USNC Conformity Assessment Policy Coordination Committee
DRAFT MINUTES

Hosted by Rockwell Automation
1201 S 2nd Street
Milwaukee, WI 53204

Tuesday, 30 April 2019
9:00 am – 4:00 pm (CDT)
(Meeting #29)

Members Participating
Tim Duffy – USNC VP CA, Chair
Steve Margis – USNC CAPCC Vice-Chair
Wynn Bowman
Jonathan Colby
Bill Fiske
Ryan Franks
Elisabeth George
Paul Green
George Kelly
Paul Kelly
Bill Lawrence
Richard McDermott
Edward Mikoski+
Pam Moliski
Amy Phelps
Joel Solis
Joan Sterling
Jianchao Zeng
Kevin Lippert, USNC President
Sonya Bird, USNC VP - Technical
Steven Rood, USNC VP - Finance
Tony Zertuche, General Secretary

Rockwell Automation
UL
Star Associates International
Verdant Power
Intertek
CSA America, Inc.
Philips
Intel
ARESCA
UL
FM Approvals LLC
ECC Corporation
ECIA
Intertek
NIST
NEMA
Intertek
FDA
Eaton
UL
Legrand, North and Central America
USNC / ANSI

Guests Participating
Ron Borowski
Kazimier Gawrzyl
Bob Kretschmann+
Angus Low+
Kerry McManama
Kristen Palma
Joe Tretler

Eaton
Dell Technologies
Rockwell Automation
Rockwell Automation
IEC
USNC
ANSI
**Members Not Participating**

<table>
<thead>
<tr>
<th>Name</th>
<th>Affiliation</th>
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<tbody>
<tr>
<td>Gabriel Alsenas</td>
<td>Florida Atlantic University</td>
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<tr>
<td>Don Baker</td>
<td>CTrends</td>
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<td>Dan Brake</td>
<td>NextEra Energy</td>
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<td>Ed Donahue</td>
<td>Mutual Cornell Environmental</td>
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<td>Lane Hallenbeck</td>
<td>ANSI</td>
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<td>Ben Johnson</td>
<td>Thermon Industries</td>
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<td>F. Scott Kiddle</td>
<td>ABB Inc.</td>
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<tr>
<td>Kevin Wolf</td>
<td>Intertek</td>
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<td>Michael Woodford</td>
<td>AHRI</td>
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+ = Part Time

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

1.1 **Welcome, Opening Remarks, Introductions**

Mr. Tim Duffy called the meeting to order at 9:02 AM (CDT). Mr. Duffy thanked everyone for attending and welcomed all to Rockwell Automation and Milwaukee. Mr. Duffy then provided meeting and venue logistics.

Mr. Bob Kretschmann made an announcement to TMC members, reminding them of the special agenda item taking place at the beginning of the TMC meeting the following day.

1.2 **Approval of Draft Agenda**

Mr. Duffy drew attention to the meeting's agenda, USNC/CAPCC 235A. No comments were offered. It was moved, seconded and

VOTE #1 To Approve the Agenda (USNC/CAPCC 235A)  
(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 January 2019 meeting at Legrand/Pass & Seymour in Concord, NC. No comments were offered. It was moved, seconded and

VOTE #2 To Approve the Minutes from the CAPCC Meeting at Legrand/Pass & Seymour in January 2019 (USNC/CAPCC 234)  
(This motion was approved unanimously)

**Section 2 – Outstanding Action Items**

#2018-01-04 – The USNC staff completed the first draft of the USNC Meeting Guide. This guide will be distributed shortly for review by the CAPCC, Council and TMC.  
**Status: Pending**

#2018-09-01 – The CAPCC Subcommittee on Operating Procedures will release their first draft of operating procedures to the CA Systems by next CAPCC meeting.
Section 3 – IEC Updates
Mr. Kerry McManama, IEC Executive Secretary to IECEE and IECRE provided a report for the CAPCC (ATTACHMENT A). Mr. McManama noted that as part of the 5-year reconfirmation of the IEC Conformity Assessment Systems Basic Rules, the USNC will need to reconfirm the four USNC CA Systems as Member Bodies of the USNC.

Mr. McManama then drew attention to the first portion of his presentation regarding IECEE. He reviewed the number of participating member countries in the IEC system, as well as comparisons between the participating countries, certification bodies, and testing laboratories since 2001. He noted the possible new service offerings of IECEE, including collaboration with the International Telecommunication Union (ITU).

The next portion of the presentation was an overview of the IECRE system. Mr. McManama reviewed the current members of the IECRE and the system’s number of certificates/test reports. The changes and challenges of IECRE were discussed, including the 2018 budget shortfall, new revenue streams, and the development of an “Improvement Plan”.
Section 4 – Report on WG 10 CAB Policy and Strategy
Mr. Margis provided a report on the activities of WG 10 CAB Policy and Strategy. He noted that two documents pertaining to the Masterplan Implementation Plan (MPIP) have been previously circulated, CAB/1822/INF - CB update on the IEC Masterplan implementation plan and CAB/1852/INF - CAB Masterplan Implementation Plan – Q1 2019. An updated version of the CAB MPIP has been made available, (ATTACHMENT B).

Section 5 – IEC MSB Market Evaluation Form
Mr. Duffy provided an update on the IEC MSB Market Evaluation Form (CAB/1821/DC), which has been distributed for reference for the CAPCC meeting.

From a conformity assessment standpoint, factors, such as market potential and risk analysis, should be evaluated prior to entering a new conformity assessment service. The IECEE has created a document, IECEE OD-G 2062, that assists in this analysis and requires an assessment of the risks to the IEC, business goals, identification of key stakeholders; market needs analysis and financial assessment.

The development of a document similar to IECEE’s may assist in formalizing the same requirements on the standards side of the IEC prior to entering into new standardization activities.

Section 6 – CAPCC Subcommittee on Operating Procedures of USNC Conformity Assessment Systems
Mr. Margis provided a report on the activities of the CAPCC Subcommittee and the status of the Conformity Assessment Systems' harmonized Operating Procedures.

The draft USNC Conformity Assessment System Operating Procedures has been circulated to the officers of the four USNC Conformity Assessment Systems. No comments were received at the end of the comment period.

The Draft Harmonized Operating Procedures for the US CA Systems will now be circulated to CAPCC membership for comment for 30 days (ACTION ITEM #2019-04-02). In addition to the operating procedures, each system are requested to initiate work on their individual supplements, as appropriate, that are to be completed and approved in parallel with the operating procedures. Approval is expected to occur at the September CAPCC meeting.

Section 7 – IAF Resolutions
Mr. Margis and Mr. Paul Moliski reported on the International Accreditation Forum (IAF) Resolutions (CAB/1844/DC), which was distributed with the agenda for the CAPCC meeting.

Mr. Moliski started with a brief background for the committee. The most recent IAF resolution, 2018-13, does not fall under the same tacit understanding of previous IAF resolutions. This situation draws concern due to the differences in regional opinion on the resolution. Further updates will be given following the June IEC CAB meeting.

Section 8 – ISO/IEC 17065:2012
Mr. Duffy and Mr. Margis reported on the German position paper, ISO/CASCO Clarification concerning ISO/IEC 17065:2012 (CAB/1837/QP), which was distributed with the agenda for the CAPCC meeting.

The scope of ISO/IEC 17065 was questioned by the Vietnamese NC, particularly in regards to partiality and consulting.

Depending on the update provided on this topic at the next IEC CAB meeting, this may be a potential
Section 9 – USNC CAPCC Regulatory Labeling Task Force
Mr. Richard McDermott reported on the USNC CAPCC Regulatory Labeling Task Force.

Mr. McDermott noted that there were concerns surrounding the significant changes between Version 6 and Version 7 of ISO/IEC CD 22603. He will continue working with the task force to obtain necessary comments for Version 8.

The convener of ISO/IEC JTC 1/SC 31/WG 8 had scheduled a call for 8 May 2019.

Section 10 – USNC CAPCC Communications Task Force
Mr. Jonathan Colby reported on the Communications Task Force requesting that the CAPCC convert the task force into a working group. Considering the importance and ongoing work of the USNC CAPCC Communications Task Force, the CAPCC unanimously approved this conversion (Resolution #1).

Mr. Colby noted that the working group has had two teleconferences thus far. The group has finalized their draft Terms of Reference (ToR) which will be circulated for comment (Action Item #2019-04-03).

The working group will have two webinars this year, an introductory “101” and a “201”. The 101 will be a general introduction to conformity assessment, whereas the 201 will be a deeper dive with a focus on an audience of federal agencies and regulators. Ms. Amy Phelps has been trying to develop support for the webinar at NIST. With the new OSHA requirements underway, a possible discussion point could be “how the conformity assessment systems fit into the regulatory landscape”.

The working group will be meeting next on 31 May 2019.

Section 11 – Liaison Reports

11.1 ANSI Conformity Assessment Policy Committee (CAPC) – Ms. Joan Sterling drew attention to changes to the CAPC due to the revisions of the ANSI By-laws. The CAPC will be dissolved upon the approval of the new ANSI By-laws. CAPCC members around the room noted that they have submitted comments to the revisions, but have not received responses at the time of this meeting.

11.2 ANSI International Conformity Assessment Committee (ICAC) – Mr. Duffy drew attention to an ICAC Summary of CASCO Ballots and Resolutions, USNC/CAPCC 237, which was distributed with the agenda for the CAPCC meeting. Mr. Duffy reported that two documents were available for comment, ISO/IEC DIS 17000- Conformity assessment — Vocabulary and general principles and 2nd CIB - Common Elements in ISO/CASCO Standards.

Section 12 – Reports on the Conformity Assessment Systems

12.1 IECRE and USNC/IECRE – Mr. George Kelly provided a report on the activities of IECRE and the USNC/IECRE. An updated USNC/IECRE report has been provided for circulation (ATTACHMENT C).

12.2 IECEE and USNC/IECEE – Mr. Duffy provided a status report on the activities of the IECEE and the USNC/IECEE. Mr. Duffy drew attention to the distributed USNC/IECEE report, USNC/CAPCC 239.

12.3 IECEx and USNC/IECEx – Mr. Joel Solis provided a status report on the activities of the IECEx and the USNC/IECEx. Mr. Paul Kelly drew attention to the distributed USNC/IECEx
12.4 IECQ and USNC/IECQ – Mr. McDermott reported on the activities of the IECQ and the USNC/IECQ (ATTACHMENT D). In this document, Mr. McDermott also provided additional updates regarding ISO/IEC CD 22603.

Section 13 – Report on US Government Activities Related to Conformity Assessment
In her report, Ms. Phelps noted that the draft ASCA procedures would be implemented in September. More information can be found at the following two links provided by Mr. Jianchao Zeng:

FDA’s ASCA Pilot Program website
ASCA Workshop Website

She also remarked on the work being done to update the Code of Federal Regulations 15 CFR § 287, GUIDANCE ON FEDERAL CONFORMITY ASSESSMENT. There is not a final timeline in place, but NIST will be meeting with stakeholder groups following the notice on proposed rulemaking.

Ms. Phelps updated the committee on the OSHA NRTL Directives. The proposed directives are undergoing their final internal review. The intended publication of the directives will be September 2019 with a transition plan expected through October 2020.

Section 14 - USNC Vice President – Conformity Assessment Election
Mr. Duffy’s term for USNC Vice President – Conformity Assessment will be ending at the conclusion of 2019. An election for the two nominees, Mr. Steve Margis and Ms. Joan Sterling, will be taking place in the USNC Council.

Following the election, there will be a call for USNC CAPCC Vice-Chair candidates. The CAPCC will then elect its Vice-Chair who shall serve as the USNC CAB Alternate. USNC staff will circulate the call for the position of CAPCC Vice-Chair (ACTION ITEM #2019-04-04). Mr. Duffy noted that per the IEC guidance documents, the CAB Alternate cannot come from a certification body given that the CAB Member will.

Section 15 – Review of CAB Meeting Agenda - 6 June 2019 Geneva, Switzerland
Mr. Duffy reviewed the items on the Preliminary Draft Agenda (CAB/1834/DA) for the upcoming CAB meeting. He also drew attention to the call for a special meeting of only CAB Members, to review the IECRE situation. It was noted that a report on “lessons learned” from the IECRE situation, CAB/1840/DC, was circulated on 29 April 2019 as a CAB document by the USNC.

Section 16 – Conformity Assessment Issues in the Americas
Mr. Moliski provided an update to CAPCC regarding conformity assessment issues from his perspective as the Chair of the ANSI RSC-Americas. Mr. Moliski drew attention to reports of Brazil’s new administration, and their mirroring of Europe’s position on conformity assessment.

Section 17 – USNC Interface with Other Regional & International Organizations
Mr. Zertuche provided regional updates:

17.1 PASC/APCF – The APCF meeting was held on 11 April 2019 in Wellington, New Zealand in conjunction with the PASC general assembly. Mr. Zertuche remarked on a particularly effective presentation from the CSA Group. This presentation may be beneficial for a number of other groups, including IEC SMB SG 12, USNC Council, as well as other interested and relevant parties.
17.2 FINCA – The next FINCA meeting will be hosted by the Canadian National Committee, but will be held in Lima, Peru on 25 – 27 September 2019. The USNC will most likely be hosting the FINCA meeting in 2020.

17.3 COPANT – Mr. Zertuche noted that the next COPANT meeting would take place on 6 – 10 May 2019 in Cartagena, Columbia.

17.4 USNC Country Mentoring Program

- **US and Vietnam NC Meeting**
  Mr. Zertuche noted that he and USNC VP, Sonya Bird, met with the Vietnamese delegation in New Zealand, and that the Vietnamese would like to host a workshop either this year or next year with the help of the USNC.

- **CROSQ and the 2020 IECEE Meeting**
  Mr. Duffy announced that the USNC/IECEE will be co-hosting the IECEE Management Meetings in June 2020 in Jamaica, a site selected by CROSQ Members. This meeting may also be an opportunity for the larger USNC community to coordinate a mentoring workshop during the same period in an effort to bring CROSQ members and stakeholders together as these world experts from the IECEE convene in Jamaica. To date, no actions to develop a supplemental event with the USNC and CROSQ has yet been initiated.

**Section 18 - USNC and CAPCC/CAB Meeting Schedule**
Mr. Duffy reviewed the upcoming USNC and international meeting schedule for the rest of 2019 and beyond. He noted that the IECEEx MC is the same week as FINCA which will impact the ability of some members to attend. There was also a reminder that the September USNC Management Meetings will take place on 17 – 19 September 2019 at AAMI’s offices in Arlington, Virginia.

**Section 19 – Summary of Votes and Action Items**
Please see, USNC/CAPCC 241 – Resolutions (April 2019).

**Section 20 – Adjournment**
Mr. Duffy thanked all those in attendance and adjourned the CAPCC meeting at 4:03 PM (CDT).