



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

**Hosted by Dell Technologies  
2300 Greenlawn Boulevard  
Building 3  
Round Rock, TX 78682**

**Tuesday, 1 May 2018  
9:00 am – 4:00 pm (CDT)  
(Meeting #25)**

**Members Participating**

Tim Duffy – USNC VP CA, Chair	Rockwell Automation
Steve Margis – USNC CAPCC Vice-Chair	UL
Wynn Bowman	Star Associates International
Dan Brake	ARESCA
Elisabeth George	Philips
Paul Green	Intel Corp
William Lawrence, Jr.	FM Approvals
Evans Massey	ABB Incorporated
Richard McDermott	SignaKey LLC (ECC Corp)
Edward Mikoski, Jr.	Electronic Components Industry Association
Paul Moliski	Intertek Testing Services
Amy Phelps	NIST – US Department of Commerce
Gary Schrempp	Dell Technologies
Bob Sherwin	ARESCA
Joan Sterling	Intertek
Matthew Williams	Association of Home Appliance Manufacture
Michael Woodford*	AHRI
Jianchao Zeng*	CDRH/FDA
John Thompson – USNC President	UL
Philip Piqueira – USNC Past-President	UL
Steven Rood – USNC VP Finance	Legrand North America
Sonya Bird – USNC VP Technical	UL
Tony Zertuche – USNC General Secretary	USNC

**Guests Participating**

Hae Choe†	AAMI
William (Bill) Fiske	Intertek
Ken Gettman	NEMA
Toby Gillespie	GE Renewable Energy
Timothy Jeffries	Huawei R&D USA
Jennifer Kitchen	GE
Robert Kretschmann*	Rockwell Automation
Kevin Lippert	Eaton
Joseph Musso	UL

Jennifer Padberg†	AAMI
Lisa Spellman*	NEMA
Kendall Szulewski-Francis	USNC
Joe Tretler	ANSI

**Members Not Participating:**

Gabriel Alsenas	Florida Atlantic University
Don Baker	Component Trends
Jonathan Colby	Verdant Power
Ed Donahue	Mutual Cornell Environmental
Ryan Franks	CSA Group
Lane Hallenbeck	ANSI
Ben Johnson	Thermon Manufacturing
George Kelly	Sunset Technology, Inc.
Joel Solis	National Electrical Manufacturers Association
Kevin Wolf	Intertek

\* = Via Teleconference

† = Part-time

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

**1.1 Welcome, Opening Remarks, Introductions**

Tim Duffy called the meeting to order at 9:02 AM (CDT). He welcomed all those in attendance and thanked Mr. Gary Schrempp and Dell Technologies for hosting these USNC Management Meetings. Dell staff provided an overview of the meeting logistics.

**1.2 Approval of Draft Agenda**

Mr. Duffy drew attention to the meeting's agenda, USNC/CAPCC 210A. He recommended two topics be added to the agenda for discussion – Section 13.1, BREXIT Impact and Section 13.2, Collaboration with Conformity Assessment Colleagues/Organizations. No other comments were offered. It was moved, seconded and

**VOTE #1 To Approve the Agenda with Changes (USNC/CAPCC 210A)  
(This motion was approved unanimously)**

**1.2.1 Approval of Consent Agenda**

**(a) Approval of the Minutes**

Mr. Duffy drew attention to the minutes from the 23 January 2018 Meeting in RTP, NC. No comments were offered. It was moved, seconded and

**VOTE #2 To Approve the Minutes from the CAPCC Meeting in RTP on 23 January 2018  
(USNC/CAPCC 209)  
(This motion was approved unanimously)**

**1.2.2 Approval of Balance Agenda**

No comments were offered regarding the balance of the agenda.

## **Section 2 – Outstanding Action Items**

Mr. Zertuche reviewed the action items from the January 2018 CAPCC meeting.

**#2017-01-05** – CAPCC recommends the subcommittee on Operating Procedures create harmonized Operating Procedures for distribution within the next 12 months.

**Status: Ongoing**

Mr. Margis recognized the delay in this committee's work and noted that this item would be discussed further in Section 5.

**#2017-01-06** – Once the draft harmonized Operating Procedures document is distributed, the systems will have six months to review these new procedures and formulate draft supplements if necessary.

**Status: Ongoing**

Mr. Zertuche stated that this item would also be discussed in Section 5.

**#2018-01-04** – It was requested that USNC Staff generate a document on best practices for hosting meetings in the United States.

**Status: Pending**

Mr. Zertuche confirmed that the USNC staff recently completed the draft of this document. He will review the draft shortly and distribute it to the necessary committees (**ACTION ITEM #2018-01-04**).

## **Section 3 – NC Voting on CASCO Documents**

The USNC submitted a question to the IEC Central Office regarding the ability of IEC National Committees to formally vote on ISO/IEC CASCO documents. Part of the request was to clarify when a TC/SC/SyC has the right to vote on a CASCO document versus when a National Committee has the right to vote on certain CASCO documents. CAB is responsible for the IEC's input on CASCO documents, as well as nominating an individual to be the CAB representative on CASCO. An individual can participate by being appointed by CAB or from a Member Body. CASCO is governed by **QS-CAS-PROC/01** (attached). The important element to note in the relationship between IEC/CAB and ISO/CASCO is the Mode 5 liaison, which states "---total equality of participation..." As explained by the IEC CAB Secretary, Mr. David Hanlon, "essentially, IEC full Member NCs (that are P-members to CASCO by default) can directly nominate experts to CASCO." It was noted that the IEC SMB Secretary, Jack Sheldon, also provided a response highlighting the fact that CASCO is not a Technical Committee and therefore, under the current ISO/IEC Directives should not have the right to produce international standards, although CASCO does. It was requested that Mr. Duffy and Mr. Zertuche discuss Mr. Sheldon's reply with him while both are attending the SMB & CAB meetings in Geneva in June (**ACTION ITEM #2018-05-01**).

Mr. Duffy encouraged members of CAPCC to provide input on CABPUB documents when they are distributed by the USNC staff. It was suggested that since the USNC has the ability to directly nominate individuals to CASCO, the USNC and CAPCC should take advantage of this. Mr. Margis stated that if a CABPUB document is put forth by a CAB Working Group, the US representative on that CAB Working Group should be contacting the USNC office and CAPCC members encouraging individuals to provide input.

## **Section 4 – CAPCC Task Force on Conformity Assessment Communications**

Gary Schrempp provided an update on this Task Force. Mr. Schrempp stated that the Conformity Assessment webinar is scheduled for 9 August 2018 and that Mr. Schrempp and Mr. Jonathan Colby had volunteered to be presenters. Mr. Steve Margis volunteered to be a third presenter. Mr. Schrempp

encouraged members of the CAPCC to review the IEC's Conformity Assessment webinar on the IEC Academy website (available by [clicking here](#)).

For more information, please see **ATTACHMENT A**.

### **Section 5 – USNC CAPCC Subcommittee on Operating Procedures of USNC CA Systems**

Steve Margis provided a report on the activities of the CAPCC Subcommittee. No progress has been made since the January 2018 CAPCC meeting regarding the harmonized CA Systems' Rules and Procedures document. The USNC staff will work with Mr. Margis, to schedule a meeting of this Subcommittee as soon as possible to complete the harmonization process for the US CA Systems' Rules and Procedures (**ACTION ITEM #2018-05-02**).

Mr. Margis noted that the Subcommittee did receive the revised Unique Rules and Procedures for USNC/IECEX for approval. The following two changes in the procedures were highlighted:

- Section 2.2.4 – addition of "membership is to be terminated for members having an outstanding Annual dues invoice exceeding 120 days."
- Section 2.4 (b) – "In the absence of the Principal, to arrange for participation by a duly designated Alternate." Mr. Evans Massey stated that this change was made due to quorum issues at meetings.

Comments offered on these changes are as follows:

- It was suggested that some of the organizations need up to 150 days to pay an invoice. Mr. Massey confirmed that 120 days was discussed with the USNC/IECEX membership and no member stated that 120 days was unreasonable.
- Mr. Margis recommended that the topic of "invoice due dates" be discussed at the next meeting of the Subcommittee as a possible addition to the harmonized procedures. USNC CA Systems will be permitted to have approved supplements that are equal to or more stringent than the harmonized procedures.
- It was suggested that the wording in section 2.2.4 be more flexible. Instead of "membership to be terminated," it could state "membership may be terminated" in case there is an extenuating circumstance. The language in USNC/IECEX's procedures is purposefully strict given recurring issues within the system.

Mr. Margis recommend that the CAPCC approve the Unique Rules and Procedures for USNC/IECEX without changes. It was moved, seconded and

**VOTE #3 To Approve the USNC/IECEX Rules of Procedures Submitted to the CAPCC  
Subcommittee on Operating Procedures.  
(This motion was approved).**

### **Section 6 – Status Report on the Regulatory Labeling Working Group**

Gary Schrempp provided a report on the Regulatory Labeling Working Group. He drew attention to the draft results of a study that were circulated to the IEC Working Group for review. The results of this survey were positive in terms of how e-labeling was viewed. In addition, Mr. Schrempp drew attention to **ISO/IEC 22603** (attached), a document for which Mr. Schrempp is the Project Leader. It was requested that this document be distributed to the CAPCC so members can provide input. Please submit all comments to Mr. Schrempp at [gary\\_schrempp@dell.com](mailto:gary_schrempp@dell.com). The CAPCC Regulatory Labeling Work Group should schedule a meeting soon so the group can review the input provided by the CAPCC on this document (**ACTION ITEM #2018-05-03**). The stretch goal is to have ISO/IEC 22603 published by the

end of 2018.

Mr. Duffy noted that once this document is published, the next step would be to lobby for this document's use. It was suggested that Ms. Amy Phelps, NIST, discuss ISO/IEC 22603 with her colleagues to see if NIST could organize a workshop or information session on the use of this document in government agencies and US industry (**ACTION ITEM #2018-05-04**).

For more information, please see **ATTACHMENT B**.

At the close of Mr. Schrempp's report, Mr. Zertuche took a moment to call attention to CAPCC's membership. Mr. Duffy emphasized that going forward, during introductions, CAPCC members would be asked to introduce themselves, their organizations, and which entity they are representing on CAPCC.

## **Section 7 – Liaison Reports**

**7.1 ANSI Conformity Assessment Policy Committee (CAPC)** – Joan Sterling gave a brief report on this committee. Ms. Sterling stated that the CAPC had not met since the last USNC CAPCC meeting in January 2018 so there was no new information to report. The CAPC is ANSI's high-level conformity assessment policy committee, and if the USNC CAPCC wants the ANSI CAPC to address its concerns, then CAPCC has to submit comments and provide feedback on CAPC documents. Currently there are very few agenda items that overlap between CAPCC and CAPC. Members of CAPCC should be suggesting agendas topics for consideration by the CAPC.

**7.2 ANSI International Conformity Assessment Committee (ICAC)** – Tim Duffy reviewed the list of pending ICAC documents that was distributed with the agenda of this meeting.

## **Section 8 – Reports on the Conformity Assessment Systems**

### **8.1 IECRE and USNC/IECRE**

Mr. Bob Sherwin gave a status update on IECRE and USNC/IECRE. A report was distributed with the agenda for this meeting. IECRE at the international level is facing serious financial issues. Revenue fell short in 2017 and led to a large deficit in the System's budget. It has also become apparent the IECRE system will not meet its 2018 revenue goals either. The US representatives, along with most other member countries, voted against the 2019 IECRE budget. One of the main reasons for this, is that in the 2019 IECRE budget there was a request from IECRE leadership and the IEC Central Office for retroactive funds to cover the deficit created by the system not meeting its revenue goals. There was no discussion regarding this request for retroactive funds. The IEC CO submitted this request to the member countries via an informational document. The US felt that this was an inappropriate way to address this matter.

Mr. Sherwin informed the CAPCC that the US submitted a letter to the IECRE leadership expressing concerns that the IECRE Finance Committee was unsuccessful in managing the system's finances. France made a recommendation to restructure the system in order to streamline expenses. Currently the IEC Central Office administrative costs are extremely high. The USNC/IECRE systems' officers requested that Mr. Zertuche, Mr. Duffy and Mr. Margis discuss the IECRE budget, specifically the IEC Central Office administrative costs, with IEC CO staff in June 2018 (**ACTION ITEM #2018-05-05**). No specific timeline has been established in terms of recuperating the 2017 deficit. However, the aim is to have these financial issues resolved quickly as a budget needs to be confirmed for next year.

On a more positive note, IECRE is growing – India just participated in their first IECRE meeting. The USNC/IECRE system is financially secure and has been working on promoting the system within industry. It was requested that the link to the USNC Conformity Assessment brochure be redistributed (**ACTION ITEM #2018-05-06**). Please [click here](#) to view the brochure. Also, ARESA, the Secretariat for USNC/IECRE, was recently approved as a Standards Developing Organization (SDO) by ANSI. Mr. Duffy requested that the USNC/IECRE officers create a summary report on IECRE's finances so that Mr. Duffy and Mr. Steve Margis (the US CAB representative and alternate) can be prepared for this discussion at the June CAB meeting (**ACTION ITEM #2018-05-07**).

For more information, please see **ATTACHMENT C**.

### **8.2 IECEE and USNC/IECEE**

Tim Duffy provided a brief status report on the activities of the IECEE and the USNC/IECEE. A report, USNC/CAPCC 211, was distributed with the agenda for the CAPCC meeting. Mr. Duffy highlighted a teleconference that was held in late April with our EU colleagues, primarily Germany, to review possible areas of collaboration and alignment with US positions. Mr. Duffy deemed the call a success as it allowed for open discussion regarding a variety of topics.

### **8.3 IECEEx and USNC/IECEEx**

Evans Massey gave a status report on the activities of the IECEEx and the USNC/IECEEx. He highlighted IECEEx's increased outreach to FINCA countries, specifically Canada and Brazil, to increase the regions participation in the IECEEx system. The USNC/IECEEx is also conducting outreach nationally to increase awareness of and participation in IECEEx. IECEEx is continuing to improve the database that was created for the system. One of the main elements of the database that is missing is the executive decision catalogue. This executive decision portfolio would track all decisions made by IECEEx officers and country representatives.

For more information, please see **ATTACHMENT D**.

### **8.4 IECQ and USNC/IECQ**

Richard McDermott provided a report on the activities of the IECQ and the USNC/IECQ. A question was posed regarding how the IECQ was encouraging international participation in the system. Mr. McDermott stated that the IECQ tried to establish a marketing Working Group. However, it was challenging to find volunteers to join the group. The USNC/IECQ is also working on increasing participation as currently there are no US certifiers participating in the US system.

For more information, please see **ATTACHMENT E**.

## **Section 9 – Report CA Systems' Dues**

Tony Zertuche provided an update on the status of the implementation of the USNC CA Systems' dues. In the fall of 2017, the USNC Council approved an incremental, phased-in introduction of the approved USNC Conformity Assessment System dues. For our CAPCC Systems, the new dues were to have the following stages:

- in 2018 there will be approximately \$6,000 contribution from each system,
- in 2019 there will be approximately \$9,000 contribution from each system, and
- in 2020 there will be approximately \$12,000 contribution from each system.

After hearing an update on the USNC's current finances from the USNC it was suggested that the USNC Finance Committee consider freezing the CAPCC systems' fee for 2019 at the 2018 level of \$6000 per system. It was noted that if the USNC Finance Committee agrees with this request, final approval would be required from the USNC Council. The CAPCC agreed that this recommendation should be made to the USNC Council by Tim Duffy (**ACTION ITEM #2018-05-08**).

A CAPCC member inquired as to whether the CA System dues would be in place long-term, beyond the noted three years. It was confirmed that the USNC Finance Committee would regularly review and analyze the US CA Systems' dues to see if an adjustment should be made.

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

Amy Phelps reported on US Government activities related to conformity assessment. NIST will be hosting a workshop, *Conformity Assessment Guidance and Best Practices: Canada, Mexico and USA*, on 6 August 2018 in conjunction with the SES conference in Nashville, TN. Registration is required and attendees must be pre-registered by Monday, 23 July 2018. Please [click here](#) to register and [click here](#) for more information on the workshop. In regards to the development of NIST documents, *ABCs of Conformity Assessment* and *Conformity Assessment Considerations for Federal Agencies*, the goal is to have these documents published by the end of the fiscal year 2018. It was suggested that when these documents are published, NIST host an online tutorial to walk the reader through the document to help explain the publishing process and the information contained within. Ms. Phelps will distribute more detailed questions to CAPCC on the *Conformity Assessment Considerations for Federal Agencies* document to gather feedback (**ACTION ITEM #2018-05-09**).

For more information, please see **ATTACHMENT F**.

### **Section 11 – Review of CAB Agenda for Meeting on 10 June 2018 in Geneva, Switzerland**

Tim Duffy reviewed items on the CAB agenda, CAB/1722/DA, that had yet to be addressed. He highlighted the following items:

- CAB WG 10, Policy and Strategy – the former convener of this group was Mr. Sean Paulson from Canada. However, since Mr. Paulson was elected as the CAB Chair, the CAB elected a new convener of this WG, Mr. Steve Margis. This group is very important as it is focusing on developing text for the IEC Directives regarding CA Systems.
- CAB WG 11, System Issues – this WG recently harmonized the Systems basic rules. The new focus of this group is tracking stakeholder involvement and how stakeholders are involved with their National Committees.

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

Paul Moliski reported on CA issues from his perspective as the Chair of the ANSI Regional Standing Committee – Americas. The COPANT meeting that was held in Montego Bay, Jamaica in April 2018 was a success. It was well attended by member countries and there was a great panel discussion that included IEC President, Jim Shannon, the new ISO Secretary General, Sergio Mujica, and ITU Program Coordinator, Alexandra Gaspari. The next COPANT meeting will be held the week of 6 May 2019 in Cartagena, Colombia. The 2018 FINCA meeting will be held in Mexico City, Mexico, 10 – 12 October 2018.

For more information, please see **ATTACHMENT G**.

### **Section 13 – USNC Interface with Other Regional & International Organizations**

Mr. Zertuche discussed the USNC's regional outreach initiatives:

- **PASC** – Okayama City, Japan, from 15 – 19 May 2018.
- **APCF** – will be held in conjunction with the PASC meetings in Japan.
- **Renewable Energy Regulator Forum** – This forum will be held in conjunction with the IEC General Meeting in October 2018, in Busan, South Korea. The IEC Central Office has reached out Mr. Zertuche expressing their interest in having US regulators attend this event. The USNC staff will continue to distribute information about this forum and CAPCC members are encouraged to pass this information along to their networks to recruit attendees.
- **IEC 2018 GM Bilateral Meetings** – Mr. Duffy drew attention to the USNC bilateral meetings that are held in conjunction with the IEC General Meeting each year. Traditionally, the USNC meets with CENELEC, China, Japan, South Korea, and Germany. However, it is felt that we should reevaluate this meeting schedule as the USNC should be working to expand the number of close relationships we have with the various National Committees. Also, given changes that are going on in terms of international affairs, it is important for the USNC to be aware of and prepared to handle the array of international situations that could arise.

### **13.1 – BREXIT Impact**

Mr. Duffy discussed BREXIT and its possible impact on the USNC's relationship with its European counterparts, specifically the United Kingdom (GB), at the IEC. BREXIT negotiations are currently underway between the European Union and the GB, and any trade negotiations that are finalized could have a drastic impact on the US. It was suggested that the USNC have a bilateral meeting with the GB National Committee in order to start building a stronger relationship with our British counterparts.

### **13.2 – Collaboration with Conformity Assessment Colleagues/Organizations**

Mr. Duffy drew attention to a past report given to the CAPCC by Roberta Telles of IFIA. He inquired as to how the CAPCC could encourage more participation and collaboration with other associations. It was suggested that associations, regulators, and other relevant organizations be invited to participate in CAPCC meetings. Any CAPCC member who would like to invite an organization to attend a meeting should reach out to the USNC staff to coordinate.

### **Section 14 – For Information – 2018 CAPCC/CAB Meeting Schedule**

Mr. Duffy reviewed the upcoming USNC and international meeting schedule for the 2018 year and beyond. No comments were offered.

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

Please see **USNC/CAPCC 215 – Resolutions – May 2018**.

### **Section 16 – Adjournment**

Mr. Duffy again thanked all those in attendance and Dell for hosting these USNC meetings. Mr. Duffy adjourned the CAPCC meeting at 4:15 PM (CDT).