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ASME Codes and Standards

Development Committee Procedures

With Supplemental Requirements For Committees

Under the Jurisdiction of the

Board on Standardization & Testing

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**ASME CODES AND STANDARDS
DEVELOPMENT COMMITTEE PROCEDURES WITH
SUPPLEMENTAL REQUIRMENTS FOR COMMITTEES UNDER THE
JURISDICTION OF THE BOARD ON STANDARDIZATION & TESTING**

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These Procedures supplement the Procedures for ASME Codes and Standards Development Committees, Revision 16, approved by ANSI Executive Standards Council on September 2, 2016. They also contain changes from Revision 17 which have not yet been approved by ANSI.

A INTRODUCTION

This introduction is an integral part of these procedures and contains requirements that must be followed.

A.1 General

These procedures contain requirements and guidance for use by ASME standards committees to organize, staff and administer their activities associated with the development and maintenance of ASME Codes and Standards.

ASME By-Laws assign overall supervision of Codes and Standards activities of the Society to the Council on Standards and Certification. Responsibility for supervision of Codes and Standards activities within specific functional areas is assigned to supervisory boards functioning under the overall direction of the Council on Standards and Certification.

Supervisory boards manage the development of Codes and Standards under their jurisdiction through the establishment and supervision of standards committees. The scope of the boards' supervisory responsibilities with respect to standards development and maintenance includes:

- Approving and discharging committee personnel.
- Assessing the need for codes, standards and related accreditation activities within their assigned area of responsibility.
- Ensuring that standards committees under their jurisdiction operate within the committees' approved charters and these procedures.
- Ensuring that committees within the charter of the board are providing due process.
- Providing a forum for hearing appeals of standards committees' actions or inactions.
- Approving for ASME all codes and standards, and accreditation and certification criteria developed by committees under their jurisdiction based on assurance that the code, standard, or criteria was developed under procedures meeting the criteria for American National Standards.

When deemed necessary to preserve the integrity of the standards development process and/or to protect the interests of ASME, the supervisory board may take administrative action necessary to fulfill its oversight obligations. Actions may include membership actions resulting from an appeal decision and delay, suspension, or discontinuance of a standards committee action, including revisions to standards. Such actions are subject to due process provisions established by the Council on Standards and Certification.

The Council on Standards and Certification, under the direction of the Board of Governors, supervises the codes and standards activities of the Society. Either directly or through its appropriate supervisory board, such supervision includes:

- (a) approval of, and revision to, the charter of a standards committee;
- (b) withdrawal of a standard developed by a standards committee; and
- (c) disbandment of a standards committee.

If action is taken to withdraw a standard that is also an American National Standard, ANSI shall be so notified.

A separate document entitled “Guide to Procedures for ASME Codes and Standards Development Committees” is provided as guidance on selected topics addressed by these procedures.

A.2 Background

These procedures are the product of an extensive redesign effort undertaken during 1997-1998 to develop an improved and timely process for developing and maintaining codes and standards. They are based on, and incorporate the historically proven practices successfully employed by ASME standards committees to meet the high quality standards set by the Society as well as the requirements established by the American National Standards Institute (ANSI) for approval as American National Standards. These procedures are intended to help standards committees produce consensus documents in an efficient and timely way, while maintaining due process and protecting the ASME intellectual property rights.

A.3 Requirements

Adherence to the requirements of this procedure is essential to ensure consistency and the full benefits of the standards development processes. The approach is to adopt the procedure as written and develop a supplement to describe the basic details such as the committee charter. The supplement shall reference these procedures and shall include the following additional information as applicable:

- Charter;
- Limits on number of members;
- Member interest categories;
- Procedures for determining subordinate group membership;
- Procedures for determining project team membership; and
- Standards for which interpretations shall be provided.

The supplement becomes the standards committee procedures, subject to approval by the cognizant supervisory board. Departures from the requirements in these procedures shall be subject to approval by the Council on Standards and Certification as well as by the cognizant supervisory board. A separate document entitled “Model for Supplement to Procedures for ASME Codes and Standards Development Committees” is provided to assist in the development of the Supplement.

Written instructions may be developed by the standards committee in order to provide additional guidance as needed to facilitate committee operations. Such instructions shall not conflict with the procedures and require only standards committee approval.

Standards Committees are obligated to be in compliance with Codes and Standards Policies and Board on Standardization & Testing policies, which are posted on all Committee web pages.

**PROCEDURES FOR ASME CODES AND
STANDARDS DEVELOPMENT COMMITTEES
WITH S&T SUPPLEMENTAL REQUIREMENTS**

1 GENERAL

1.1 Charter. The codes or standards development committee, hereafter called standards committee, of the American Society of Mechanical Engineers (ASME) shall operate within its approved charter. The codes or standards developed by the standards committee may include requirements for safety, health, design, production, construction, measurement, maintenance, performance or operation of equipment or qualification of personnel.

1.2 American National Standards. Except when otherwise recommended by the consensus committee and approved by the cognizant supervisory board, the codes and standards developed by standards committees are intended to be submitted to the American National Standards Institute to become American National Standards.

1.3 Definitions

Consensus [see ANSI Essential Requirements: Due process requirements for American National Standards] means substantial agreement has been reached by directly and materially affected interest categories. This signifies the concurrence of more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that an effort be made toward their resolution.

Consensus committee means the group composed of individual members of the standards committee that has responsibility for voting on final approval of standards actions.

Consensus committee members means individual members of the standards committee described in para 3.2.

Continuous maintenance means the maintenance of a standard by consideration of recommended changes to any part of it according to a documented schedule for consideration and action by the standards committee.

Contributing members are the non-voting standards committee participants described in para. 3.4.

Delegates are the standards committee participants described in para. 3.3.

Individual members are the standards committee participants described in para. 3.2.

Periodic maintenance means the maintenance of a standard by review of the entire document and action to revise or reaffirm it on a schedule not to exceed five years from the date of approval by the cognizant supervisory board or by ANSI in the case of American National Standards.

Stabilized Maintenance is an option for maintenance of a standard that requires status review every 10 years rather than revision or reaffirmation every 5 years. Such a standard shall satisfy the following eligibility criteria:

- The standard addresses a mature technology or practice(s), and as a result, is not likely to require a revision
- The standard is unrelated to safety or health
- The standard is currently designated an American National Standard and has been reaffirmed as such at least once
- The most recent edition of the standard was approved by ANSI at least ten years prior (this does not include ANSI reaffirmation dates)
- The standard is required for use in connection with existing implementations or for reference purposes

Standards action means a proposed new standard, a proposed revision to an existing standard, proposal to reaffirm an existing standard, proposal to withdraw an existing standard, proposal to maintain a standard on stabilized maintenance, or a proposed national adoption of an ISO or IEC standard.

Standards committee means the consensus committee plus delegates and contributing members.

Standards committee participants are the individual members, delegates, and contributing members.

S1.4 These Procedures provide supplement requirements to the Procedures for ASME Codes and Standards Development Committee.

- (a) The supplement requirements have been numbered to coincide with the corresponding section of the Procedures for ASME Codes and Standards Development Committee with an “S” added before the number to indicate it is a part of this Supplement and they have been printed in Red. The paragraphs have been numbered to either add to an existing paragraph in the Procedures for ASME Codes and Standards Development Committee or to the end of the existing section.
- (b) Referenced paragraphs with no “S” in front of it indicate a reference to the Procedures for ASME Codes and Standards Development Committee. Referenced paragraphs with an “S” in front of it indicate a reference in this Supplement.

S1.5 These supplemental requirements apply to codes and standards development committees and special committees that report to the Board on Standardization & Testing.

S1.6 A standards committee may establish Guidelines to these Supplemental requirements provided such procedures are not in conflict with these Supplemental Procedures or the Procedures for ASME Codes and Standards Development Committees.

2 ORGANIZATION

2.1 A standards committee, which consists of individual members, delegates, and contributing members, is responsible to an ASME codes and standards supervisory board, as assigned by the ASME Council on Standards & Certification. The consensus committee is that portion of the standards committee consisting only of individual members.

2.2 A standards committee may establish at its discretion subordinate groups to assist it in the discharge of its duties.

2.3 If an executive committee is established, its function shall be only of an advisory nature to the standards committee.

S2.3.1 Executive Committee. If established, the executive committee's purpose is to make recommendations and advise the standards committee on administrative and current operational as well as future planning matters. An executive committee, when established, usually consists of the standards committee officers, principal subcommittee chairs and selected members-at-large.

S2.4 Special Committees. If established, Special Committees report to the Board, their function shall be to harmonize and prepare recommendations. Special Committees are not standards writing committees.

S2.5 Subordinate Groups. When subordinate groups are established the proposal shall include a statement defining the scope of work.

One of the duties of the standards committee is to limit the size of subordinate groups to numbers that will best serve operational needs and still be representative of all interests.

3 THE STANDARDS COMMITTEE

3.1 General. The standards committee shall consist of a specified number of individual members (hereafter referred to as members) as well as delegates, and contributing members.

S3.1.1 Size Limit. The membership of the consensus¹ committee shall consist of not more than 35 individual members and not less than 5 members. The supporting subcommittees, technical committees, working groups, project teams, etc. may in the aggregate be larger.

3.2 Members. Members are technically qualified individuals with a concern and willingness to participate in work within the charter of the standards committee. The consensus committee recommends them to the cognizant board for appointment for a term not exceeding five years. Selection shall include consideration of the business interest of the employer, if any, that supports the member's standards committee participation, as well as the type of experience or expertise the individual brings to the standards committee, to maintain a proper balance (see para. 3.2.5). In their standards committee activities these members participate, including voting, as individuals rather than as representatives of their employer or of any other organization. Members are eligible for reappointment. Reappointments approved by the consensus committee need not be submitted for board approval. A reappointment that results in a continued state of unbalanced consensus committee membership shall be brought to the attention of the cognizant supervisory board for consideration. All member appointment and reappointment terms shall expire June 30 of the appropriate year. New consensus committee members should have served on a subordinate group, if they exist.

A completed ASME Codes & Standards Personnel Form (PF-1) and a resume or brief biography is needed to demonstrate the candidate's qualifications.

3.2.1 Representation of an absent member may be by a representative or by an alternate.

(a) Representative. A representative is proposed by the absent member to act on the member's behalf at a meeting and is accepted by the Chair. Such service by a representative automatically terminates at the conclusion of the meeting at which the individual is representing the absent member. Representatives may only vote on actions other than standards actions.

(b) Alternate. An alternate is a person who attends meetings or intends to vote in place of the member on standards or administrative actions. Alternates are proposed by the absent member, are subject to acceptance by the consensus committee and approval by the cognizant board. An alternate shall be from the same interest classification as the member represented (see para. 3.2.5), or shall have an interest classification that maintains the required balance. An alternate has all the privileges of a member during the period of his/her service in this capacity. Such service by an alternate automatically terminates on request of the member, or when the member is no longer on the standards committee. The term of appointment of the alternate shall expire on the same date as the members.

3.2.2 The consensus committee may, at its discretion and with the approval of the appropriate supervisory board, add to or subtract from the list of members.

¹ See the definition of consensus committee and standards committee in paragraph 1.3

3.2.3 Duties of Members. The duty of each member is to give thorough consideration to each subject brought before the standards committee for action, to vote on approval or disapproval of each proposal, to contribute his/her expertise in the preparation of standards, to advise on personnel for membership on the standards committee and subordinate groups, and to assist generally in carrying out the functions of the standards committee. Such duties may be carried out by attendance at meetings, by correspondence, and by telephone, teleconference, or other electronic means. **Each member must have support available to pay for any travel expenses and time used for committee business.** Members failing to carry out their duties shall be subject to having their appointment terminated. Individuals whose appointments have been terminated may appeal this action.

3.2.4 Members and their alternates/representatives of standards committees, subordinate groups, and project teams shall comply with Society Policies P-15.7, Ethics; P-15.8, Conflicts of Interest; P-14.6, Society Name, Seal, Emblem, Initials, Titles, Identification, and Certificates; and P-15.9, Policy Against Discrimination.

3.2.5 Classification of Members. To establish balanced representation for developing evidence of consensus on standards, consensus committee members shall be classified in accordance with the business interests of their primary source of support for committee participation. Alternates shall not be counted in determining the balance of the consensus committee. The classification system and the classifications assigned to members shall be proposed by the consensus committee, shall be subject to approval by the cognizant board, and shall be included in the supplement to the procedures. **The member selects an interest class, which stands unless challenged. Disputes on member classification can be resolved using the appeal process described in the Procedures.** Not more than one-third of the membership of consensus committees dealing with safety codes and standards shall come from any single category without the recorded approval of the other classifications and the approval of the cognizant board.

No single category shall have a majority on consensus committees dealing with product standards except with the recorded approval of the other classifications and the approval of the cognizant board.

All but one standards committee under the Board on Standardization & Testing are consensus committees dealing with product standards. The Standards Committee on Mobile Unmanned Systems is a committee concerning safety standards.

If a member's classification changes because of a change in employment or another reason, action shall be taken by the consensus committee to:

- (a) reaffirm the member to complete the present term, under the new interest category or
- (b) appoint the member for a new full term, under the new interest category or
- (c) terminate the membership

The effects of the member's changed classification on the balance of interest for the consensus committee shall be considered. **When a change in the classification of a member causes the membership to be out of balance, the consensus committee is obligated to attempt to resolve the imbalance.**

S3.2.6 Categories of Interest. Each standards committee voting member shall be classified in one of the following categories of interest:

AB Designer	An organization performing design and design related services
AD Distributor	Those independently concerned with the marketing of the product between producer and consumer
AF General Interest	Educators, individuals from a technical society or other society and public interest persons
AI Laboratory	A national laboratory or an organization whose primary function is to perform research and development, or an organization furnishing testing and examination services
AO Owner	An organization owning or operating a facility where items are installed or used.
AS Producer/ Manufacturer	Those directly concerned with the production of the product involved
AT Regulatory/ Government	Government employee using the standard but not producing a product
AU Consultant	Consultants using the standard to provide a service
AW User	Those who use the product involved but are not involved with its production or distribution

Additional categories of interest for the AED and B1 Committees are contained in Appendix XII. Alternative categories of interest for the PTC Committee are contained in the Development Committee Procedures with Supplemental Requirements for Committees under the Jurisdiction of the Board on Standardization & Testing with PTC Guidance.

3.3 Delegates. Delegates are individuals representing a group of experts outside of the U.S. and Canada, and is intended to allow participation on ASME committees. Each group represented shall have a clearly defined interest in participating on ASME committees. A group is intended to be interpreted broadly to mean jurisdiction(s), company(ies), professional society(ies), trade organization(s), or user group(s). The method for selecting a prospective delegate shall be at the discretion of each group. The appointment of a delegate may be limited in scope relative to the charter of the standards committee, as determined by the consensus committee.

3.3.1 Application for Delegates. Each group shall recommend an individual to represent them. The group shall also provide an explanation of their interest in participating.

3.3.2 Appointment of Delegates. The consensus committee recommends the appointment of delegates to the cognizant board for appointment for a term not exceeding five years. Delegates are eligible for reappointment. Reappointments approved by the consensus committee need not be submitted for board approval.

3.3.3 Alternates. An alternate is a person intended to vote in place of the delegate on standards actions. Alternates are proposed by the group, are subject to acceptance by the

consensus committee and approval by the cognizant board. An alternate has all the privileges of a delegate during the period of his/her service in this capacity. Such service by an alternate automatically terminates on request of the group, or when the delegate is no longer on the standards committee.

3.3.4 Duties of Delegates. The duty of each delegate is to take active part voting on first consideration ballots for standards actions, and contributing the expertise of their group in preparation of new actions. Such duties may be carried out by attendance at meetings when possible (attendance at meetings is encouraged but not required), by correspondence, and by telephone, teleconference, or other electronic means. Delegates failing to carry out their duties shall be subject to having their appointment terminated. Delegates whose appointments have been terminated may appeal this action. Delegates are not eligible to vote on personnel, administrative actions, or editorial actions that are processed in accordance with para. 7.4.

3.3.5 Policies. Delegates and their alternates shall comply with Society Policies P-15.7, Ethics; P-15.8, Conflicts of Interest; P-14.6, Society Name, Seal, Emblem, Initials, Titles, Identification, and Certificates; and P-15.9, Policy Against Discrimination.

3.3.6 Classification of Delegates. Delegates shall be classified in accordance to the predominant interest of the member's group, for information only. The classification will not be used in determining whether the committee has balanced representation.

3.4 Contributing Members. A contributing member is an individual non-voting participant whose contribution to a committee is through review and comment on proposals (see para. 7.2.1). Contributing members shall possess the technical qualifications described for individual voting members in para. 3.2. **Contributing Members are usually:**

- a) a standards committee member who wishes to participate but may be unable to fully participate for the foreseeable future and is from a category of interest that is lacking on the committee or the committee feels their expertise would be missed.
- b) an active subtier committee member or new member that the committee wishes to give experience.

3.4.1 Appointment of Contributing Members. The consensus committee recommends the appointment of contributing members to the cognizant board for appointment for a term not exceeding five years **and expiring June 30 of the appropriate year.** Contributing members are eligible for reappointment. Reappointments approved by the consensus committee need not be submitted for board approval.

3.4.2 Duties of Contributing Members. Except for weighted votes (see para. 4.2.3) and votes on personnel, administrative, policy, or ASME position items (see para. 7.6), contributing members will be provided the opportunity to participate via review and comment on all proposals submitted for consensus committee vote. The participation by the contributing member shall be agreed by the contributing member and the standards committee Chair. Attendance at committee meetings is optional. Participation may be accomplished through attendance at meetings when possible, by correspondence, and by telephone, teleconference, or other means. Contributing members failing to carry out their duties shall be subject to having their appointment terminated. Contributing members whose appointments have been terminated may appeal this action.

3.4.3 Policies. Contributing members shall comply with Society Policies P-15.7, Ethics; P-15.8, Conflicts of Interest; P-14.6, Society Name, Seal, Emblem, Initials, Titles, Identification, and Certificates; and P-15.9, Policy Against Discrimination.

3.4.4 Classification of Contributing Members. Because this is a non-voting participant position, contributing members need not be assigned an interest classification as described in para. 3.2.5.

S3.5 Multiple Memberships from a Single Organization

- (a) There shall be no more than one voting member from a single organization [see (e) below] except that the consensus committee may nominate more than one voting member due to one or more of the following circumstances:
 - (1) The nominees represent different expertise considered necessary to the consensus committee.
 - (2) One of the nominees (or two of the nominees if three are being nominated) is an officer of a subordinate group or the consensus committee.
- (b) The justification for multiple memberships shall be submitted to the Board at the time the nominees are considered for appointment or reappointment [see (d) below]. When circumstances arise in which there would be three members from a single organization, the justification shall be considered at a meeting of the Board. The size of the consensus committee should also be taken into consideration.
- (c) There shall not be more than three voting members from a single organization.
- (d) If there are two members from a single organization on the standards committee due to the acquisition of one company by another, the merger of two companies, or by a member moving from one organization to another (without changing interest category), this procedure need not be applied until the expiration date of one of the members' term. If this situation results in three or more members from one company on a standards committee, it shall be brought to the attention of the Board for consideration at the next Board meeting.
- (e) For the purpose of this section (S3.5), an organization is defined as a company, government agency, union, etc. In the case where two companies are part of the same corporation or one company is owned by another, a decision as to whether they constitute a single organization will be made by the Board on a case-by-case basis. The independence of the two companies shall be used as the criteria for making the decision. In the case of government bodies, two agencies would not be considered the same organization if they promulgated separate regulations or separate procurement standards/specifications.

S3.6 Honorary Member

S3.6.1 Honorary Member status is reserved for:

- 1) a standards committee member who in the past was an active member but recently has not been able to fully participate and the committee feels their expertise would be missed. Under

these conditions, a member may be nominated for honorary membership. The member shall have served on the standards committee for a minimum of five years to be eligible.

- 2) a former standards committee member who has made significant contributions to the activities of the committee may be nominated for honorary membership. The member shall have served on the committee for a minimum of ten years with at least five of the ten years as a member of the standards committee.

S3.6.2 Once nominated by the committee Chair, the proposal is sent to the entire consensus committee for consideration. A 90% affirmative vote of the consensus committee is required for election to honorary membership. Subsequent approval by the Board is required.

S3.6.3 Honorary membership is effective immediately and the Honorary Member shall be appointed for a term not exceeding five years and expiring June 30 of the appropriate year. An Honorary Member is eligible for reappointment and subject to approval by the standards committee. No Board approval is required for the reappointment of an Honorary Member. Preferably, the Honorary Member should not serve more than three terms. There is no limit to the number of Honorary Members.

S3.6.4 While Honorary Members do not have voting rights, they are able to submit comments. They will be included on all standards committee electronic mailings (including minutes, agendas and ballots) and will receive notification concerning all standards committee meetings. Honorary Members may be asked to perform special, finite projects consistent with their expertise.

4 STANDARDS COMMITTEE OFFICERS AND THEIR DUTIES

4.1 The officers of the standards committee shall be as follows:

- (a) Chair
- (b) One or more Vice Chair(s)
- (c) Secretary

4.2 Chair and Vice Chair

4.2.1 Only consensus committee members with more than one year of current service on the committee are eligible to be appointed Chair or Vice Chair of the standards committee. Each term of office shall not exceed three years, and no more than two consecutive three-year terms in each office may be served. This limit can be exceeded for special circumstances if approved by at least 2/3 of the cognizant supervisory board members. An example of a special circumstance is that there is no other qualified candidate who is willing to serve. At the time of appointment, the expiration date for their membership term shall be adjusted to match the term of office.

- (a) Each term of office of the standards committee Chair and Vice Chair shall expire June 30 of the appropriate year.
- (b) The term of office of the Vice Chair shall coincide with the term of the Chair.

4.2.2 The Chair and Vice Chair shall preferably be ASME members.

4.2.3 The nomination of the Standards Committee Chair and Vice Chair shall be conducted using the Weighted Vote (3, 2, 1) method, as follows:

- a) The Secretary shall submit to members of the consensus committee a list of the names of the consensus committee who are qualified by service and are willing to serve in the office. The Secretary will develop this list by contacting the qualified individuals and providing them an opportunity to indicate their willingness to serve in this position and request that their name be added to the list.
- b) Each consensus committee member will be given a secret ballot and requested to mark, in order, their preference for the office by the numerals 3, 2, 1 (i.e., 3 for first choice, 2 for second choice, and 1 for third choice). Ballots from at least 2/3 of the consensus committee members must be returned for the nomination process to be valid. The balloting process should be carried out using C&S Connect.
- c) The two persons whose names receive the highest number of points are the nominees. If there is a tie for first place, these two names will be the nominees. If there is a tie for second place, there will be a runoff of the multiple second-place candidates, using the process in (b) above to determine the second nominee.
- d) After confirming the nominees will serve, if elected, the Secretary shall submit the names of the nominees on a ballot to all members of the consensus committee for voting. If one of the nominees is not willing to serve, then the member with the next highest number of points becomes a nominee.

If after performing the above steps and only one candidate is willing to serve in an office an administrative ballot/vote may be used in lieu of a Weighted Vote ballot.

4.2.4 The Chair and Vice Chair shall be elected by a majority of the consensus committee subject to confirmation of the cognizant board.

4.2.5 The cognizant board may appoint the initial Chair and Vice Chair for new standards committees.

4.3 Secretary. The Secretary, who is a member of the standards committee without vote, shall be designated from the Codes and Standards Directorate.

4.4 Duties of the Officers

4.4.1 The Chair shall be the executive officer of the standards committee, preside at meetings, and perform duties customarily associated with such office.

4.4.2 The Chair shall review the performance of standards committee participants at least once each year, and take actions to correct poor performance, including the possibility of proposing terminations. See paras. 3.2.3, 3.3.4 and 7.1. Terminations must be approved by both the consensus committee and the cognizant board. Individuals whose appointments have been terminated may appeal this action.

4.4.3 The Vice Chair, in the absence of the Chair, shall fulfill the duties of the Chair's office and shall perform other duties as may be assigned by the Chair.

4.4.4 The Secretary shall prepare and distribute agendas and minutes of all meetings of the standards committee to standards committee participants. He/she shall receive and maintain all documents relative to the standards committee and its subordinate groups, distribute and receive proposals for standards actions, record votes, correspond with interfacing organizations or individuals in the name of the standards committee, and perform other duties as requested by the Chair.

S4.4.4 Standards Committee Secretary Duties

(a) Agenda. An agenda shall be distributed to the standards committee at least three weeks prior to the meeting.

(b) Minutes. Minutes shall be kept of all standards committee meetings and shall list the names of all standards committee members present, those absent, any alternates, and visitors. The Minutes are to report what occurred during the meeting and are to be distributed to all standards committee members. Minutes should be distributed no later than 30 days after the meeting.

If a quorum is not attained during a meeting, it shall be noted in the minutes of the meeting.

Following a meeting where there is an absence of a quorum, it is recommended that an absentee ballot (real-time ballot) be issued on the Minutes of the meeting and any voted action, to those members not in attendance and not represented by an alternate.

(c) Conduct of a Hearing. The Secretary of the standards committee shall prepare an agenda (procedures) for the conduct of the hearing and document the hearing.

4.4.5 In the absence of the Chair and Vice Chair at a meeting of the standards committee, the Secretary shall take the chair for the purpose of nomination and selection of a Chair pro tem, who shall then preside at that meeting.

4.4.6 The officers shall ensure that these procedures as well as ASME and Codes and Standards policies (CSP's) are followed.

4.4.7 The cognizant board may remove an ineffective Chair or Vice Chair and appoint a successor. The individual removed from office may appeal the action of the board to the Council on Standards & Certification.

5 SUBORDINATE GROUPS

5.1 Establishment of Subordinate Groups. When subordinate groups are required, they shall be established by a majority vote of the consensus committee. Subordinate groups are advisory to the standards committee. When such groups engage in drafting proposed standards or parts of standards, individuals having substantial knowledge of the subject of the proposed standard shall be included. Individual subordinate group members need not be standards committee participants. Although subordinate groups do not ordinarily constitute a consensus-making group, they should have representatives from the various interests whenever possible. **Subordinate Groups should also consider limits on the number of members from a Single Organization. They should use para. S3.5 as a guideline** See para. 3.2.4 for requirements concerning compliance with Society Policies. Subordinate groups may also have **alternates**, delegates and contributing members.

5.1.1 The consensus committee may approve membership of the subordinate groups reporting to it (i.e., appointments, reappointments and terminations), or the standards committee Chair may appoint the membership. Resignations from subordinate groups are reported to the standards committee for information only. **Approval of membership of subordinate groups not reporting to the consensus committee shall be approved by the consensus committee or the parent committee.**

S5.1.2 See Appendix III for more on Subordinate Groups.

S5.1.3 Duties of Members. The duty of each member is to give thorough consideration to each subject brought before the subordinate group for action, to vote on approval or disapproval of each proposal, to contribute his/her expertise in the preparation of standards, to advise on personnel for membership on subordinate groups, and to assist generally in carrying out the functions of the committee. Such duties may be carried out by attendance at meetings, correspondence, telephone, teleconference, or other electronic means. **Members failing to carry out their duties shall be subject to having their appointment terminated. Individuals whose appointments have been terminated may appeal this action.**

5.2 Subordinate Group Officers

5.2.1 Standing subordinate groups that report directly to the standards committee shall have a Chair. Subordinate groups may also have Vice Chairs. The Chair and Vice Chair shall serve no more than two consecutive three-year terms in each office. This limit can be exceeded for special circumstances if approved by at least 2/3 of the consensus committee members. Examples of special circumstances **are:**

- there is no other qualified candidate who is willing to serve
- **when the subordinate group draft is more than 75% completed, and the subordinate group feels the loss of the Chair's leadership will adversely affect the progress of the draft**

The Chair and Vice Chair of standards development subordinate groups that report directly to the standards committee shall be nominated and elected using the method specified in para. 4.2.3, by holding an election via C&S Connect ballot or at a meeting. The Chair and Vice Chair shall be elected by a majority vote of the subordinate group, subject to confirmation of the consensus committee.

In the case of new standards development subordinate groups that report directly to the standards committee, the Chair and Vice Chair may be appointed by the standards committee Chair.

The standards committee may remove an ineffective (e.g., failure to act, none responsive, stagnation of group activities) Chair or Vice Chair of a subordinate group that reports directly to the standards committee and appoint a successor. The individual removed from office may appeal the action to the board.

5.2.2 Chairs of all other subordinate groups that do not report directly to the standards committee shall be appointed to specific terms not to exceed five years. Such appointments may be by the Chair of the standards committee or by the Chair of the group to which this subordinate group directly reports. Renewal of these appointments shall be confirmed by the consensus committee or subordinate group that made the original appointment by 2/3 approval. No more than two consecutive terms may be served. This limit can be exceeded for special circumstances if approved by at least 2/3 of the consensus committee members. An example of a special circumstance is that there is no other qualified candidate who is willing to serve.

5.3 Project Teams. Each standards action shall have an assigned project team to manage and prepare proposals for consensus committee approval. In most cases for standards actions under the Board on Standardization & Testing the Committees work on an entire document at once and the “assigned project team” is an existing standards committee, subcommittee, technical committee or project team. An “assigned project team” shall consist of a project administrative manager (normally an ASME staff member), a project technical manager (normally a technically knowledgeable committee member) and, as necessary, additional standards committee and subordinate group members. Other technically knowledgeable members of the public, including those responsible for requesting the action, may be included. Project teams may be assigned one or more standards actions.

5.3.1 The selection process for “assigned project team” members shall be described in the consensus committee’s supplement. See para. 3.2.4. Selection of project teams is not governed by the requirements of para. 5.1.

When an existing committee is not the “assigned project team” for a standards action, the “assigned project team” members for the standards action shall be appointed by the standards committee chair or the appropriate subcommittee chair if one exists.

6 DUTIES OF THE STANDARDS COMMITTEE

6.1 Standards. The standards committee shall:

6.1.1 Develop standards within its charter. At the initiation of a project to develop a new standard or to revise an existing standard that is maintained under periodic maintenance, notification shall be submitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent. If comments are received within 30 days from ANSI's announcement of the PINS and the comments assert that the proposed standard duplicates or conflicts with an existing American National Standard or a candidate American National Standard announced previously by ANSI, the comments shall be addressed in accordance with para. 2.5 of the *ANSI Essential Requirements*. Such notification is not required for revisions of a standard that is maintained under continuous maintenance.

S6.1.1.1 Scope of a New Standard, Technical Report, Guide or Revision of a Scope. The consensus committee shall review and approve the scope of new standards, technical reports and guides within its charter at the initiation of the project. The scope of a new standard, technical report or guide shall be processed as a standards action in accordance with Section 7. A significant revision to the scope of an existing standard, technical report or guide shall be processed as a standards action in accordance with Section 7.

6.1.2 Maintain standards within its charter under periodic maintenance, continuous maintenance or stabilized maintenance procedures. Standards shall be revised as necessary. ANSI approval of an American National Standard automatically expires on the tenth anniversary date of its approval.

6.1.2.1 Periodic Maintenance. Each standard shall be reaffirmed, revised, or withdrawn within five years after its approval [for identical national adoptions of ISO or IEC standards; refer to para. 7.3]. All proposed revisions shall be prepared and balloted in one record. Unless notification of a project initiation (see para. 6.1.1) or request for public review announcement (see para. 8.1) has already been submitted to ANSI for a standard that is maintained under periodic maintenance, the Secretary shall submit to ANSI a request for an extension of time to reaffirm or revise a standard within thirty days following five years after the approval date of the standard.

When performing the required five-year review of a standard, the following shall be considered:

- a) revise the standard because it is still relevant, but changes are needed
- b) reaffirm the standard because it is still relevant, and no changes are needed
- c) withdraw the standard because it is no longer relevant

6.1.2.2 Continuous Maintenance. Each standard shall be reaffirmed, revised, or withdrawn within five years after its approval [for identical national adoptions of ISO or IEC standards; refer to para. 7.3]. Unless a request for public review announcement (see para. 8.1) has already been submitted to ANSI, a request for extension for a standard maintained under continuous maintenance may be submitted to ANSI within five years after its latest approval date, but the standard shall then be maintained under periodic maintenance.

An American National Standard (ANS) that is maintained under the continuous maintenance option shall include a clear statement of the intent to consider requests for change and information on the submittal of such requests.

6.1.2.3 Stabilized Maintenance. An ANS maintained under the stabilized maintenance option is not required to be revised or reaffirmed on a routine 5-year cycle; however, it shall be subject to review of such status by the committee and board on a 10-year cycle. If it is determined in connection with this review that the standard shall continue to be maintained under the stabilized maintenance option and as such does not require revision or withdrawal, then this shall be communicated to ANSI and a related announcement shall be made in Standards Action. Notification to ANSI shall be accomplished via the submittal of an informational announcement if the standard will continue to be maintained under the stabilized maintenance option, or will be withdrawn (via submittal for ANSI Public Review), or revised (via PINS). The initial decision to maintain a standard under stabilized maintenance is required to be submitted for ANSI public review and for ANSI approval [para. 7.2.6(a)].

If a recommendation is made at any time by a materially affected and interested party that a standard maintained under the stabilized maintenance option requires revision or should be withdrawn, that recommendation shall be considered in the same manner as a new proposal but within a maximum of 60 days from receipt. A recommendation should include rationale to begin a revision, but need not propose a specific revision. A written response shall be issued by the committee or board within 60 days of receipt of the recommendation, informing the submitter of the decision relative to the maintenance status of the standard.

A standard that is maintained under the stabilized maintenance option shall include a clear statement of the intent to consider requests for change and information on the submittal of such requests and the ASME Web site shall indicate how to submit such requests.

6.1.3 Achieve a consensus for the action proposed on a standard.

6.1.4 Ensure that duplication of standards is minimized.

6.1.5 Make good faith efforts to resolve potential conflicts between existing American National Standards and candidate American National Standards.

6.1.6 Provide for interpretations of standards within its charter, if applicable.

6.1.7 Report status of standards within its charter at least annually to the cognizant board.

6.1.8 Oversee the assignment of project teams for the development of proposed standards actions.

6.2 Meetings. The standards committee shall do the following:

6.2.1 Hold meetings or electronic conferences as determined by the standards committee or the Chair on behalf of the standards committee. Teleconference meetings are encouraged to minimize travel and reduce the time it takes to complete actions. **Standards Committee meetings, teleconferences and web conferences shall be announced (e.g., on the Standards Committee web page).**

6.2.2 Provide for meetings open to the public. Members of the public may express their views on items being discussed but shall not have voting privileges. However, a portion of a meeting may be in executive session, when considering subjects such as personnel, accreditation, certification, registration, litigation and other administrative matters.

6.2.3 At meetings, a quorum shall consist of at least 50% of the consensus committee membership eligible to vote. In the absence of a quorum, the minutes of the meeting and any voted action shall be subject to approval by a recorded vote of the membership.

6.2.4 Recording, in any format, of meetings and teleconferences is prohibited by any member of a committee, guests, or attendees. Only the secretary, who is a member of ASME's staff, may be permitted to record a meeting under certain guidelines.

6.2.5 On questions of parliamentary procedure not covered in these operating rules, "Robert's Rules of Order" shall be used.

6.3 Members. The consensus committee shall do the following:

6.3.1 Recommend members from the necessary areas of interest.

6.3.2 Approve membership of the subordinate groups reporting to it, as required by the committee's procedures.

S6.3.3 Nominate and/or approve individuals for honors, medals and other appropriate awards.

S6.4 Technical Reports

For the development and maintenance of Technical Reports see Appendix X.

S6.5 Guide / Guideline

S6.5.1 An ASME standards committee may develop a Guide / Guideline within its charter, when appropriate. A Guide provides recognized and generally accepted engineering practices intended to help practitioners in the performance of their responsibilities. A guide provides suggestions or choices of solutions to engineering problems, rather than directives that are provided by a standard. A guide may be written to provide additional practices and commentary to support a standard. Guides shall not contain any information implying that it is a standard.

A guide can be a stand-alone document or included in a code or standard, provided it is separated from the requirements Section, e.g., placed in a non-mandatory appendix.

S6.5.2 Guide / Guideline shall be processed as a standards action in accordance with Section 7 of the Procedures for ASME Codes and Standards Development Committees, with the exceptions as stated in Section X2.0.

S6.5.3 For the maintenance of ASME Guide / Guideline Section X3.0 shall be used.

S6.6 Draft Standards For Trial Use (aka pre-standard)

S6.6.1 A Draft Standard for Trial Use is written as a standard but the subject matter is typically still under development (e.g., emerging technology) and there is an identified urgent need to have the Draft Standard For Trial Use in place prior to the normal standardization process.

A Draft Standard for Trial Use may be used as a method to solicit comments and gain experience through the application of the requirements in the Draft during the trial use period. Draft Standards for Trial Use shall not contain any information implying that it is a standard.

S6.6.2 For the development of Draft Standards for Trial use see Appendix IX.

S6.7 Cases

The standards committee shall:

S6.7.1 Develop Cases within its charter when appropriate. Cases are approved by ASME, but are not subsequently submitted for ANSI approval. Procedurally, Cases are handled like standards actions, except for the following:

- The Project Initiation System Notification process is not required. See para. 6.1.1.
- Announcement for public review in ANSI Standards Action is not required. See para. 8.1.
- The Case is not submitted for ANSI approval as described in para. 9.2.

The process shall include posting the proposed Case, revision to a Case, or annulment of a Case on the appropriate ASME standards committee web page for a thirty-day public review and comment period (usually following subcommittee approval or concurrent with the standard committee ballot). Public comments received on a Case shall be handled in accordance with para 8.4.

Cases are effective for use immediately following Board approval and the public review process has been completed. Cases are usually made available on the applicable Committee Web Page on C&S Connect or the Case database.

S6.7.2 Maintaining Cases. The standards committee shall review each Case within its charter at least once every five years to determine whether the Case should be:

- a) annulled because it is no longer needed or has been incorporated into the standard,
- b) reaffirmed because it is still needed, but no changes are needed; or
- c) revised because it is still needed, but changes are needed.

Cases will be annulled automatically at their expiration date unless extended or previously annulled by voted action of the standards committee.

S6.8 Adoption of an ASME Document by ISO or ISO Document by ASME

Board and Council on Standards and Certification approval is required prior to:

- (a) submitting ASME copyrighted standards or draft ASME standards to ISO for approval consideration by ISO, and,
- (b) submittal of an ISO copyrighted standard or draft ISO standards to an ASME committee for approval consideration as an ASME standard (see Section 7.3).

S6.9 Related International and Regional Standards Activities

Where applicable, committees shall provide for representation of U.S. interest in related international [e.g., International Organization for Standardization (ISO)] and regional standards activities [e.g., Pacific Area Standards Congress (PASC)].

S6.10 Hearings

The standards committee shall provide hearings as needed.

S6.11 Communications

S6.11.1 External. Official external correspondence of the Committee pertaining to ASME standards or the activities of the Committee shall be issued over the signature of the ASME Secretary.

S6.11.2 Committee Correspondence. Written communications concerning any ASME Codes & Standards issues shall not be placed on Stationery of the members' employer if the writer is acting as a Council, Board, standards committee or subordinate group participant. Stationery of the members' employer shall be used if the writer is acting on behalf of their employer, rather than as an ASME Codes & Standards participant, such as in the presentation of an inquiry.

7 STANDARDS COMMITTEE ACTIONS

Standards committee actions are of five types:

- a) Approval of a proposed new standard, a proposed revision to an existing standard, a proposal to reaffirm an existing standard, or a proposal to withdraw an existing standard (See para. 7.2).
- b) Approval of a proposal to maintain a standard under the stabilized maintenance option and to continue to maintain a standard under this option (See para. 7.2.6).
- c) Approval of national adoptions of ISO or IEC standards (See para. 7.3).
- d) Approval of editorial actions (See para. 7.4).
- e) Approval of personnel and administrative items or actions relating to policy or ASME position (See para. 7.7).

Approval of a proposed new standards committee charter and revision to an existing standards committee charter shall be processed as a standards action in accordance with Section 7. Board and Council approval are required. Approval of editorial changes to a standards committee's charter shall be processed in accordance with Section 7.4. Board approval is required.

7.1 Voting Obligations

Standards committee participants eligible to vote or their designated alternate shall be obligated to vote on each committee action and are encouraged to vote as early as possible. Consistent failure to vote, or abstention from voting, shall be just cause for termination in accordance with para. 7.7.

7.2 Approval of Standards Actions

7.2.1 Review and Comment

(a) At appropriate stages of the development process, the project team should provide access to draft proposals for review and comment to technically affected parties, such as: the relevant standards committee, subordinate groups, other standards committees, board members and members of the public who have expressed interest. **An Industry Review may also be performed (see Appendix XI).**

(b) All standards actions, including technical revisions to the initial proposal that require a recirculation ballot of the consensus committee or new first consideration ballot of the standards committee shall be forwarded to the cognizant board for review and comment (typically concurrent with the standards committee ballot).

(c) Committee officers or the project technical manager shall determine whether comments received are substantive. Comments received that are not related to the proposal under consideration shall be considered non-substantive and may be considered as a submittal of a new proposal. The submitter shall be so notified.

(d) Substantive comments related to the proposal under consideration shall be submitted to the project team for consideration.

(e) The project team shall develop responses to substantive comments, prepare a summary of comments and responses, and make the summary available. If substantive changes are made to the proposal, the proposal shall be resubmitted for review and comment either concurrent with, or followed by, a recorded vote. If the review and comment is conducted prior to a recorded vote and the proposal has no changes or only non-substantive changes as a result of the comments, the proposal shall be submitted to the standards committee for vote.

7.2.2 Authorization of Recorded Votes. A recorded vote may be authorized by any of the following:

- a) Project team responsible for the standards action
- b) Standards committee officer
- c) Cognizant board
- d) A majority vote of those standards committee participants present in a standards committee meeting and eligible to vote
- e) Petition of five standards committee participants.

7.2.3 First Consideration Ballot

(a) Ballots for approval of standards actions shall be recorded in C&S Connect. All standards committee participants shall have an opportunity to vote. When recorded votes are taken at meetings, the standards committee participants eligible to vote who are absent shall be given the opportunity to vote.

(b) The Secretary shall submit the proposal to the standards committee along with the following:

- 1) an explanation of why the action is being proposed
- 2) substantive comments recorded in C&S Connect during the development process and project team responses to the comments
- 3) the closing date for the voting period

(c) The ballot form shall contain four forms of response: **approved, disapproved, abstain, and not voting.**

S(c) Explanation of Forms of Response:

Approved - vote indicates that you accept the proposal as written. Comments may be submitted with these votes however; these comments may be used by the Secretary for guidance in preparing the final publication, be used by the project team Manager of the action for consideration for possible future revision or may be considered by the committee prior to moving the proposal forward.

Disapproved with Reason - vote indicates that you do not accept the proposal as written and a reason for your disapproval shall be stated. For standards actions it is preferred that the vote include an alternative action that will resolve their disapproved vote.

Disapproved votes that are not accompanied by comments related to the proposal under consideration shall not be further considered and will be recorded as “Disapproved without Comment.”

Not Voting with Reason – A response of **not voting** signifies neither approval nor disapproval and shall be executed only when the standards committee participant believes that he/she has a conflict of interest or potential conflict of interest and, in accordance with Society Policy, is removing himself/herself from the voting process.

A response of “not voting” reduces the total committee voting membership for that particular action. This vote essentially removes you from the Committee for the purpose of determining the percentage of approved votes on that particular action.

Abstain with Reason - vote indicates that you do not wish to either approve or disapprove the proposal because you either would like to have further Committee discussions prior to taking a position, you lack technical expertise, lack of adequate time to consider the proposal, or you are an employee of a governmental agency which prevents you from voting. An "abstain" vote does not affect the total committee voting membership (i.e., the vote is counted for the purpose of determining the percentage of approved votes).

(d) Standards committee participants casting disapproved or abstain votes or not voting responses shall provide written explanation. Disapproved votes should include an alternative action that will resolve their disapproved vote.

(e) Disapproved votes accompanied by comments unrelated to the proposal under consideration, or without comments, shall not be further considered, are not required to be submitted for recirculation, and shall be reported as disapproved without comment votes. The member who submitted the vote is not required to be notified of their right to appeal. Comments that are not related to the proposal under consideration shall be documented and considered in the same manner as submittal of a new proposal. The submitter of the comments shall be so notified.

(f) Voting periods shall not be shorter than two weeks unless agreed to by the consensus committee. Voting periods shall be closed no later than the established closing date unless the consensus committee or an officer extends the voting period.

S(f)1 Voting Period. The voting (C&S Connect ballot) period for standards actions is typically four weeks. A voting period of six weeks may be used based upon factors such as the size and complexity of the proposal, and the current committee workload.

S(f)2 Reminder. When approximately two-thirds of the voting period has elapsed, a reminder shall be sent to those members who have not voted.

S(f)3 Not Returned Ballots. Members who have not voted by the close of the voting period shall be recorded as Not Returned. There is no reduction in the total standards committee voting membership for members recorded as not returned.

(g) An alternate’s vote shall be counted in the tally only if the corresponding standards committee participant’s vote is not submitted. In the event both the member and alternate vote, the alternate’s comment shall be considered in the same manner as a Review and Comment (see para. 7.2.1).

(h) Members may change their vote at any time up until the closure of the ballot.

(i) Votes received by the Secretary after the ballot has been closed shall not be counted. **A late vote that contains comments shall be forwarded as comments to the project team manager of the standards action for consideration of a possible future revision.**

(j) At the close of the ballot, the Secretary shall submit a complete voting tally, including the text of all disapprovals and comments, to the standards committee and the project team.

(k) The project team shall address all comments and attempt to resolve all disapproved votes accompanied by comments related to the proposal under consideration. The project team responses shall be made available to the standards committee and shall include a recommendation of one of the following:

- (1) proceed with no changes
- (2) submission for recirculation ballot (with or without editorial or technical revisions) (see para. 7.2.4)
- (3) submission of revised proposal for first consideration ballot (see para. 7.2.3)
- (4) withdrawal of proposal

(l) Proposals that receive at least two thirds affirmative vote of the consensus committee membership, excluding any “Not Voting” and “Disapproved without Comment” responses, and that receive no disapprovals of the standards committee membership, and that require no changes shall proceed to ANSI public review (see para. 8) and supervisory board approval (see para. 7.2.7). **One disapproval received within the voting period on a first consideration vote shall be sufficient to keep the item from proceeding.**

If one or more disapproved vote is received from a subcommittee or project team member during a concurrent vote with the standards committee, it shall be sufficient to keep the item from proceeding. An attempt at resolution shall be made in accordance with Procedures.

(m) Disapproved votes may be withdrawn by the member after the ballot has been closed. With the exception of para. 7.2.3(e), the Secretary shall not withdraw the disapproved vote unless the voter has provided the Secretary with instruction to do so. If the withdrawal of the disapproved vote was not submitted in writing by the voter or documented in the minutes of the relevant standards committee meeting, written confirmation of the withdrawal of the disapproved vote shall be provided to the voter by the Secretary.

(n) Editorial changes made to a standards action as a result of a disapproved vote and other comments received shall be handled in accordance with para. 7.4.

(o) Technical changes made to a proposed standards action as a result of a disapproved vote and other comments received shall be submitted for either a recirculation ballot or a first consideration ballot, at the discretion of the standards committee officers.

7.2.4 Recirculation Ballot

(a) A recirculation ballot shall be issued only after completion of a first consideration ballot and shall be conducted for one of the following reasons:

- (1) to review unresolved disapproved votes and/or substantive supervisory board comments
- (2) to review unresolved objections received as a result of ANSI public review (see para. 8)
- (3) to review editorial revision(s) in response to comment(s)
- (4) to review technical revision(s) in response to comment(s)

(b) Ballots for recirculation of standards actions shall be recorded in C&S Connect. All consensus committee members shall have an opportunity to vote. When recorded votes are taken at meetings, the consensus committee members eligible to vote who are absent shall be given the opportunity to vote (see S7.2.4).

(c) The recirculation ballot shall include a summary of disapproved votes, public review objections, and/or substantive supervisory board comments and the project team responses, as well as any proposed revisions.

(d) During a recirculation ballot, members of the consensus committee shall be afforded the opportunity to change their vote cast during the first consideration ballot. Members of the consensus committee who did not cast a vote during first consideration ballot may participate in subsequent ballots **however their vote on recirculation ballots is limited as stated in para. 7.2.4(f). The recirculation ballot shall be distributed to the same committees as the first consideration ballot. Exceptions to this rule would be if the committee previously took action on the proposal that is being recirculated, which included reviewing the remaining disapprovals (e.g., the cognizant subcommittee reviewed and accepted changes during a meeting or teleconference).**

(e) Voting periods shall not be shorter than two weeks unless agreed to by the consensus committee. **The voting period for recirculation votes is typically two to four weeks.** Voting periods shall be closed no later than the established ballot closing date, unless the consensus committee or an officer extends the voting period.

(f) Disapproved votes shall be limited to:

- 1) support of first consideration ballot disapproved votes, unresolved public review objections and/or substantive supervisory board comments
- 2) disagreement with any changes introduced to the proposal

In those cases in which a disapproval on a recirculation vote is not based on the above, the Chair may rule that the disapproval be recorded as a “Disapproved without Comment” and no further consideration is required for that vote. The accompanying comments shall be forwarded to the project manager of the action for consideration in a future revision.

(g) Recirculation proposals that receive at least two thirds affirmative vote of the consensus committee membership, excluding any “Not Voting” and “Disapproved without Comment” responses, shall proceed to ANSI public review (see para. 8) and supervisory board approval (see para. 7.2.7).

(h) Members may change their vote at any time up until the closure of the ballot.

(i) For recirculation proposals that do not receive at least two thirds affirmative vote of the consensus committee membership, excluding any “Not Voting” and “Disapproved without Comment”

responses, disapproved votes may only be withdrawn on the most recent recirculation ballot and only up to 6 months after that recirculation ballot has been closed.

(j) Standards committee participants who submitted the unresolved disapproved votes shall be notified in writing (including electronic communications) of their right to appeal consensus committee actions.

S7.2.4 Recirculation Votes During a Meeting

If it is determined that a substantive, non substantive or editorial change to a proposal is appropriate to resolve a disapproval or comment (or is needed following approval of the item), the revised proposal may be considered by the consensus committee during a meeting. All remaining standards committee disapprovals shall be reviewed during the meeting. For substantive changes voted on during a meeting an absentee ballot (real-time ballot) shall be issued to those members not in attendance or represented by an approved alternate. Approval shall be in accordance with the same criteria as for a recirculation ballot.

Approval of non substantive or editorial changes to a proposal during a meeting requires at least two-thirds affirmative vote of the members present (see 7.4).

7.2.5 Withdrawing or Holding an Approved Standards Action

A standards action that has been approved by the consensus committee may be put on hold or withdrawn by the consensus committee. Withdrawing or holding an item requires the following:

- (a) Consideration of action to hold or withdraw an approved standards action shall have been initiated by the consensus committee prior to submittal of the approved action for ANSI approval (see para. 9.2).
- (b) The action to hold or withdraw an approved standards action shall be approved by 2/3 of the total consensus committee membership, excluding any “Not Voting” and “Disapproved without Comment” responses, either at a meeting or via C&S Connect ballot.
- (c) If the approved standards action had already been submitted for supervisory board approval (see para. 7.2.7), action to hold or withdraw that standards action also requires approval of the supervisory board, in accordance with its procedures.

7.2.6 Stabilized Maintenance Approval Requirements

The decision to maintain a standard under the Stabilized Maintenance option and to continue to maintain a standard under this option shall be approved in the same manner as a standards action through the consensus committee and supervisory board (in accordance with paras. 7.2.2, 7.2.3, 7.2.4, 7.2.5, and 7.2.7), with the following modifications:

- (a) The initial decision to maintain a standard under stabilized maintenance is required to be submitted for ANSI public review (para. 8.1) and for ANSI approval (para. 9.2), but a PINS notification (para. 6.1.1) is not required.
- (b) For subsequent actions to continue to maintain a standard under stabilized maintenance, PINS notification, ANSI public review and ANSI approval are not required. However, the

approved decision shall be announced on the ASME Committee web site for 30 days (subsequent to consensus committee approval) and notification of the voted action to ANSI shall be accomplished via the submittal of an informational announcement if the standard will continue to be maintained under the stabilized maintenance option.

- c) Alternatively, the standard may be revised (ANSI will be notified via PINS) or withdrawn (ANSI will be notified via submittal for ANSI public review).

7.2.7 Supervisory Board Approval

After a standards action has been approved by the consensus committee, the Secretary shall submit the standards action to the Secretary of the cognizant supervisory board for approval in accordance with its procedures, along with the following:

- a) a tally of the consensus committee voting
- b) a summary of unresolved disapproved votes and board comments, and project team responses
- c) Any comments resulting from ANSI public review (see para. 8) shall be provided to the supervisory board, along with the corresponding responses and final consensus committee voting tally.

Standards actions without any unresolved consensus committee disapproved votes, substantive supervisory board comments, or public review objections may be administratively approved, at the option of the individual board, by delegating the board's responsibility for procedural review. Such review and declaration of administrative approval may be accomplished by responsible ASME staff or by a board-appointed review group, with no formal recorded vote of the board required. Notification of standards actions that have been declared administratively approved shall be provided to the responsible board.

For standards actions without any unresolved consensus committee disapproved votes, substantive supervisory board comments, or public review objections the board has delegated this responsibility for procedural review to the board Secretary.

7.3 Approval of National Adoptions of ISO or IEC Standards as American National Standards

7.3.1 ASME standards committees may consider national adoptions of ISO or IEC standards in the absence of a corresponding ASME standard or if the ISO or IEC standard is the relevant sector's preferred standard to meet safety and marketplace needs. If an ASME standard with the same scope does exist, it would normally be withdrawn subsequent to the national adoption of the ISO or IEC standard, or revised to supplement the nationally adopted ISO or IEC standard.

7.3.2 Recommendations to proceed with approval of national adoptions of ISO or IEC standards require approval of the responsible supervisory board and Council on Standards and Certification.

7.3.3 Refer to the ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards for requirements for proposed national adoptions of ISO and IEC

standards. Only identical or modified versions of ISO or IEC standards may be considered for national adoption.

7.3.4 Standards committee approval of national adoptions shall be in accordance with para. 7.2 or, for identical adoptions, in accordance with the expedited procedures provided in the ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards.

7.4 Approval of Editorial Actions. Editorial actions are those proposing changes to the code or standard that are not substantive. **The ballot period for editorial changes is typically two weeks.** Editorial actions shall be approved using the method described for standards actions in para. 7.2, or by the following method at meetings in which a quorum is present.

- (a) The proposed revision to the consensus committee along with an explanation of why the action is being proposed.
- (b) Members shall either **Approve** (accepting the change as non-substantive) or **Disapprove** (in disagreement with the change or asserting that the change is substantive).
- (c) Editorial action shall be approved when at least 2/3 of the consensus committee members present approve the action.
- (d) Editorial actions that do not receive 2/3 approval shall be submitted for approval using the method described for standards actions in para. 7.2.

7.5 Errata

- (a) Proposed errata shall be reviewed by ASME Staff in accordance with the criteria for errata in para. 7.5(b) and take into account the associated approved action, if any. If the proposal is determined to be errata, the staff shall post the errata on an appropriate Committee Web page and advise the cognizant committee of this for information. No voted action is required.
- (b) Errata are issued to correct the following:
 - 1) typographical errors or misspellings, regardless of origins
 - 2) publication of items that were approved but incorrectly published, including:
 - a. staff or printer's errors,
 - b. omission of approved items
 - 3) incorrect publication of an item that did not receive the necessary approvals
- (c) Errata shall be identified, described and published in the next edition of the standard.

7.6 Drafts Submitted for Review under a Canvass-type Process

ASME committees shall not vote or provide positions on drafts submitted by other standards developers under a canvass-type process. However, interested individuals may submit their own personal comments on such drafts during the ANSI public review period.

7.7 Approval of Personnel and Administrative Items

- (a) Personnel and administrative items or actions relating to policy or ASME position shall be approved by one of the following methods:

- 1) a majority vote of approval by consensus committee members on a ballot
 - 2) a majority vote of approval by consensus committee members at a committee meeting, provided a quorum is present
- (b) This criterion also applies to honors and awards unless a more restrictive requirement applies to the particular honor or award.
- (c) Approval of motions during a meeting shall be by at least a majority vote of the members voting; however, the Chair may rule that a motion has not passed even if a majority vote has been cast. The reason for such ruling shall be the closeness of the vote, abstention of some members, or a combination of these reasons.

S7.7 Consideration of Personnel and Administrative Items – Submitted for Letter Ballot

Section S7.7 supplements Section 7.7 and provides additional requirements for Administrative items that are balloted.

If a personnel or administrative proposal is submitted for ballot to the standards committee, the following requirements apply:

S7.7.1 For personnel items initially submitted by ballot:

- (a) if no disapprovals are received the item shall proceed,
- (b) if a disapproval is received, one of the following methods shall be used:
 - (1) the disapproval shall be included with the closure letter (e-mail) and will note that all members have the opportunity to change their vote within two weeks following the date of the closure letter. If any members indicates he wants to change his/her vote within the two week period, the Secretary will distribute a revised closure letter. The item shall proceed when a majority of the standards committee members vote approved.
 - (2) with the Chair's concurrence, the personnel item would be held to be discussed during an executive session of the standards committee. The item shall proceed when a majority of the standards committee members' present vote approved and a quorum is present.
 - (3) with the Chair's concurrence, the personnel item may be sent for a second ballot. The item shall proceed when a majority of the standards committee members vote approved.

S7.7.2 For administrative items other than personnel submitted by ballot: if a disapproved with reason vote is received, the disapproved vote shall be circulated to members of the standards committee for consideration. An attempted to resolve the disapprovals shall be made. The item or revised item shall proceed when a majority of the standards committee members vote approved during a second consideration ballot or at a standards committee meeting provided a quorum is present.

S7.8 Required Administrative Action When a Single Category Has a Majority of a Standards Committee

The second paragraph of 3.2.5 requires a recorded vote and approval of the other classifications when a single category of interest has a majority of a consensus committee. One method to accomplish the

required vote is to add a statement to the vote on the membership action (i.e., appointment, reappointment, termination, or change of interest) that caused or continues a single category to have a majority of a standards committee. In other words, there should be a second part to the motion/vote that states, “By approving this membership action the members accept the fact that a single category of interest will have a majority of the consensus committee”. If a resignation of a consensus committee member causes a single category to have a majority of the consensus committee, then the members in the other classifications of the consensus committee shall vote to accept the committee having a majority in a single category of interest or they may use the method below.

Another method to accomplish the required vote would be to contact the members in the other classifications to accept the committee having a majority in a single category. This would occur following approval of each standards action, while the consensus committee is not balanced. Members would only need to respond if they object to the situation. A two-week response period is normally used.

The fact that a single category of interest has a majority of a consensus committee shall be noted in the memo to the Board when considering the action.

8 PUBLIC REVIEW

8.1 All proposed, revised, reaffirmed or withdrawn standards shall be announced on the ASME Web site for public review. If the proposal is intended to be submitted to ANSI for approval, it shall also be announced in ANSI Standards Action. At the request of an Officer of the standards committee, this may be conducted concurrently with or following standards committee voting.

Public review submission at the same time as the standards committee vote is generally used when no substantive changes are expected to the proposal(s) being considered.

Any substantive changes to the proposal made after public review requires approval in accordance with para. 7.2 and another public review comment period.

8.2 The standards committee may supplement the public review by having a proposed standards action sent to group(s) or individual(s) known to have an interest in the scope and purpose of the proposed standards action.

8.3 The standards committee may supplement the public review with public hearings addressing the scope and provisions of standards.

8.4 The project team shall attempt to resolve all negative comments received through public review that are related to the proposal under consideration. Following consideration of each such comment, the commenter shall be advised in writing (including electronic communications) of the consideration of the comments, the action taken, or reasons why the comments could not be resolved and notification in writing (including electronic communications) of their right to appeal the standards committee's actions. All unresolved public review objections that are related to the proposal under consideration, along with project team responses, shall be distributed to members of the consensus committee who will have the opportunity to respond, reaffirm or change their vote on the proposal, using a recirculation ballot (see para. 7.2.4). Recirculation proposals that receive at least two thirds affirmative vote of the consensus committee membership, excluding any Not Voting and Disapproved without Comment responses shall proceed to supervisory board approval (see para. 7.2.7). [Refer to the ANSI Procedures for the National Adoption of ISO and IEC Standards as American National Standards for alternative public review procedures for proposed identical national adoption of ISO or IEC standards.]

Comments that are not related to the proposal under consideration **or were received subsequent to the closing of the public review and comment period** shall be documented and considered in the same manner as submittal of a new proposal. The submitter of the comments shall be so notified.

9 APPROVAL

9.1 Supervisory Board. The cognizant board shall take the appropriate action to attest that these procedures have been followed and that the requirements set forth in these procedures have been met. Refer to para. 7.2.7.

9.2 American National Standards Institute (ANSI)

9.2.1 If a proposal is intended to be submitted for ANSI approval, the requirements of paras. 9.2.2 and 9.2.3 shall be followed.

9.2.2 When the cognizant board has completed action per para. 9.1 regarding the proposed standard, revision, reaffirmation, or withdrawal, the proposal shall be submitted to the American National Standards Institute indicating that the ANSI criteria for approval have been met. Requests for ANSI approval shall be submitted within one year from the close of the ANSI public review comment period unless ANSI has been notified in writing of good cause for a different schedule for submittal.

The ANSI criteria for approval are as follows:

(a) The standard was developed in accordance with the procedures upon which the developer was granted accreditation, with particular attention given to whether due process was followed, consensus was achieved, and an effort was made to resolve any objections to the standard.

(b) Any appeal to the standards developer with respect to the standard was completed.

(c) Notice of the development process for the standard was provided to ANSI in accordance with PINS or its equivalent.

(d) Any identified conflict with another American National Standard was addressed in accordance with the *ANSI Essential Requirements*.

(e) Other known national standards were examined with regard to harmonization and duplication of content.

(f) ANSI's patent policy is met, if applicable.

(g) ANSI's policy on commercial terms and conditions is met, if applicable.

9.2.3 The information to be submitted by the Secretary to the American National Standards Institute shall be as specified in Clause 4.2.1.1 of the ANSI Essential Requirements: Due process requirements for American National Standards, and shall include the following:

(a) Title and designation of the proposed American National Standard

(b) Indication of the type of action requested (that is, approval of a new American National Standard; reaffirmation, revision, or withdrawal of an existing American National Standard; or national adoption of ISO or IEC standard)

- (c) A declaration that applicable procedures were followed
- (d) A roster of the consensus committee at the time of voting, an indication of the vote of each member including abstentions and unreturned votes, the interest category of each member, and a summary of voting in each interest category
- (e) Identification of all unresolved negative views and objections, with names of the objector(s), and a report of attempts toward resolution

10 INTERPRETATIONS

10.1 General. Interpretations are formal written responses to written (e.g., letter, fax or e-mail) inquiries, and are transmitted to the inquirer on ASME interpretation letterhead.

Informal responses to inquiries may be offered by ASME staff and volunteers. Such individual responses should be accompanied by a statement making it clear that they are the opinion of the individual, not interpretations. These responses may be either verbal or written. If written, the responses shall not be on ASME interpretation letterhead.

10.2 Requirements for Interpretations

- (a) Interpretations shall be written in an “inquiry” and “reply” format.
- (b) The inquiry or the reply shall include the name and specific edition(s) of the standard(s) being interpreted.
- (c) Existing interpretations shall be revised when there is an identified need for a correction or clarification. There shall be a statement advising that ASME may reconsider its interpretation when additional information is made available.
- (d) Interpretations shall not revise existing requirements or establish new requirements.
- (e) Interpretations shall not include explanations describing why the standard is written the way it is, except they may include any rationale that was approved through the consensus process as a part of the standards action.
- (f) Interpretations shall not approve, certify, rate or endorse any item, construction, proprietary device or activity.
- (g) Interpretations shall be transmitted to the inquirer on ASME interpretation letterhead signed by the staff person responsible for administrative activities of the standards committee or cognizant subcommittee.
- (h) Those interpretations not included in a special interpretation publication service shall be published on the ASME Web site, and/or in the Codes and Standards section of **Mechanical Engineering** magazine and in the **Interpretation database**.

10.3 Approval Committee. Interpretations may be approved by either of two committees.

- (a) **Consensus Committee or Cognizant Subcommittee.** Interpretations may be approved by a vote of the consensus committee or cognizant subcommittee. No member interest category shall have a majority on the cognizant subcommittee.
- (b) **Special Inquiry Committee.** Interpretations may be approved by the unanimous vote of a special **inquiry** committee. **If a special inquiry committee meeting is held it shall be open to the public.** Members of the special **inquiry** committee shall be members of the consensus committee or subordinate group responsible for the standard. No member interest category shall have a majority on the special **inquiry** committee. The special **inquiry** committee shall have at least five members, one of which shall be the ASME staff secretary responsible for the standard.

Special **inquiry** committee members shall be appointed by the Chair of the standards committee or cognizant subcommittee.

One member of the special **inquiry** committee shall be designated as Chair. The Chair shall be appointed by the Chair of the standards committee.

I. For committees with subcommittees the following shall be used to select the special inquiry committee members:

The Chair and Vice Chair of the subcommittee directly associated with development of the standard involved in the inquiry shall be members of the special inquiry committee. The third and fourth members shall be selected from the subcommittee or consensus committee through consultation between the subcommittee Chair and Staff Secretary of the concerned committee. If the Chair or Vice Chair of the subcommittee can not serve on the special inquiry committee (e.g., because of a potential conflict of interest, or there is no Vice Chair), the remaining officer of the subcommittee and the Secretary shall select an alternate for the particular inquiry.

For committees with subcommittees and working groups, the Chair of the appropriate working group shall also be a member of the special inquiry committee.

II. For Committees with no subordinate groups, the following shall be used to select the special inquiry committee members:

The Chair and Vice Chair of the standards committee shall be members of the special inquiry committee. The third and fourth members shall be selected from the membership of the committee through consultation between the Chair and the Secretary. If the Chair or Vice Chair of the committee can not serve on the special inquiry committee (e.g., because of a potential conflict of interest) the remaining officer of the committee and the Secretary shall select additional members as needed from the committee.

10.4 Approval Voting Process - Consensus Committee or Cognizant Subcommittee (referred to as “committee” hereafter in this subsection for simplicity)

- (a) Votes may be obtained by letter, fax, recorded votes at meetings, or electronic means.
- (b) The Secretary shall submit the proposal to the committee members along with the following:
 - a proposed inquiry and reply
 - a copy of the original inquiry
- (c) The vote form shall contain three forms of response: **no objection**, **objection**, and **not voting**.
- (d) When the vote is taken at a meeting, no objection by at least two thirds of members present and eligible to vote **but not less than fifty percent of the total committee membership** is required to approve the interpretation. **If a proposed interpretation is acted on during a meeting the results of the vote shall be recorded in the committee meeting minutes.**
- (e) If a vote is taken other than at a meeting:
 - 1) All voting members of the committee shall have an opportunity to vote.

- 2) Ballot periods shall be closed no later than four weeks after the date of issue unless the committee or a committee officer extends the ballot period.
- 3) Members casting objections shall provide written justification and shall describe an alternative action that will resolve their objection.
- S3) If one or more "objections" are received during a ballot of the Technical Inquiry, the Staff Secretary or other committee member, when appropriate, shall reword the proposed question and/or response.**
- 4) Votes received by the Secretary after the ballot period will not be considered unless an extension of the period has been established by the committee or committee officer. At the close of the ballot period, the Secretary shall submit a complete voting tally to the committee. All objections and comments shall be carefully considered by the committee Chair and their resolution attempted. Responses to substantive comments and objections shall be documented and made available to committee members.
- 5) Technical changes made in a proposed interpretation as a result of objections and comments received shall be submitted to the committee with a two-week ballot period in which the members shall have the opportunity to express opposition to the changes. If, after consideration, objections cannot be resolved, they shall be reported to the committee with copies of the reason for the objections and the responses. Each member who wishes to change his/her original vote shall so indicate within a specified time frame. A recirculation ballot may be issued. The members who submitted the unresolved objections shall be notified of their right to appeal.
- 6) **No objection** by at least two thirds of members voting is required to approve the interpretation, provided at least half of the members vote.
- S7) Instead of sending a recirculation ballot to the subcommittee or consensus committee, the proposal may be deferred to an upcoming committee meeting.**
- S8) If the subcommittee is unable to approve the proposed interpretation, the inquiry shall be referred to the consensus committee to determine appropriate action.**

10.5 Approval Voting Process - Special Inquiry Committee

- (a) All members of the special **inquiry** committee shall vote.
- (b) Votes may be obtained by letter, fax, recorded votes at meetings, or electronic means.
- (c) The Secretary shall submit the proposal to the special **inquiry** committee along with the following:
 - a proposed inquiry and reply, and
 - a copy of the original inquiry.
- (d) If a vote is taken other than at a meeting:
 - (1) The ballot form shall contain two forms of response: **no objection** and **objection**.

- (2) Members casting objections shall provide written justification and shall describe an alternative action that will resolve their objection.
 - (3) Ballot periods may be closed no later than two weeks after the date of issue unless the committee or committee officer extends the ballot period.
 - (4) The Secretary shall submit a complete voting tally to the special **inquiry** committee. All objections and comments shall be carefully considered by the special **inquiry** committee Chair and their resolution attempted. Responses to substantive comments and objections shall be documented and made available to special **inquiry** committee members.
 - (5) Technical changes made in a proposed interpretation as a result of objections and comments received shall be submitted to the special **inquiry** committee with a two-week ballot period in which the members shall have the opportunity to express opposition to the changes.
- (e) Interpretations are approved when all members vote **no objection**.
- (Se) If one or more “objection” is received during a ballot of the Technical Inquiry, the Staff Secretary or other committee member, when appropriate, shall reword the proposed question and/or response.
- (f) If after consideration, objections cannot be resolved, the interpretation shall be submitted to the consensus committee or the cognizant subcommittee for consideration. See para. 10.4.

10.6 Information Copies. Information copies of all transmittals shall be sent to the Chair and Vice Chair of the standards committee.

S10.7 Intent Interpretations

S10.7.1 Technical inquiries that cannot be answered on the basis of the existing wording of the pertinent code or standard may be answerable by an "intent" interpretation. Intent interpretations are permitted only to resolve conflicting wording, clarify ambiguous wording, or resolve incorrect wording of a code or standard.

S10.7.2 When an intent interpretation is considered, a corresponding proposed revision to the pertinent code or standard shall be prepared to support the interpretation. In the situation where the consensus committee has previously approved a revision to the code or standard that supports the intent of the interpretation, such a revision shall be provided to the consensus committee as background information.

S10.7.3 For committees with subordinate groups, intent interpretations shall first be considered and approved (when possible) by the appropriate subordinate group.

S10.7.4 Approval of both the intent interpretation and the proposed revision, by the consensus committee, shall be subject to the voting procedures of Section 7 as a standards action.

S10.7.5 When possible, the intent interpretation shall be provided to the Board to support the proposed revision.

S10.7.6 The Secretary shall not transmit the intent interpretation to the inquirer until after the supporting revision has been approved by the consensus committee and reviewed by the Board.

S10.8 Reconsideration of an Interpretation

S10.8.1 The inquirer or a person aggrieved by an issued interpretation may request reconsideration of the response to a technical inquiry if additional information is made available to the committee which the aggrieved person or inquirer believes might affect the interpretation. If the concerned special inquiry committee, subcommittee, or consensus committee decide that a reconsideration is appropriate, the Staff Secretary shall reopen the inquiry file. The procedures given in 10.3 shall be used for reconsideration of a technical inquiry. The procedures given in S10.7 shall be used for reconsideration of an intent interpretation.

S10.8.2 Approval of a revision to an issued interpretation shall be by the same or higher committee, which approved the original interpretation. In other words, a special inquiry committee or subcommittee cannot revise an interpretation approved by the consensus committee. The special inquiry committee or subcommittee may recommend a revision, but the consensus committee would have the final vote.

S10.8.3 When the consensus committee approves a revision to an issued intent interpretation, the consensus committee shall decide whether an additional change to the appropriate standard is also necessary.

S10.8.4 When a revised interpretation is approved and subsequently issued, the original interpretation, if posted, shall be removed from the Web and inquiry database and the revised interpretation posted.

S10.9 Appeal of an Interpretation

Persons aggrieved by an issued interpretation may appeal to the consensus committee. If the interpretation was accepted by the special inquiry committee method, the appeal shall be referred to the consensus committee. The procedures for an appeal are given in Section 11.

11 APPEALS

11.1 Any action or inaction of a standards and/or consensus committee may be appealed by any individual, company, or organization.

11.2 Appeals shall be considered according to the following:

11.2.1 Appeals shall first be directed to the standards committee.

11.2.2 Appeals that cannot be resolved at the level of the standards committee that originated the subject in dispute, may be referred to the cognizant supervisory board.

11.2.3 If the supervisory board's decision remains objectionable to any party concerned with the action, a request for an appeal, based upon matters relating to procedural due process, may be submitted to the Council on Standards and Certifications' Board on Hearings and Appeals, which may decide at its discretion whether or not to consider a further appeal.

11.3 Procedures for appeal to the standards committee shall be as follows:

11.3.1 Written notice (certified mail preferred) of intent to appeal shall be filed with the Secretary of the standards committee within 20 working days after the date of notification of the action, followed within 10 additional working days by the appeal package. The item in question will then not proceed pending a hearing on the appeal. Notice of intent to appeal an inaction may be submitted to the Secretary of the standards committee at any time and shall be followed within 10 working days by the appeal package.

11.3.1.1 The appeal package shall be comprised of a brief statement of the matter and the reason(s) why the appellant believes an appeal is warranted. Specifically, the appeal package (inclusive of exhibits) should include the following as appropriate:

- (a) a brief statement or explanation of the action or inaction that is being appealed;
- (b) an explanation of why the appellant believes the decision was in error;
- (c) the specific outcome sought by appellant;
- (d) exhibits, such as documentary evidence that directly supports appellant's position and upon which appellant relies. Documentary evidence may be based on technical merit, committee operating procedures, ASME policies, or a combination of these reasons. When based upon procedural process or policies, references to specific paragraphs within the operating procedures or policy documents shall be made.

11.3.1.2 The appeal statement (exclusive of exhibits) shall not be more than 30 pages, double spaced, 12 point font or larger. The appeal package shall be sent via electronic means (one complete hard copy should be mailed to the applicable standards committee Secretary). No supplemental filing prior to the forthcoming hearing shall be permitted.

11.3.1.3 If the appellant is unable to provide the required appeals materials within the ten-working-day deadline, an extension may be requested, with the grounds for such request noted. Such request must be directed to the Secretary of the standards committee within the ten-working-day deadline or the appellant shall forfeit the right to appeal. Extensions of time to submit an appeal statement may be granted at the discretion of the Officers of the standards committee.

11.3.1.4 The appeal statement shall be made available to all concerned parties, by the Secretary of the standards committee, at least 15 working days prior to the date of any scheduled hearing.

11.3.2 After a standards committee Officer determines that a hearing is in order:

- (a) the Secretary of the standards committee shall notify the standards committee of the request for appeal, and
- (b) the consensus committee, shall hear the appeal at its earliest practicable scheduled meeting after the date of request for appeal, or at the discretion of the standards committee Chair, at a meeting of a hearing panel, consisting of members of the consensus committee appointed by the Chair, on a date mutually agreeable to all parties. **The hearing panel shall consist of a minimum of five members.**

11.3.3 A response to the appeal statement shall be developed by a proponent of the action or inaction in question.

11.3.3.1 The response statement:

- (a) shall include the reasons why respondent believes the decision or inaction under appeal was correct and a reference, as appropriate, to the provisions in the ASME procedures upon which the respondent relies; and
- (b) should include documentary evidence that directly supports respondent's position and upon which respondent relies.

11.3.3.2 The response statement (exclusive of exhibits) shall not be more than 30 pages, double spaced, 12 point font or larger.

11.3.3.3 The response statement shall be made available to all concerned parties, by the Secretary of the standards committee, at least 15 working days prior to the date of any scheduled hearing.

11.3.3.4 No supplemental filing prior to the forthcoming hearing shall be permitted.

11.3.4 The appellant, the consensus committee members and others concerned shall be notified of the hearing at least 20 working days in advance of the date set for hearing the appeal. At the time of notification, the Secretary shall provide the parties with a copy of the consensus committee roster or a list of the members of the proposed hearing panel, as applicable, in order to allow any concerned party the opportunity to object should they perceive the existence of a conflict of interest. Any such objections should be submitted to the Secretary no more than 10 working days after receipt of the roster, and shall then be distributed by the Secretary to the individual(s) being challenged in advance of the hearing, who shall then have the opportunity to respond prior to the hearing. Any objection should be addressed prior to the hearing in a manner consistent with Society Policy P-15.8, Conflicts of Interest.

11.3.5 Appeal hearings generally should be held in open session (other than the executive session portion). However, upon written request by either of the parties or the Committee Officers for a closed meeting, participants shall be limited to the following:

- (a) members of the consensus committee hearing the appeal and eligible to vote
- (b) appellant(s)

- (c) respondents(s)
- (d) pertinent ASME Staff
- (e) ASME legal counsel

Any such written request for a closed hearing shall be submitted to the Secretary no more than 10 working days after receiving the notification of the appeals hearing date.

11.3.5.1 Information presented during the appeal by either party shall be based on information in the appeal statement (including exhibits) or response statement (including exhibits).

11.3.5.2 Should any party not be present at the hearing, the decision of the committee shall be based on the presentations made by the parties that are present at the hearing, in addition to the written appeal statement (including exhibits) and response statement (including exhibits).

11.3.6 Deliberations for determining the decision of the committee shall take place during executive session only. Attendees for the executive session portion of the hearing shall be limited to the following:

- (a) members of the consensus committee hearing the appeal and eligible to vote
- (b) pertinent ASME Staff
- (c) ASME legal counsel

11.3.7 For appeals relating to personnel or other administrative items, the appeal shall be upheld or denied on the basis of a majority affirmative vote of those hearing the appeal; for appeals relating to technical issues, the appeal shall be upheld or denied by a two thirds affirmative vote of those hearing the appeal. The Secretary of the standards committee shall notify the appellant, the Chair of the standards committee and others concerned, of the committee's decision within 7 working days of the date of the hearing.

11.4 For any subsequent appeal to the cognizant supervisory board, written notice by certified mail or equivalent communication of intent to appeal must be filed with the Secretary of the board within 10 working days after the date of transmittal of the applicable standards committee's response to the appeal. Thereafter, the procedures of the cognizant supervisory board shall apply.

11.5 To request a further appeal following conclusion of the supervisory board appeal, written notice of intent to appeal must be filed by certified mail or equivalent communication with the Secretary of the Board on Hearings and Appeals within 10 working days after receipt of the notification of the results of the supervisory board appeal. Thereafter, the procedures of the Board on Hearings and Appeals shall apply.

11.6 In addition, any individual, company, or organization aggrieved by any action or inaction of a supervisory board may request an appeal hearing before that board for reconsideration of the action or inaction. If the supervisory board's decision remains objectionable to any party concerned with the action, a request for an appeal, based solely upon matters relating to procedural due process, may be submitted to the Board on Hearings and Appeals, which may decide at its discretion whether or not to consider the appeal.

11.7 Any individual, company, or organization aggrieved by any action or inaction of the Council on Standards and Certification may request reconsideration by the Council.

11.8 The Board on Hearings and Appeals is the final level of appeal relating to Codes and Standards matters within ASME.

11.9 The appeals procedures of the standards committees, supervisory boards and the procedures of the Board on Hearings and Appeals are available from ASME upon request.

12 RECORDS

Records shall be retained in accordance with Codes and Standards Policy CSP-38, Document Retention.

13 AMENDMENTS

Amendments to these procedures require the approval of the Council on Standards and Certification.

Any amendments to the **ASME Codes and Standards Development Committee** procedures will be submitted to ANSI for acceptance in accordance with their criteria for acceptance of revisions to the accredited procedures.

APPENDIX I CHARTERS

BOARD ON STANDARDIZATION AND TESTING

Charter: Management and supervision of the dimensional, design, application, drafting, performance test codes, and miscellaneous standards activities of the Society, as designated by the Council on Standards & Certification. The standards developed by groups managed by the Board are intended to be submitted to the American National Standards Institute to become American National Standards.

AED COMMITTEE ON AEROSPACE AND ADVANCED ENGINEERING DRAWING

Charter: Develop advanced practices unique to aerospace and other industries. Develop and maintain standards and supplements to the standards currently under the jurisdiction of the Y14 standards committee on engineering drawings and related documentation practices.

A112 COMMITTEE ON PLUMBING MATERIALS AND EQUIPMENT

Charter: The recommendation of suitable standards, or the development of standards where none exist, for performance requirements, composition, dimensions, and/or mechanical and physical properties of materials, fixtures, devices, and equipment used or installed in plumbing or mechanical systems.

B1 COMMITTEE ON SCREW THREADS

Charter: Standardization of screw threads, taps, and gages, including terminology, symbols, forms, designations, standard and special series, the dimensional limits for these series, thread gages and gaging, principles for determining dimensional limits of threads and thread gages, and acceptability requirements. Not included are certain specialized screw threads such as those for fire hose couplings.

B5 COMMITTEE ON MACHINE TOOLS - COMPONENTS, ELEMENTS, PERFORMANCE, AND EQUIPMENT

Charter: The standardization of machine tools, cutting tools and of the elements of machine tool construction and operation relating primarily to their use on manufacturing operations, including work and tool holding elements, driving mechanisms that constitute an inherent part of the machine tool, components and associated appurtenances; nomenclature, designations, sizes, capacities, and tests for accuracy of machine tools and of work and tool holding parts or elements; movements and adjustments of machine tool elements; and parts and elements for adjusting, guiding, and aligning work or tools, including slots and tapes, but excluding perishable tools, punches, dies and screw taps.

B18 COMMITTEE ON STANDARDIZATION OF BOLTS, NUTS, RIVETS, SCREWS, WASHERS, AND SIMILAR FASTENERS

Charter: Standardization of dimensional, physical, and performance requirements for the specification and manufacture of bolts, nuts, rivets, screws, washers, and similar fasteners.

B29 COMMITTEE ON CHAINS, ATTACHMENTS, AND SPROCKETS FOR POWER TRANSMISSION AND CONVEYING

Charter: Standardization of chains, attachments, and sprockets for power transmission and conveying.

B32 COMMITTEE ON METAL AND METAL ALLOY WROUGHT MILL PRODUCT NOMINAL SIZE

Charter: The standardization of metal and metal alloy wrought mill product nominal sizes and establishment of a standard series or a number of standard series of nominal sizes.

B40 COMMITTEE ON STANDARDS FOR PRESSURE AND TEMPERATURE INSTRUMENTS AND ACCESSORIES

Charter: The preparation and promulgation of standards for pressure and temperature instruments and accessories.

B46 COMMITTEE ON CLASSIFICATION AND DESIGNATION OF SURFACE QUALITIES

Charter: Classification and designation of surfaces according to quality of surface.

B73 COMMITTEE ON CHEMICAL STANDARD PUMPS

Charter: The development of centrifugal pump standards for chemical, petrochemical and industrial processes.

B89 COMMITTEE ON DIMENSIONAL METROLOGY

Charter: The calibration performance evaluation, uncertainty evaluation, and specification of dimensional measuring instruments and gauges and the methods of their use for measuring various geometrical characteristics such as lengths, plane surfaces, angles, circles, cylinders, cones, spheres and tori, as well as profiles.

B107 COMMITTEE ON HAND TOOLS AND ACCESSORIES

Charter: Establish standards for hand tools and accessories: These standards provide performance and safety requirements. These requirements encompass the elements of design, use, performance, tolerances, and configurations of; including but not limited to, wrenches, pliers and snips, screwdrivers, striking and struck tools and torque instruments. The standards will include consideration of various classes and types of hand tools, and accessories. They will also include any tests that are needed to determine conformance with the performance and safety requirements.

EA COMMITTEE ON INDUSTRIAL SYSTEM ENERGY ASSESSMENT

Charter: Development of standards for conducting energy improvement assessments of the following industrial systems: steam systems, compressed air systems, process heating systems, and pumping systems.

H213 COMMITTEE ON HARMONIZATION OF DIMENSIONAL AND GEOMETRICAL PRODUCT SPECIFICATIONS AND VERIFICATION

Charter: Harmonize dimensional and geometrical product specifications and verification activities:

- to develop consensus positions for the US member body to ISO/TC 213 and encourage US participation in its working units;
- to review and recommend US standards activities within existing technical cognizant committees including B46, B89, Y14, etc. which shall be responsible for their standards development program.

HST COMMITTEE ON HOISTS - OVERHEAD

Charter: Performance standards for overhead hoists; in particular, powered wire rope and chain hoists, and hand chain and lever operated hoists. The standards will include, where applicable, terminology, hoist and trolley service classifications, and mechanical and electrical data.

MAM COMMITTEE ON MANUFACTURING AND ADVANCED MANUFACTURING

Charter: The development and maintenance of standards and guidelines addressing manufacturing and advanced manufacturing.

MBE COMMITTEE ON MODEL BASED ENTERPRISE

Charter: Develop standards or related products that provide rules, guidance, and examples for the creation, use and reuse of model-based datasets, data models, and related topics within a Model-Based Enterprise (MBE).

MFC COMMITTEE ON MEASUREMENT OF FLUID FLOW IN CLOSED CONDUITS

Charter: Standardization of rules and methods for the measurement of fluid flow in closed conduits, including terminology and definitions; rules for construction, installation, and conditions under which measurements are to be made; rules for collection, evaluation, and interpretation of measurements data, including errors.

MUS COMMITTEE ON MOBILE UNMANNED SYSTEMS

Charter: Establish standards and guidelines that provide safe and reliable application of Mobile Unmanned Systems (MUS) for unmanned aerial systems (UAS), ground/crawlers and submersibles to inspect, monitor, and maintain industrial facilities and power plants as well as equipment, transmission lines, and pipelines.

RAP COMMITTEE ON POWER PLANT RELIABILITY, AVAILABILITY AND PERFORMANCE

Charter: Establish standards and guidelines that provide for the optimization of power plants to enhance reliability, availability and performance, which includes design for operation and design for maintenance.

PTC COMMITTEE ON PERFORMANCE TEST CODES

Charter: The Performance Test Code Standards Committee develops codes, supplements, and other types of documents, which provide rules and procedures for the planning, preparation, execution, and reporting of results for performance tests and evaluations.

STS COMMITTEE ON STEEL STACKS

Charter: Standardization as it relates primarily to the design and construction of steel stacks, with or without lining and supports, and to the application of lining or cladding to such stacks, where required, and recommendation for their inspection and maintenance.

V&V COMMITTEE ON VERIFICATION AND VALIDATION IN COMPUTATIONAL MODELING AND SIMULATION

Charter: Coordinate, promote, and foster the development of standards that provide procedures for assessing and quantifying the accuracy and credibility of computational modeling and simulation.

WEP COMMITTEE ON WATER EFFICIENCY GUIDELINES FOR POWER AND OTHER INDUSTRIAL FACILITIES

Charter: Develop guidance documents to promote the efficient use of water in applications within power and other industrial facilities and to aid in evaluation of technical options. Topics include, but are not limited to, cooling systems, the use of fresh and non-fresh water resources, and innovative water reuse and water recovery technologies.

Y14 COMMITTEE ON ENGINEERING PRODUCT DEFINITION AND RELATED DOCUMENTATION PRACTICES

Charter: The development and maintenance of national standards for defining and documenting a product throughout its life cycle and related certification activities. This shall be accomplished by: (1) Recognizing the continuing need for existing standards regardless of the source medium (e.g., paper, film, and digital) or method of preparation (e.g., manual or computer generated).(2) Providing standardization where a variety of practices exist within industry and government.(3) Providing standards for new concepts and technologies; and (4) Supporting and coordinating development and harmonizing of standards with responsible standardization bodies, including ANSI, ISO, and government agencies.

APPENDIX II

GUIDANCE ON VOTE RESOLUTION AND RESUBMITTAL OF PROPOSAL FOR STANDARDS AND EDITORIAL ACTION

II 1.0 FIRST CONSIDERATION BALLOT OF STANDARDS ACTIONS

For a first consideration ballot on standards actions see 7.2.3. All disapproval votes shall be referred to the standards committee, pertinent subcommittee (also referred to as technical committee), or project team for consideration. The Chair of the standards committee, the pertinent subcommittee, or project team shall determine whether consideration of unresolved disapproval votes and comments should be by correspondence or at a meeting/telephone conference of the standards committee, pertinent subcommittee, or project team.

II 2.0 VOTE RESOLUTION

II 2.1 Disapproved Vote Consideration. All disapproved votes accompanied by comments shall be considered and their resolution attempted. The results of this effort shall be made known to those whose disapprovals were considered.

II 2.2 Options on How to Proceed. When a standards action has been prevented from proceeding by one or more disapproval votes, the appropriate committee shall analyze the disapproval votes and determine how to proceed. The committee may decide to either:

- (a) make substantive² revisions to the action in response to disapprovals and comments received,
- (b) make non substantive or editorial revisions to the action in response to disapprovals and comments received,
- (c) respond to unresolved disapprovals and vote to reaffirm the original action after consideration of disapprovals, or
- (d) make some revisions and respond to the remaining unresolved disapprovals [a combination of (a), and/or (b) and (c) above].

II 3.0 RESUBMITTAL OF CHANGES

II 3.1 Resubmittal of Substantive Changes. If the committee determines that a substantive² (technical) change to a proposal is appropriate to resolve a disapproval or comment, the revised proposal shall be resubmitted to the consensus committee by one of the following methods:

- (a) a recirculation ballot (see II 4.0)
- (b) a reconsideration during a meeting (see II 4.1)
- (c) a first consideration vote (see II 1.0)

The resubmittal may be performed concurrently with the subcommittee or project team review. For a disapproved standards action that has not been acted on for over one year and new substantive changes are being prepared, it is recommended the proposal be submitted for another first consideration vote instead of a recirculation vote. Factors to be considered are: time since the

² A substantive change in a proposed American National Standard is one that directly and materially affects the use of the standard. Examples of substantive changes are shown below:

- i) “shall to “should” or “should” to “shall;”
- ii) addition, deletion or revision of requirements, regardless of the number of changes.

last vote, amount and significant' of new changes made in this draft and number of committee members appointed since the last vote.

II 3.2 Resubmittal of Non Substantive Changes. A non substantive change is one that is intended to expand upon, or delete redundant material from, the original text in order to clarify its meaning but not to alter the intent in any way; or changes to assure technical consistency. If it is determined that a non substantive change to a proposal is appropriate to resolve a disapproval or comment, the revised proposal shall be resubmitted to the standards committee by one of the following methods:

- (a) a recirculation ballot (see II 4.0)
- (b) a reconsideration during a meeting (see II 4.1)

II 3.3 Resubmittal of Editorial Changes. An editorial change is one that is intended to clarify ambiguous or complicated passages. If the committee determines that editorial changes to a proposal are appropriate to resolve a disapproval or comment (or is needed after approval of the item), the revised proposal shall be submitted to the consensus committee [either for a two week recirculation ballot or during a meeting (see II 4.0 and II 4.1)].

II 4.0 RECIRCULATION BALLOT. When appropriate, the Secretary shall submit the proposal to the consensus committee for a recirculation vote. For a recirculation vote on a standards action see 7.2.4.

Proposals for a recirculation ballot shall indicate the changes made since the last ballot. This may be accomplished in several ways including:

- (a) providing a list of where the changes have been made
- (b) by some type of indicator (e.g., line in the margin, use of bold, italic or strike out)
- (c) a mark-up of the previous draft with the changes hand written in.

A clean retype of the proposal may accompany the revised proposal.

For a recirculation ballot:

- (a) each consensus committee member who wishes to change his/her original vote after reviewing the noted changes and/or remaining disapproval shall so indicate. No reply is needed from those members not changing their original vote.
- (b) when a consensus committee member has resigned since the first consideration ballot and before the recirculation ballot was issued, they are not counted in the recirculation tally.
- (c) when a consensus committee member has been added since the first consideration ballot and will receive the recirculation ballot, their vote is limited to the provisions stated for recirculation votes [see 7.2.4(e)].

II 4.1 Reconsideration During a Meeting. For a reconsideration of a proposal during a meeting see S7.2.4.

II 5.0 ALL DISAPPROVED VOTES WITHDRAWN. If all disapproved votes are withdrawn and a change to the proposal is not required, the item shall proceed. When all disapproved votes are withdrawn and a change to the proposal is required in order to resolve a disapproval, the methods in II 3.0 shall be used.

II 6.0 UNRESOLVED DISAPPROVED VOTES. If all disapproved votes are not resolved or withdrawn, the item shall be submitted for either:

- (a) a recirculation ballot (see II 4.0)
- (b) a reconsideration during a meeting (see II 4.1).

APPENDIX III

SUBORDINATE GROUPS

III 1.0 SUBORDINATE GROUP - GENERAL

For establishment of subordinate groups and election of subordinate group officers see Section 5.1. For subordinate group officer term limits see Section 5.2.1.

III 1.1 Appointment Term. Subordinate group members shall be appointed for a term not exceeding five years and expiring June 30 of the appropriate year. Members are eligible for reappointment.

Subordinate group officers shall be appointed for a term not exceeding three years and expiring June 30 of the appropriate year. When a member is appointed as an officer, the expiration date for his/her membership term shall coincide with his/her term of office.

III 1.2 Subordinate Group Officers. The Chair shall be the executive officer of the subordinate group, preside at meetings, and perform duties customarily associated with such office. The Vice Chair, in the absence of the Chair, shall fulfill the duties of the Chair and shall perform other duties as assigned by the Chair. In the absence of the Chair and Vice Chair at a meeting, the Secretary (when not ASME Staff) shall fulfill the duties of the Chair and perform other duties as assigned by the Chair. In the absence of the Chair and Vice Chair at a meeting, the Secretary (when ASME Staff) shall take the chair for the purpose of nomination and selection of a Chair pro tem, who shall then preside at that meeting.

The Secretary shall record and distribute agendas and minutes of all meetings of the subordinate group to members of the subordinate group and officers of the “parent³” committee.

III 1.3 Alternates and Representatives. Representation of an absent member may be by a representative or by an alternate.

(a) Representative. A representative is a person selected by a member of the subordinate group to attend the meetings and act on the member’s behalf at a meeting and is accepted by the chair. Such selection by individual members should be by written notification to a subordinate group officer. Such service by a representative automatically terminates at the conclusion of the meeting at which the individual is representing the absent member.

(b) Alternate. An alternate is a person who attends meetings or intends to vote in place of the member on standards and administrative actions. Alternates are proposed by the absent member, are subject to approval by the consensus committee or parent committee. An alternate has all the privileges of a member during the period of his/her service in this capacity. Such service by an alternate automatically terminates on request of the member, or when the member is no longer on the committee. The term of appointment of the alternate shall expire on the same date as the members.

III 1.4 Contributing Members

³ The “parent” committee is the Committee that they report to (e.g., for Subcommittees or Technical Committees it would be the standards committee).

Subordinate groups may have Contributing Members. Contributing Members are usually active committee members who wish to participate but may be unable to fully participate for the foreseeable future or a potential new member that the committee wishes to give experience.

Contributing Members shall be appointed for a term not exceeding five years and expiring June 30 of the appropriate year. Contributing Members are eligible for reappointment and subject to approval by the same committee that appointed them.

Contributing Members do not have voting rights but are able to submit comments. They should be included on all committee mailings (including minutes, agendas and ballots) and will receive notification concerning committee meetings. Attendance at committee meetings is optional. The duty of a contributing member is to actively participate in the committee's activities by correspondence, telephone, teleconference, commenting on ballots or other means.

III 1.5 Meetings. The subordinate group shall hold meetings or electronic conferences as determined by the subordinate group or the Chair on behalf of the committee. In this consideration, the subordinate group or the Chair on behalf of the committee, shall consider the complexity and urgency of their assigned tasks. Standalone Subordinate group meetings, where ASME Staff is the Secretary shall be announced on an ASME Committee web page. Subordinate group meetings held in conjunction with Standards Committee meeting shall be announced.

Teleconference meetings are encouraged to minimize travel and reduce the time it takes to complete actions. Subordinate group meetings shall be open to the public. Members of the public may express their views on items being discussed but shall not have voting privileges. However, a portion of a meeting may be in executive session when considering subjects such as personnel, conformity assessment, litigation and other administrative matters.

III 1.6 Quorum. At meetings, a quorum shall consist of at least 50% of the total committee members eligible to vote. Actions taken at a meeting where a quorum is not present are not official until approved by more than fifty percent of the total committee membership by ballot or at a subsequent meeting. If a quorum is not attained during a meeting, it shall be noted in the Minutes of the meeting.

III 1.7 Agenda and Minutes. The ASME "Guideline for Agendas and Minutes" should be followed.

(a) **Agenda.** An agenda shall be distributed to the subordinate group prior to the meeting.

(b) **Minutes.** Minutes shall be kept of all subordinate group meetings and shall list the names of all members present, those absent, any alternates, and visitors. The Minutes are to report what occurred during the meeting and are to be distributed to all members.

III 1.8 Periodic Review of Membership. Periodically, the chair shall review the record of activity of each of his committee members with regard to contribution to the work of the committee, attention to correspondence, and attendance at meetings. After such a review, an officer of the committee shall initiate contact if deemed necessary. After being contacted, should the member's performance not improve to the agreed-upon level, the parent committee shall vote to remove the member from the subject committee. A vote by the consensus committee is also

required. The individual removed from the committee may appeal the action to the consensus committee.

III 2.0 SUBORDINATE GROUP ACTIONS

III 2.1 Subordinate group actions may be conducted by ballot or at meetings. When consideration/discussion indicates general agreement on any proposal, the Chair shall call for a formal vote, and that vote shall be recorded. If the vote is taken during a meeting it shall be recorded in the Minutes.

Subordinate group actions are of two types:

- (a) Approval of standards actions
- (b) Approval of administrative actions

III 3.0 SUBCOMMITTEES

III 3.1 Subcommittee Standards Actions

III 3.1.1 During subcommittee (also referred to as technical committee or division) meetings, a standards action requires the following vote in order to proceed to the standards committee:

- (a) an affirmative vote of $2/3$ of the subcommittee members voting/present but not less than 50% of the total subcommittee membership, and
- (b) a quorum is present.

If $2/3$ affirmative vote of the members present is not received, the action does not proceed, and the subcommittee shall determine what further action is appropriate. If $2/3$ affirmative vote of the members present is received but less than 50% of the total subcommittee membership a Subcommittee ballot following the meeting is recommended.

During the development process, when a significant change/decision (e.g., one that affects many sections of a standard or multiple standards) is voted during a meeting, and the Subcommittee has less than $2/3$ of the members present, it is recommended the proposal be balloted by the Subcommittee following the meeting.

III 3.1.2 Ballots may be authorized by an officer of the subcommittee, by majority vote of members present, or by the standards committee. When balloting a standards action, the following vote is required to pass the action:

- (a) an affirmative vote of $2/3$ of the subcommittee members voting, and
- (b) an affirmative vote of at least 50% of the total subcommittee membership. The form of ballots shall be as stated in 7.2.3(c) and S7.2.3(c).

III 3.1.3 All subcommittee disapprovals and comments shall be considered. Unresolved subcommittee disapprovals and documentation of their attempted resolution shall be reported to the standards committee when they consider the proposal.

III 3.2 Subcommittee Administrative Actions

Administrative matters shall be considered passed when approved by a majority of those present at a subcommittee meeting provided a quorum is present, or by a majority of those voting by ballot. Ballots may be authorized by an officer of the subcommittee, by majority vote of members present, or by the standards committee.

III 4.0 WORKING GROUPS (also Referred to as Project Teams)

III 4.1 During working group meetings, both standards actions and administrative matters proceed to the next level when an affirmative vote is cast by a majority of members present provided a quorum is present. Although approval of a motion may be by majority vote of the members voting at the meeting, the Chair may rule that the motion has not passed on the basis of the closeness of the vote, the absence of members or abstaining votes of members present, or a combination of these reasons. However, when a majority vote by the total working group membership is cast for the motion, that motion shall in all cases be considered as passed.

III 4.2 Ballots may be authorized by an officer of the working group, by majority vote of members present, or by the subcommittee. The form of ballots shall be as stated in 7.2.3(c) and S7.2.3c). When balloting a standards action or administrative matter, a majority affirmative vote shall pass the action and the item proceeds to the next level.

III 5.0 TASK GROUPS

Task Group (also referred to as Project Team) is a generic term for a committee established to perform a specific task of a non-continuing nature as defined by the “parent³” (establishing) committee.

III 5.1 Membership of a Task Group shall be limited in size by the chair of the “parent” committee establishing the Task Group based on consideration of the specific task assigned.

III 5.2 The Chair of the Task Group is selected by the Chair of the “parent” committee from members of the “parent” committee.

III 5.3 The Chair or Technical Manager may declare that a proposal is sufficiently refined and ready to proceed to the next level.

III 5.4 Upon completion of the assignment and acceptance by the “parent” committee, the Task Group shall be dissolved and its members discharged.

³ The “parent” committee is the Committee that they report to. For a Task Group it would be the establishing committee.

APPENDIX IV

DRAFT PREPARATION, DATING OF REFERENCED STANDARDS, AND INCORPORATION OF COPYRIGHTED MATERIAL

IV 1.0 DRAFTS OF STANDARDS OR DRAFT REVISIONS TO STANDARD

IV 1.1 All drafts of standards or draft revision to standards shall be prepared in accordance with the following requirements [see CSP-9(b) for additional requirements].

- (1) A title shall be provided.
- (2) A notation “Draft” shall be included.
- (3) The date of the draft, identified by either month, year or month, day, year shall be included.
- (4) Drafts or revisions thereof may be individually numbered or they shall be identified by date only. Designations such as "Initial", "Intermediate", and "Final" shall not be used. If the draft is intended to revise a previously approved Standard, the following statement shall appear under the Standard Designation:

Proposed revision of (full Standard Designation)

- (5) The Standards Identification Designation shall be provided but shall not include ANSI, ASME, or a year date to avoid a false indication of ANSI or ASME approval.
- (6) A statement which will not be a part of the cover format shall be included to read as follows:

TENTATIVE
SUBJECT TO REVISION OR WITHDRAWAL
Specific Authorization Required for Reproduction or Quotation
ASME Standards and Certification

- (7) The foreword is not considered an integral part of the standard; however it shall be included in the draft to provide an opportunity for review for accuracy of content, etc.
- (8) The running heads on each page of the draft shall not include such notations as ANSI, American National Standards Institute, ASME, American Society of Mechanical Engineers, any acronyms, or the name of the organization that may have prepared the draft, in order to avoid a false indication of approval.

IV 2.0 DATING OF REFERENCED STANDARDS [from CSP-9(h)]

When a standards committee wishes to reference another code or standard it has the responsibility to decide whether or not to include a specific date of issue of the referenced document.

IV 2.1 Referencing Another ASME Code or Standard: When referencing another ASME code or standard, the standards committee shall elect to either reference a specific date of issue of the code or standard, or append the words “latest edition” to the title.

IV 2.2 Referencing Documents Developed by Other Organizations: When referencing documents developed by other organizations the following applies:

- (i) If a revision of the referenced document can affect provisions for safety or invoke undesired technical provisions in the referencing standard, the referencing standards committee shall cite the date of the acceptable referenced standard. Standards committees are strongly encouraged to keep abreast of referenced standards revisions and to promptly update the dates for acceptable referenced documents. When standards committees identify situations in referenced documents revisions that prevent them from referencing the latest revisions, such situations shall be promptly brought to the attention of their supervisory board.
- (ii) If a revision of the referenced document cannot affect the provisions for safety or result in undesirable technical provisions in its referencing standard, then the referencing standards committee may omit the date of the referenced standard. Where the date is not cited, the words "latest edition" should be appended to the title.

IV 2.3 Availability of Referencing Documents [from CSP-9(i)]: When the standards committee elects to reference specific documents in codes and standards it develops, those referenced documents must be readily available to the public at a reasonable cost.

IV 3.0 INCORPORATION OF MATERIAL FROM A COPYRIGHTED PUBLICATION

If in developing an ASME standard, a standards committee or its subordinate group proposes to incorporate material from a copyrighted publication of another organization, they shall request the ASME Staff to obtain written permission from the publisher to reprint the material. ASME Staff shall be notified of this request no later than the time of submittal to the standards committee for consideration of the text containing the incorporated material.

APPENDIX V AWARDS

V 1.0 AWARDS

Committees are encouraged to recognize the contributions of their members through the recommendation for honors and awards.

V 1.1 Certificates of Appreciation. Certificates of Appreciation are Society awards issued in accordance with Society Policy P-1.2 to selected individuals for outstanding leadership and/or significant service in the development of codes and standards. The consensus committee may make recommendations to the Board for the issuance of Certificates of Appreciation to individuals who have given meritorious service to the committee. The following guidelines, although not mandatory, should be used in making these recommendations:

- (a) The usual time for the committee to consider the recommendation of a Certificate should be either ten years after the date of an individual's first formal appointment to a committee activity, or at the time of the individual's resignation from committee activities.
- (b) Factors to be considered in the decision of whether or not a recommendation should be made are length, continuity and diligence of service. Except for an unusually meritorious contribution, a Certificate should not be recommended at the time of the resignation of any person whose total service to the committee has been less than one term (5 years).
- (c) An individual may receive more than one Certificate of Appreciation for different activities. However, no more than one Certificate for general service should be recommended for any individual. A Certificate for general service may be recommended for an individual who has already received a Certificate for a specific service, but only if it is believed that the specific service mentioned on the existing Certificate does not cover a significant portion of his actual contribution.
- (d) The wording of a Certificate for general service should refer in a general way to service to the activities of the committee, rather than to service on specific subordinate group(s).
- (e) At the option of the awardee, a letter from the Board Chair or Standards Committee Chair to the individual's management expressing appreciation for sponsoring the individual should be sent.

V 1.2 Certificates of Achievement. Certificates of Achievement are Council on Standards and Certification awards. They are available annually to each standards committee to recognize significant personal achievement in the development and promulgation of codes or standards under the committee's jurisdiction. The consensus committee may make a recommendation to the Board for the issuance of a Certificate of Achievement to an individual for significant personal achievement in the development and promulgation of codes or standards under the committee's jurisdiction. The candidate's nomination requires approval by 90% of the membership of the consensus committee and is then subject to approval by the Board for action on behalf of the Council on Standards and Certification.

- (a) An individual may receive more than one Certificate of Achievement.
- (b) At the option of the awardee, a letter from the Board Chair or Standards Committee Chair to the individual's management expressing appreciation for sponsoring the individual should be sent.

V 1.3 Certificates of Acclamation. Certificates of Acclamation are Council on Standards and Certification awards available annually to each standards committee for recognition of excellence in the development of a specific work product (e.g. new document, major revision) and are presented to an individual or a small group of individuals most responsible for the work product.

The standards committee Chair may make nominations to the Board for the issuance of Certificates of Acclamation.

- (a) This award is to recognize excellence in development of a new or revised code or standard; it is not intended to be a general service award. The form of the award consists of a Certificate.
- (b) The standards committee Chair may solicit recommendations from the committee membership, including subordinate group Chairs.
- (c) The nomination shall consist of the name(s) of individuals most responsible for the development of a specific committee work product (e.g. new document, major revision).
- (d) An individual may receive more than one Certificate of Acclamation, if so deserving.
- (e) Approval by the Board acting on behalf of the Council on Standards and Certification is required. The Board exercises control to maintain the integrity of the award.
- (f) At the option of the awardee, a letter from the Board Chair or Standards Committee Chair to the individual's management expressing appreciation for sponsoring the individual should be sent.

V 1.4 Dedicated Service Award. Annually, each Vice President in Codes and Standards is allowed to present this ASME award to an individual from a committee under each Board's jurisdiction, with a minimum service to the Society of ten years.

- (a) The purpose of the ASME Dedicated Service Award is to honor unusually dedicated voluntary service to the Society marked by outstanding performance, demonstrated effective leadership, prolonged and committed service, devotion, enthusiasm, and faithfulness.
- (b) Any individual or committee may nominate candidates for the Dedicated Service Award. Nomination and eligibility information may be found at:
<https://www.asme.org/about-asme/get-involved/honors-awards/service-awards/dedicated-service-award>
- (c) The candidate must have at least ten years of service on a standards committee. No person shall receive more than one ASME Dedicated Service Award. Individuals

responsible for selecting a candidate for the Dedicated Service Award are not eligible to receive an award during this time.

- (d) The award consists of a plaque with medallion, a lapel pin, and certificate.
- (e) At the option of the awardee, a letter from the Board Chair to the individual's management expressing appreciation for sponsoring the individual should be sent.

V 1.5 Patrick J. Higgins Medal. Annually, the Board on Standardization & Testing is allowed to present this ASME award to an individual from a committee under the Board's jurisdiction.

- (a) The purpose of the Patrick Higgins Medal is to honor unusually dedicated voluntary service to the development, and promotion of an ASME Standardization and Testing Standard, Code or Conformity Assessment Program.
- (b) Any individual or committee may nominate candidates for the Medal. Nomination and eligibility information may be found at:
<https://www.asme.org/about-asme/participate/honors-awards/achievement-awards/patrick-j-higgins-award>

The Medal shall be administered by the Patrick J. Higgins Medal Committee, appointed by the Committee on Honors upon the recommendation of the Board on Standardization and Testing.

- (c) No person shall receive more than one Patrick J. Higgins Medal. Individuals responsible for selecting a candidate for the Medal are not eligible to receive an award during this time.
- (d) The award consists of a plaque with medallion, a certificate and \$1000 honorarium.
- (e) At the option of the awardee, a letter from the Board Chair to the individual's management expressing appreciation for sponsoring the individual should be sent.

APPENDIX VI
LIST OF ASME STANDARDS COMMITTEES
UNDER THE STANDARDIZATION AND TESTING DEPARTMENT
THAT RENDER INTERPRETATIONS

Last updated April 2019

Committee	Decision Concerning Interpretation	Effective Date
AED	Does Not	4/30/2018
A112	Does Interpretations	1/24/2002
B1	Does Not	10/30/2003
B5	Does Interpretations	12/18/2013
B18	Does Interpretations	9/27/1989
B29	Does Interpretations	2/19/1998
B32	Does Interpretations	4/16/2019
B40	Does Not	1999
B46	Does Interpretations	10/6/1997
B73	Does Not	10/28/1998
B89	Does Interpretations	10/9/1997
B107	Does Interpretations	3/19/1998
EA	Does Interpretations	2009
H213	Not Applicable (does not publish standards)	
HST	Does Interpretations	9/24/2012
MAM	Not Applicable (no published standards)	
MBE	Not Applicable (no published standards)	
MFC	Does Interpretations	5/29/1998
PTC	Does Interpretations	NA
RAP	Does Interpretations	2010
STS	Does Interpretations	3/25/1998
V&V	Does Interpretations	6/2008
WEG	Not Applicable (no published standards)	
Y14	Does Not	5/7/1998

APPENDIX VII

PROVIDING COMMITTEE COMMENTS OR A COMMITTEE POSITION ON AN EXTERNAL DOCUMENT SUBMITTED FOR REVIEW

VII 1.0 PROVIDING COMMITTEE COMMENTS OR A COMMITTEE POSITION ON AN EXTERNAL DOCUMENT SUBMITTED FOR REVIEW

This Appendix Supplements the Guide on Providing Positions and/or Comments on Documents Submitted for Review (Rev 1, 4/04). In the context of this Appendix an external document submitted for review includes standards developed by another organization/society (e.g., International Plumbing Code, Uniform Plumbing Code) and a proposed rulemaking.

- (a) All proposed committee positions shall be plainly marked “DRAFT,” until the final approved version is presented for signature
- (b) ASME policy does not permit approval of an external document submitted to ASME for review. Therefore, the no objection, objection, abstain, and not voting shall be used as the forms of response for this review when voting.
- (c) When providing committee comments (not a committee position) the criterion for objection of the document is 1/2 of the voting members voting objection, with at least 1/2 of the committee members voting. Voting members in this case excludes the not returned and not voting members.
- (d) Criterion for the acceptance of a committee position is by 2/3 of the voting members voting no objection, with at least 1/2 of the committee members voting. Voting members in this case excludes the not returned and not voting members.
- (e) When appropriate, the Secretary will submit the standards committee accepted position along with the voting tally and comments to the Secretary of the Board for action.
- (f) Information copies of the cover letter and committee position shall be sent to the standards committee, the committee that reviewed the document and the Vice President Standardization and Testing. Copies shall also be provided to the Board members if they voted on the position.
- (g) Information copies of the cover letter and committee comments shall be sent to the standards committee and the committee that reviewed the document.

APPENDIX VIII CASES

VIII 1.0 GENERAL

Cases represent alternatives or additions to existing rules. Cases are usually drafted when there is an identified urgent need to have a change, alternative requirement or new requirement available to the public. Cases are written as a question and reply and are usually intended to be incorporated into the code or standard at a later date. When used, requirements prescribed in Cases are mandatory in the same sense as the text of the code or standard. However, users are cautioned that not all Jurisdictions or owners automatically accept Cases.

VIII 1.1 The most common applications for Cases are:

- a) to permit early implementation of an approved revision based on an urgent need;
- b) providing alternative rules when justified
- c) to gain experience with alternative or additional rules prior to incorporation directly into the code or standard
- d) providing rules not covered by existing rules
- e) to permit the use of a new material for construction
- f) to clarifying the intent of specific requirements

VIII 1.2 It is the objective of the Committee to keep the number of active Cases to a minimum and to annul them when their provisions are published in the code or standard.

VIII 1.3 Cases are effective for use upon their approval date. They are listed with an expiration date five (5) years later than the date of approval, revision or reaffirmation unless an earlier expiration date is specified in the Case.

VIII 2.0 FORMAT OF A CASE

Cases shall use the following format:

- (a) Cases shall be sequential number with the committee abbreviation (e.g., A112 Case 3, PTC Case 1)
- (b) Cases shall clearly indicate the limits of scope in the Title, Inquiry and Reply
- (c) Forenotes shall include only the Approval Date
- (d) Each reply will start with the words, "It is the opinion of the Committee that...."
- (e) A Case shall not contain reference to another Case.

APPENDIX IX DRAFT STANDARDS FOR TRIAL USE

IX 1.0 INTRODUCTION

An ASME standards committee may develop Draft Standards for Trial Use within its charter, when appropriate, in accordance with the following procedures.

IX 2.0 APPROVAL CRITERIA

Upon recommendation by majority approval of the consensus committee membership, and approval by a majority of the membership of the responsible supervisory board, draft standards intended for subsequent submittal to ANSI for approval as American National Standards may be issued by ASME for trial use and comment for a period of up to three years. The availability of such draft standards shall be announced on the ASME Codes and Standards web site and other appropriate media.

IX 3.0 CHALLENGE THE DECISION TO REGISTER

Materially affected interests who wish to challenge the decision to issue a draft standard for trial use may do so, following the appeals procedures of para. 11. Draft standards for trial use issued by ASME shall be in compliance with the ASME Policy on Referencing Patented Items and Trademarks in Codes and Standards.

IX 4.0 STATEMENT ON THE FRONT COVER

The following statement, or equivalent, shall be included on the front cover of the draft standard for trial use, which may be identified as a Draft Standard for Trial Use:

“Publication of this draft standard for trial use and comment has been approved by ASME. Distribution of this draft standard for comment shall not continue beyond (x) months from the date of publication, with x to be determined by the consensus committee, based on the schedule for each specific project. It is expected that following this (x) month period, this draft standard, revised as necessary, will be submitted to the American National Standards Institute for approval as an American National Standard. A public review in accordance with established ANSI procedures is required at the end of the trial use period and before a draft standard for trial use may be submitted to ANSI for approval as an American National Standard. This draft standard is not an American National Standard. Suggestions for revision should be directed to the Managing Director, Technical, Codes and Standards, ASME.”

IX 5.0 COMMENTS FROM ANNOUNCEMENT OF DRAFT STANDARD

Comments received as a result of the announcement of the draft standard for trial use will be considered by the responsible committee for subsequent development as an American National Standard. Those who submitted comments will be advised of the disposition of their comments.

APPENDIX X

PROCEDURE FOR DEVELOPMENT OF ASME TECHNICAL REPORTS

X 1.0 INTRODUCTION

An ASME standards committee may develop Technical Reports within its charter, when appropriate, in accordance with the following procedures. Such Technical Reports may be submitted for registration with the American National Standards Institute (ANSI).

Material contained in a Technical Report may include, reports of technical research, tutorials, factual data, information on the “state of the art” in a particular area, or methods for application of a related standard. Technical Reports shall not contain any information implying that it is a standard.

X 2.0 APPROVAL PROCESS FOR ASME TECHNICAL REPORTS

X 2.1 A proposed draft or revision may be prepared and balloted in one record or several records. A proposed Technical Report shall be processed as a standards action in accordance with Section 7 of the *Procedures for ASME Codes and Standards Development Committees*, with the following exceptions:

- (a) ANSI Public Review is not required. [Standards Development Procedures references: paras. 7.2.3(k) and 7.2.4(f)]. (In addition, submittal of Project Initiation Notification (PINS) to ANSI and submittal of the Technical Report for ANSI approval is not required.)
- (b) A recirculation vote is required only for review of revisions made to the proposal previously voted on as a result of comments received. [Standards Development Procedures reference: para. 7.2.4(a)]. Standards Committee negatives are not required to be responded to. The Committee should review each negative and determine whether they want to address it in this draft or hold it to the next publication. A copy of Standards Committee responses does not have to be included with the recirculation vote.
As an alternative to a recirculation vote the Committee may open new records to process changes to address negatives.
- (c) The criteria for approval of a Technical Report on first or recirculation vote shall be approval by at least 2/3 of the committee members voting (excluding any “Not Voting” and “Disapproved without Comment” responses), provided that at least 50% of the committee membership submit a vote. [Standards Development Procedures reference: para. 7.2.4(f)].
- (d) Supervisory board approval follow para. 7.2.7.

X 2.2 The availability of the proposed Technical Report for a thirty-day comment period shall be announced on the ASME Codes and Standards web site, either concurrent with committee vote, or following committee approval.

X 3.0 MAINTENANCE OF ASME TECHNICAL REPORTS

X 3.1 The standards committee shall review each Technical Report within its charter at least once every five years to determine whether the Technical Report should be:

- (a) rewritten as a standard;

- (b) revised because it is still relevant, but changes are needed
- (c) reaffirmed because it is still relevant, and no changes are needed;
- (d) withdrawn because it is no longer relevant.

X 4.0 REGISTRATION OF ASME TECHNICAL REPORTS WITH ANSI

When Technical Reports are submitted for registration with ANSI, the following apply:

X 4.1 The Foreword should include a rationale for the publication of the Technical Report and shall include the following text: "Publication of this Technical Report that has been registered with ANSI has been approved by ASME. This document is registered as a Technical Report according to the Procedures for the Registration of Technical Reports with ANSI. This document is not an American National Standard and the material contained herein is not normative in nature. Comments on the content of this document should be sent to the Managing Director, Technical, Codes and Standards, ASME."

X 4.2 The Technical Report shall be in compliance with the ASME Policy on Referencing Patented Items and Trademarks in Codes and Standards.

X 4.3 Prior to registration with ANSI, a 30-day announcement of the intent to register the Technical Report shall be placed in *ANSI Standards Action*. Immediately following the close of the announcement period for the intent to register, the Technical Report shall be registered with ANSI.

X 4.4 A Technical Report that has not been reaffirmed, revised, or withdrawn by the tenth anniversary of its registration will be administratively withdrawn by ANSI.

X 4.5 Materially affected interests shall be afforded the opportunity to challenge the decision to register a Technical Report with ANSI. The only basis for which such a challenge may be filed is failure to follow these procedures or ANSI's *Procedures for the Registration of Technical Reports with ANSI*. Such challenges shall be addressed in accordance with Section 11 of the *Procedures for ASME Codes and Standards Development Committees*, with the following exceptions:

- (a) The appeal shall be upheld or denied on the basis of a majority recorded vote of those hearing the appeal.
- (b) There will be no suspension of the registration of the document with ANSI as a Technical Report during the appeals process.

APPENDIX XI INDUSTRY REVIEW

XI 1.0 INTRODUCTION

A Committee may elect to send a draft standard or technical report for an Industry Review.

XI 2.0 PROCESS

XI 2.1 The draft may be sent to a list of qualified persons outside of the Committee members and/or to other appropriate ASME committee members for a technical review. One method to compile the list is to request that each member provide the name of several qualified persons. The committee members should make a conscious effort to obtain a balanced industry representation on the list of qualified persons.

XI 2.2 The ASME Staff Secretary typically transmits or gives these individuals access to the draft.

XI 2.3 The Committee may send the draft for Industry Review at an appropriate time, which is typically when the draft document is approximately 90% complete, or concurrent with the standards committee ballot.

XI 2.4 The normal period of Industry Review is 30 days, but it can be extended (e.g., 45 days) upon request and agreement of an officer of the committee.

XI 2.5 Comments received shall be acknowledged and submitted to the committee Chair with a copy to the writing committee for their consideration. Any revisions to the draft and/or other disposition of the Industry Review comments shall be reported to the commenter.

APPENDIX XII

ADDITIONAL CATEGORIES OF INTEREST

XII 1.0 INTRODUCTION

This Appendix provides additional categories of interest as follows:

XII 2.0 AED COMMITTEE ADDITIONAL CATEGORIES OF INTEREST

CA Producer Airframe Those directly concerned with the production of airframe for an Airplane

CP Producer Power Plant Those directly concerned with the production of power plant for an airplane

CY Producer Subsystems Those directly concerned with the production of subsystems for an airplane

XII 3.0 B1 COMMITTEE ADDITIONAL CATEGORY OF INTEREST

GS Gage Manufacturer Those directly concerned with the production of gages

APPENDIX XIII

INTERNATIONAL WORKING GROUPS

XIII 1.0 PREFACE

This document is intended to provide guidance for standards committee leadership, including ASME Staff Secretaries, considering or planning the establishment of an International Working Group (IWG). IWG member-candidates, partner organizations and others are referred to ASME S&C staff for information on IWGs. General information regarding Subordinate Group membership may be found in Section 5, Appendix III and training documents.

XIII 2.0 INTRODUCTION

ASME's globalization activities seek to enhance the applicability and utilization of its codes and standards around the globe. These activities often rely on cooperation and contributions by ASME's partners and stakeholders based outside the U.S., many of whom have experience, technical expertise, and distinct perspectives that enhance the global relevance of ASME's standards.

Participation by such valued stakeholders on ASME standards development committees is desired. However, there are a variety of circumstances that prevent stakeholders, regardless of their geographic location, from meeting the expectations associated with "traditional" S&C committee membership. To accommodate such individuals, ASME S&C has introduced several alternative means of S&C participation. An International Working Group (IWG) is one such innovation that permits participation by a group of stakeholders based in a common geographic location outside the U.S. and unable to fulfill the attendance expectations of committees that meet principally in the U.S.

XIII 3.0 FUNDAMENTAL IWG CONCEPTS

XIII 3.1 With regard to the Procedures for ASME Codes and Standards Development Committees, IWGs are identical to other subordinate groups.

XIII 3.2 The role of IWGs is like other subordinate groups (i.e. working groups, subgroups, etc.) in that they should be expected to both develop and review proposed standards actions for subsequent consideration by their respective standards committees. As with other subordinate groups, proposals developed by an IWG, such as revisions, interpretations, and Cases, will follow a path through the subordinate committee structure towards "consensus" consideration.

XIII 3.3 The reporting relationships and proposal development path between subordinate groups should be considered and possibly modified by the standards committee to facilitate an effective integration of the IWG into the consensus process.

XIII 3.4 ASME has established a number of ways in which interested people may participate in the development of ASME codes and standards. Each IWG member shall be designated as either a member, an alternate (see III 1.3b) or a contributing member (see III 1.4). A member of an IWG is required to vote when a ballot is presented to the IWG and invited to comment when the IWG is included in a review and comment distribution. For contributing members attendance at committee meetings is optional.

XIII 4.0 KEY DIFFERENCES FROM OTHER S&C SUBORDINATE GROUPS

XIII 4.1 IWGs typically conduct their meetings in a geographic location outside of the U.S. (i.e. a country) common to its members.

XIII 4.2 IWGs are typically populated by virtue of the common geographic location, rather than a common engineering discipline or specialization, such as design, quality assurance, etc. At least initially, the IWG membership may be expected to represent a cross-section of relevant expertise.

XIII 4.3 IWGs may choose to conduct their proceedings in a language other than English. This includes IWG meeting discussions, minutes and agendas.

XIII 5.0 GEOGRAPHIC BASIS FOR IWGs

The IWG concept suggests a common nationality as the basis for an IWG, however it is conceivable an IWG may support a common region (e.g. Scandinavia, Central America, etc.) A preference for a “regional IWG” may arise from a desire for an IWG with a greater number of members, a broader membership base, or other reasons. However, such an arrangement may compromise several of the intended benefits of an IWG, such as the common language and jurisdiction framework shared by its members. Also, a proposal that regional stakeholders work together may reveal national or cultural sensitivities. Therefore, the viability of a “regional IWG” should be determined through careful consultation with the expected participants.

XIII 6.0 BENEFITS OF IWGs

XIII 6.1 Benefits to Standards Committees

- a) IWGs provide additional subordinate technical resources to standards committees
- b) IWGs may help standards committees identify, understand and address stakeholder issues in countries or regions outside of the U.S. Examples of such issues may include:
 - Jurisdictional and regulatory differences
 - Manufacturer supply-chain and materials considerations
 - Innovative or unusual standards applications or products

XIII 6.2 Benefits to IWG Members

- a) Participation may strengthen IWG members’ individual and collective understanding of ASME standards requirements and philosophy
- b) IWGs can alleviate several barriers to participation that prevent otherwise qualified experts from participating in the ASME S&C standard development process, such as very long distances, travel constraints, and language barriers.
- c) There is opportunity for IWG members to identify new directions for ASME standards.
- d) There is opportunity for IWG members to communicate the interests and needs of the local industry, region or country in the development of ASME standards.
- e) There is opportunity for IWG members to network and share technical knowledge with experts working in similar fields of expertise

XIII 6.3 Benefits to Global Stakeholders

- a) IWGs may facilitate discussion of ASME standards issues and experiences among local stakeholders
- b) As an ASME S&C body, an IWG may serve as a possible first line of support for local stakeholder's inquiries, in coordination with its standards committee and ASME Staff.

XIII 6.4 Benefits to ASME Standards and Certification

- a) IWGs may improve the usability and acceptance of the ASME standards around the world
- b) Foster the development of potential S&C volunteer leaders

XIII 7.0 FORMATION OF INTERNATIONAL WORKING GROUPS

XIII 7.1 General

The formation of the IWG, including the appointment of its members shall be conducted in accordance with paras. 5.1 and 5.2. The decision to form an IWG will likely be prompted either through an expression of interest by the standards committee or stakeholders based outside the U.S. As with other expressions of interest in S&C standards participation, ASME staff and committee leadership are expected to provide guidance to stakeholders on the variety of means available for participation and guide the selection toward the most appropriate means based on the circumstances. If the establishment of an IWG is supported by the standards committee and stakeholders, the process should be managed by ASME staff with close coordination with the standards committee or parent committee leadership.

XIII 7.2 Assistance from Local Partners

Although not required, the establishment of an IWG may be facilitated by partnership with a local organization or stakeholder(s). A partner organization familiar with the range of local stakeholders and potential participants may assist in soliciting candidates for the IWG's charter membership, garnering support from employers of membership candidates, and providing logistical support for IWG meetings.

XIII 7.3 Identification and appointment of IWG members

- a) The appointment of IWG members shall be conducted in accordance with para. 5.1.1.
- b) Establishment of an IWG should only proceed when there is confidence that there is a sufficient pool of local experts to sustain an appropriate membership size for a viable subordinate group, however an IWG may be established with the expectation that the desired membership size will be achieved subsequently.
- c) As with other committees, identification of candidates for IWG membership may be conducted through solicitation of stakeholder organizations and direct appeals to individuals. The activity may be undertaken by current volunteer members, staff or a designated local partner organization.

- d) Regardless of the means employed to identify candidates, the assessment of their qualifications and other considerations, such as confirmation of support from their employers, should be consistent with the appointment process for other subordinate groups.

XIII 7.4 IWG Officers

The election or nomination of the officers of an IWG shall be conducted in accordance with Para. 5.2. In particular, it is recommended to utilize the provisions permitting appointment by the Chair of the standards committee or subordinate group to which the IWG directly reports. If the appointment is conducted in accordance with those provisions, suggestions for the officer selection may be provided by the charter members or the ASME staff who are familiar with the circumstances and IWG formation.

XIII 7.5 IWG Training

It is likely that, at the time of the establishment of an IWG, none of its charter members will be familiar with ASME standards development principles, procedures, processes and practices. This is a significant difference from the more commonplace formation of a subordinate group populated with one or more members who are experienced in ASME standards development. A commitment to training and ongoing guidance in C&S development knowledge for IWG members is vital to the successful establishment of an IWG.

XIII 7.6 IWG Charter

Subordinate groups typically have a charter. A template for an IWG charter is as follows:

The <country/region> International Working Group (IWG) serves as a subordinate group operating within the Charter of the <standards committee> and scope of <ASME standard title/designation>. The <country/region> IWG provides for the participation in <ASME standard title/designation> development by technical expert members based in <country/region>. The <country/region> International Working Group will:

- Initiate and process proposed standards actions for eventual consideration by <standards committee>.
- Review and provide comments on proposed revisions to the ____ <ASME standard>.
- Conduct technical and administrative activities related to <ASME standard> development in accordance with approved ASME procedures, policies, and established guidelines,
- Coordinate IWG activities with its parent committee and ASME staff.

XIII 8.0 COMPLIMENTARY STANDARDS

The provision of complimentary standards to committee members, including IWG members, is the prerogative of ASME staff.

XIII 9.0 SUPPORT FROM ASME STAFF

XIII 9.1 ASME staff will provide guidance and assist IWGs to ensure that the IWG proceedings are conducted according to ASME procedures and expectations. Assistance should be provided for activities such as preparation of meeting agendas and minutes, planning of meetings, maintenance of records, and tracking progress of work items.

XIII 9.2 ASME staff shall provide training on the operation of C&S Connect, the operations of the parent committee and the requirements of the Procedures for ASME Codes and Standards Development Committees Preferably, this should be done in-person during or prior to the inaugural meeting of the IWG.

XIII 10.0 MEETING FACILITIES AND LOGISTICAL SUPPORT FOR IWG MEETINGS

ASME Staff and IWG officers are responsible for facilitating meeting facilities and providing related logistical support for its S&C groups, including IWGs. As with other subordinate groups, IWG members may offer to host meetings and provide related logistical support with assistance from their employers. Alternatively, ASME may arrange for ongoing support through a local partner organization. In such arrangements, the local partner organization may be referred to as the “Secretariat” for the IWG.

XIII 11.0 COMMUNICATION AND COORDINATION WITH IWGs

XIII 11.1 The success of a subordinate group and the benefits it provides to the standards committee depend greatly on consistent and reliable communication and coordination of activities with their peer groups, parent committee and ASME staff. The following characteristics of IWGs are potential barriers to such interaction:

- a) IWG members are not expected to regularly attend meetings of their peer groups, parent committee or standards committee, nor are IWGs are expected to conduct meetings in conjunction with those groups.
- b) Members of an IWG’s parent committee and standards committee are not expected to regularly attend IWG meetings
- c) For an extended time following the establishment of an IWG, its members – including its officers – are likely to be unfamiliar with the practices of inter-committee communication and the strategic priorities of its standards committee.

XIII 11.2 Initially, many of these potential barriers may be addressed through a program of training to be arranged by ASME staff. Additionally, the IWG’s parent committee or standards committee may implement a number of practices to promote adequate communication and coordination with the IWG. Such practices may include:

- a) Assigning mentors to guide the IWG leadership.
- b) Requiring periodic written reports on IWG meetings and key discussions. Such a report may be provided to the parent committee or standards committee in lieu of, or in addition to the meeting minutes furnished to ASME staff.
- c) Requiring periodic progress reports on specific projects assigned to the IWG.
- d) Communicating to IWGs and ASME staff the parent committee’s or standards committee’s expectations for productivity and work prioritization.
- e) Encouraging cross-meeting attendance and regular informal email communication and fostering interpersonal relationships between members.

f) Providing useful feedback and encouragement to IWG members from the standards committee leadership.

XIII 11.3 Such practices to foster communication and coordination with IWGs should be implemented for the objective of ensuring the success of the IWG and the engagement of its members. Caution should be exercised against placing requirements on the IWG or its members that are unrealistic, needless, or inconsistent with those placed on other subordinate groups.

XIII 12.0 IWG INTEGRATION INTO COMMITTEE CONSENSUS PROCESS, BALLOTS, OR REVIEW AND COMMENT DISTRIBUTIONS

XIII 12.1 While ASME staff is expected to assume the lead role in the successful assembly, launch, training and operational support of IWGs, the standards committees also share the responsibility to provide for their ongoing success. To maintain the engagement of IWG members and derive the full benefit of the group as a technical resource, consideration should be given to enhancing the integration of the IWG into the standards development process through provisions implemented in the standards committee's processes or procedures.

XIII 12.2 Approval of proposals by relevant subordinate group(s) is often considered a prerequisite to standards committee consideration. Similar to their counterparts on other subordinate groups, IWG members possess expertise and perspectives which may enhance proposed standards actions that did not originate within the IWG. Therefore, the standards committee should consider process mechanisms to permit IWG members to participate in ballots or review and comment distributions for such proposals. Para. 7.2.1 describes provisions for review and comment on draft proposals by technically affected parties, such as subordinate groups.