

**OPERATING PROCEDURES  
ISSUE 1**

**Y14.5.2 SUBCOMMITTEE ON CERTIFICATION**

**Approved by the Board on Conformity Assessment on July 8, 2002**

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## **PREFACE**

These Procedures in conjunction with the Y14.5.2 Certification Procedures define the organization, scope, duties, and responsibilities of the Certification of Geometric Dimensioning and Tolerancing Professionals (GDTP) Subcommittee on Certification (Y14.5.2 SCC). The Subcommittee operates within the Constitution, Bylaws, and Rules of the American Society of Mechanical Engineers (ASME or Society) and within the procedures of the ASME Y14 Standards Committee. These Procedures provide guidelines for the Subcommittee activities, establish policies and procedures, and provide for Y14.5.2 SCC Task Groups when needed. The interface of activities between the Subcommittee, ASME Conformity Assessment staff (ASME staff), and the Society is also described.

These Procedures becomes effective upon approval of the Y14.5.2 SCC, Y14 Standards Committee and the Board on Conformity Assessment (BCA). It may be amended or revised as necessary to reflect changes and such amendments or revisions are effective upon approval of the Y14.5.2 SCC, the Y14 Standards Committee and BCA.

When required by the context of these procedures, the singular shall be interpreted as the plural and vice versa, and the feminine, masculine or neuter gender shall be treated as such other gender as appropriate.

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## **1 SCOPE**

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- 1.1** The Y14.5.2 Subcommittee on Certification is constituted for the purpose of establishing and implementing the ASME Y14.5.2 certification activities, based on the Y14.5.2 standard. This includes the development of policies and procedures for certification. These activities are administered and coordinated by the ASME Conformity Assessment staff.

## **2 RESPONSIBILITIES**

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- 2.1** The Subcommittee is responsible to the ASME Board on Conformity Assessment (BCA) for certification items related to the Y14.5.2 Standard. For standard development items and personnel, the Subcommittee is responsible to the Y14 Committee.
- 2.2** The Subcommittee is responsible for the maintenance of the Y14.5.2 Certification Procedures.
- 2.3** Subcommittee responsibilities include
- (a) development and maintenance of the Y14.5.2 Standard;
  - (b) development and maintenance of the examination questions;
  - (c) determination of testing criteria;
  - (d) providing for due process.
- 2.4** Staff responsibilities include
- (a) issuance of certification (delegated to staff in 7.5);
  - (b) renewal of certification (delegated to staff in 7.5);
  - (c) contracting with an organization to provide for administration of examination;
  - (d) scheduling of examination;
  - (e) scoring of examinations;
  - (f) communication of results.

### **3 ORGANIZATION**

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- 3.1** The Subcommittee shall consist of not less than five nor more than fifteen voting members. The Chair and Vice Chair of the Subcommittee shall be considered within this membership. The Secretary serves without vote and is not included in the count of voting members.

Members are technically qualified individuals with a concern and willingness to participate in work within the scope of the Subcommittee. Selection shall include consideration of the business of the employer, if any, which supports the member's Committee participation, as well as the type of experience or expertise the individual brings to the Subcommittee. In their Subcommittee activities these members participate, including voting, as individuals rather than as representatives of their employer or of any other organization. Candidates for membership shall be currently certified as Y14.5.2 Senior Level GD&T Professionals Tested for the most recent version of Y14.5.

Members are expected to actively participate and consistently attend meetings of the Subcommittee. Individuals unable to fulfill these expectations should reconsider their continued membership.

- 3.2** Subcommittee members should be encouraged to join ASME if not members when nominated, although ASME membership is not a condition of selection.
- 3.3** Voting members shall be appointed to the Subcommittee for a term of five years by the Y14 Standards Committee on the recommendation of the Subcommittee. Members may serve more than one term.

#### **3.4 OFFICERS**

- 3.4.1** The officers of the Subcommittee shall consist of a Chair, and a Secretary. The Subcommittee may also select a Vice-Chair.
- 3.4.2** The Chair and Vice Chair shall be appointed by the Y14 Standards Committee for concurrent terms of three years. Such appointment shall initiate a coincident term of appointment as a member of the Subcommittee. Nominations for these offices are to be presented to the Y14 Standards Committee and shall be selected from the Y14.5.2 Subcommittee membership by the Weighted Ballot method, (3, 2, 1).
- 3.4.3** The Chair and Vice Chair shall be nominated from the membership of the Y14.5.2 Subcommittee and nominated by letter ballot (or ballot of the SCC in session) by a majority of the membership and appointed by the Y14 Standards Committee.

Before the term of Chair and Vice Chair expire, the Secretary shall send out, to the members of the Y14.5.2 Subcommittee, a list of the names of all members of Y14.5.2 Subcommittee, with a request that each member mark in order, their preference for Chair and/or Vice Chair by the numerals - 3, 2, 1. Thirty days shall be allowed for reply. The two names receiving the weighted highest number of votes for first choice, or three if there is a tie for second, shall be nominees.

After determining whether the nominees for each office will serve, if elected, the Secretary shall then submit the names of the nominees on a ballot to all members of the SCC for voting within thirty days, and the nominee receiving the highest number of votes will be recommended to the Y14 Standards Committee for approval of appointment as Chair, and the name receiving the next highest number of votes will be recommended to the Y14 Standards Committee as Vice Chair.

**3.4.4** The Secretary, who is a member of the Subcommittee without vote, shall be designated from the ASME Codes and Standards Directorate.

**3.5** The following categories of interest should be used as a guide to ensure that no one category dominates the Subcommittee:

- (a) Producer/Manufacturer. Those directly concerned with the production of the product involved (AS).
- (b) User. Those who use the product involved but are not involved with its production or distribution (AW).
- (c) Regulatory/Government. Government employee using the standard but not producing a product (AT).
- (d) Services. Consultants using the standard to provide a service (AV).
- (e) General Interest. Educators from a technical society or other society and public interest persons (AF).

## **4 DUTIES**

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### **4.1 OFFICERS**

- 4.1.1 Chair.** The Chair shall preside at meetings of the Subcommittee and shall perform such other duties as are customarily assigned to that office.

The Chair shall annually review the record of the activity of each member of the Subcommittee with regard to the member's contribution to the work of the Subcommittee, attention to correspondence, and attendance at meetings. Based on such a review, the Chair may recommend to the Y14 Standards Committee that the member's appointment to the Subcommittee be terminated for cause.

- 4.1.2 Vice Chair.** The Vice Chair shall, in the absence of the Chair, fulfill the duties of that office.

- 4.1.3 Secretary.** The Secretary shall record and prepare the agenda and minutes of all meetings of the Subcommittee and shall perform such other duties as are customarily attached to such an office or required by these Procedures.

In the absence of both the Chair and Vice Chair at a meeting of the Subcommittee, the Secretary shall take the Chair for the purpose of nomination and election of a Chair pro tem, who shall then preside at the meeting.

### **4.2 MEMBERS**

The duty of each member (or the appointed alternate who is serving in the member's absence) is to give thorough consideration to each subject brought before the Subcommittee for action, vote on acceptance or rejection of each proposal, recommend personnel for membership on the Subcommittee, contribute their expertise, and assist generally in carrying out the functions of the Subcommittee. Such duties may be carried out by attendance at meetings, or by correspondence.



## **5 MEETINGS**

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### **5.1 FREQUENCY**

The Subcommittee shall hold meetings as required by its program of work and responsibility under the due process provisions of these procedures on a date and a location determined by the Subcommittee. It may hold meetings at other times at the call of a Subcommittee Officer or the request of not less than three members of the Subcommittee.

### **5.2 ACCESS**

Because of the sensitive nature of its activities, all portions of meetings of the Subcommittee dealing with an Applicant/Certificate Holder or examination questions shall be in executive session and closed to all persons except members and alternates of the Subcommittee, members of the ASME Internal Audit Team, members of ASME staff, the Chair of BCA, or other parties as requested by the Subcommittee, except as noted in the Y14.5.2 Certification Procedures. In addition, portions of meetings may be in executive session when considering such subjects as personnel and litigation.

### **5.3 QUORUM**

**5.3.1** At any meeting of the Subcommittee, a quorum is established when not less than two-thirds of the members of the Subcommittee, or the alternate when a member is absent, are present.

**5.3.2** Hearings shall not be conducted at meetings where a quorum is not present.

### **5.4 CONFIDENTIALITY**

All documents related to the contents of examinations or Applicant/Certificate Holders shall be treated as confidential and shall not be distributed to or discussed with any person who is not authorized to have access to their content. All discussions related to the contents of examinations, including those during site specific examinations, or Applicant/Certificate Holders, shall also be treated as strictly confidential. All reports and other material relating to an Applicant/Certificate Holder shall be destroyed by members and alternates or returned to the Secretary following final disposition. Agreeing to comply with these requirements is not to be interpreted as preemption of one's obligation to adhere to the constitution, charter, laws or regulations of the country, state, province or municipality of residence.

## **6 TASK GROUPS**

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- 6.1** When the need exists, a Task Group and Task Group Chair shall be appointed by the Chair of the Subcommittee. The Task Group Chair may appoint a member of the Task Group as Task Group Secretary. The membership shall be selected from the Y14.5.2 Subcommittee and an ASME Consultant may be requested to serve on Task Groups. Task Group members may also be selected from the other Y14 Committees for matters not dealing with examination questions or an Applicant/Certificate Holder. Task Groups shall meet as often as the workload requires. A Task Group may be selected to handle one or more special subject assignments.
- 6.2** The number of members of each Task Group shall be as required to carry on the assigned task. It shall be the duty of the Y14.5.2 Subcommittee to limit the size of Task Groups to numbers which will best serve operational needs.
- 6.3** At any time considered beneficial to its operations, the Chair, may discharge or reorganize, in whole or in part, the membership of any Task Group.

### **6.4 VOTING**

- 6.4.1** At Task Group meetings, when discussion indicates general agreement on any question, the Task Group Chair shall call for a vote. When a majority of the membership of the Task Group register approval through the vote, the action of the Task Group shall be considered as a recommendation to the Subcommittee.
- 6.4.2** If a majority affirmative vote is not received in the vote, the action is defeated.
- 6.4.3** The Task Group will report the voted recommendation of the Task Group to the Subcommittee.

## **7 SUBCOMMITTEE ACTIONS**

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### **7.1 TYPES**

**7.1.1** Actions relating to the status of Certificates

**7.1.2** Actions relating to matters other than those encompassed in 7.1.1.

### **7.2 VOTING REQUIREMENTS AND DISPOSITION OF NEGATIVE VOTES**

**7.2.1** Approval of actions of the type encompassed in 7.1.1 at Subcommittee meetings require a two-thirds affirmative vote of the Subcommittee voting membership, exclusive of those having a conflict or potential conflict of interest (see 7.4). When the action is submitted for ballot, a single negative vote or lack of two-thirds affirmative vote requires reconsideration of the action, except for the actions covered by 7.2.3.

Reconsideration ballots will be considered approved if affirmative ballots are received from two thirds of the Subcommittee membership, excluding those having a conflict of interest.

**7.2.2** When reconsideration of an action is required (see 7.2.1), the Chair may

- (a) advise staff to ballot the action again when additional information can be furnished which could have a bearing on resolution of negative vote(s); or
- (b) advise staff to place the item on the agenda for the meeting next following the ballot closing date for discussion and resolution of the negative vote(s); or
- (c) appoint a Task Group consisting of negative voter(s), and additional Subcommittee members, as appropriate. The Task Group shall be charged with the responsibility to review the negative vote(s) and submit a recommended course of action to the Subcommittee; or
- (d) when the negative vote(s) involve withholding a Certificate applied for or revoking an existing Certificate, invite the involved Applicant/Certificate Holder to the next meeting. The purpose of this meeting will be to discuss the factors involved in the withholding or revocation action with the Applicant/Certificate Holder so that the Subcommittee may render a supplemental decision to withhold, revoke, require an examination, issue, or reissue a Certificate.

**7.2.3** In the case of action relating to the extension of expiration date of a Certificate, if a two-thirds approval vote of the voting members, exclusive of those having a conflict or potential conflict of interest (see 7.4), is not obtained, the Certificate Holder shall be notified that the Certificate shall be allowed to expire and informed of the right to procedural due process.

**7.2.4** Approval of actions of the type encompassed in 7.1.2 requires a simple majority affirmative vote of the Subcommittee voting membership.

### **7.3 VOTING OBLIGATIONS**

- 7.3.1** Each Subcommittee member or alternate shall carry out their duties and responsibilities with emphasis on exercising their voting privilege at meetings and within prescribed time limits on ballots.
- 7.3.2** For votes taken at a meeting, the Chair may vote to break a tie, to establish the two-thirds vote required, or to represent the Interest Category of the Chair.

### **7.4 CONFLICT OF INTEREST**

Any members having a potential conflict of interest related to any action shall remove themselves from the voting on that action, in which case, their alternate may act in their stead, unless the alternate has a similar conflict.

### **7.5 ACTIONS DELEGATED TO STAFF**

- 7.5.1 Y14.5.2 Certification Procedures.** Staff may perform actions delegated in the Y14.5.2 Certification Procedures. (Such as issuance, renewal, name change.)
- 7.5.2 Name Change - Certificate Holder.** A name change of the Certificate Holder on the Certificate may be made by staff upon receipt of a request from the Certificate Holder including sufficient documentation to support the request.

#### **7.5.3 Extension of Expiration Date**

The staff may extend the expiration date of Certificates for up to three months to provide for evaluation of an Applicant's qualifications for renewal, or if there has been a mailing of renewal materials. The staff may also extend the expiration date to cover completion of due process hearings and appeals. A Certificate may be extended for other circumstances providing the extension is approved by the Subcommittee on Certification.

- 7.5.4** Staff shall advise the Subcommittee if there is reason to question the action.
- 7.5.5** Staff shall report actions taken of the type covered in this subsection to the Subcommittee.

#### **7.5.6 ACTION TO WITHHOLD OR REVOKE**

If it is the decision to withhold or revoke certification, the ASME staff shall advise the Applicant/Certificate Holder of such action with a brief but definitive description of the reasons upon which the decision was based and information relating to reconsideration or appeal of such decision as described in the Due Process provisions of the Y14.5.2 Certification Procedures.

## **8      BALLOTS**

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### **8.1    AUTHORIZATION**

Ballots may be authorized by any of the following:

- (a) an Officer of the Subcommittee;
- (b) a majority vote of those members present at a meeting of the Subcommittee; or
- (c) petition of at least forty percent of the members of the Subcommittee.

### **8.2    CONFIDENTIALITY**

All reports and other material included in or with a ballot relating to an Applicant/Certificate Holder are to be considered confidential and discussion of their contents by members and alternates of the Subcommittee with nonmembers of the Subcommittee is strictly prohibited.

Agreeing to comply with these requirements is not to be interpreted as preemption of one's obligation to adhere to the constitution, charter, laws or regulations of the country, state, province or municipality of residence.

### **8.3    BALLOT PROCEDURES**

**8.3.1** The Secretary shall ensure that all pertinent information is on the ballot form, or attached thereto, to permit proper consideration of the matter at hand by the membership. The action to be voted on shall be clearly identified on the ballot.

### **8.4    Recorded Vote**

**8.4.1** **Vote.** All members of the Subcommittee shall have an opportunity to vote. Votes may be obtained by letter, fax, recorded votes at meetings, or electronic means.

**8.4.2** **Forms of Response.** The voting form shall contain four forms of response: approved, disapproved with reason, abstain with reason, and not voting with reason.

### **8.4.3** **Explanation of Forms of Response:**

- (a) Approved vote indicates that you accept the proposal as written. Comments may be submitted with these votes, however, these comments will only be used either by the Secretary for guidance in preparing the final publication or by the developer of the action for consideration for possible future revision.
- (b) Disapproved with reason vote indicates that you do not accept the proposal as written and a reason for your objection must be stated. The comment should include both the reasons for your negative vote and the rewording of the proposal that would satisfy your objection. If no reason is submitted, the vote will be considered as an abstention.

- (c) Not voting with reason vote indicates a conflict of interest on the subject matter being balloted. A "not voting" ballot reduces the total Subcommittee voting membership for that particular action. This vote effectively removes the vote from the Subcommittee for the purpose of determining the percentage of approved votes on that item.
- (d) Abstain with reason vote indicates neither approval or disapproval of the proposal because further Subcommittee discussions before taking a position is necessary or members feels they are not technically qualified, or they did not have adequate time to consider the proposal. An "abstain" ballot does not affect the total Subcommittee voting membership. The vote is counted for the purpose of determining the percentage of approved votes.

**8.4.4 Voting Period.** The usual voting (ballot) period is four weeks. An initial voting period of six weeks may be used based upon such factors as the size and complexity of the proposal, and the current Committee workload. The Subcommittee or an officer of the Subcommittee may extend the voting period.

**8.4.5 Close of Voting Period.** Voting periods shall be closed on their closure date (extended closure date) or upon receipt of all responses, whichever comes first. At the close of the voting period, the Secretary shall submit a complete voting tally to the Subcommittee.

**8.4.6 Not Returned.** 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 Subcommittee voting membership for members recorded as not returned.

**8.4.7 Late Votes.** Votes received by the Secretary after the close of the voting period shall be considered not returned, unless an officer of the Subcommittee has established an extension of the voting period. When appropriate, the late vote should be forwarded as comments to the developer of the standards action for consideration of a possible future revision.

## **9      INTERPRETATIONS OF Y14.5.2 STANDARD**

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- 9.1**      Requests for interpretation of the Y14.5.2 Standard shall be presented to the Secretary of the Y14.5.2 Subcommittee.
- 9.2**      The Secretary of the Subcommittee shall be responsible for maintaining a copy of each such inquiry submitted to the Y14.5.2 Subcommittee for interpretation, monitoring the processing of each inquiry until such time as a response is received, and reporting the response received at the next meeting of the Subcommittee.
- 9.3**      A record of all inquiries and responses shall be maintained by the Secretary of the Subcommittee on Certification.

## **10      TECHNOLOGIST LEVEL AND SENIOR LEVEL CERTIFICATION**

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The procedures for issuance, renewal, transfer and revocation of Technologist and Senior Level certification are given in the latest revision of the "ASME Y14.5.2 Certification Procedures".



## **11      PROCEDURAL DUE PROCESS**

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The procedures for due process hearings and appeals are given in the latest revision of the "ASME Y14.5.2 Certification Procedures".

## **12 PUBLIC INFORMATION**

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### **12.1 LIST OF CERTIFICATE HOLDERS**

All new issuances, renewals, revisions, and terminations of Certificates shall be published by the Society in a list of "Individuals Holding Y14.5.2 Certificates" for the purpose of public information.

### **12.2 PUBLIC COMMENTS**

All public comments objecting to the issuances, renewals, revisions, and terminations of Certificates shall be referred to the Subcommittee for consideration. A response will be made to each comment indicating the action taken and the disposition of these comments.

## **13      PARLIAMENTARY PROCEDURES**

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On questions of parliamentary procedures not covered in these procedures, the Y14.5.2 Certification Procedures or the procedures of the Y14 Standards Committee, "Robert's Rules of Order", latest edition, shall prevail.

## **14 REVISIONS TO THE PROCEDURES**

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Revisions to these procedures are subject to the approval of the Y14 Standards Committee, and the Board on Conformity Assessment (BCA).