According to ANSI’s procedures, “ANSI accredited standards developers should take ISO or IEC standards into consideration and should, if appropriate, base their standards on or consider the adoption of an ISO or IEC standard as an American National Standard.” This practice fosters harmonization of standards across borders when it’s appropriate, and capitalizes on work being done by thousands of IEC and ISO experts in committees focused on the broadest range of cutting-edge technologies.

The IEC Standard Adoption Process: A UL Perspective

By Valara Davis, Senior Standards Specialist – International Standards, Underwriters Laboratories, Inc.

There are many benefits to the adoption of IEC standards in the U.S. market. Globalization has gained tremendous momentum in recent years. Issues relating to the expansion of foreign markets, concerns about barriers to trade, impact of fluctuations in the value of currency, and competitive pressures brought on by advancements in technology are all in the forefront of today’s conversation. Manufacturers trying to sell their products in global markets want to avoid delays and costs associated with compliance to multiple standards for gaining product approval or certification in each country.

As the motivation to seek global markets grows, compliance to international standards is important. When a product is marketed in various countries, manufacturers urge standard developing organizations (SDOs) to have identical requirements. Industry and user needs are the key to harmonization of international standards. Manufacturers are looking for one set of requirements to have their products accepted across the globe. IEC-based national standards can become a tool to promote trade of safe products between countries and eliminate barriers.

U.S. participation in IEC standards activities to develop new internationally accepted standards is essential. UL is continuously working collaboratively with stakeholders to determine relevant IEC standards for adoption and currently has over 150 published IEC-based standards. IEC-based UL standards cover products across a variety of industries including information technology equipment, appliances, industrial controls, and photovoltaics.

From IEC to UL

The adoption process begins with the identification of the relevant IEC standard and by defining the scope of the project early in the process. International harmonization is most

(continued)
The IEC Standard Adoption Process: A UL Perspective (continued)

successful when stakeholders fully support the harmonization effort. A survey of the Standards Technical Panel (STP – the UL consensus body) is typically conducted to identify the commitment to the adoption effort before project initiation.

The next step is to seek permission from ANSI and the relevant U.S. Technical Advisory Group (TAG) to adopt the particular IEC standard. In accordance with the terms of the Nationally Adopted International Standard Sales and Exploitation Policy (NAIS), an SDO must obtain permission from ANSI to reproduce IEC text in its published standards. ANSI will in turn obtain this permission from the U.S. TAG Administrator, and can then authorize release and permission to reproduce the IEC text in the United States.

Variables in Harmonization

After the STP commitment has been determined and IEC permission has been obtained, an International Harmonization Committee (IHC) is formed. The IHC is generally responsible for developing the draft, comment resolution, finalizing the document, and ongoing maintenance following publication of the standard. The IHC members are typically individuals with a strong interest in the harmonization activity. The IHC compares the existing requirements of the UL-based standard and the IEC standard, and determines the differences in both test and construction requirements. Differences in requirements between UL and IEC standards may not necessarily be due to a dissimilar level of safety, but rather to a different approach to achieving a reasonable safety level.

In order to better explain the rationale for a national difference, UL established codes that accompany the national difference in the standards. Five types of national differences were developed to help maintain consistency in the manner to which they are identified from standard to standard: regulatory or code differences, key safety issues for the U.S., component variations, manufacturing practices, and editorial comments or corrections. Once the draft is complete, it is reviewed and approved in accordance with the UL STP process. At this point, an IEC-based UL standard with national differences is published.

Reducing Differences

At the point of publication, the harmonization effort is far from complete. Instead, the challenges may be just beginning. For harmonization to be most effective, the differences in requirements need to be eliminated or decreased. This enables manufacturers to move closer toward their goal of developing one product, certified to one set of requirements, for sale around the world.

New proposals may need to be brought to the IEC for consideration in order to eliminate national differences that exist in the UL standard. Proposals to revise the IEC standard are submitted to the IEC by the relevant U.S. TAG. Proposals may also be submitted for the IEC-based UL standard in order to reduce national differences.

IEC-based standards are adopted with the expectation that the standard will be revised or a new edition will be adopted to align with any variations to the corresponding IEC (continued)
The IEC Standard Adoption Process: A UL Perspective (continued)

standard. Consequently, it is important that the IEC-based UL standard reflects the latest IEC text, amendments, and any necessary national differences. The groups directly involved with developing and maintaining testing standards in the IEC are the Technical Committees (TCs). Participation on a TC is one way to ensure that national differences for the United States are reviewed, discussed, and incorporated in IEC standards.

Tackling Challenges
It is important to note that when the SDO obtains permission for a particular edition of an IEC standard, the SDO receives permission to reproduce the text of that edition and all amendments to that edition. However, if a new edition of the IEC standard is published, the SDO is required to repeat the permission process for the new edition. From a standard development perspective, a challenge arises in keeping the adopted standard in step with the IEC standard, as the adoption process creates a scenario where the U.S. standard lags behind the IEC standard.

Another potential challenge is that the SDO that developed the initial U.S. adoption of the IEC standard may not have permission to continue with the adoption in the future. And in some cases, a challenge may arise if the USNC/IEC TAG Administrator does not release the rights to reproduce IEC text to the SDO. In these cases, the SDO then has to consider simply referencing the IEC text instead of reproducing it. The standard then consists of national differences to the IEC standard and a reference to the IEC text.

Adopting IEC standards can take several years, and having legacy standards in place can create difficulties when trying to adopt IEC standards that may result in product redesign or retesting. After publication of an IEC-based UL standard, UL legacy standards are typically withdrawn following a reasonable transition period for manufacturers.

Enabling Market Access
The drive for IEC standard adoption is one important element of the overall trend for manufacturers to seek global market access for their products. Standards developers, testing organizations, and government bodies all need to adjust their policies and practices to respond to the global market. Although there may be significant challenges, U.S. adoption of IEC standards can be used to enable stakeholders to develop one product, certified to one set of requirements, for sale around the world.

DECISION DEPOT

This quarterly column provides easy access to recent decisions that have been made regarding IEC and USNC policies and procedures that directly affect our members.

Click the links below to access the recent decisions:

- SMB Decisions Document (6186/DL)
- DMT Decisions Document (SMB 6034 R)
- CAB Decisions Document (CAB 1647 DL)
Focus on: National Adoptions

National Adoption of ISO, IEC, and ISO/IEC Standards as American National Standards (ANS)

As the U.S. Member Body to the International Organization for Standardization (ISO), and through the USNC to IEC, ANSI has the right to nationally adopt ISO and IEC standards as American National Standards (ANS). Since ANSI is not a standards developer, these rights may be delegated to ANSI-Accredited Standards Developers (www.ansi.org/asd).

The procedures that govern the national adoption process include: 1) The ANSI Essential Requirements: Due process requirements for American National Standards (www.ansi.org/essentialrequirements); and 2) ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards (www.ansi.org/nationaladoption). A written license agreement with ANSI is required as part of the process.

Within this context, a “national adoption” is an identical or modified ISO, IEC, or ISO/IEC standard (per ISO/IEC Guide 21) that has been processed in accordance with procedural requirements that apply to such an ANS. Only ANSI-Accredited Standards Developers (ASDs) may nationally adopt these standards as ANS. Unless a U.S. Technical Advisory Group (TAG) is also an ASD, a TAG may not nationally adopt a standard as an ANS.

The national adoption process includes early notice through ANSI’s Project Initiation Notification (PINS) system and public review – both through ANSI Standards Action (www.ansi.org/standardsaction) and other suitable media, vote, comment consideration, and the right to appeal. Identical national adoptions may also be processed under an expedited procedure outlined in the ANSI National Adoption procedures. Otherwise, an ASD’s ANSI-accredited procedures apply.

Once approved as a national adoption, the document is designated and published in accordance with ISO/IEC Guide 21, which is reflected in Annexes A and B of ANSI’s National Adoption Procedures. To date, ASDs have nationally adopted more than 1,900 documents, including some 315 IEC documents.

Questions? Email psa@ansi.org.

Documents of Interest

Stay up on the latest policies, documents, and other resources from the USNC, IEC, ANSI, and other partners in the standards and conformity assessment community.

- USTR Foreign Trade Barriers Report
- Conformity Assessment Aspects in Normative Documents Guidance for IEC Standards Writers
- Raining Awareness on IEC Standardization Work
- www.ansi.org/news
The USNC congratulates the U.S. winners of its 2017 Young Professionals Workshop Competition. Recipients will attend the international workshop on October 9-11, 2017, in Vladivostok, Russia, in conjunction with the 81st IEC General Meeting (GM).

The IEC Young Professionals Workshop, in its eighth year, unites professionals from around the world who are at the start of their careers in the fields of electrotechnical standardization and conformity assessment. The workshop is intended to cultivate long-term national involvement in the international arena, strengthen technology transfer, and encourage the participation of emerging professionals in shaping the future in these areas.

This year, the USNC received excellent applications reflecting a number of well-qualified candidates. As with previous years, the 2017 winners were selected based on their demonstrated leadership and dedication in connection with standardization and/or conformity assessment activities; their vision of the larger commercial and strategic impact of standards and conformance work; and their accomplishments in their chosen field of activity.

“Every one of our candidates was simply outstanding this year, and the decision process was no easy task,” said Tony Zertuche, ANSI director, international policy, and general secretary of the USNC/IEC. “On behalf of the USNC, I am pleased and delighted to announce that these top-three achievers have been selected to participate in the IEC Young Professionals 2017 Workshop.”

Eric Franca
Eric Franca received his Ph.D. in biomedical engineering from the University of Florida, where he investigated novel carbon nanomaterials for developing more effective neural electrodes. Following graduation, he began his professional career as a medical device reviewer at the U.S. Food and Drug Administration (FDA), where he serves as a lead reviewer and consultant for physical medicine and neurotherapeutic medical devices. As a regulator, Dr. Franca encourages use and recognition of international consensus standards for medical devices.

His contributions to standards development include serving as the FDA Specialty Task Group representative for physical medicine, co-chair of an internal FDA Robotics Task Group, and as a primary liaison and U.S. Technical Advisory Group (TAG) member to an ISO/IEC Joint Working Group (JWG) focused on medical robots for rehabilitation. Dr. Franca consistently contributes technical expertise and encourages collaboration with colleagues nationally, internationally, and internally across multiple venues to advance the standards development process, and the safety and essential performance requirements for medical robots.

Luiza Kowalczyk
Luiza Kowalczyk joined the Medical Imaging & Technology Alliance (MITA), a division of the National Electrical Manufacturers Association (NEMA), in 2014 and quickly gained significant operational experience by serving as the secretary for multiple DICOM (Digital Imaging and... (continued)
The USNC and ANSI are pleased to welcome two new program administrators to the USNC team in New York. For more information, see the USNC Staff Responsibilities document.

**Jiin Park**  
Program Administrator  
Jinny Park was previously a program manager for Regional Greenhouse Gas Initiative (RGGI), providing logistical and administrative support in the implementation of CO₂ auctions, proceeds tracking, market reports, and program review. In addition, she served as a liaison with the U.S. Environmental Protection Agency contacts and RGGI for development of the anticipated national emissions trading program, Clean Power Plan. Jinny also served internships with the Clinton Global Initiative and the Earth Day Network. She received a master’s in environmental conservation education from New York University. She will be taking on the USNC’s finance and member management activities.

**Samuel Roods**  
Program Administrator  
Sam Roods previously served as a government proposal analyst at Siemens Technology, providing support with the development and execution of government funded research strategy with a focus on defense, energy, cybersecurity, advanced manufacturing, and healthcare. He was a blog contributor on international security and foreign policy analysis for International Relations Online at American University, and served as an operations associate at the World Policy Institute. He received a master’s in diplomacy and international relations from Seton Hall University. Sam will be taking on USNC conformity assessment programs and activities.

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**Meet the USNC’s Newest Staff!**

**Wallie Zoller**  
Wallie Zoller currently serves as project leader of global product standards and regulations at Rockwell Automation. He is responsible for monitoring domestic and international technical standards and regulations; reviewing domestic and international environmental, process, and trade regulations for impact to product distribution; and engaging embedded personnel to establish compliance strategies for internal business units as well as enterprise-wide initiatives.

As project leader, he engages with international colleagues and industry organizations to meet internal directives and provide high-efficiency business processes. Mr. Zoller has developed customized tools to increase visibility of the unit, align goals and processes across the enterprise, and evaluate efficient resource allocation. He serves in a number of roles, including chief information security office liaison, and is a member of the global business readiness management team. Within the IEC, Mr. Zoller currently serves as the representative of the USNC and assistant secretary to IEC SC 65B, as well as secretary to ISO TC 184 SC 5.

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**Buying Standards? ANSI Standards Store and Site License Purchases Support USNC**

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NSI has announced the recipients of its 2017 Leadership and Service Awards, and among the 22 honorees are 8 USNC members and leaders. Recipients have been recognized for their significant contributions to national and international standardization activities, and an ongoing commitment to their industry, their nation, and the global voluntary consensus standards system.

Among the award recipients to be honored at an October 18 ceremony during World Standards Week 2017 in Washington, DC, are the following USNC members:

James M. Shannon, president, International Electrotechnical Commission (IEC), has been awarded the Astin-Polk International Standards Medal, which honors distinguished service in promoting trade and understanding among nations through the advancement, development, or administration of international standardization, measurements, or certification.

William S. Hurst, chief, technical research branch, laboratory division, office of engineering & technology, Federal Communications Commission (FCC), will receive the Gerald H. Ritterbusch Conformity Assessment Medal, which honors distinguished service in promoting the understanding and application of conformity assessment methods as a means of providing confidence in standards compliance for the marketplace.

Don Heirman, president, Don Heirman Consultants, will receive the Elihu Thomson Electrotechnology Medal, honoring an individual who has contributed in an exceptional way to the field of electrotechnology standardization, conformity assessment, and related activities at the national and international levels.

Christopher Dorr, senior hardware engineer, Rockwell Automation; Andrew Northup, director, global affairs, Medical Imaging & Technology Alliance (MITA)/NEMA; and Amy Phelps, program manager, National Institute of Standards and Technology (NIST), will receive the Next Generation Award, honoring those who have been engaged in standardization or conformity assessment activities for less than eight years and who have demonstrated vision, leadership, dedication, and significant contributions to their chosen field of activity.

For more information, visit www.ansi.org/awards.
Ships’ crews are required to submit several documents to authorities in every port they call on, and traditionally each authority requires the use of its unique form for each type of report. Authorities worldwide require well over 1,000 unique forms, each with its own header, footer, lay-out, fields, descriptions, submission deadlines, and file formats. And reporting requirements change quite frequently.

The e-Navigation Committee of the International Association of Lighthouse Authorities (IALA) identified 19 types of forms and found that authorities typically require most of them:

- Arrival/General Declaration
- Ballast Water Log
- Cargo Declaration
- Disembarkation Certificate
- Ship Certificate
- Crew Effect Declaration
- Crew Vaccination Record
- Crew List
- Foreign Currency List
- General/NIL List
- Health
- Passenger List
- Port of Call List
- Security Report
- Ship’s Particulars
- Ship’s Repairs
- Ship Stores Declaration
- Tank Condition
- Waste Notification

An Administrative Burden
Timely preparation and submission of all required forms requires significant effort by the bridge crew, especially during the voyage. It requires them to gather the required forms and necessary information from a variety of sources, some of which are shipboard some shore-based. This administrative burden distracts them from their primary job: safe navigation.

ICT Solutions
Information and communications technology (ICT) tools can significantly reduce the administrative burden and are already in use by some ships. Proprietary tools are commercially available, and some ship owners/operators have developed their own tools. But it is estimated that fewer than 10% of ships currently use them, primarily due to cost.

The sources of most ship reporting information are a variety of shipboard and shore-based systems, including:

- Voyage Planning
- Cargo and Passenger Booking
- Human Resources
- Waste Management
- Ballast Water Management

ICT tools can minimize the crew’s manual data entry of information into forms by retrieving most of it from these systems. ICT tools also allow the crew to delegate reporting tasks to shore-based personnel, further reducing their administrative burden.

To streamline their internal processes and procedures, more and more shore-based authorities require ships to submit electronic forms, and this trend is expected to accelerate. The forms are typically Microsoft Excel spreadsheets that combine several types of forms and need to be sent as e-mail attachments.

Ship owners/operators own ship reporting information and need to be able to control who has access to it. It includes proprietary information about the goods carried, their nature, origin, destination, etc. It also includes personal crew and passenger information.

Common ICT Tool Components
The development, testing, and maintenance costs of efficient ICT tools can be significantly reduced by sharing the four components common to all ICT ship reporting tools:

(continued)
IEC General Secretary Frans Vreeswijk Joins Global Gender Equality

Frans Vreeswijk, general secretary and CEO of the IEC, has become a gender champion, part of the International Gender Champions, a leadership network that aims to break down gender barriers through concrete actions that change organizational culture and programming. The initiative has both male and female gender champion participants.

International Gender Champions was created in Geneva in July 2015 and replicated in New York in March 2017. Another sister chapter was recently launched in Vienna this June, and includes 52 leaders of the UN, as well as senior diplomats that have pledged to break down gender barriers.

“Women deserve to have an equal say in the technologies that drive our future. The IEC is proud to join the Geneva Gender Champions initiative to strengthen the participation of women in IEC technical work and to make IEC International Standards more relevant to women around the world,” said Mr. Vreeswijk.

As part of this initiative, Mr. Vreeswijk has committed to reaching out to all IEC members to increase awareness of the importance of women’s participation in technical committees; train technical officers to facilitate a more gender-balanced approach in relevant IEC standards; and reach out to IEC members to encourage considering gender balance for participants in the IEC Young Professionals Program.

Champions are tasked with Specific; Measurable; Achievable (Action-oriented & Ambitious); Realistic (Relevant & Resourced); Time-Bound (S.M.A.R.T) commitments to advance gender equality, at a time when research shows a gender disparity in the workplace. ☺️

An International Guideline on Vessel Shore Reporting... (continued)

1. Ship report template registry
This online registry would include not only report templates but also metadata such as report submission requirements (i.e., when, where, and in what format). Any organization that is interested in developing, testing, maintaining, and marketing ship reporting ITC tools would be granted access, possibly for a small fee to defray maintenance costs.

2. Interface to external shipboard and shore-based systems
There are many standards that could be considered for this purpose, but those published by the Open Connectivity Foundation seem to be gaining worldwide acceptance with support from major players in the Internet of Things (IoT) industry (e.g., Cisco, Intel, Microsoft, Qualcomm, Samsung, HP, Sony, ZTE, etc.).

3. Data model for the ship report repository
A variant of the ISO 19100 series of geographic information/geomatics standards (specifically the S-100 standard that has been adopted by the International Hydrographic Organization) should be used to specify a data model that enables ship crews to collaborate with shore-based personnel on ship reporting duties. This will allow authorities to automatically populate their enforcement systems regardless of the specific ITC tool used to generate the reports. To ensure interoperability of all ship reporting ITC tools, the data model and its updates would be shared with any organization that is interested in developing, testing, maintaining, and marketing such tools.

4. User authentication, authorization, and report encryption infrastructure
A modern x.509-based authentication, authorization, and “Public Key” based encryption infrastructure should be adopted for the maritime industry, preferably augmented by setting up a trusted certificate authority for the maritime industry that issues and maintains security certificates.

Guideline Adoption
To reduce the cost of ITC ship reporting tools and to widen the market for such tools, it is prerequisite that a guideline be established for common components. This guideline must be supported by ship owners/operators, by potential vendors of such tools, and by shore-based authorities.

To this end, IALA’s e-Navigation Committee is in the process of drafting a “Guideline on Vessel Shore Reporting Service” and is seeking support from both the maritime industry (i.e., the International Maritime Organization (IMO), its Facilitation Committee, and its Member States, and maritime industry IGOs and NGOs) and from shore-based authorities for adoption of the draft guideline.

Adoption of a guideline for common components of all ship reporting ITC tools is expected to reduce their cost and thereby significantly increase the number of ships that use them. This will in turn reduce the administrative burden and allow the bridge team to focus on their primary task: safe navigation. ☺️
The IEC System Committee Active Assisted Living (SyC AAL) was formed to support independent living of the aging global population as well as others of any age group that require support due to illness or disability.

Current trends indicate that people are increasingly engaged in their health and focusing on lifestyle and wellness, and prolonging independent living. Care is shifting to decentralized lower cost settings, optimized for the individual's need. And the Internet of Things (IoT) can create additional value when consumer IoT systems such as wearable smart devices and active assisted living homes (AAL) are connected to B2B systems, including services provided by assistive persons.

The SyC AAL vision statement is to foster standardization of AAL products, services, and systems to enhance the quality of life and to enable independent living for all users of all ages.

SyC AAL combines the concepts, products, services, and systems with technologies and social environment with the aim of improving the quality of people’s (AAL users’) lives. An AAL user is a person of any age who uses or benefits from AAL products, services, and systems.

Committee Structure
IEC SyC AAL is comprised of five Working Groups (WGs), as follows:

- **WG 1: User Focus** covers all user-related issues of AAL products, systems, and services.
- **WG 2: Architecture and Interoperability** defines the reference architecture based on the user needs, which allows interoperability at different levels by taking into account security and privacy issues.
- **WG 3: Quality and Conformity Assessment** works to develop quality and conformity criteria based on the use cases and requirements, and to ensure the standards developed allow quality and conformity assessment for both the device side and the services side of the AAL architecture (taking into consideration aspects relating to safety, privacy, security, reliability, and performance); also works with the IEC Conformity Assessment Board (CAB) to develop relevant schemes.

What’s a System Committee?
IEC System Committees (SyCs) are collaborative platforms that operate beyond the traditional technical committee for standardization. They engage and form liaisons with technical committees in applicable areas. SyCs take a holistic, top-down, inclusive process which addresses the systems’ aspects rather than that of a specific product. Other IEC System Committees are Smart Cities, Smart Grids, Smart Energy, and Low Voltage Direct Current and Low Voltage Direct Current (LVDC).
WG 4: Regulatory Affairs focuses on developing an overview of regulatory requirements on national and regional level with details on AAL policies including social codes, laws on privacy, e-health, data protection, and security.

WG 5: AAL in the Connected Home Environment is newly formed and will cover horizontal integration and interoperability aspects relating to AAL concepts, products, AAL services, and systems in the connected home environment and the role of the actors involved; care homes, retirement homes, and other facilities with nursing services are outside the scope of this WG.

The goal of each WG is to develop Technical Specifications and/or International Standards as an outcome of their work, and to develop an inventory of the relevant standards that are applicable to each. IEC SyC also has a Project Team (PT) that is developing a vocabulary of terms used in the AAL domain.

The Technical Specifications and/or International Standards will include:
1. AAL use cases/methodology where the New Work Item proposal was approved and the co-editors are from the United States and Germany;
2. AAL reference model and architecture; and
3. A conformity assessment method.

Currently the SyC AAL has 16 P-Members and 9 O-Members. Many of IEC SyC members are involved in one or more or all of the WGs, and, as a result, the committee is seeking more participation from the National Committees.

The U.S. Technical Advisory Group (TAG) has been actively engaged in IEC SyC AAL since 2015; however, the committee would welcome more participation in this worthwhile effort that affects so many lives. The next working group and plenary will be held September 18 to 22, 2017, in Cleveland, OH, and delegates from the U.S. TAG are cordially invited.
Sponsor the IEC 2022 General Meeting
Hosted in the USA!

For only the seventh time since 1904, the United States is gearing up to host the IEC General Meeting, in October 2022. Organizations with a stake in all areas of electrotechnology are invited to demonstrate their commitment to international standardization and conformity assessment through sponsorship of the ten-day event.

For more information, see the IEC 2022 Sponsorship Brochure or contact USNC/IEC Secretary General Tony Zertuche at tzertuche@ansi.org or 212-642-4892.

Thank You to the Organizations Already on Board as IEC 2022 Sponsors
Mark Your Calendar for Upcoming Meetings & Events

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86th IEC General Meeting
USA

16 – 20 October
ANSI World Standards Week
Washington, DC

2017

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