

Forensic Specialties Accreditation Board
Minutes of the Annual Meeting of the FSAB Board of Directors
Grand Hyatt Hotel, Seattle, WA
February 16, 2014

1. Call to order – Derek Hammond, President
Meeting was called to order at 8:40AM
Officers and Directors present included;

Derek Hammond, President
Tom Bohan, Vice-President
David Senn, Secretary
Bruce Goldberger, Treasurer
Dan Bergman
Ann Bunch
Stephanie Domitrovich
Bob Garrett
Madeleine Hinkes
Kristine Olsson
Anjali Ranadive
Lyla Thompson
Emily Will

Excused: Yale Caplan, Mary Fran Ernst

Also present were guests Matthew Lunn and Mark McCoy

2. President's Report – Derek Hammond

- a. Congratulatory letter for achieving reaccreditation sent to the ABFO
- b. Mid-year and end-of-year reports sent to AAFS -These reports are not required...sent as a courtesy
- c. Tom Bohan was funded to attend the NCFS initial meeting. He addressed the commission
- d. Discussed Executive Committee teleconference meetings -(see summary in Secretary's report)
- e. Reported that a review of Annual Report submissions by all accredited certification boards had been completed and resulting issues resolved.
- f. Reported Application Review Committees had been active for:
ABC, ABFA, and IAAI - See reports in 5. below
- g. Reported receiving requests for access to FSAB meeting minutes (see item 12 below)

3. Secretary's Report - David Senn

- a. Approval of Meeting Minutes
 - 1. Minutes Review Committee (D. Senn, Y. Caplan & E. Will)
 - 2. FSAB BOD meeting (Feb. 19, 2013) Motion and 2nd to approve as modified-motion carries
 - 3. FSAB EC teleconference (2013) - ARC chairs, annual reports, assignments were given for annual report reviews, President Hammond reviewed all
 - 4. FSAB EC teleconference (2014) - Yale, Tom, David, Derek discussed upcoming elections and, reviewed bylaws and formulated a plan for the election cycle redistribution.
- b. Confidentiality Agreements distributed to all present for signatures

- c. Conflict of Interest forms distributed to all present for signatures
- d. Conflict of Interest forms are to go out to AAFS staff, FSAB affiliates, and any new FSAB Directors (forms subsequently received for new FSAB Directors Lunn & McCoy) [forms subsequently received by email from Kimberly Wrasse and Debbie Crockett at AAFS]

4. Treasurer's Report - Tom Bohan

- a. Year-end Cash Position—As of December 31, 2013, the FSAB held \$73,331.70 in its ANB Checking Account (its sole assets). Accounts Receivable totaled \$1240 – There were no significant Accounts Payable.
- b. The December 31, 2011, balance was \$49,709.04 and that of December 31, 2012, \$61,503.91. Net income for 2013 was therefore \$11,827.79, which compares with a net income of \$11,794.87 for the year 2012, the first year under the current fee structure.
- c. Income—FSAB received a total of \$23,546 (gross) from maintenance fees and accreditation/reaccreditation fees. ac-
- d. Expenses—Expenses through the end of 2013 equaled \$11,718.21, the bulk of which were the expenses of the Annual Meeting in February 2013 (\$5905.47), part of the expenses from the 2012 “midyear” EC meeting (\$1328.01) and the premium for the newly acquired insurance (\$3542.17). This compares with \$13,146.60 for 2011, and \$12,154.13 for 2012.
- e. This is the year that the office of Treasurer shifts. In anticipation of that shift, I have brought the recent records to Seattle in order to transfer them to the new Treasurer, with whom I anticipate conferring during the coming year. The help I received from Madeleine Hinkes, who preceded me as Treasurer, for my first 18 months in that office was invaluable.
- f. Alert to new Treasurer. If the FSAB accredits a new board at its 2014 meeting or during the penumbra of that meeting, the newly accredited board must be invoiced immediately for one half of the annual maintenance fee it would be assessed based on the number of certificants it reports as of December 31, 2012.
- g. In addition to the recent records I have accumulated in connection with the duties of the office of Treasurer, there exist about 8 linear feet of records related to the work of Treasurer which need to be placed in the FSAB archives being housed at the AAFS Office in Colorado Springs.
- h. The budget projection for calendar/fiscal year 2014 is for a Net Surplus of \$ 6,340
- i. Treasurer's report was accepted

5. Committee Reports

Executive Session begins for ARC Reports (9:40 AM)

- a. Application Review Committee - The ARC for the ABC recommended reaccreditation and the motion for reaccreditation carried.
- b. The ARC for the ABFA recommended reaccreditation pending finalization of two required changes. The motion carried.
- c. The ARC for a new accreditation reported some unresolved issues which should be resolved within 45 days. President Hammond proposed a teleconference to vote on accreditation if the issues are resolved. this

EXECUTIVE SESSION ENDS AT 11:10AM

d. Quality Assurance Committee – Derek Hammond reports that all Annual Reports were reviewed by the EC. He also reported that electronic copies of the reports are posted on the FSAB private website and that hard copies are on file in the FSAB administrative office in Colorado Springs.

e. Nominations Committee – Yale Caplan, Chair, Madeleine Hinkes and Mary Fran Ernst were the nominating committee members. The Nominating Committee in consultation with the Executive Committee recommends that the terms of office for Directors be staggered in a one-time event to facilitate a rotation of approximately 1/3 of the Directors being elected each year. Our present situation was the result of the onetime conversion of INOs to NOs. We also recommend the addition of one Director position to the Board, increasing the number to 16 (14 Regular and 2 Public Directors). We also recommend staggering the Public Directors when their current terms expire in 2016 by confirming a 3 year term for one and adopting a one-time one year term for the other.

Three Current Directors, Hammond, Domitrovich and Ranadive (Swienton) have terms, expiring in February 2016.

The following are nominated for 1 year terms expiring in February 2015:

- Thomas Bohan (IBFES)
- Yale Caplan (ABFT)
- Madeleine Hinkes (ABFA)
- David Senn (ABFO)
- Emily Will (BFDE)

The following are nominated for 2 year terms, expiring February 2016:

- Bruce Goldberger (ABFT)
- Lyla Thompson (IAI)
- Liz Ziolkowski (ABC)

The following are nominated for 3 year terms, expiring February 2017:

- Dan Bergman (ABC)
- Ann Bunch (ABFA)
- Robert Garrett (IAI)
- Matthew Lunn (ABMDI)
- Mark McCoy (IACIS)

The Nominating Committee nominates the following officers for 1 year terms, expiring February 2015:

- Derek Hammond President
- Thomas Bohan Vice President
- David Senn Secretary
- Bruce Goldberger Treasurer

(See item 20 below for election results)

f. Website – Derek Hammond reported that some technical issues had arisen (e.g. missing reports) and Bruce Goldberger recommends that FSAB change to a more robust system and modernize the website. He stressed that the structure and content is fine but that the infrastructure may be outdated. He also recommended using content management software. Derek will contact Jack Kalin to remove outdated versions of applications and assure that current versions are available. Bruce Goldberger will contact vendors for a quote for content management system software.

g. Ad hoc Study Guide Committee - Emily Will (C), Ann Bunch, Stephanie Domitrovich

Emily reports that the issues involved are still under consideration by this committee. The goal is to define limits of what study guides may or should include. For instance, accredited boards should not merely advise applicants to "study all material on subject." This Committee has no recommendations to the board at this time.

h. Ad hoc Website Review Committee – Bruce Goldberger
Already discussed in 5.f. above

i. Off -site testing - Ann Bunch reported on testing procedures by various FSAB Accredited Boards. Ann reports that one board uses an open source software that facilitates non-proctored, open book testing (Moodle) facili-

h. A discussion of Americans with Disabilities Act (ADA) issues followed. President Hammond charged Stephanie Domitrovich with researching and providing information on ADA related issues for board testing procedures.

Unfinished Business

6. Insurance – Tom Bohan reported that we have purchased an Errors and Omissions Insurance policy. We are currently covered from August 2013 to August 2014. The annual premium is \$3500. an-

New Business

7. National Commission on Forensic Science (initial meeting) – Tom Bohan reported going to the initial meeting of the NCFS. He had submitted a report and spoke to the commission. He felt that the makeup of the commission was very good. Much discussion dealt with accreditation and certification issues. Some commission members will be at this AAFS meeting. FSAB is viewed as a fine group who follow ISO 17011 principles but concern was expressed that FSAB is not accredited under ISO 17011. He noted that the commission will only be active for approximately 15 months and will hold a total of 6 meetings. dis-
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8. Accreditation of the FSAB under ISO/IEC 17011 applying to bodies that accredit certification boards under ISO/IEC 17024 – Derek Hammond
a. During 2014 FSAB will investigate the requirements, mechanism, and cost for obtaining ISO 17011 accreditation.
b. Motion and 2nd were made to purchase and distribute to board members the ISO 17011 and ISO 17024 standards.
Motion carried.

9. Proposed change/modification to the “Application for Accreditation/Reaccreditation” and/or to the FSAB Standards – Emily Will
a. Emily discussed the need to put “validity” back into 4.1.1
Motion and 2nd to update wording in 4.1.1. in the Application to read "reliable, valid, and non-discriminatory"
Motion carries.

b. Emily Will recommended adding footnotes referring to Definitions 3.20 and 3.23 in the FSAB Standards for Accrediting Forensic Specialty Certification Boards.

1. 3.20 reliability (examinations): Degree to which an examination provides a consistent measure of competency.

2. 3.23 validity (examinations): Degree to which an examination measures those competencies it is designated to measure.

Motion, 2nd, motion carries

Secretary Senn will produce updated version of Application.

c. Bob Garrett posed concerns about the questions on grandfathering. He stated that there were areas on this issue in the Application that need to be streamlined.

Action: President Hammond appointed a committee to review the Application for additional needed changes.

Ad hoc Application Review Committee

Stephanie Domitrovich – Chair

Tom Bohan

Emily Will

d. Discussion followed on whether this note in 8.8 is needed

Note: One way to assist in determining whether the candidate was the person who performed the practical test is to administer an oral examination that includes questions about the way the competency examination was performed and the candidate's understanding of the problem and the solution.

A motion was made to remove the note from 8.8 in the application.

Motion, 2nd, motion carries.

Secretary Senn will make changes.

10. Public Relations/Increased Publicity – Emily Will

How can we improve our public profile?

Stephanie Domitrovich suggested educational opportunities for judges. A member of a speakers bureau from FSAB could attend meetings of groups such as the National Association of Criminal Defense Lawyers (NACDL) <http://www.nacdl.org>, Association of Prosecuting Attorneys (APA) <http://www.apainc.org>, and others. She also recommended publishing in NACDL's journal, Champion and the Defense Research Institute, (DRI) monthly publication, For the Defense. <http://www.dri.org>

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Action: Ad Hoc Public Relations Committee appointed by Pres. Hammond - Emily Will and Stephanie Domitrovich

11. Proposal to mandate testing as an element of recertification – Derek Hammond

No action was taken on this issue.

12. Meeting Minutes – make publicly available? – Derek Hammond

Discussion of the issues resulted in these decisions:

Minutes contain confidential information and are not released to the public.

Minutes are the summarized institutional memory of the board members for meetings and are not detailed transcripts of the proceedings.

13-17. Appointment of ARCs – Derek Hammond appointed five ARCs for 2014.

18. Appointment of Affiliates for 2014-2015 - Derek Hammond will reappoint the current affiliates after he speaks with them.

19. Appointment of Minutes review committee – Derek Hammond appointed the minutes review committee - Madeleine Hinkes, Bob Garrett, Anjali Ranadive.

20. Election of Officers and Directors

The board went into Executive Session at 3:25 PM for the election of directors and officers as listed in item 5e above. All nominees were elected.

Note: The Board of Directors is now increased from 15 to 16 members including the 2 Public Directors)

21. Reimbursement schedule for this meeting – Tom Bohan

One day @ \$75 per diem

One day @ \$75-33 (lunch) per diem=\$42

2 nights hotel

22. ABFT

The Forensic Toxicologist Certification Board, Inc (FTCB) will merge into and consolidate with the ABFT. This merger will add approximately 125 certified individuals to the ABFT. The name of the board will remain the American Board of Forensic Toxicology.

Meeting adjourned at 4:00

Respectfully submitted,
David R. Senn
Secretary

Minutes of the FSAB EC Meeting
USPS National Forensic Laboratory
Sterling, VA
July 14-15, 2014

Monday, July 14, 2014
8:30 AM

Present:

Derek Hammond, President

Yale Caplan, Past President

Ann Bunch

Emily Will

Elizabeth Ziolkowski

En route: David Senn, Secretary and Tom Bohan, Vice-President

Not Present: Bruce Goldberger

1. Meeting called to order at 8:36 AM. Ann Bunch took minutes until David Senn arrived. President Hammond began by discussing goals of meeting. He would like to discuss the details of ISO 17024 and 17011 and the gaps that have been seen by two ad hoc committees. We hope to discuss what we are doing at this time and what we are not doing at this point. Would like to start on a plan to come into full compliance with both standards, assuming that we can and want to do this. It is feasible that we may come up with the conclusion that we cannot comply. President Hammond does not believe that we will come up with this conclusion.

Yale Caplan asked if there were minutes from the last FSAB meeting that occurred in February 2014 (AAFS meeting). President Hammond stated that the minutes are being reviewed at this time for finalization. President Hammond mentioned that the consensus of that meeting was to move forward on the Gap Analysis of 17011 and 17024.

Pres. Hammond also said that ANSI representatives would be attending this meeting in the afternoon.

2. Elizabeth Zoilkowski was asked by Pres. Hammond to introduce herself and to discuss her familiarity of 17025 and 17024 standards. She was trained in both standards and said that the standards are very similar to each other. She was sponsored to attend this training by the ABC.

3. Ann Bunch began the discussion of the 17011 standard vis a vis FSAB's current Standards. Pres. Hammond introduced this by mentioning categories developed by Emily Will, Ann Bunch and himself. Ann outlined the "A" changes to be made (easy fixes with minor edits to documents), "B" changes (small changes in what we do), and "C" changes (major changes in what we are doing).

Derek mentioned that we will need to let CABs know in advance – there is a trickle-down effect from this. Information should be put out at AAFS meetings – need to be transition period of boards that seek this certification.

Ann Bunch gave examples of A categories – section 3 terms and definitions, we will have to add some words. B category examples were given – 4.2.8 and 6.4.2. c-g. Discussion ensued regarding training requirements since 6.4.2 f and g require documentation of training in assessment. How would FSAB manage training of its personnel? Discussion ensued about training of assessors.

Additional discussion ensued about accreditation team composition (7.5.2) and flexibility of accreditation boards for adjusting to new specialties (4.6.3).

Ann Bunch continued on to give examples of C requirements (7.7 and 7.11 sections were pointed to). Discussion ensued about what on-site visits and surveillance visits would look like.

Ann continued on with C category examples – section 6, 6.2 – Personnel involved in the accreditation process – need to train assessors. Also 6.2.4b was mentioned in this regard.

Emily asked about 6.3.2 – monitoring of personnel. Will we have to do evaluation of assessors doing site visits? Yes.

Derek will get approval to purchase ISO 19011 since it is referred to multiple times in the 17011 documents. All agreed that was a good idea.

Questions came up about 5.7.2 internal audits as well as how internal audits differ from management systems. Liz elaborated on how these two items differed according to her knowledge of 17024 and 17025. Derek mentioned that he had numerous notes in the sections of internal audits and management systems. We will pursue our questions with ANSI representatives in the afternoon.

Copy of this summary will be sent to David Senn for inclusion in minutes.

4. Emily Will began discussion of her committee's work (Committee members were Mark McCoy and Liz Ziolkowski). Emily mentioned that a side-by-side analysis is not possible – they do not match up. Whole document must be rewritten. The categories, A (no brainer), B (some effort required), C (major changes) were reiterated and defined on PowerPoint slide. We are currently in conformance with 35/140 = 25% (meet or exceed).

A category changes = 4% (6/140)(e.g. references and 7.2.4).

B category changes = 53% (74/140)(e.g. 9.4.9 prevention of counterfeiting of certificate given by certification bodies and 9.9.4 complaints – much more specific as to how to handle)

C category changes = 18% (25/140)(e.g. 10.2.2 – wording somewhat confusing, not impossible to do but requires new thought and may require a whole new section in our standards and parallel action by the boards and 10.2.6.1 – may require study of ISO 19011 – require moderate thought and action by the boards).

The Committee concluded that ISO 17024 compliance is doable. It is an easier task than 17011 compliance.

Yale mentioned that we must ask ANSI representatives whether we can do this, if a transition period is acceptable, etc.

5. Discussion followed about how to proceed. Hiring a project manager was suggested since this is a monumental archival task. Liz asked about our document security measures and Derek elaborated on what we do at this point in time. Webmaster procedures are not documented at this time.

6. Ann began a discussion of liability insurance and ramifications in regard to our current documents (By-laws, Standards and P and P). ISO 17011 requires liability coverage arising from its activities (4.5.1). How will this work for our coverage?

7. Emily mentioned she is interested in how long it would be until we were ready to be accredited. We will have to ask the ANSI representatives about this. We have to have our standards in place and then boards will have to conform so that we were actually operating under ISO requirements before we are seen to be in compliance.

8. Financial implications were discussed. Can we afford this? Must request info from ANSI representatives this afternoon. Sources of support discussed – NIST, NIJ, CFSO? These organizations may desire to assist financially. Should they be approached? Derek mentioned that these new organizations are just getting settled and the timing for seeking funding may need to wait until they get established. Yale mentioned that there is money there for this and we should be proactive in seeking funding from outside sources. A concerted effort should be made to find sources of funding for this.

Lunch break taken at 11:30 AM.

Meeting resumed at 12:40 PM.

9. Pres. Hammond opened up the floor for discussion and brainstorming. He asked if it makes sense to start with 17011 or 17024? Emily wondered why we must do one separate from the other? Why not work on them concurrently?

How to proceed was discussed – Emily recommended that she could take 17024 and work on A and B categories with her same committee. Ann will update 17011 with additional commentary that includes P and P, Standards and Bylaws referenced where appropriate/relevant. She will create a spreadsheet with requirement, current standard, new version to include A and B changes. The C categories will require further discussion and thinking.

Derek said that at this time we hope to have two tracks going forward – 17024 will be correlated back to our existing standards, making A and B changes in a new working document. Recommendations will be made for C changes. 17011 will work on drawing upon all of FSAB documents, updating A and B changes in a new draft document (new P and P, most likely) and then recommend changes for the C category items.

David Senn arrived at 1:10 PM.

Derek provided brief review of morning session for David.

David asked about cost of endeavor. This is a question that we will pose to ANSI representatives. David asked if ANSI has partnered with anyone else? We will ask. There must be a mutual benefit for both parties, Derek emphasized. Discussion ensued about morning session discussions and the C category challenges that FSAB faces in going forward. Examples of site visits, training, internal audits were discussed as C category challenges.

10. ANSI representatives arrived at 1:58 PM.

Vijay Krishna, Director of Personnel Certification Accreditation Programs
Lane Hallenbeck, Vice President Accreditation Services

a. Vijay Krishna presented a PowerPoint presentation about the functions of ANSI and the ANSI accreditation process. Founded in 1918, ANSI is the only accreditor of US Standards Developers and the only body that approves standards as American National Standards.

b. ANSI is the sole US Member Body of the ISO

c. Currently there are 50 personnel certification accreditation entities with 175 accredited schemes (another 30 are in process).

d. ANSI also partners with others in accreditation schemes in the Food Protection and Renewable Energy areas.

e. Discussed International Accreditation Forum (IAF) - IAF is a world-wide association of conformity assessment/accreditation bodies. ANSI is the US Member of IAF and ILAC as well as regional groups in the Pacific Rim and the Americas and is in liaison with groups in Europe, Africa, and the Middle East.

f. ISO/IEC develops and interprets standards

g. IAF associates (including ANSI) use ISO/IEC Standards for Conformity Assessment Activities.

h. ANSI accreditation process conforms to ISO/IEC 17011

i. 30 countries worldwide have some type of 17024 process

j. 60-70 Organizations attend ANSI workshops each year, including 17024 (ANSI is interested in expanding its business by assessing both accrediting and certifying bodies for compliance with 17011 and 17024).

k. Mr. Hallenbeck recommended contacts at NIST to discuss the issues at hand and recommended that FSAB ask about NVCASE (NIST) and accrediting the accreditors.

11. Hallenbeck suggested four possible scenarios for FSAB

a. Continue as we are, no changes.

b. FSAB brings itself into compliance with 17011 and self declares compliance.

c. Assessment: Have ANSI (or another body eg NVCASE)) assess the operations of FSAB for compliance with 17011

d. Partner with ANSI: Have ANSI assess FSAB and all accredited boards for compliance with 17011 and 17024

All FSAB members present thanked Hallenbeck and Krishna for taking the time to meet and explain the functions and roles of ANSI. Hallenbeck and Krishna departed and discussion of issues continued.

Adjourned at 5:08 PM

Tuesday July 14, 2014

9:02AM

Hammond, Bunch, Will, Caplan, Ziolkowski, Senn,
and Bohan now present

12. Group discussion of the direction that FSAB will go regarding ISO recognition.
 - a. Tom asked: Why should forensic science entities go to an industrial standards setting organization for accreditation when a viable alternative based on forensic science already exists?
 - b. Yale asked: Is there a role for ANSI (or another body) as a contractor in the management of accreditation and reaccreditation tasks?
 - c. Tom Bohan will contact NIST and NVCASE to discuss possibilities for FSAB regarding 17011 and 17024 compliance.
 - d. Achieving 17011 will require developing capabilities in areas not in our current operations (e.g., virtual site visits (WebX, or other virtual mechanisms)
 - e. Emily asked about the possibility and appropriateness of her attending the ANSI 17024 training in DC in September. Elizabeth recommends Emily attend. Hammond directs Emily to investigate attending the September training.
 - f. Yale discussed record retention and archiving. Yale proposes:
 1. Kimberley Wrasse at AAFS in Co. Springs continues to manage FSAB records.
 2. After ten year retention of records period some materials should be kept and others should be destroyed:
 - a. Applications for Accreditation or reaccreditation - Retain:
 - i. Front Sheet
 - ii. Names of Committee chair and members
 - iii. Written recommendation from committee
 - iv. President's Letter to body
 - v. Documentation of actions of FSAB regarding boards not achieving accreditation
 - vi. All other material destroyed
 - vii. Record Date destroyed and person destroying
 - b. Annual Reports - Retain:
 - i. Front Sheet and note Original File date
 - ii. All other material destroyed
 - iii. Record Date destroyed and by whom
 3. Yale will send instructions to K. Wrasse
 4. Tom noted that ARCs should have access to annual reports for target boards.

11:15-12:00 Tour of USPS National Forensic Laboratory: Forensic Laboratory Services, Forensic Lab
 Break for lunch at 12:10
 Resume at 1:15

13. Discussion of bylaws regarding FSAB directors which currently state:
 - 5.3.2.1.1 Public Directors must not be certificants of accredited boards
 - 6.2.1 Public Directors may not be officers (paraphrased)
 All regular directors must be certificants of nominating organizations (accredited boards)

Problem: Tom Bohan does not plan to recertify in February 2015. His elevation from VP to President of FSAB could be in jeopardy

Solution: Hammond recommends a bylaw change, and that 5.3.1.2. be modified to state:

“All persons elected to become regular directors shall be certificants of Nominating Organizations at the time of the election.”

Derek will send email to directors announcing the planned bylaw change and the date of a conference call for voting.

14. Contact each current accredited board to notify them of the potential future changes in FSAB requirements for them to become compliant with ISO 17024 (for certifying bodies). Inform them that FSAB has voluntarily begun investigations into becoming compliant with ISO 17011(for accrediting bodies).

The changes under consideration are in part a response to published information by the White House Subcommittee on Forensic Sciences (SoFS) and discussions with members of the National Commission on Forensic Sciences (NCFS) indicating that these two standards are likely to become key parts of the new direction to be recommended by the NCFS and the FSSB

The changes in requirements, if any, will not be implemented for individual boards before the end of the accredited board's current accreditation cycle.

Discussion continued on issues that FSAB will need to address in its own PPM to become compliant with 17011. Also, discussion ensued on how to comply with the requirements for training assessors (FSAB directors) as to procedures, accreditation criteria, and other requirements. A suggestion was made to compose ARCs of two experienced assessors and one trainee. This will require a P&P change to 8.1.1.2. This could possibly qualify as a training program for assessors for ARCs.

15. Next year's EC meeting may need to be longer - possibly in Colorado Springs.

Meeting adjourned: 5:24 PM
Respectfully submitted,
Ann Bunch and David Senn
