



**USNC Conformity Assessment Policy Coordination Committee  
Meeting  
MINUTES**

**SONY Electronics Inc.  
16535 Via Esprillo  
San Diego, CA 92127**

**Tuesday, 12 January 2016  
(Meeting #18)**

**Members Present**

Tim Duffy (Chair)	USNC VP - CA	Rockwell Automation
Steven Margis (Vice Chair)	Member	UL
Sandy Butterfield	Member	Boulder Wind Consulting
Jonathan Colby	Member	Verdant Power
Elisabeth M. -v.d.M. George	Member	Phillips
Paul Green	Member	Intel Corp
William Lawrence	Member	FM Approvals
Edward Mikoski	Member	ECIA
Paul Moliski	Member	Intertek
Gary Schrempp	Member	Dell
Joel Solis	Member	NEMA
Joan Sterling	Member	Intertek
Matt Williams	Member	AHAM
Mike Woodford	Member	AHRI
Jianchao Zeng	Member	FDA
Tony Zertuche	USNC General Secretary	ANSI

**Guest Participating**

Sean Alexander	Guest	Solar Turbines Inc.
Hanan Attia	Guest	Thomas & Betts
Ethan Biery	TMC Member	Lutron Electronics
Sonya Bird	Council Member	UL
David Delaquila	Guest	Aquila Consulting
Edward Hong	Guest	Solar Turbines Inc.
Kevin Lippert	USNC VP - Membership Dev.	Eaton
Calvin Luong	TMC Member	CSA Group
Robert Kretschmann	TMC Member	Rockwell Automation
James Matthews	IEC VP / SMB Chair	Corning Incorporated
Richard McDermott	Council Member	ECC Corp.
Alec McMillan	USNC VP - Technical	Rockwell Automation
Greg Orloff	Council Member	CSA Group
Philip M. Piqueira	USNC President	UL
Thomas Robertson*†	Guest	IEC Central Office
Steve Rood	Council Member	Legrand, NorthAmerica
Claudia Sama Alvarez	Gen. Secretary, MNC	DGN
John Thompson	USNC President Elect	UL
Joe Tretler	VP of International Policy	ANSI
Debbie Negron-Badillo	USNC Staff	ANSI

**Members Not Participating**

Gabriel Alsenas	Member	Southeast National Marine RE
Ed Donahue	Member	Mutual Cornell Environmental
Dalia El Tawy	Member	Solar Turbines, Inc.
William Fiske	Member	Intertek
William Hurst	Member	FCC
Ben C Johnson	Member	Thermon Industries
Evans Massy	Member	Baldor Electric Co.
Jeff Olson	Member	Flowserve Corp
Kevin Robinson	Member	OSHA
Robert Sherwin	Member	Vermont Windpower Int'l

\* = Via Teleconference

† = Part Time

**1. Call to Order and Introductions**

The meeting was called to order by Chair, Tim Duffy, at 9:00 a.m. (PST). He welcomed everyone to

Sony and thanked them for attending this CAPCC meeting. He expressed particular appreciation to Paul Hearty and Suzanne DeSpain for their help in arranging for this series of USNC meetings.

### **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 and none were suggested. The agenda (USNC CAPCC 147A) was considered approved as circulated.

### **1.2 Approval of the Minutes – Meeting/Teleconference – 22 September 2015**

Mr. Duffy called attention to the Minutes of the 22 September 2015 meeting (USNC/CAPCC 146) held at AAMI, Arlington, VA, and noted that the following correction was submitted by Jonathan Colby.

*Mr. Sandy Butterfield's title in the "Members Participating" should read "Chair of TC 88, Member of TC 88 and Chair of USNC IECRE"*

This correction was accepted and the Minutes of the 22 September 2015 meeting were considered approved with no further changes or corrections being suggested.

## **2. Outstanding Action Items**

### **Action Item #4-1/2015 – Non Responses - Automatic Affirmative**

Mr. Duffy reported that not enough support was received but there could be a better IT Tool for Voting, and for harmonization between all 3 management committees. Mr. Duffy proposed changes to the Statutes Rules & Procedures and recommended a Task Force be created and led by Steve Margis.

### **Action Item #7-1/2015 – CAPCC Matrix program in the Americas**

Mr. Duffy reported that there were no volunteers for this initiative. Mr. Zertuche will reach out to Mr. Amaury Santos of the IEC's Latin American Regional Centre to ask if they might have a database and if not, could one be created and maintained. This could also be done in COPANT or FINCA. Mr. Zertuche will ask the Columbian National Committee to add this subject to the FINCA agenda. Another option would be to inquire with our 3<sup>rd</sup> party organizations like UL, Intertek and NIST as they might also have some kind of database. Of course, with databases, the value of the programs are only as good as the information that goes into them. Incorrect information is worse than no information.

## **3. Responsibilities of CAPCC Membership**

Mr. Duffy addressed the issue of response rates in the USNC. He reported that the response rate was not necessarily bad in the CAPCC but the discussion is important as a reminder. However, he did mention an issue with CAB Voting into CASCO ballots, NWI Committee Drafts, and CAB into CAPCC documents. CAPCC needs to be more responsive to CASCO Documents. There is a need for input and improvement on some responses. Mr. Zertuche will seek suggestions from the policy committees on how we should set up a program to vote on CAB and other documents.

## **4. Presentation from the Mexican National Committee (MNC) on Conformity Assessment**

Mr. Duffy Introduced Ms. Claudia Sama, MNC and welcomed her to the US, to Sony and to the CAPCC Meeting. Ms. Sama outlined the current issues facing the MNC in the certification areas in Mexico and the region (**ATTACHMENT A**). She reported that so far around 300 IEC Standards have been adopted via their work with CANENA. Ms. Sama was asked about the new IES Standard for Safety Products (IT) and if Mexico would adopt it. Her response was that the MNC is always trying to adopt IEC Standards and if this new standard served the needs of her members, then in all likelihood, they will nationally adopt. After the discussions ended, Ms. Sama and the MNC were invited to attend more systems meetings.

## **5. Presentation on the Affiliate Conformity Assessment Status Program (ACAS)**

Thomas Robertson, IEC Affiliate Country Programme Secretariat, updated the CAPCC on the affiliate Conformity Assessment Status activity and gave his presentation via teleconference (**ATTACHMENT**

B). This new program will train participants to use IEC International Standards with IEC CA Systems and allow IEC Affiliate Countries to benefit from IEC's CA activities. This initiative will be free of charge under the IEC Affiliate Country Programme. A set of ACAS e-Learning modules have been developed to provide a better understanding of the functioning of the conformity assessment systems as well as their individual activities. The information has been split into 3 levels: Introductory, Intermediate and Advanced, which can be downloaded as PDF files without a password. Mr. Robertson reported that there would be an ACAS webinar on the e-learning modules in 2016 in Costa Rica. Mr. Duffy suggested that developing countries should be made aware of the Affiliate Countries webpage on the IEC's website.

## **6. Liaison Reports**

### **6.1 ANSI Conformity Assessment Policy Committee (CAPC)**

Joan Sterling stated that there was nothing new to report on past CAPC activities. It appears that the CAPC needs more CA issues in that they are currently holding only half-day meetings which seem to be flagging at times. She indicated that it would be better if ANSI addressed more CA Policy Issues as opposed to so much focus on accreditation. Mr. Duffy suggested if the CAPCC has any topics to submit, send them to Tim and/or the USNC to be addressed.

### **6.2 ANSI International Conformity Assessment Committee (ICAC)**

Mr. Duffy highlighted two issues of note from the CASCO ballots and resolutions. One of which was the negative votes submitted for the following CDs:

- ISO/IEC CD 17011 (ANSI voted "Disapprove")
- ISO/IEC CD 17025 (ANSI voted "disapprove with comments")

Mr. Duffy singled out these two votes as it is very rare for ANSI to vote negative regarding CASCO documents. He then asked if Nora Moudiyne, ICAC Secretary from ANSI, would be able to actually send the CAPCC a tally of votes on the two CD's above (**ACTION ITEM #1**).

## **7. Status Report on USNC's Response to the Goals Set by the ANSI Board Task Group on Cost Recovery**

Mr. Duffy led a discussion to develop the CAPCC's input to the USNC Council for its efforts to address the goals set by the ANSI Board Task Group. He reported that there have been USNC Finance Committee meetings held to discuss the various options available to the USNC to develop a response. As far as the CAPCC's contribution to the discussion, many of the members might still want to see some kind of tally of the work and support being provided by the USNC Office. Mr. Duffy went to explain that the CAPCC is still in a deficit phase by about \$20k - \$50k which roughly translates to a 10% deficit. Jim Matthews suggested that the amounts being discussed for the cost recovery should not be referred to as a deficit. Mr. Duffy agreed to not refer to it as a deficit when discussing the matter at higher policy levels like the USNC Council. In any case, he advised the CAPCC membership that there is the strong possibility of a dues increase in 2017.

Mr. Zertuche agreed to assist in looking at what kind of contributions would be needed by the CAPCC systems. He also agreed to distribute an updated version of the budget at the next CAPCC meeting with a goal to develop the breakdown on what will be owed by each of the 4 systems (**ACTION ITEM #2**). The CAPCC Treasurer will need to add this item to the overall USNC BTG plan. There will also be an effort made to further develop the spreadsheet, created by Steve Margis, to track the percentages, time, and funds attributed to the use of USNC Office resources.

## **8. Review of CAB Working Groups membership**

Mr. Zertuche sought to clarify the CAB Working Group Experts appointment process for the CAPCC as there seems to have been some confusion of late. The CAB establishes Working Groups (WGs) to

accomplish tasks within its responsibilities which require more, or more specialized, preparation and discussion. Terms of reference and membership are decided in advance for each WG. The procedure for USNC WG nomination of Experts should be outlined in the CAPCC Terms of Reference and approved by the CAPCC. It was generally agreed that the procedure for nominating CAB WG Experts should continue to be handled by the USNC Office. However, there was a question as to whether or not the clarity of the process is more of an IEC CAB issue. Ultimately, it was decided that the entire process and procedure for USNC nomination of CAB WG Experts would be developed for inclusion in the CAPCC Terms of Reference, with Steve Margis volunteering to lead the effort and Joel Solis offering to help (**ACTION ITEM #3**).

## **9. Reports on the Conformity Assessment Systems**

### **9.1 USNC/IECRE Update**

Jonathan Colby gave an update on the USNC/IECRE, with a specific note on NEMA as the group's System Administrator. Most of the topics dealt with NEMA's role with respect to meeting organization and the secretary's attendance at certain IECRE meetings. After a brief discussion it was agreed that:

- There would be no more meetings administered without NEMA Operational Documents.
- All offers to host meetings will come through the USNC/IECRE & CAPCC with the US National Committees issuing the official invitation (USNC General Secretary).
- A Report of Progress be submitted to the CAPCC by October 2016.

Mr. Colby emphasized that it is becoming more and more challenging to keep members engaged without any kind of income. Therefore it is important that the Operational Documents be sent as soon as possible so that deliverables can be issued. Mr. Colby then asked that the procedures for the hosting of CA meetings in the US be included in both the CAPCC Terms of Reference and USNC Statutes (**ACTION ITEM #4**). Finally, Mr. Colby also asked that both the Mexican and Brazilian National Committees be invited to join the IEC/RE and any related meetings (**ACTION ITEM #5**).

### **9.2 IECEE and USNC/IECEE**

Mr. Duffy provided a brief report on the IECEE and USNC/IECEE. Although there was not much to report this cycle, Mr. Duffy did mention that the last meeting in Lake Forest was successful. The next IECEE meeting will be in Singapore and held in conjunction with the CAB WG meetings and the Traditional Meeting with Canada and Mexico. He also mentioned a tri-national meeting with their colleagues from Canada and Mexico.

Upcoming meetings:

- 1-2 June 2016 in Oslo, Norway
- 16-17 August at Intel in Portland, OR

### **9.3 IECEEx and USNC/IECEEx**

USNC/IECEEx Treasurer, Dalia El Tawy, reported on the activities of IECEEx and the USNC/IECEEx (**ATTACHMENT C**). Most of the discussion centered on the IECEEx introducing new Ex requirements via Decision Sheets rather than clarifying IEC standards. The US voiced concerns on this as these changes could affect the standards. Ms. El Tawy indicated that these are really clarifications on current requirements. The US reminded the System that these "clarifications" are actually changes which should be handled by the standards writers, i.e. TCs and SCs.

Ms. El Tawy also noted that IECEEx is working very well with IEC/TC 31, and its SC's, as well as IECRE. Some other topics included in her report were:

- Preparation for new IEC Ex non-electrical standards under development by IEC/SC 31M

- Topics for discussion at the 2015 IECEx AGM
- Minimum participation requirements for ExCBs and ExTLs
- CoPC requirements regarding National Accreditation
- 2022 IEC GM Funding
- Updates on Core Element 5 of the USNC Strategic Objectives

#### **9.4 IECQ and USNC/IECQ**

Mr. McDermott briefed the CAPCC on the IECQ and the USNC/IECQ. He touched on the following topics:

- Finalized Rules of Procedure - unanimously approved by member vote.
- USNC/IECQ Treasurer position eliminated – Committee has no revenue or Bank.
- Promoting funded pilot programs for e-Labeling in Asia, EU & US.
- IECQ to assist in attracting additional CB's.
- Meetings with China & Taiwan: Laser Marked e-Label on IC's.

Mr. Duffy quickly noted that the committee has no Chair or Treasurer and notified Mr. McDermott that they need to find a Chair as soon as possible. Mr. McDermott informed the CAPCC that the consensus position of the USNC/IECQ is that there is no need for a Treasurer since there is no money.

A question was raised as to who the IECQ is, and who are its members? Mr. McDermott responded that there are 20+ active companies; with many of those participants being labs, as well as Boeing. The follow-up question inquired about what the criteria is to become a member. The response was that the answers to all the questions are in the USNC/IECQ's Rules and Procedures. Many in the CAPCC indicated that they would like to see them. Furthermore, the CAPCC members agreed that some kind of basic budget is required for the USNC/IECQ. Mr. McDermott indicated that the ECC Corporation is fully funding the USNC/IECQ so that it can operate and assured the members that it is all accounted for and ready for review if necessary. He further announced that developments are underway to create a revenue stream for the group but, currently, the money is all coming from the ECC. Mr. Duffy informed the USNC/IECQ that the CAPCC looks forward to seeing their rules & procedures and their plan for the budget. Mr. Duffy reminded the USNC/IECQ that the only recognized role of the ECC is the Secretariat of the USNC/IECQ. He then asked that the USNC/IECQ's plans and accounting data be presented at the next CAPCC Meeting (**ACTION ITEM #6**).

### **10. USNC CAPCC Subcommittee on Operating Procedures of USNC Conformity Assessment Systems**

#### **10.1 Review of the Operating Procedures of USNC Conformity Assessment Systems**

Mr. Duffy reported on the status and activities of the CAPCC Subcommittee that included the latest submission of the USNC/IECQ's revised procedures. It was noted that this was addressed in Section 9.4. All four of the systems' Operating Procedures will be reviewed.

#### **10.2 CAPCC Governance**

Mr. Duffy provided a review on CAPCC Governance. It was agreed that the CAPCC needs to look at some clarifications on its Terms of Reference document and perhaps make changes to the USNC's Rules of Procedure with USNC Council approval. Steve Margis agreed to lead a Task Force that would review and possibly revise the CAPCC's Terms of Reference. Jonathan Colby, Joan Sterling and Joel Solis agreed to join the Task Force (**ACTION ITEM #7**).

### **11. Status Report on the USNC CAPCC Regulatory Labeling Working Group**

Gary Schrempp provided a status report on USNC CAPCC Regulatory Labeling Working Group. The CAPCC engaged in an extensive discussion on the presentation as the main issue is that there is no

standard for e-labeling. All the entities using e-labeling are writing their own procedures. Mr. Schrempp informed the committee that this is a conformity assessment standard, not a technical standard. Mr. Duffy questioned if this has been circulated and to who? It was circulated to NEMA by WG. There were concerns about E-Labeling cost and effectiveness.

## **12. CAPCC Task Force on Conformity Assessment Communications**

Mr. Schrempp provided a brief report on the last meeting of the CAPCC Communications Task Force. He gave updates on various topics including:

- USNC CAPCC Webinar on Conformity Assessment
- FINCA Workshop and SES presentations
- Generic Power Point Presentation on Conformity Assessment
- Electrotechnical Conformity Assessment Bibliography
- Revise and update the USNC booklet “An Introduction to IEC Conformity Assessment Systems in the United States” to add IECRE.
- Review draft proposal for a CAB Vademecum ( CAB/1375/DC)
- Monitor the work of CAB WG 14 ( Promotion )

## **13. Report from the CAB Meeting Held during the 79th IEC General Meeting**

Mr. Duffy quickly outlined some of the highlights from the CAB Meeting held in parallel with the SMB Meeting on Monday, 12 October, in Minsk. He specifically noted:

- The CAB approved the IEC-NECA MoU
- Approval of various IECEE and IECRE Officer positions
- New ahG on ITU collaboration

Mr. Duffy also announced that Mr. Weijun Liu, China and Mr. Simon Barrowcliff, UK, were appointed by the IEC Council in Minsk as the two “Automatically Appointed Members” of the CAB for a three-year term of office (2016-2018). In addition, he informed the CAPCC of the election/re-election by Council of two CAB Members for three-year terms (2016-2018): Prof. B.-K. Lee from the Republic of Korea and Mr. Fredrik Wennersten of Sweden.

## **14. Conformity Assessment Issues in the Americas**

Paul Moliski, Chair, ANSI Regional Standing Committee, provided an update on CA issues affecting the Latin American region. He highlighted the upcoming COPANT Meeting and workshops in Guayaquil, Ecuador as well as the Standards Alliance Workshop in Mexico City dealing with “Regulator Expertise on Good Regulatory Practice and the WTO Agreement on Technical Barriers to Trade”.

## **15. Status Report on US Government Activities Related to Conformity Assessment**

Amy Phelps, NIST, submitted a report (**ATTACHMENT D**) on the US government’s activities related to conformity assessment that focused on the following issues:

- OMB Circular A-119 - Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities
- NIST Guidance on Conformity Assessment
- Interagency Committee on Standards Policy (ICSP) Conformity Assessment Workgroup (CAWG)

It was noted by the CAPCC that two areas were missing from the report:

- Cybersecurity / Risk Management – Updates? Framework?
- OSHA Notice – Revised NRTL Procedures: When will they be published?

It was agreed that some kind of follow-up is needed on these two subjects from either Ms. Phelps and/or Kevin Robinson (**ACTION ITEM #8**).

## **16. International Outreach**

### **16.1 USNC Interface with Regional Organizations**

Mr. Piqueira provided an update on the USNC's regional outreach initiatives with a look to the future in terms of possible CAPCC participation either directly through the meetings or via accompanying workshops.

- FINCA (Forum of the Full IEC National Committees of the Americas) - next meeting will be held in September in Buenos Aires, Argentina
- COPANT (Pan American Standards Commission) - General Assembly scheduled for 18 – 22 April in Guayaquil, Ecuador.
- PASC (Pacific Area Standards Congress) - PASC Meeting #39 scheduled for 8 – 12 May 2016 in Bali, Indonesia.
- Mentoring Program - This should be on Council Agenda where it will be discussed further to decide if it makes sense to continue on that path. The CAPCC looks forward to further discussion.

### **16.2 Innovation Workshop at 2016 IEC General Meeting Frankfurt**

Mr. Duffy discussed the new IEC General Meeting initiative that the German National Committee is introducing and recommended the USNC membership actively participate throughout the year leading up to the 2016 IEC GM. He asked that the CAPCC Members please submit their ideas for the Innovation Workshop as soon as possible to the USNC Office.

### **16.3 Young Professionals Presentation**

Jonathan Colby reported on the work being undertaken by him and his fellow IEC YP Leaders from the US. This (**ATTACHMENT E**), to the TMC, was prepared as a result of an action item from the USNC Communications & Continuing Education Committee. Jonathan Colby, along with Mr. Biery and Manyphay Viengkham, worked together to develop a presentation focused on ways to address the problem of too few IEC applications being submitted for the IEC YP Workshop at the General Meeting. Mr. Piqueira expressed his appreciation for the work and report, and agreed that the initiatives should be implemented.

## **17. List of Action Items**

### **ACTION ITEM #1 N Moudiayne**

Mr. Duffy asked if Nora Moudiayne, ICAC Secretary from ANSI, would be able to actually send the CAPCC a tally of votes on the two CDs:

- ISO/IEC CD 17011 (ANSI voted “Disapprove”)
- ISO/IEC CD 17025 (ANSI voted “disapprove with comments”)

### **ACTION ITEM #2 T Zertuche**

Mr. Zertuche agreed to assist in looking at what kind of contributions would be needed by the CAPCC systems. He also agreed to distribute an updated version of the budget at the next CAPCC meeting with a goal to develop the breakdown on what will be owed by each of the 4 systems.

### **ACTION ITEM #3 S Margis, J Solis**



Ultimately, it was decided that the entire process and procedure for USNC nomination of CAB WG Experts would be developed for inclusion in the CAPCC Terms of Reference with Steve Margis volunteering to lead the effort and Joel Solis offering to help.

**ACTION ITEM #4 CAPCC**

Mr. Colby then asked that the procedures for the hosting of CA meetings in the US be included in both the CAPCC Terms of Reference and USNC Statutes.

**ACTION ITEM #5 T Zertuche**

Finally, Mr. Colby also asked that both the Mexican and Brazilian National Committees be invited to join the IEC/RE and any related meetings.

**ACTION ITEM #6 USNC/IECQ**

Mr. Duffy asked that the USNC/IECQ's rules of procedure, budget plans and accounting data be presented at the next CAPCC Meeting.

**ACTION ITEM #7 S Margis & Task Force**

Steve Margis agreed to lead a Task Force that would review and possibly revise the CAPCC's Terms of Reference. Jonathan Colby, Joan Sterling and Joel Solis agreed to join the Task Force

**ACTION ITEM #8 A Phelps, K Robinson**

It was agreed that some kind of follow-up is needed on these two subjects from either Ms. Phelps and/or Kevin Robinson:

- Cybersecurity / Risk Management
- OSHA Notice

**18. Adjournment**

Mr. Duffy thanked Sony for their excellent facilitates and hospitality and closed the meeting at 4:17pm (PST).

Respectfully submitted,  
Tony Zertuche  
General Secretary, USNC/IEC  
27 April 2016