costa Rica as part of its Mentoring Program to plan and execute a Workshop in Costa Rica in xxxxxxxxxxxxxxxx. Conformity Assessment is an area of great interest in the Americas and if anyone is interested in getting involved in this effort, please let us know.

15.3 Future Agenda Topics

Mr Duffy reminded the Committee that we are always looking for suggested agenda topics for future meetings. Please don't hesitate to let the Officers know if there are topics that you would like to see on a future CAPCC agenda.

16. Next CAPCC Meeting/Teleconference

It was agreed that the next CAPCC Meeting would be held on Tuesday, 10 September 2013 at NEMA HQ in Rosslyn, VA, in conjunction with the next TMC and Council meetings. The dates 2014 Management Meetings have yet to be decided.

17. Action Items

2013-04-30 #1 T Duffy, S Margis, J Sterling, C Zegers

It was agreed that Messrs Duffy, Margis, Zegers and Ms Sterling would form an Ad Hoc Group to consider the subject of a potential nominee for CAB Chair for CAPCC's consideration.

2013-04-30 #2 C Zegers

Mr Zegers was requested to circulate the list of China issues developed by the Ad Hoc Group to the Committee.

18. Adjournment

The meeting was adjourned at 4:10 p.m. (CDT)

Respectfully submitted,
Charles T Zegers
General Secretary, USNC/IEC
5 August 2013