



**USNC Conformity Assessment Policy Coordinating Committee  
DRAFT MINUTES**

**Hosted by UL  
Building 3  
843 Auburn Court  
Fremont, CA 94538**

**Tuesday, 24 January 2017  
9:00 am – 4:00 pm (PST)  
(Meeting #21)**

**Members Participating**

Tim Duffy (Chair) – USNC VP CA	Rockwell Automation
John Thompson – USNC President	UL
Phil Piqueira – USNC Past-President	UL
Sonya Bird – USNC VP Technical	UL
Kevin Lippert – USNC VP Membership	Eaton
Steve Rood – USNC VP Finance	Legrand North America
Tony Zertuche – USNC General Secretary	USNC/ANSI
Wynn Bowman	Star Associates International
Jonathan Colby	Verdant Power
Elisabeth George	Philips
Paul Green	Intel Corp.
William Lawrence	FM Approvals
Edward Mikoski	Electronic Components Industry Association
Gary Schrempp	Dell
Joan Sterling	Intertek
Matthew Williams	Association of Home Appliance Manufacturers
Jianchao Zeng, Dr.	FDA
Richard McDermott	ECC Corp.
Amy Phelps†*	NIST
Michael Woodford*	AHRI
Evans Massey*	ABB

**Guests Participating**

Ethan Biery	Lutron Electronics
Jennifer Kitchen	GE
Kenneth Gettman	NEMA
Robert Kretschmann	Rockwell Automation
Joseph Musso	UL
Dennis Oddsen	Hubbell

Peter Pondillo  
Kenneth Rempe  
Joe Tretler  
Kendall Szulewski-Francis

Corning  
Siemens Industry, Inc.  
ANSI  
USNC/ANSI

**Members Not Participating**

Steve Margis  
Paul Moliski  
Gabriel Alsenas  
Hana Attia  
Sandy Butterfield  
Dan Baker  
Ed Donahue  
Dalia El Tawy  
Lane Hallenbeck  
Ben Johnson  
George J. Kelly  
Paul Kelly  
Jeffrey Olson  
Kevin Robinson  
Bob Sherwin  
Joel Solis

UL  
Intertek  
Florida Atlantic University  
Thomas & Betts Corp.  
Boulder Wind Consulting  
Component Trends  
Mutual Cornell Environmental  
Siemens Power & Gas  
ANSI  
Thermon Manufacturing  
Sunset Technology Inc.  
UL  
Flowserve Corporation  
US Department of Labor  
American Renewable Energy Standards  
NEMA

\* = Via Teleconference

† = Part Time

**Section 1 – Welcome, Opening Remarks and Introductions**

**1.1 Welcome, Opening Remarks, Introductions**

Tim Duffy, USNC VP – Conformity Assessment, called the meeting of the USNC CAPCC to order at 9:00 AM (PST). He thanked all those in attendance and UL for hosting the meeting.

**1.2 Approval of Draft Agenda**

Tim Duffy drew attention to the meeting’s agenda (USNC/CAPCC 168A). He noted that a new item, Section 3.1 – Review of the USNC Statutes, should be added. He asked if there were any additional changes, seeing none, it was moved, seconded and

**VOTE #1 To Approve the Agenda with Changes (USNC/CAPCC 168A)  
(This motion was approved unanimously.)**

**1.2.1 Approval of Consent Agenda**

(a) Mr. Duffy drew attention to the Consent Agenda.

**VOTE #2 To Approve the Consent Agenda (USNC/CAPCC 168A)  
(This motion was approved unanimously.)**

**(b) Approval of the Minutes**

Mr. Duffy inquired if there were any changes to the Minutes of the CAPCC Meeting (USNC/CAPCC 167) held on 30 August 2016 at Dell in Austin, TX. Mr. Richard McDermott noted that the statement, “Mr. Margis stated that there are multiple versions

of their RoPs in existence and he believed that the only version officially approved by the CAPCC was the version submitted by former USNC/IECQ Chair, Todd Kramer. Mr. Margis reiterated that the latest version of RoPs must be reviewed by the Operating Procedures subcommittee, and officially approved by the CAPCC...” was inaccurate as there are more recent versions of the USNC/IECQ’s Rules of Procedures that have been approved. Mr. Duffy noted that the concern is that the last version to be approved by the CAPCC was submitted by Mr. Kramer, and stated that this issue would be addressed during the Section 4 discussion of the agenda.

**VOTE #3 To Approve the Minutes (USNC/CAPCC 167) Without Changes  
(This motion was approved unanimously.)**

**1.2.2 Approval of Balance Agenda**

Tim Duffy drew attention to the Balance of the agenda and asked if there were any concerns. None were noted and it was considered approved.

**Section 2 – Outstanding Action Items**

Tony Zertuche, USNC General Secretary, reviewed the action items from the Austin, TX CAPCC meeting:

**Action Item #1 from 8/2016** – Mr. McDermott should work with Mr. Margis to review the USNC/IECQ budget and create a more detailed and accurate assessment of the USNC IECQ’s financial standing.

**Status: Pending**

*Mr. Zertuche noted that a meeting was held with Mr. Duffy, the USNC/IECQ Chairs and himself prior to this CAPCC meeting, and the process to review the USNC/IECQ’s budget has begun.*

**Section 3 – Status Report on USNC’s Response to the Goals Set by the ANSI Board Task Group (BTG)**

Tony Zertuche continued the discussion on the CAPCC’s financial contributions to the USNC to address the goals set by the ANSI Board Task Group. He reiterated the fact that the USNC staff has continued to use a Conformity Assessment billing code to better track the number of staff hours dedicated to CA work. Now that the 2016 budget year has closed, Mr. Zertuche stated that he would work with the ANSI Accounting department to determine the exact number of billed CA hours as well as the 2016 overhead numbers. These finalized numbers will be included in the USNC CA finance report created by Mr. Margis to address the BTG recommendations. Mr. Duffy requested that the USNC Finance Committee hold a meeting to review the 2016 numbers and CA report as quickly as possible in order to finalize the US CA system dues. Steve Rood, Vice President Finance, agreed with Mr. Duffy’s request and called on the USNC staff to set up a Finance Committee meeting following the USNC Management Meetings. It was suggested that either Mr. Margis or Mr. Duffy participate in this meeting as well. Mr. Duffy stated that the goal is to have finalized information regarding USNC dues to the USNC CA systems in time for the Systems’ Officers to prepare their 2018 budgets.

**Section 3.1 – Revision of USNC Statutes**

Tim Duffy referred to the request submitted by the Rules and Procedures (R&P) Committee for the CAPCC to review the sections in the USNC Statutes that pertain to the CAPCC, and report back to the R&P Committee with any suggested changes.

The first matter for discussion was the election process of the CAPCC Vice Chair. Comments articulated during this discussion were as follows:

- Currently there is no set process outlined in the Statutes on how to elect a CAPCC Vice Chair. It was suggested that the CAPCC and TMC have the same election processes for continuity.
- The CAPCC agreed to the below election process for the Vice Chair:
  1. A call for candidates will be distributed by the USNC Office
  2. All submitted candidates will be vetted by the Nominations Committee
  3. After Nominations Committee review, the CAPCC will vote to submit single Vice Chair nominee to Council for Endorsement

**VOTE #4 To Approve the Election Process for the Vice Chair of CAPCC  
(This motion was approved unanimously.)**

The second item for discussion was Section 4.6.1.2 (V.2) dealing with the CAB Alternate position. Mr. Zertuche noted that currently the CAB Alternate is the Vice Chair of the CAPCC. However, on the SMB, a member of the USNC staff serves as the Alternate. The question submitted by the R&P Committee is whether the CAPCC wishes to maintain current policy and have the CAPCC Vice Chair continue to serve as the CAB Alternate, or to align with the TMC and have an appointed staff member serve as the Alternate instead. Comments articulated during this discussion were as follows:

- USNC staff members are much more engaged, and have more experience, in the daily work of the SMB through the administrative support they provide, such as document distribution, voting, meeting logistics, etc. The staff provides limited administrative support to the Conformity Assessment systems, therefore limiting their experience with CAB matters.
- Having a staff member as the CAB Alternate may also limit member participation and perhaps hinder succession planning.

**VOTE #5 To Recommend to the Rules and Procedures  
Committee that the CAPCC Vice Chair be the CAB Alternate  
(This motion was approved unanimously.)**

The next section highlighted was Section 4.6.1.3 – the ability of the General Secretary to appoint a USNC staff member to provide administrative support to the CAPCC and CA systems. The R&P Committee suggested that this clause be deleted as it is redundant with other information in the Statutes. Mr. Duffy stated that he agreed with that suggestion and called for any additional comments on the subject matter. No additional comments were raised and it was agreed that Section 4.6.1.3 should be deleted.

The last item brought to the attention of the CAPCC was Section 4.6.2.4 – the Subcommittee on CA Operating Procedures. It was noted that the TMC’s subcommittee on TAG Operating Procedures was transitioned into the Rules and Procedures Committee in August 2016. The question posed by the R&P Committee was – Should the responsibilities of the CAPCC’s subcommittee also be transferred to the R&P Committee? Comments articulated during this discussion were as follows:

- Given that there are still a few lingering issues occurring with the System’s operating procedures, for the time being, the CA Operating Procedures subcommittee should continue its work.
- Mr. Margis is currently the only member of this Subcommittee. By shifting the responsibilities of this Subcommittee to the R&P Committee, the workload could be distributed more evenly among the members.
- It was agreed that given the current issues the CAPCC is experiencing in finalizing all operating procedures, the Subcommittee would continue its work independently of the R&P. However, the Subcommittee would confer with the R&P Committee when necessary.

## **Section 4 – USNC CAPCC Subcommittee on Operating Procedures of USNC Conformity Assessment Systems**

Steve Margis completed the subcommittee's analysis of all four system's operating procedures (OPs) and provided a comparison document of all four systems' OPs (**ATTACHMENT A**). It was suggested that all systems review this document as a reference. Mr. Duffy noted that going forward, instead of each system having individualized OPs, the CAPCC Subcommittee could create harmonized operating procedures with each System submitting a supplement, if necessary, to be approved by the CAPCC. Comments articulated during this discussion were as follows:

- It was noted that the most challenging step of creating a harmonized document was already completed by Mr. Margis – comparing the current OPs for each system. Creating harmonized Operating Procedures is a logical next step as the CAB recently completed this harmonization process in 2016.
- The goal of harmonizing the systems' OPs is to not only simplify the creation of new CA systems but also to facilitate faster implementation of their operating procedures.
- The suggested timeline for this endeavor would be to have a harmonized operating procedures document available for review by the CAPCC and CA Systems by January 2018, with the next step being a six month review period for the CA Systems during which draft supplements should also be created. By June 2018 the harmonized OPs, as well as any CA System supplement documents, should be approved and implemented.

Mr. Duffy also discussed the Memorandums of Agreement (MOAs) between ANSI and the Secretariats of each CA System. He noted that ANSI legal had reviewed the current MOAs and found that ANSI needed four new signed documents for each of the systems. Mr. Zertuche commented that updated MOAs were distributed to the Secretariats and Systems' Officers on 5 January 2017 for their review and signatures.

## **Section 5 – Liaison Reports**

### **5.1 ANSI's Conformity Assessment Policy Committee (CAPC)**

Joan Sterling provided a brief update on ANSI's Conformity Assessment Policy Committee (CAPC). She stated that the last meeting of CAPC was in November 2016 and the main topics of discussion were:

1. World Standard Week Review – It was noted that the breakout session on drones was extremely popular. Ms. Sterling stated that in the future, drones may be an area where the USNC can contribute.
2. ISO/IAF/ILAC MOU – Ms. Sterling noted that ANSI ICAC filed a complaint with ISO regarding their commitment to using CASCO standards as more requirements have been put into CASCO ISO standards in recent times. This is something for all accreditation organizations to be mindful of.
3. IEC/ISO International Guide for Consumer Product Information – For more information click [here](#). It was noted that this draft guide does not deal with conformity assessment but is still an important reference.

Ms. Sterling stated that the meeting's agenda was light on Conformity Assessment topics and encouraged folks to submit CA topics for discussion. She noted the next meeting of CAPC will take place on 31 May 2017.

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

Tim Duffy provided an update on ICAC. Mr. Duffy stated that document number ISO/IEC DIS – 17025 is still open for comment until February 2017, noting that CAPCC members have two chances to comment – using the ISO channel as well as through IEC’s CAB. Also available, were document ISO/IEC 17011 and ISO/IEC 17000. Mr. Duffy requested the USNC Staff distribute all three documents for comment/review.

## **Section 6 – Reports on the Conformity Assessment Systems**

### **6.1 For Information – USNC/IECRE**

Jonathan Colby provided a written report on the activities of the USNC/IECRE and IECERE.

### **6.2 IECEE and USNC/IECEE**

Tim Duffy provided a status update on the activities of the IECEE and the USNC/IECEE. The next meeting of the USNC/IECEE will be in February 2017 in preparation for the next IECEE meeting to be held in Japan in May. Some issues that Mr. Duffy touched on were:

- The issue of reorganization of the IECEE came up and Mr. Duffy indicated that the US was in strong disagreement with this questioning why it was needed.
- There has been a persistent rumor that Brazil may be deciding to stop paying their IECEE dues. Mr. Duffy questioned what the implications would be if Brazil dropped out of the system. Most likely the impact would be minimal only really affecting one area (pumps).

Mr. Paul Green announced that there would be a CA-related presentation given on the ITI infrastructure. There was a recommendation that ITI be asked to give this presentation to the CAPCC at a future meeting.

### **6.3 IECEEx and USNC/IECEEx**

Evans Massey called in to review the written status report he submitted on USNC/IECEEx and IECEEx. Mr. Massey requested that the CAPCC inform the USNC/IECEEx about the new USNC CA system fees as soon as possible to prepare for their 2018 budget. Also, he noted that if Mr. Margis had not yet received the most recent version of the Rules and Procedures for USNC/IECEEx, to please let Mr. Massey know.

### **6.4 IECQ and USNC/IECQ**

Richard McDermott provided a report on the activities of the USNC/IECQ and IECQ (**ATTACHMENT B**). Mr. Duffy noted that the USNC/IECQ Rules of Procedures have yet to be updated and submitted for approval by the CAPCC. Mr. Duffy stated that the revision of USNC/IECQ Rules and Procedures must be submitted for review prior to the June CAPCC meeting where the document will be on the agenda for a vote.

## **Section 7 – New CAPCC Membership Terms**

Tony Zertuche reported on the new membership terms for CAPCC members. The terms of all CAPCC members was distributed with USNC/CAPCC 175 – Resolutions.

## **Section 8 – Status Report on the USNC CAPCC Regulatory Labeling Working Group**

Gary Schrempp submitted a written report on the USNC CAPCC Regulatory Labeling Working Group.

## **Section 9 – CAPCC Task Force on Conformity Assessment Communications**

Gary Schrempp also provided a written report on the CAPCC Communications Task Force.

## **Section 10 – Status Report on US Government Activities Related to Conformity Assessment**

Amy Phelps called in to provide a status report on government activities in the area of conformity assessment. She stated that NIST updated OMBA 119 and the revised version has been distributed for review. Ms. Phelps highlighted an upcoming workshop in Gaithersburg, MD on 28 February 2017 on Developing CA Guidance. The primary goal of this workshop is to engage the conformity assessment community in further developing this OMBA document and encouraged CAPCC members to attend if possible.

Mr. Scott Cooper from the FDA joined the meeting telephonically to discuss the pilot program, MDUFA 4 – Accreditation Scheme for Conformity Assessment (ASCA) (**ATTACHMENT C**). He noted the goal of this effort is to help improve the medical device premarket review in areas where conformity assessment activities are met with inconsistent testing practices, conformance declarations and regulatory review. Mr. Cooper noted that a draft document will be released sometime in February and encouraged CAPCC members to review and submit comments.

### **Section 11 – Report from the CAB Meeting Held during the 80<sup>th</sup> General Meeting in Frankfurt**

Tim Duffy reported on the CAB meeting held on 10 October 2016 at the General Meeting in Frankfurt, Germany, as well as the other USNC activities. Mr. Duffy summarized the various USNC activities held during the 80th IEC General Meeting in Germany.

Mr. Duffy reviewed the report of the CAB meeting (**CAB/1581A/RM**).

Mr. Duffy then briefed the CAPCC on the bilateral meetings held during the GM, going over some of the agenda items covered, including the Dresden/Frankfurt Agreement, IEC Masterplan, IEC Sales Policy, USNC leadership changes, and more. Overall, Mr. Duffy stated that this was a very fruitful General Meeting.

### **Section 12 – Conformity Assessment Issues in the Americas**

Paul Moliski provided a written report on CA issues possibly affecting ANSI's RSC-Americas program (**ATTACHMENT D**).

### **Section 13 – USNC Interface with Regional Organizations**

Mr. Zertuche provided an update on the following:

- **FINCA** – FINCA is in the process of planning its 2017 meeting. The IEC Latin America Regional Center is working closely with the next host of the meeting, Brazil, to organize this event. The FINCA meeting will be held in conjunction with the COPANT 151 and 152 meetings taking place in Quito, Ecuador in early September. Mr. Zertuche will distribute the specific dates and location when available.
- **COPANT/PASC** – The COPANT and PASC meetings are being held in conjunction with each other this year in Vancouver, Canada from 30 April – 5 May. The week will begin with the COPANT meeting, followed by a joint PASC/COPANT workshop, and conclude with the PASC meeting. The meetings will provide opportunities for networking and interaction on many topics. These fora also offer the chance to dialogue on key technical and procedural issues as well as express views on the strategic direction of these international organizations.
- **APSG** – At the last APSG meeting at the IEC General Meeting in Frankfurt in October 2016, a task force was created to review and propose suggestions on how to possibly restructure and refocus the efforts of IEC members in the Asia Pacific

region. Mr. Zertuche noted this group has already held one meeting and has begun to solicit comments from participants on the structure, scope, and future mission of the APSG. He will keep the USNC posted on the status of this work.

#### **Section 14 – Young and Emerging Professionals Committee**

Kendall Szulewski-Francis, USNC Program Administrator, noted that the YEP Committee, at the request of the Communications and Continuing Education Committee, had started to create a list of guidelines on what makes a strong IEC Young Professionals application, and a list of expectations for selected applicants. She also stated that the committee will soon begin to review and revise the IEC YP selection process as the current method poses a challenge when there are a high number of applicants. Ms. Szulewski-Francis encouraged every CAPCC member to submit a nominee.

Mr. Duffy noted that IECEE is holding a competition for past IEC Young Professionals. The winners will be able to attend the IECEE meetings in Japan in May and requested that information regarding this competition be distributed to CAPCC members.

#### **Section 15 – Summary of Action Items and Votes**

See attachment **USNC/CAPCC 175B – Resolutions**.

#### **Section 16 – Adjournment**

Mr. Duffy again thanked UL for hosting these meetings and expressed his appreciation for all those in attendance. Mr. Duffy adjourned this meeting at 3:40 PM (PST).