



Operating Procedures of the ANSI CAPC (Conformity Assessment Policy Committee)

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Operating Procedures of the ANSI Conformity Assessment Policy Committee

Introduction

The American National Standards Institute (“ANSI”) serves as the national coordinator of voluntary standardization activities in the United States. Through ANSI, organizations concerned with standards and conformity assessment activities may cooperate in establishing, improving, and recognizing American National Standards based on a consensus of directly and materially affected persons, to the end that such activities remain dynamically responsive to national needs. ANSI also represents the interests of the United States of America in international non-treaty standards organizations in which ANSI is a member or is otherwise affiliated and strives to further voluntary standards and conformity assessment activities as a means of facilitating domestic and international trade, commerce, communications and understanding.

The ANSI Conformity Assessment Policy Committee (“CAPC”) reports to the ANSI Board of Directors and its Executive Committee and is responsible for broad based policy and position decisions on national, regional and international conformity assessment issues (except as otherwise delegated by the Board to another body). The ANSI Board has defined ANSI’s role in conformity assessment in a policy document included as ANNEX A of this procedure. Within that context, the conformity assessment role for CAPC includes:

- Development of ANSI strategic directions and policies related to:
 - international and regional conformity assessment
 - ANSI accreditation programs for conformity assessment bodies
- Resolution of conflicting positions on conformity assessment issues of common concern
- Oversight of the International Conformity Assessment Committee (ICAC), and the various program oversight (accreditation) committees as defined in the *ANSI Constitution and By-Laws*
- Management of relationships with conformity assessment organizations including ISO CASCO

Examples of initiatives within the CAPC’s jurisdiction include:

- U.S. positions on the ISO CASCO via the ICAC
- ANSI’s international outreach to promote U.S. conformity assessment principles and solutions
- Strategies, identification and advancement of U.S. persons into international leadership positions
- Ensuring that ANSI’s efforts in conformity assessment are coordinated to the extent possible and that support for these efforts is advanced in the regional fora
- Private/public sector cooperation on U.S. strategies regarding international conformity assessment

The governance of the ANSI affiliated company “ANAB” (the ANSI-ASQ National Accreditation Board, an accreditation body owned in equal shares with the American Society for Quality) is defined in the *ANAB By-Laws* and *ANAB Operating Agreement*, which specify authority for the management of business and affairs under the direction of the ANAB Board of Directors. However, the ANSI-ANAB relationship should include CAPC:

- proposing candidates to serve as those ANSI Directors who comprise one-half of the ANAB Board
- expecting regular high-level reports regarding ANAB activities and plans
- forwarding as they arise relevant conformity assessment issues of concern to those Directors

The CAPC shall also coordinate with the ANSI International Policy Committee (IPC) on any issues that cut across US interests in the international arena. The CAPC will be used as a forum to address strategic cross-cutting issues and routine coordination should be pursued on an ongoing basis by the IPC.

These Operating Procedures shall be consistent with the *ANSI Constitution and By-Laws* and shall be subject to the approval of the ANSI Executive Committee. Any recommendations or actions that would significantly change or affect the strategic direction of the Institute shall be submitted to the ANSI Board of Directors for final approval.

1 Membership and Officers

The requirements for membership and the officers of the CAPC are provided in the *ANSI Constitution and By-Laws*. Voting members of the CAPC shall be appointed by the Chair of the Board with the approval of the

Executive Committee. In making these appointments, the Chair of the Board will endeavor to ensure that CAPC members represent a balance of interests from membership groups concerned with the activities of the CAPC.

The members of the CAPC should have strong personal knowledge of and be employed by ANSI members that have strong interests/participation in conformity assessment. These individuals, with support from others in their organizations as necessary, should have the appropriate knowledge and experience to participate in decision making on ANSI positions related to a broad range of conformity assessment issues, including but not limited to:

- strategic planning visions and efforts
- financing models for conformity assessment
- outreach, support and education for developing countries

Active voting CAPC members will be required to respond on all items for decision, requests for comments, or requests to indicate attendance at a meeting. If a member has a lack of expertise or interest in an item under consideration, the member shall respond by abstaining or indicating no comments. Repeated failure during a calendar year to respond on items for decision, requests for comments or meeting attendance will result in removal of a member's voting status at the end of the calendar year, even if the member has additional years remaining in their term.

Each appointment as a voting member of the CAPC shall be for a term of three full years with no limits on the number of terms such member may serve. The terms will be staggered so that one-third of them expire at the end of each calendar year. Each CAPC voting member must be affiliated with an eligible¹ ANSI member. Voting members of the CAPC shall be the individuals themselves, not the entity with which they are affiliated. The size of the voting membership of the CAPC may be limited by the ANSI Chair of the Board.

Mid-term appointments to voting status on a Policy Committee will be considered by the Chair of the Board subject to evaluation of the timing relative to the normal nomination cycle, available open seats, Committee balance of interests, advice from the Committee's nominating process (if any) and support staff recommendation in the following circumstances:

- A new ANSI member (joining outside the normal nomination cycle) wishes to engage right away in the Committee's activity
- A "mid-term" change occurs in Committee voting-member make up through resignations, departures or the like. Should this occur, consideration will be given to the elevation to voting status of designated alternates from the same entity to replace the departed voting member as well as to applications for the open seat from other interested non-voting members of the Committee. "Mid-term" changes will be resolved on a case-by-case basis in the best interests of the Institute. No matter how this is decided by the Chair of the Board in a specific case, the voting seat that has been filled with a "mid-term" appointment will be filled only for the remainder of the current calendar year and then be considered an open seat for the following calendar year's normal nomination process.

Any ANSI member expressing interest in an ANSI Policy Committee may immediately register and participate as a non-voting member of the Committee. Such non-voting members will have access to all Committee documents, including meeting minutes and agendas. Non-voting members will also have the right to attend meetings, the right of the floor at those meetings at the discretion of the Chair and the ability to file positions in support or opposition to any issue being considered by the voting members and access to all meeting documents including working papers and minutes.

An active voting member of the CAPC may have no more than one additional person from his or her organization among the non-voting, and voting privileges may not be delegated by the voting member. An organization that is not an active voting member of the CAPC may have no more than two of its employees listed as non-voting members.

The Chair of the CAPC shall be appointed by the Chair of the Board with the approval of the Board. The CAPC Chair shall serve a term of two years and shall be eligible to serve for a maximum of two full consecutive terms. The Chair of the CAPC shall maintain impartiality at all times and shall be entitled to vote on matters brought to a vote before the CAPC in the case of a tie only. The Vice Chairman (appointed by the CAPC Chair per nomination process in Section 2) shall assist the CAPC Chairman, and serve as Chair at any meeting the Chairman is unable to attend.

¹ Eligibility is related to the type of membership held in the Institute.

The ICAC and Accreditation Committees' Chairs will be nominated by their committees and approved by the CAPC and ANSI Board of Directors. The Accreditation Committee Chairs shall serve one-year terms and shall be eligible for reelection for not more than three consecutive terms. The ICAC, as the ANSI mirror committee to ISO CASCO, and defacto Technical Advisory Group, shall select a chair to serve until the group selects a successor (in accordance with the ANSI procedures for U.S. TAG participation in ISO).

Each Program Oversight Committee that reports to the CAPC shall follow its own duly approved *Operating Procedures*. Accreditation Committee membership may exclude representatives from organizations providing competing programs under the same assessment criteria.

An ANSI staff person shall be appointed by ANSI's vice president for Accreditation Services (with input from the CAPC Chair) to serve as a non-voting secretary of the CAPC.

2 Nominations and Elections

The Chair of the CAPC shall appoint before June 1 of each year a Nominating Committee of not less than three (3) members from among the voting members of the CAPC to serve until December 31. An open call for nominations for membership on ANSI Policy Committees takes place annually, the relevant results of which shall be shared with the CAPC Nominating Committee for review. By majority vote, on or before September 15 of each year, such Nominating Committee shall nominate candidates to serve as:

- CAPC Chair or Vice Chair (for the following year, if terms expire)
- Members of the CAPC (to fill vacancies and/or terms expiring in that year)
- ANSI members of the ANAB Board of Directors (as needed)

These nominations will be forwarded for consideration and confirmation by the Chair of the ANSI Board. Recommendations of the Nominating Committee are not dependent on approval by the CAPC membership.

3 Meetings and Agendas

Meetings of the CAPC shall be held at least two times a year with such additional meetings as are deemed necessary or desirable at the discretion of the Chair of the CAPC. Efforts shall be made to schedule meetings at least one year in advance, whenever possible. Notice of the time and place of a CAPC meeting shall be posted on ANSI Online at least one month before the meeting, unless otherwise authorized by the Chair.

At any meeting of the CAPC, the presence of two-fifths (in accordance with Section 3.12 of the ANSI By-laws) of the current voting membership (*i.e.*, the authorized voting membership not counting vacancies) shall constitute a quorum.

The Secretary of the CAPC will distribute an agenda and any related materials reflecting the principal items to be considered as soon as a draft agenda is available, but no later than one week before a CAPC meeting. All suggestions for agenda items must be submitted to the CAPC Secretary at least two weeks before a CAPC meeting, unless allowed by the Chair on shorter notice.

The CAPC will, as much as possible, take their decisions based on the principle of consensus. The Secretary of the CAPC will circulate a report of each CAPC meeting as soon as practicable. The meeting report shall be approved by the CAPC at the next scheduled meeting. Such meeting report shall reflect all motions and their disposition as well as significant points of discussion, together with follow-up responsibilities.

4 Authorization of CAPC Letter Ballots

The CAPC, in session, or the Chair of the CAPC may authorize the Secretary to distribute letter ballots. Letter ballots shall be closed on the twentieth (20th) working day following the date of issue, when all ballots are returned, or on a different schedule when authorized by the Chair. Letter ballots shall be decided by a simple majority of the

members voting, excluding abstentions, providing at least 50% of the members return their ballots. When the letter ballot has been closed, the Secretary shall report the results to the CAPC.

5 Voting Requirements

Action at a meeting at which a quorum is present may be taken by the lesser of the following alternate requirements:

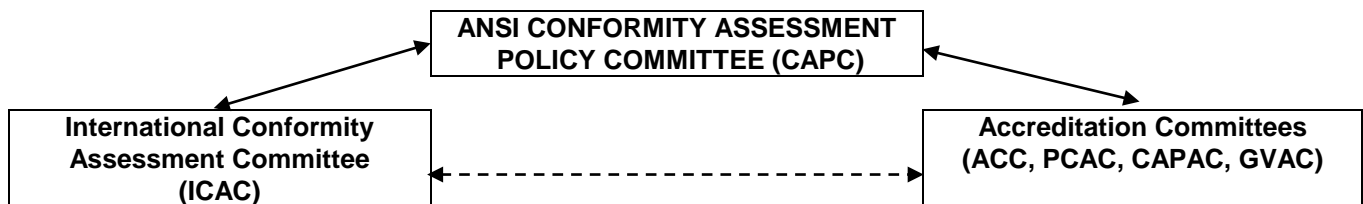
- Simple majority of the current voting membership
- Two-thirds of those voting members present

The Chair and CAPC voting members are expected to give due consideration to the views of non-voting members and others in seeking consensus or resolution if a vote is required.

6 Committees or Task Groups of the CAPC

ANSI Program Oversight Committees that report to the CAPC are established and function in accordance with the *ANSI Constitution and By-Laws*.

CONFORMITY ASSESSMENT POLICY COMMITTEE ORGANIZATIONAL RELATIONSHIPS



Legend:

- Direct reporting
- Coordination/information exchange

Examples of the ICAC’s jurisdiction:

- *Operating Guidelines of the ICAC* (which are subject to approval by CAPC)
- The “*ANSI ICAC Process*”
- Preparations of positions and delegates to CASCO meetings and working groups

Examples of the Accreditation Committees’ jurisdiction:

- Advise and consent on top level policies/procedures, especially their respective *Operating Procedures of the Accreditation Committee* (which are subject to approval by CAPC)
- Rendering accreditation decisions regarding third party conformity assessment programs in accordance with ISO/IEC 17011 (*General Requirements for Accreditation Bodies*)
- Monitoring ANSI accredited programs in accordance with those *Operating Procedures*

The CAPC may establish additional Standing Committees and task groups as are considered necessary to accomplish its mission. The Chair of such other Standing Committees shall be appointed by the Chair of the CAPC. The CAPC may also sunset a Standing Committee consistent with the CAPC’s mission.

Appropriate conformity assessment committees will ask members to indicate their interest in being represented on an ANSI delegation to an international or regional meeting or as an ANSI expert to an international or regional

initiative. For the practical and efficient approval of ANSI delegations to international and regional meetings, the following authority is delegated:

- The ICAC Chair, in consultation with the appropriate members, will approve ANSI delegations and experts for CASCO meetings and initiatives
- The Vice President of Accreditation Services will coordinate ANSI delegations and experts for meetings and initiatives of the International Accreditation Forum and the Pacific Accreditation Cooperation

7 Parliamentary Procedure

On questions of parliamentary procedure not covered in these Procedures, *Robert's Rules of Order* (latest edition) shall prevail.

ANSI's Role in Conformity Assessment

ANSI, the coordinator of the U.S. Standards system, is also responsible for voluntary conformity assessment* policy issues within the context of the:

- o **ANSI Mission and Principles,**
- o **ANSI National Standards Strategy, and**
- o **ANSI National Conformity Assessment Principles**

In conformity assessment areas, ANSI is committed to two (2) related but distinct efforts:

1. The ANSI Conformity Assessment Policy Committee (CAPC) addresses conformity assessment policy issues. The CAPC:

- a. develops consensus among all stakeholders and advocates policy nationally, regionally, and internationally.
- b. coordinates U.S. positions via the ANSI International Conformity Assessment Committee (ICAC) and ensures that these positions are considered in the development of conformity assessment guides and standards within the International Organization for Standardization's (ISO) Committee on Conformity Assessment (CASCO).
- c. promotes widespread education and understanding of conformity assessment.

2. The ANSI Accreditation Programs provide effective and comprehensive accreditation of conformity assessment bodies. ANSI Accreditation Programs:

- a. serve the needs of the market in an open, flexible and efficient manner that maintains technical rigor and upholds the highest level of integrity.
- b. strengthen relationships with government agencies to enhance the recognition and use of private sector conformity assessment processes for foreign and domestic regulatory needs.
- c. operate in conformance to relevant international standards.
- d. support mutual recognition programs where such recognition promotes the interests and competitiveness of U.S. industry.

CAPC
5 February 2004

*(ISO/IEC DIS 17000: Conformity assessment is the activity that provides demonstration that specified requirements relating to a product, process, system, person or body are fulfilled. Conformity assessment covers such activities as, **testing, inspection and certification** as well as the **accreditation** of conformity assessment bodies.)