

ASME A17 Standards Committee Procedures Supplement

September 2016

The provisions within the following supplement, in conjunction with Revision 16 of the Procedures for ASME Codes and Standards Development Committees, constitute the formal operating procedures for the A17 Standards Committee.

Revision 1:

Approved by A17 Standards Committee: [September 2004]
Approved by BSCS: [November 2004]
Date of Issuance: [December 1, 2004]

Revision 2:

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Revision 3:

Approved by A17 Standards Committee: [September 18, 2008]
Approved by BSCS: [July 23, 2009]

Revision 4:

Editorial changes made to reference Rev 13 January 2010

Revision 5:

Updated to Rev 14 June 2012
Approved by A17 Standards Committee:

Revision 6:

Updated to Rev 15 April 2015
Approved by A17 Standards Committee: May 2015

Revision 7:

Updated to Rev 16A October 2015
Approved by A17 Standards Committee: October 2015

Revision 8:

Approved by A17 Standards Committee: May 2016 (editorial to conform with Rev 16)

Revision 9:

Approved by A17 Standards Committee: September 2016 (edited Officer qualifications))



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ASME A17 Standards Committee Procedures

These procedures include the Procedures for ASME Codes and Standards Development Committee, Revision [16A], Dated [June 2015], as supplemented below:

Charter (Ref 1.1)

S1.1 The Charter of the A17 Elevator and Escalator Standards Committee is to develop, maintain and interpret safety codes and standards covering the design, construction, installation, operation, inspection, testing, maintenance, alteration, and repair of elevators, dumbwaiters, escalators, moving walks, and materials lifts.

Subordinate Groups (Ref 2.2)

S2.2 The A17 Standards Committee shall establish the following subordinate groups to assist it in the discharge of its duties.

- 1) Interest Review Group (see para. S5.3)
- 2) Working Committees (see para S5.4))
- 3) Regulatory Authority Council (see para S5.5)
- 4) Ad Hoc Committees (see para S5.6)

Number of Members (Ref. 3.1)

S3.1 The membership of the Standards Committee shall consist of not more than 35 individual members including the Chair of the Regulatory Advisory Council.

Member Interest Categories (Ref 3.2)

S3.2 The A17 Standards Committee shall use the classification system described below.

- (1) Manufacturers of the major portion of a complete (elevator, escalator, etc.) system.
- (2) Purchasers or owners of the equipment
- (3) Employees affected by the safety code or standard
- (4) Governmental bodies having regulatory power or influence over the field in question
- (5) Specialists having expert knowledge in the field of the Committee's work who are not otherwise covered by another category of interest, or representatives of independent laboratories
- (6) Insurance/Inspection interests
- (7) Installers, maintainers, and component suppliers not covered by (1).

When there is a change in the interest classification of a member, membership on the Standards Committee shall terminate. The person may be nominated for a new term of membership when considered with other applicants.

Operation of Committee While Out of Balance (Ref 3.2)

S3.2.1 The Committee may continue to operate if it becomes temporarily out of balance due to the resignation of any member. However, the Standards Committee Chair or the BSCS may rule that certain actions should be postponed until balance is restored.

Multiple Membership from a Single Organization (Ref 3.2)

S3.2.2a There shall be no more than one voting member from a single organization [see para. S3.2.2e] except that the Standards 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 Committee.
- (2) One of the nominees (or two of the nominees if three are being nominated) is a Chair of a Working Committee.
- (3) The nominee and member(s) are from different countries.

S3.2.2b The justification for multiple membership shall be submitted to the BSCS at the time nominees are considered for appointment and reappointment. When circumstances arise in which there would be three persons from one organization, the justification shall be considered at a meeting of the BSCS.

S3.2.2c Under no circumstances shall there be more than three voting members from a single organization.

S3.2.2d If there are two members from one 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' terms. If this situation results in three or more members from one company on the Standards Committee, it shall be brought to the attention of the BSCS for consideration at its next meeting.

S3.2.2e For the purpose of this section, 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 BSCS on a case-by-case basis. The independence of the two companies shall be used as the criteria for making this 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.

Nomination and Appointment of Standards Committee Chair and Vice Chair (Ref 4.2)

S4.2 Nominees for the Offices of Chair and Vice Chairs shall be selected by the Standards Committee using the method specified in 4.2.3. At the time when selection of officers is required, the Secretary shall formulate a list of all Standards Committee members indicating membership with ASME, years of membership on the Standards Committee, attendance at Standards Committee meetings for the previous 3 year period per year, response to letter ballots for the previous 3 year period per year and chair or vice-chair participation in working or ad hoc committee. This list will be incorporated in the agenda of the meeting at which the selection process is begun.

The following criteria shall determine candidates who qualify for Chair and Vice Chairs:

S4.2(a) Standards Committee Chair and Vice Chair(s)

- (1) Preferably be an ASME member.
- (2) Member of Standards Committee for at least 3 years.
- (3) Attended 60% of the Standards Committee meetings held during the previous 3-year period. Alternate attendance is not considered.
- (4) Responded to 75% of the recorded votes/recorded comment periods¹ over the previous 3-year period.

¹ A recorded comment period is when a mandatory acknowledgement is requested of Standards Committee

(5) Has demonstrated active interest in Standards Committee activities, understanding of committee procedures and an ability to lead by serving as a Working Committee or Ad Hoc Committee (established by para. 5.1) chair or vice chair, and shown participation in working committee activities.

Duties of the Officers (Ref 4.4)

S4.4(a) Officers' Review of Membership. Annually, the officers {Chair along with Vice Chair(s) and Secretary} shall review the record of activity of each member of the Standards Committee with regard to the contribution to the work of the Committee, attention to correspondence, and attendance at meetings.

S4.4(b) Officers' Review of Subordinate Groups. Annually, the officers shall review the record of activity of each Subordinate Group, with regard to the attention to the work of the groups. After such review, the officers shall, in the case of those groups that have been inactive, review with the group the need for continuance of the group's work and if warranted, recommend to the Standards Committee, that the group be disbanded.

They shall also annually review the performance of the Subordinate Group leaders to address the responsibilities of the position (per para. S4.4(a)). After such review, the officers shall in the case of those who have been lax in performance of those responsibilities, recommend to the Standards Committee that the leader be replaced. The individual removed may appeal this action to the BSCS.

S4.4(c) Vice Chairs. Responsibilities include reviewing operations of assigned Committees, this includes, interpretations, technical revisions and meetings.

Subordinate Groups (Ref. 5)

S5.1 Establishment of Subordinate Groups (Ref 5.1)

S5.1.1 Membership of Subordinate Groups shall be approved by the Standards Committee

S5.2 Subordinate Groups Officers (Ref 5.2)

S5.2 Subordinate Group Officers shall be selected by the method specified in 5.2.1. When selection of officers is required, the Secretary shall formulate a list of all Subordinate Group members indicating membership with ASME, years of membership in the Subordinate Group, and attendance at Subordinate Group meetings for the previous 3-year period. This list will be incorporated in the agenda of the Subordinate Group.

The following criteria shall determine candidates who qualify for Chair and Vice Chairs:

S5.2(a) Subordinate Group Chair

(1) Member of Subordinate Group for at least 3 years.

(2) Attended 50% of the Subordinate Group meetings held during the previous 3-year period. Alternate attendance is not considered.

S5.2(b) Subordinate Group Vice Chair

(1) Member of Subordinate Group for at least 3 years.

(2) Attended 50% of the Subordinate Group meetings held during the previous 3-year period. Alternate attendance is not considered.

S5.2(c) If the current officers are the only members who qualify and choose to serve then the terms of the current officers can be extended beyond the limits in 4.2.1, subject to the approval of 2/3 of the A17 Standards Committee

S5.3 Project Teams (Ref 5.3)

S5.3 Project Team Membership. A project team may be one of the groups listed below in its entirety or various members from any of the groups listed below:

- a) a Working Committee
- b) an Ad-Hoc Committee
- c) a Task Group (a sub-group of one or more Working Committees)
- d) a Standards Committee

S5.3.1 Project team members for standards committee items shall be appointed by the Standards Committee Chair. Project team members for subcommittee items shall be appointed by the respective subcommittee chair.

S5.4 INTEREST REVIEW GROUP

S5.4.1 Formation Of Interest Review Group

Since it is the purpose of the Standards Committee to develop and maintain and interpret standards which represent a national consensus of concerned interests, they shall establish a Interest Review Group (IRG) as set forth hereunder.

S5.4.2 Membership

S5.4.2.1 Members. Membership on the IRG shall be open to individuals with a concern and willingness to participate within the scope of the Committee. Selection shall be based on the technical qualification of the individuals and the type of experience and expertise they would bring to the Committee.

Representation shall normally be limited to one member per organization, company, or jurisdictional authority, except that additional members may be appointed if they are members of A17 Working Committees, or if they represent special skills, interest, or fields of action considered beneficial to the committee. Members and alternates of the Standards Committee and members of the RAC are not eligible for the IRG membership.

S5.4.2.2 Appointment. Members of the IRG are subject to approval by a majority of the Standards Committee. They are appointed to a term not exceeding 5-years and are eligible for reappointment. Annually, members will be requested to reaffirm their interest

in continuing their membership on the IRG. Members who do not respond will be dropped from the IRG.

S5.4.3 Privileges and Responsibilities²

IRG members are provided access to draft proposals for review and comment and to participate in recorded votes for first consideration of standard action proposals covered under para. 7.2. On items requiring reconsideration, participation is limited to discussion.

S5.5. WORKING COMMITTEES

S5.5.1 Formation Of Working Committees³

Working Committees consist of Technical and Administrative Committees, and shall be established by the approval of the majority of the Standards Committee.

- (a) Technical Committees are standing committees responsible for continuing assignments as directed by the Standards Committee.
- (b) Administrative Committee are standing committees responsible for administrative assignments as directed by the Standards Committee.

S5.5.2 Membership⁴

Membership on Working Committees is open to all Standards Committee, RAC and NIRG members, and to any other individuals having substantial interest and knowledge of the subject. Members participate as individuals, not as representatives of organizations.

S5.5.2.1 Members. The members shall be nominated by the Working Committee Chair and are subject to approval by a majority of the Standards Committee. Members are appointed for a term not exceeding 5-years and are eligible for reappointment.

S5.5.2.2 Contributing Members. Contributing members shall be nominated in accordance with para. 5.5.2.1. Contributing Members shall be permitted to participate on all proposals submitted for consensus committee vote via review and comment. Contributing Members are not part of the committee quorum and attendance at scheduled meetings is optional. Contributing members are required to

S5.5.2.2(a) Regularly participate on ballots

S5.5.2.2(b) Take on work assignments as directed by the committee chair

S5.5.2.3 Alternates. Alternates may be appointed in accordance with para. 3.2.1, except that the requirements for interest classifications are not applicable.

S5.5.2.4 Composition of Committee. There are no fixed restrictions on the size of the Committee or on balancing the Committee by interest category, however, the Committee shall base the selection of members on the following:

- (a) Selection shall be based on the technical qualifications of the individuals and the type of experience and expertise they would bring to the Committee.

² For additional IRG Membership guidelines refer to Informative Appendix F.

³ For A17 Standards Committee Information, Appendix B contains listing of current Working Committees.

⁴ For additional A17 Working Committee guidelines on membership, refer to Appendix F.

- (b) The Committee shall include a cross section of interested and qualified parties consistent with the Committee assignments.
- (c) The Committee shall restrict its size insofar as possible to maintain workability.
- (d) Where persons considered valuable to the Committee do not expect to be able to attend meetings on a regular basis, they may be classified as corresponding members.

S5.5.3 Officers

The officers shall consist of a Chair, one or more Vice-Chairs and Secretary. Working Committee officers shall be selected by the method specified in S5.2

- S5.5.3.1 Responsibilities.** The Chair shall be responsible for the following:
- (a) Review continually the performance of the Committee members and to recommend changes in membership to the Standards Committee in accordance with Section 4.4.2.
 - (b) Provide for the timely completion of tasks assigned by the Standards Committee.
 - (c) Assure that the Committee is represented at Standards Committee meetings to report on the activities of the Committee and to maintain liaison with other groups.

S5.4.4 Meetings

Meetings or electronic conferences shall be conducted in accordance with paragraph 6.2.

Recommendations that are developed at a Committee Meeting when a quorum is not present, may be submitted to the Standards Committee with a full report on the voting of the membership present, the effort to contact absent members, and reasons for the early presentation of the recommendation.

S5.6. REGULATORY AUTHORITY COUNCIL (RAC)

S5.6.1 Formation Of Regulatory Authority Council

Since it is the purpose of the Standards Committee to develop and maintain standards which represent a consensus of concerned interests, they shall establish a Regulatory Authority Council (RAC) as set forth hereunder.

S5.6.2 Membership⁵

S5.6.2.1 Members. Every jurisdiction enforcing A17.1 or B44 Code shall be entitled to appoint a representative to the RAC. The representative shall be the senior official responsible for enforcement of the Code or the delegated representative. Membership on the RAC shall not preclude an individual from also being a member of the Standards Committee or any subordinate group other than the NIRG.

⁵ For additional A17 Regulatory Authority Council guidelines on membership, refer to Appendix F.

S5.6.2.2 Appointment. Members of the RAC are to be recommended for approval by a majority of the RAC and subject to approval by a majority on the Standards Committee. They are appointed to a term not exceeding 5-years and are eligible for reappointment. Annually, members will be requested to reaffirm their interest in continuing their membership on the Committee. Members who do not respond will be dropped from the Committee.

S5.6.3 Officers

The RAC shall elect a Chair, Vice Chair and Secretary for a three year term of office.

S5.6.3.1 Chair and Vice-Chair. The Chair, or Vice Chair in the Chair's absence, or Secretary in the Chair and Vice Chair's absence shall act as a spokesperson for the RAC at the Standards Committee meetings. The Chair shall be an ad hoc member of the Standards Committee, with vote.

S5.6.3.2 Secretary. The Secretary shall record and with the assistance of ASME distribute agendas and minutes of all meetings of the RAC to the RAC members. The Secretary shall receive and maintain all documents relative to the RAC, any correspondence with interfacing organizations or individuals in the name of the RAC and perform other duties as requested by the Chair.

In the absence of the Chair and Vice Chairs at a meeting, the Secretary shall take the chair.

S5.6.4 Meetings

The RAC should meet at least once annually. Attendance shall be encouraged but is not required. At least one meeting should be held the day before a Standards Committee meeting.

S5.6.5 Privileges And Responsibilities

S5.6.5.1 Ballots. Members of the RAC are provided access to draft proposals for review and comment and to participate in recorded votes for first consideration of standard action proposals covered under para. 7.2. On items requiring reconsideration, participation is limited to discussion.

S5.6.5.2 Annual Survey. A survey shall be sent to the members of the RAC on an annual basis. It shall include questions on the edition of the A17.1 or B44 Code being enforced in the Jurisdiction, including a list of modifications to the edition, including and addenda/supplement being used, plus any revisions and additions the jurisdiction would like to see in the Code, etc. Members who do not respond will be dropped from the RAC. The results of the Survey will be made available to the Standards Committee.

S5.7. AD HOC COMMITTEES

Ad Hoc Committees are responsible for special studies assigned by the Standards Committee. Members to Ad Hoc Committees shall be nominated by the Ad Hoc Committee Chair or a Standards Committee member and subject to approval of a majority of the Standards Committee. They shall develop reports with recommendations for action. When the assignment is complete, the Standards Committee shall discharge the Ad Hoc Committee.

Duties of the Standards Committee (Ref. 6.1)

S6.1(a) Review codes and standards developed by other groups which may affect the Codes and Standards within the Charter of the Committee and recommend appropriate action to the BSCS.

S6.1(b) Develop proposals for other Codes and Standards writing groups which relate to and are for coordination with Standards within the A17 Standards Committee Charter.

Meetings (Ref 6.2)

6.2(a) Minutes shall be kept of all meetings and they shall include the name of all members absent, as well as those present. Members that are absent but are represented by an alternate shall be duly noted. The Minutes are to report what occurred at the meeting, and are to be approved with corrections, if necessary, at the next meeting at which a quorum exists or by recorded vote.⁶ Minutes of Standards Committee meeting shall be posted to C&S connect within 45 days of the Standards Committee meeting. Minutes may also be sent directly to consensus committee members and their alternates, either in electronic or paper format.

6.2(b) When operating in executive session, the meeting will be open to only Standard Committee members or their acting alternates and ex-officio members.

S6.2(c) (Ref also 4.4.4) Agenda shall be provided for all meetings and are to be approved with corrections, if necessary, at the commencement of the standards committee meeting. Agenda shall include all action items before the standards committee including but not limited to: (a) interpretations when required by Appendix D; (b) technical revisions proposed for withdrawal, ruling of consensus, or public review; (c) applications for membership; (d) listing of standard committee member ASME membership, attendance, and response to letter ballot when required by S4.2; and (e) appeal data when required by S11.3. Agenda for Standards Committee meeting shall be posted to C&S connect 15 days prior to Standards Committee meetings. Agenda shall be sent directly to consensus committee members and their alternatives, either in electronic or paper format. Items not received by the Standards Committee Secretary 30 days prior to the Standards Committee meeting shall not be included on the Agenda. A supplemental agenda may be issued prior to the meeting and distributed to members at any time up to the day of the meeting. However, supplemental agendas shall only include interpretations and urgent issues.

S6.2.4 (Ref 6.2.4) Audio or visual recordings of meetings and teleconferences by any form of recording device including but not limited to tape recording, digital recording, video recording, or computer is prohibited by any member of a committee, guest, or attendee. Only the secretary, who is a member of ASME staff, may be permitted to record a meeting under certain guidelines.

Standards Committee Actions – Notification of Voting (Ref. 7.2.1, 7.2.3, 7.2.4)

S7.2.1 Open Review and Comment ballots shall be posted to C&S Connect with notification to each individual party requested to review and comment immediately upon posting to C&S connect.

⁶-Additional information is provided for within Appendix D.

S7.2.3 Open First Consideration ballots shall be posted to C&S Connect with notification to each individual party requested to vote immediately upon posting to C&S connect.

S7.2.4(h) Open Recirculation ballots shall be posted to C&S Connect with notification to each consensus committee member immediately upon posting to C&S connect.

Standards Committee Actions – Voting Procedures (Ref. 7.2.3)

S7.2.3(a) In addition, members of the National Interest Review Group and Regulatory Authority Council shall have an opportunity to vote on items submitted for first letter ballot consideration.

S7.2.3(c) **Approved** votes indicate that you accept the revision as written. Editorial comments may be submitted with these votes on the attached comment sheets; however, these comments will only be used for guidance in preparing the final publication. **Disapproved** votes indicate that you do not accept the revision as written for technical reasons. **Not Voting** should be executed only an individual has a conflict of interest or potential conflict of interest and, in accordance with the Society Policy, are removing themselves from the voting process. **Abstain** indicates an individual has reviewed the proposal but does not wish to either approve or reject the proposal.

S7.2.3(d) Disapproved votes must include a rewording of the proposal that would satisfy the objection. The Reason for "Not Voting" should be stated on the ballot. This vote reduces total committee voting membership for that particular action.

Public Review (Ref. 8)

S8.2 Each member of the standards committee shall be notified of any relevant A17 Public Review upon issuance for Public Review. Proposed standards issued for Public Review by A17 shall be posted to C&S Connect.

Honorary Membership (Ref 9.1.1 in Guide to Procedures for ASME Codes and Standards)

S9.1.1 An Ex-officio member to the Standards Committee shall be credited the time they serve as an Ex-officio member in meeting the five of the ten year requirement for being a member of the Standards Committee.

Awards

Safety Codes and Standards Medal

Annually, the ASME Committee on Honors, may present an ASME Safety Codes and Standards Medal to an individual who has contributed to the enhancement of public safety through the development and promotion of ASME Codes and Standards or the ASME safety accreditation activity. Any individual Member or Committee may nominate candidates for the Safety Codes and Standards Medal. Nomination and eligibility information may be found in the ASME Honors Manual MS-71. A member may not receive more than one Safety Codes and Standards Medal.

Requirements for Interpretations⁷ (Ref 10.2)

S10.2 Interpretations shall be published with the Standard or its addenda.

Interpretations - Approval Committee (Ref 10.3)

S10.3 The preferred method to be used shall be approval by the Standards Committee method (see para. 10.4). Alternatively the Special Committee method (see para. 10.5) may be used if approved by the A17 Standards Committee.

Appeals – Procedures (ref 11.3)

S11.3 Information presented during the appeal by either party should be based on data available during the balloting process, or printed in the agenda with the appeal hearing schedule. If it is shown that new information is presented by either party during the appeal, the other party shall have the right to move for a postponement to allow time to review the new information. Such a motion shall require a second and allow no discussion. A $\frac{2}{3}$ majority of members present shall be required to approve the postponement.

Informative Appendices to the ASME A17 Standards Committee Procedures

September 2016

For A17 Standards Committee Use Only

These Appendices are meant to serve as supplemental guidelines and further clarification to the A17 Procedures by providing for an orderly administration of the Committee activities and are subject to approval only by the A17 Standards Committee. The A17 Procedures take precedence with regards to any questions or conflicts arising from these Appendices.

Revision 1:

Approved by A17 Standards Committee: [September 2004]

Revision 2:

Approved by A17 Standards Committee: August 2006

Revision 3:

Approved by A17 Standards Committee September 2008

Revision 4:

Approved by A17 Standards Committee October 2015

Revision 5:

Approved by A17 Standards Committee May 2016 (editorial to conform with Rev 16)

Revision 6:

Approved by A17 Standards Committee September 2016 (added Code Cases)



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APPENDIX A

SITE INVESTIGATION GUIDELINES

Codes and Standards Policy CSP-6 shall be followed in addition to the following:

A1 PURPOSE

Where first-hand knowledge of events, such as accidents, fires, or earthquakes, will aid the Committee in the development of safety requirements, the Committee may conduct site investigations and develop reports as set forth herein.

The report will be used by the Committee for the development of revision of Codes and Standards to promote the public health, safety, and welfare.

A2 APPROVAL FOR CONDUCTING INVESTIGATIONS

When Committee members, or other concerned persons, learn of an event which may warrant a site investigation, they should contact the Secretary of the Standard Committee and provide the pertinent information.

The Secretary will then consult with the Chair of the Standard Committee to determine:

- (a) whether the event warrants a site investigation;
- (b) whether means are available to conduct the investigation, (e.g., permitted access to the buildings); and
- (c) the selection of the site investigation team members (see section A3)

The BSCS, its Executive Committee, or its officers shall approve (by telephone, if necessary) all site investigations and membership of the investigation team, before the investigation is conducted.

A3 SELECTION OF SITE INVESTIGATION TEAM MEMBERS

Persons wishing to participate in site investigations and the drafting of the reports shall submit their names to the Secretary of the Standards Committee. The officers will review the list of persons willing to participate and submit a recommended panel, from which teams members will be drawn, to the Standards Committee for approval.

The Chair and the Secretary shall select not less than four members from this panel to participate in each investigation. An ASME staff member will serve as an additional member of the team. A majority of the team members chosen (plus the staff member) shall take part in the field investigation.

A4 SITE INVESTIGATION REPORTS

The report will be developed at a meeting (or meetings) of the site investigation team, and will be signed by the staff member on behalf of the Committee.

The report will be submitted to the Standards Committee and the BSCS for approval, prior to any distribution outside of the Committee. Until these approvals have been obtained, the first page of the report shall include the following:

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

APPENDIX B WORKING COMMITTEE ASSIGNMENTS

COMMITTEE	ASSIGNMENTS
B44.1/A17.5	Coordination of requirements with the B44.1/A17.5 Elevator and Escalator Electrical Equipment Standard
Code Coordination	Coordination of the A17 standards with building codes and other related standards
Dumbwaiter & ATD	Dumbwaiters and material lifts with automatic transfer devices
Earthquake Safety	Special requirements for elevators in seismic risk zone 2 and higher
Editorial	Coordination of revisions procedure; reviewing documents for grammar and format, and coordination and preparation of publications; also Forewords, Prefaces, Introductions, Scopes, and indexing
Electrical	Electrical equipment; coordination of requirements with National Electrical Code
Elev. Used for Construction	Elevators used for construction or demolition
Emergency Operation	Emergency signaling devices, Emergency Power, Firefighters' Emergency Operation, Occupant Evacuation Operation and Fire Service Access Elevators
Escalator & Moving Walk	Escalators and moving walks
Guide for Emergency Personnel	Procedures for evacuation of passengers from elevators
Existing Installations	General requirements for existing installations
Hand & Sidewalk Elevator	Hand elevators and sidewalk elevators
Hoistway	Hoistways, entrances, cars, interlocks, door operation
Hydraulic	Hydraulic elevators
Inclined Elevator	Inclined elevators
Inspections	Inspection and testing requirements and procedures
International Standards	Development of the recommended position for US voting on ISO/TC 178 matters
Limited-Use/Limited-Appl.	Elevators which are limited in usage and application
Maintenance	Maintenance, Repair and Replacement
Marine Elevator	Elevators used on ships and offshore drilling rigs
Mechanical Design	Mechanical equipment and structural design
Mine Elevator	Elevators used in mine shafts
New Technology	Requirements for providing equivalency to A17.1 in cases of new technology that is not yet covered by code.
Outside Emergency Elevator	Outside elevators used for emergency evacuation

Rack & Pinion and SPPE	Rack and pinion elevators and Special Purpose Personnel Elevators
Residence Elevator	Residence elevators
Wind Turbine Elevator	Elevators used for wind turbine applications

APPENDIX C

DEVELOPMENT OF TECHNICAL REVISIONS (Standards Actions)

This Appendix describes the method for developing revisions to the standards promulgated by the Committee, from the origin of the proposals through their publication. The following is the typical sequence for review and approval which will be followed for each proposed revision.

C1 ORIGIN OF PROPOSALS

Proposals for technical revisions (TR's) shall be submitted to the relevant Working Committee Secretary, using Appendix B as a guideline who will then assign it a record number and maintain documentation of its status throughout the technical revision process. A project team manager shall be assigned to the record throughout the technical revision process within the relevant working Committee.

The assignment of all new proposals will be reported to the Standards Committee for information, and if necessary, reassignment of the technical revision to another Working Committee.

C2 PROJECT TEAM REVIEW

C2.1 Status Reports. At each Standards Committee meeting, a report on the status of all outstanding technical revisions shall be provided. If progress is not reported within two meetings, the Secretary shall inform the Standards Committee officers that a meaningful report is required at the next meeting. If no report is given, it will be brought to the attention of the Standards Committee for appropriate action.

C2.2 Development of Proposals. The assigned Project Teams shall thoroughly study each technical revision and determine if a revision is in order.

(a) Proposals which are rejected shall be submitted to the Standards Committee with the rationale for rejection.

(b) When proposals involve a revision, the Project Team shall also consider its effect on other A17 documents, and include one or more of the following in their report to the Standards Committee:

- (1) Wording of the corresponding revision to the effected document.
- (2) A statement that no revision to other documents is necessary.
- (3) A recommendation that another Project Team develop the corresponding revision.

(c) If it is determined that a revision is necessary, the Project Team should formulate a proposal. The proposed revisions should be in the following format:

- (1) Record number (assigned by Secretary).
- (2) Paragraph number (Section, Item, etc.).
- (3) Proposed wording for new items and when revisions are made to existing requirements, shall include existing wording striking out material to be deleted and underling material to be added.
- (4) Rationale for revision.

The proposed revision should then be processed (with the assistance of the Staff Secretary, if so requested) for a broad review and comment in accordance with Para. 7.2.1. The Project Team Manager, in consultation with the secretary, and the Standards Committee Chair or relevant Working Committee Chair if applicable, shall determine which specific groups should be included in the review.

C3 RECORDED VOTE

The Project Team Manager advises the Secretary when the proposal is ready for consensus vote. The Secretary then confirms that everything is in order, i.e. comments/responses are properly documented, explanation for revision provided.

The Secretary then prepares the voting package to include:

- 1) the proposed revision
- 2) an explanation of why the action is being proposed (rationale)
- 3) a summary of substantive comments made during the development phase and project team responses to comments
- 4) dissenting view of any member who requests to be recorded

The Secretary then submits the voting package to the A17 Standards Committee, NIRG, RAC, and CSA B44 Technical Committee through its Secretary, with copy for review and comment to the Ex-Officio, Honorary and to the Board on Safety Codes and Standards for a review period of up to 30 days (either letter ballot, fax, recorded vote at meetings, or through electronic means).

Two weeks before the close of the voting period, a follow-up notification will be sent to those Standards Committee members who have not responded.

C4 RESOLUTION OF NEGATIVES/COMMENTS BY PROJECT TEAM

Two weeks after the close of the voting period, the Secretary shall forward the complete voting tally to the appropriate Project Team. Comments with disapproved votes shall comply with the following requirements:

- (a) comments shall include technical rationale on which disapproval is based;
- (b) proposed rewording that the commenter finds acceptable shall be provided; and
- (c) comments shall be limited to changed wording (typically denoted by ~~strikeout~~ and underline) and not to current code requirements.

Comments that don't comply with these requirements shall be considered not germane to the proposed revision.

All disapproved votes and comments shall be carefully considered, by the project team. Responses shall include cogent and relevant technical rationale explaining the rejection of any disapproved vote. The Project Team may contact commenters/negative voters to check if their comments/negatives will be withdrawn based on a response/technical changes. Responses to substantive comments and disapproved votes (including withdrawn negatives) shall be documented. The comment summary shall be made available to the Standards Committee, and any NIRG or RAC members who submitted comments.

C5 STANDARDS COMMITTEE REVIEW OF COMMENTS/TECHNICAL CHANGES.

If any technical changes were made to the proposal as a result of disapproved votes/comments, they shall be submitted for a first consideration ballot as per C3: Recorded Vote.

If no technical changes are made to the proposal as a result of disapproved votes/comments and the Project Team cannot resolve disapproved votes/comments, the Secretary shall conduct a recirculation ballot to the A17 Standards Committee with copy for review and comment to the CSA B44 Technical Committee through its Secretary for a review period of up to 15 days.

C6 CONDITIONS FOR APPROVAL.

A record will be considered approved if the Project Team does not feel that additional changes to the proposal are warranted and either:

- (a) Two-thirds of the voting members (total voting membership of the Standards Committee minus those who voted “Not Voting”) voted “Approved” without any negatives received via a first consideration or recirculation ballot, or
- (b) Two-thirds of the voting members (total voting membership of the Standards Committee minus those who voted “Not Voting”) voted “Approved” with remaining negatives on recirculation, and a ruling of consensus by the Standards Committee Chair

Upon a ruling of consensus, the Secretary shall have members of the Standards Committee who submitted the unresolved disapproved votes advised that the item is approved and of their right to appeal.

C7 Further Consideration.

If a technical revision is not approved by the Standards Committee, either the procedures in paragraphs C4 through C5 will be repeated, or the technical revision will be closed per para. C2.2 (a).

C8 PUBLIC REVIEW.

ANSI Public Review for the proposal will normally be conducted at this time unless otherwise approved by the Standards Committee Chair (See para. C7). The standards committee shall attempt to resolve all negative comments received through public review. Following consideration of each comment, the commenter shall be advised that the committee reviewed their comment(s), the action(s) taken, or reason(s) why the comment(s) could not be resolved and notification of their right to appeal the Standards Committee’s actions. All unresolved public review objections shall be distributed to members of the standards committee who will have the opportunity to respond, reaffirm, or change their vote on the proposal.

C9 BSCS APPROVAL

After a standards action has been approved by the Standards Committee, the secretary will submit the standards action to the secretary of the BSCS, along with:

1. a tally of the voting;
2. unresolved standards committee disapproved votes, board comments, and project team responses; and,
3. after the completion of public review (para. 8), public comments and project team responses.

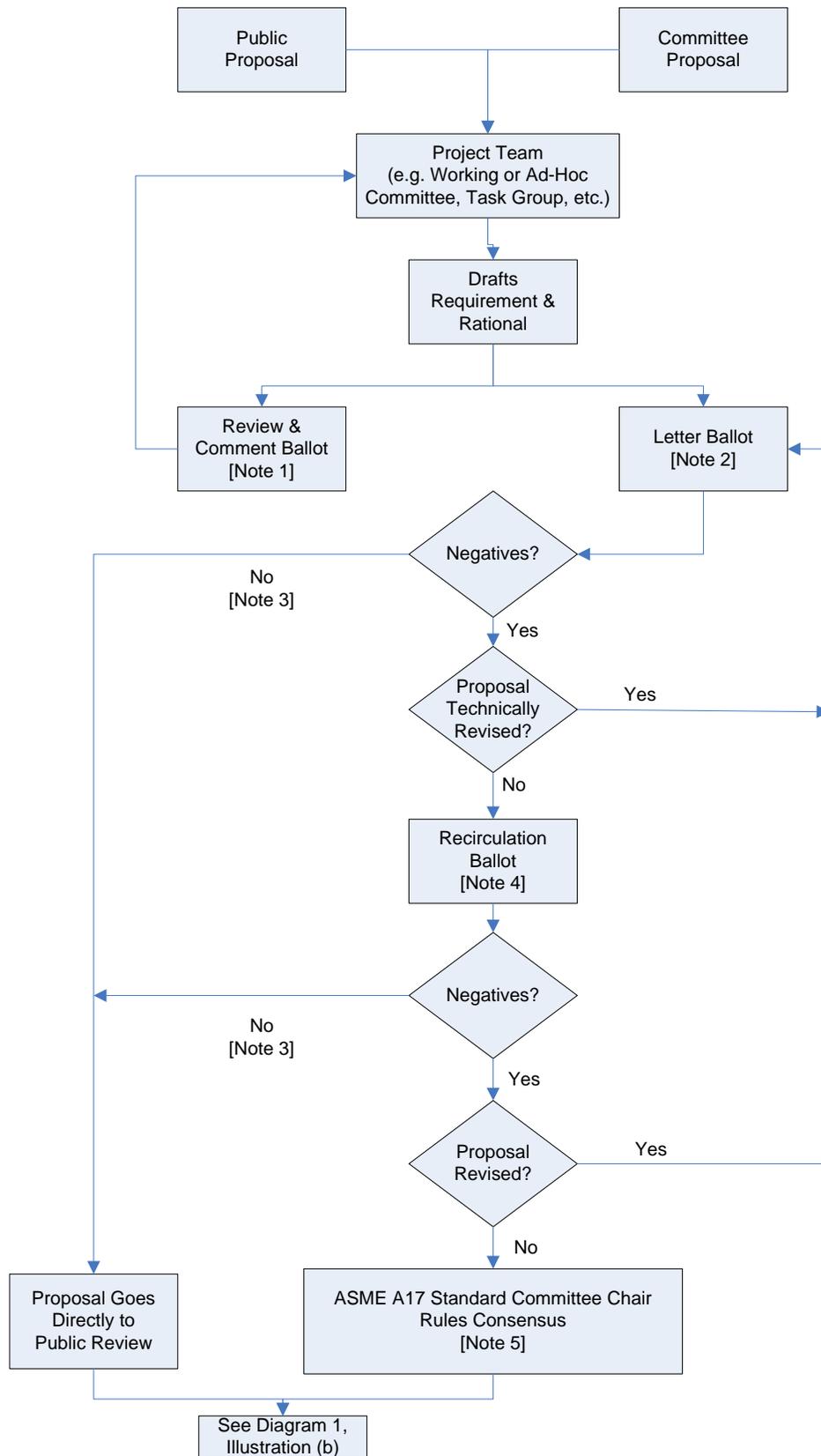
C10 ANSI APPROVAL

The technical revisions will be submitted to ANSI for approval in accordance with Article 9.

C11 PUBLICATION

During the approval process, the Editorial Working Committee will prepare the Record’s for publication.

ASME A17 Technical Revision Flowchart

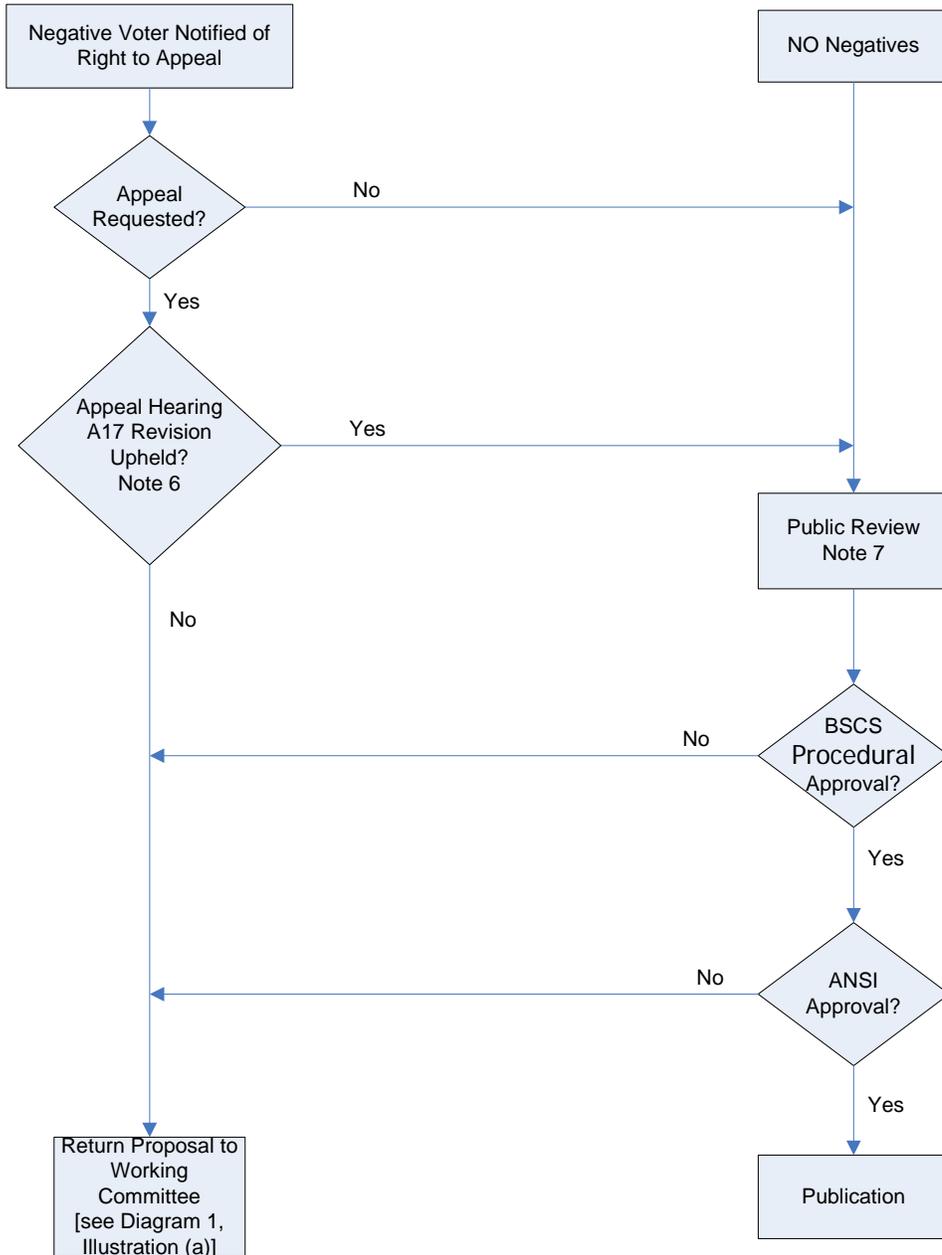


(a)

NOTES:

1. Project team determines who receives Review and Comment Ballot, e.g. Working Committee only, other Working Committees, A17 Standards Committee, NIRG, RAC, and/or CSA B44.
2. Letter Ballot of A17 Standards Committee, NIRG, RAC and CSA for distribution to B44 Committee.
3. All comments must be addressed. Editorial revision allowed with A17 Standards Committee approval.
4. Secretary contacts all negative voters (this includes A17, B44, RAC, NIRG) and asks them if they want to withdraw their negatives and notifies them of their rights to appeal. If all negatives are withdrawn, proposal proceeds to public review. See Diagram 1b. Recirculation Ballot of A17 Standards Committee if any remaining negatives. Ballot may include editorial revisions. Copy of ballot sent to CSA.
5. Assuming at least two thirds affirmative vote by A17 Standards Committee on proposed revision.

ASME A17 Technical Revision Flowchart



(b)

NOTES:

6. Three levels of appeal. First appeal to A17 Standards Committee. Second appeal to ASME BSCS. Third appeal to ASME Board on Hearings and Appeals.

7. Public review comments sent to working committee. Working Committee may draft response, revise proposal or withdraw proposal. If proposal revised technically it is subject to 1st consideration ballot [see Diagram 1, Illustration a)]. Working Committee action subject to approval of A17 Standards Committee.

APPENDIX D

REQUEST FOR INTERPRETATIONS

Upon receipt of an inquiry requiring an official interpretation of a document produced by the A17 Standards Committee, the Secretary shall process it in accordance with the procedures of para. 10 in the Procedures for ASME Codes and Standards.

Two forms of interpretations are recognized: Interpretation of the literal text; and interpretations of the intent of the text. See Codes and Standards Policy CSP-33 regarding interpretations and intent interpretations.

D1 PREVIOUSLY APPROVED INTERPRETATIONS

If the inquiry can be answered by a previously approved interpretation, the Secretary will reply to inquirer and send a copy to the Officers of the Standards Committee. For a list of published inquiries, please visit the Interpretation Database (<http://cstools.asme.org/Interpretation/SearchInterpretation.cfm>).

D2 DEVELOPMENT OF INTERPRETATIONS BY WORKING COMMITTEES

If the inquiry requires a new interpretation, the Secretary will acknowledge the receipt of the inquiry and refer it to a Working Committee, using Appendix B as a guideline, to propose a reply. In the event that an interpretation is requested for past requirements that relate to inclined stairway chairlifts and inclined and vertical wheelchair lifts as well as private residence inclined stairway chairlifts and inclined and vertical wheelchair lifts, it will be referred to the ASME A18 Committee to propose a reply. The proposed reply generated by either an A17 Working Committee or the A18 Standards Committee will be placed on the Agenda for the next Standards Committee meeting and continue on succeeding Agendas until a reply is approved.

If the applicable Working Committee does not have a meeting scheduled prior to the Standards Committee meeting at which the inquiry will be discussed, the Working Committee officers may develop a proposed answer. This proposed answer shall be distributed to all members of the Working Committee.

If any member of the Working Committee objects to the proposed answer, the member shall notify a Working Committee officer prior to the Standards Committee consideration and the response will be held until the Working Committee discusses the interpretation.

D2.1 Guidelines. Working Committees will be guided by the following in preparing proposed answers:

- (a) A thorough study must be made of the inquiry including research of past interpretation(s).
- (b) If additional information is required, it may be obtained verbally, or in writing.
- (c) Other Working Committees shall be consulted when their area of responsibility may be affected.
- (d) All answers developed are to be based on interpretation of A17 documents only.
- (e) Include the dissenting views of any member who requests to be recorded.
- (f) When the proposed interpretation is based on the intent of the text, this shall be clearly stated in the answer and the guidelines set forth in CSP-33 shall be followed. Such interpretations shall not contradict the literal text.
- (g) The Working Committee may reword the inquiry to allow for an appropriate answer to be generated.

D3 FORMAT OF INTERPRETATIONS

Inquirers shall submit interpretations using the online Interpretation form (<http://cstools.asme.org/Interpretation/InterpretationForm.cfm>) as shown in Appendix D9.

The Working Committee shall submit proposed interpretations to the Standards Committee using the following format:

Record Number (Auto generated by C&S Connect Database)

Subject: Cite the applicable Section number(s), figures or tables and a concise description.

Edition: Cite the applicable edition and supplement of the Code for which the interpretation is being requested. If no edition is specified, it will be the edition which is in effect on the date of the inquirer's letter.

Question: Phrase the question as a request for an interpretation of a specific requirement suitable for general understanding and use, not as a request for an approval of a proprietary design or situation. The question shall be phrased, where possible, to permit a specific "yes" or "no" answer. The inquirer may also include any plans or drawings which are necessary to explain the question; however, they should not contain proprietary names or information. The inquirer's question shall be quoted, or if necessary, rephrased to be clearly applicable to the requirement in question.

Answer: The answer shall be worded as an interpretation, suitable for general understanding and use; not a response to a proprietary design or situation. Discussion or reasoning should be included where appropriate.

D4 STANDARDS COMMITTEE REVIEW

The Standards Committee shall be guided by the following in reviewing proposed interpretations:

- (a) Determine that the question, as near as possible:
 - (1) reflects the inquirer's request for an interpretation;
 - (2) is complete and independent of other supporting material;
 - (3) applies only to an interpretation of A17 documents;
 - (4) is not a request for an exception to a requirement; and
 - (5) does not request rationale of a requirement
- (b) Determine that the answer:
 - (1) fully answers the question;
 - (2) does not "approve", "certify", "rate", or "endorse" a proprietary design or situation
 - (3) is consistent with previous interpretations;
 - (4) was given adequate consideration by the Working Committee; and
 - (5) does not require further input by other Working Committees.

D5 STANDARDS COMMITTEE ACTION

When an inquiry appears on the Agenda of a Standards Committee meeting, the Committee shall take one of the following actions:

- (a) Approve the response developed by the Working Committee or a modification thereof.
- (b) Return the inquiry to the Working Committee for further consideration.
- (c) Refer the inquiry to another Working Committee.

D6 REPLY TO INQUIRER

Following approval by the Standards Committee, the Secretary should inform the inquirer of the action taken within 30 days and update the interpretation record on C&S Connect accordingly.

D7 REQUESTS FOR WITHDRAWAL OF INTERPRETATIONS

If an inquirer submits a request for an interpretation and then requests that it be withdrawn, it may be withdrawn only with the approval of the Standards Committee.

D8 RECONSIDERATION

The response approved by the Standards Committee shall appear in the Minutes of that meeting. All Standards Committee members should review the response and send to the Secretary, within 30 days (see D6), any objections they may have to the interpretation.

If any appropriate objection is made and approval is received from the Standards Committee Officers, the Secretary shall inform the inquirer that the interpretation is being reconsidered. The interpretation will then be reconsidered in accordance with sections D2 through D7.

D9 ASME INTERPRETATION SUBMITTAL FORM

* Denotes required field

I. Inquirer Information [Sample Interpretation Submittal Form](#)

First Name:*	<input type="text" value="Start typing"/>	Last Name:*	<input type="text" value="Start typing"/>
Company/Organization:*	<input type="text" value="Start typing"/>		
Address 1:*	<input type="text" value="Start typing"/>		
Address 2:	<input type="text" value="Start typing"/>		
Address 3:	<input type="text" value="Start typing"/>		
Country:*	<input type="text" value="United States"/>	State: *	<input type="text"/>
Town/City:*	<input type="text" value="Start typing"/>	Zip/Postal Code:*	<input type="text" value="Start typing"/>
Phone:	<input type="text" value="Start typing"/>	Fax:	<input type="text" value="Start typing"/>
Email:*	<input type="text" value="Start typing"/>	Confirm Email:*	<input type="text" value="Start typing"/>

2. Request for Interpretation

Standard Designation:*

NOTE: To select, highlight the Standard Designation

<input type="text" value="Start typing to filter"/>	NOTE: if your question(s) applies(y) to more than one standard, select the most appropriate standard and reference any others in your inquiry	NOTE: Interpretations are not issued for the following ASME Standards
<input type="list" value="A13.1, A17.1, A17.2, A17.3, A17.4"/>		<input type="list" value="A112.4.7, A112.6.5, A112.18.6, A112.19.8M, A112.20.1"/>

Edition/Addenda:*

Paragraph/Fig./Table No:*

Enter req. number

Subject:

Enter brief (1 or 2 word) description

Inquiry(ies):*

Please provide a condensed and precise question, omitting superfluous background information and composed in such a way that a 'yes' or a 'no' reply is acceptable. Please cite the specific paragraph number in your question(s).

Proposed Reply(ies):

Replies should be in the form of a Yes or No answer with explanation as needed. If entering replies to more than one question, please be sure to number your questions and replies.

Background Info:

Please provide the committee with any background information that will assist the committee in understanding the inquiry.

Background File:

No file chosen

Supported File Types are (.doc,.pdf,.txt,.jpeg,.tiff etc)

3. Important, Please Read

Requests for interpretation must be limited to an interpretation of a particular requirement in the Standard or Code Case. ASME does not "approve," "certify," "rate," or "endorse" any item, construction, proprietary device, or activity. Additionally, the committees cannot consider consulting type questions such as the following:

- 1) a review of calculations, design drawings, or descriptions of equipment or parts to determine compliance with the requirements in the Standard;
- 2) a request for assistance in performing any Code-prescribed functions related to, but not limited to, material selection, designs, calculations, fabrication, inspection, testing, or installation;
- 3) a request seeking the rationale for a requirement in the Standard since these are based upon consideration of technical data and the experience and expertise of the individual committee members.

If your inquiry does not meet the requirements for submittal as stated above, it may not be accepted by the committee for review.

For all matters other than requests for interpretation, please go to www.asme.org.

APPENDIX E COMMUNICATION

E1 INFORMAL

All A17 Committee members may communicate informally as they see fit. However, when the subject of the communication within the Committee involves action by a group other than that with which the author of the communication is a member, copies shall be distributed as outlined in paragraph E2, to provide for proper coordination of the Committee's work.

E2 FORMAL

E2.1 Internal. Correspondence pertaining to a subject that goes beyond the informal activities of the Committee or Project Team, including all correspondence of a Committee Chair, should be handled on the basis of sending copies of such correspondence to the officers of the Standards Committee, and applicable Project Team Administrative Manager or Working Committee Secretary.

E2.2 External. A Committee member or group of members may speak, presenting or explaining current, approved ASME statements or positions *only* when designated by both a Standards Committee Officer and the BSCS Chair and when specifically authorized by the Chair of the Council on Codes and Standards.

Under any other circumstances, the Standards Committee Chair or individual designee must preface individual remarks or written comments with a statement to the effect:

"A clarification of my status relative to the Society is in order. The ASME administered standards committee, designated as the A17 Elevator and Escalator which is under the jurisdiction of the Board on Safety Codes and Standards (or CCS) and which participated in this review, was selected on the basis of its experience on the subject matter; it numbered (add total number of members on the committee) individuals. In the time frame available for review and comment, the opinions and comments generated, by necessity, represent a general consensus of the reviewers, rather than that of ASME. As a result, the review by these committee participants is not to be construed as an approval of endorsement of (add name of document under consideration) by ASME. Rather, the review has been a constructive public service in the hope of improving the final version of (add code or standard). The information being presented here is being submitted through the regular ASME approval process. The results of this approval process will be sent to you when completed."

E3 INCOMING

Incoming correspondence shall be addressed to the Secretary of the Standards Committee who, upon its receipt, will start the proper processing for the purpose of developing a reply.

E4 CONFIRMATION

Where a written confirmation of a verbal answer made by any Committee or Project Team member regarding the Code is requested, the inquirer shall be instructed by the member to submit a formal written inquiry to the Secretary of the Standards Committee who will process this inquiry in accordance with these procedures.

E5 STATIONERY

Written communications dealing with any ASME codes and standards issues shall be placed on "committee correspondence" stationery if the writer is acting as a committee participant. Stationery of the individual's employer shall be used if the writer is acting as an employee, rather than as an ASME participant, such as in the presentation of an inquiry.

Official ASME letterhead (excluding "committee correspondence") stationary shall only be used by ASME staff. ASME letterhead stationary shall not be used by any member of the A17 Committee.

APPENDIX F MEMBERSHIP GUIDELINES

A17 Committee Procedures relating to membership are covered by Articles 3 (Standards Committee), S5.3 (NIRG), S5.4 (Working Committees), and S5.5 (Regulatory Authority Council). This Appendix supplements those procedures by providing administrative guidelines for the selection of new members and the requirements for maintaining membership in good standing.

F1 APPLICATION FOR MEMBERSHIP

Candidates for membership on any committee, team or council must complete an application form, supplied by the Secretary. The application will be included on the Agenda for the next Standards Committee meeting for review and appropriate action.

F2 SELECTION OF NEW MEMBERS

F2.1 Standards Committee.

When the Standards Committee determines that it is necessary or desirable to fill an open position on the Standards Committee, candidates will be solicited from interested persons. Openings will be filled from the pool of candidates based on the following criteria:

- (a) Technical expertise and experience.
- (b) Commitment of the individuals and their employers for the allocation of the time and expense necessary to fulfill the duties of membership.
- (c) The interest categories of the individuals, in order to maintain proper balance of Committee membership and to obtain a wide variety of expertise and interests.
- (d) Commitment of the individuals as demonstrated by active participation on Working Committees, Ad Hoc Committees or Project Teams, and attendance at Standards Committee Meetings.

At the discretion of the Committee, nominees from the list of applicants may be proposed from the floor, or by utilizing the weighted-vote method (see para. F5). The approval of a nominee requires a 2/3 vote of the Standards Committee members and approval by the BSCS.

F2.2 Interest Review Group.

Candidates for membership on the IRG will be considered based on the criteria specified in S5.3. Approval requires a majority vote of the Committee Members.

F2.3 Working Committees.

Candidates for membership on a Working Committee will be nominated by the Working Committee Chair based on criteria specified in S5.4.2.3. Applicants for membership shall be required to attend at least one meeting prior to action being taken on their membership.

Approval requires a majority vote of the Standards Committee Members. If a Working Committee Chair recommends that a candidate not be nominated, the reasons will be reported to the Standards Committee.

F2.4 Regulatory Authority Council.

Candidates for membership on the RAC will be considered based on criteria specified in S5.5.2. Approval requires a majority vote of the Standards Committee.

F3 MEMBERSHIP REQUIREMENTS

At the end of each administrative year, the Standards Committee officers will review the activity of the Standards Committee, NIRG, and RAC Members and Working Committee Chairs. The Working Committee Chairs will review the activity of the members of their Committee. Members not meeting the requirements listed will be considered delinquent.

F3.1 Standards Committee. Standards Committee members (except ex-officio and Honorary Members) are required to:

- (a) Attend at least $\frac{1}{2}$ of the Standards Committee meetings (alternate attendance is not considered);
- (b) Respond to at least $\frac{3}{4}$ of all recorded votes (alternates vote is not considered); and
- (c) Actively participate as a member of at least one Working Committee, exclusive of corresponding membership (alternate attendance is not considered).

The officers will review with the member the reasons for the delinquency and, if necessary, recommend discharge at the next meeting. When temporary circumstances, such as illness, temporary assignment, etc., prevents a member from attending, special consideration may be given to waving the attendance requirement pending the member has:

- (a) Appointed a permanent alternate;
- (b) Has provided sufficient evidence of continued interest and support with specific plans to contribute to the work and
- (c) Has met other requirements for membership.

A recommendation to discharge a member requires a $\frac{2}{3}$ vote of the Standards Committee Members and concurrence by the BSCS.

F3.2 IRG. IRG Members are required to respond to the annual questionnaire specified in S5.3.2.2. Members who do not respond, despite follow-up, will be dropped from the committee. Such actions shall be reported to the Standards Committee.

F3.3 Working Committee. Working Committee Members are required to attend at least $\frac{1}{2}$ of all meetings.

Corresponding Members are required to contribute to the work of the Committee through special tasks assigned by the Working Committee Chair or through other significant written input. If Corresponding Members do not participate in assigned tasks they are subject to termination upon the Working Committee Chair's review of their input.

The Working Committee Chair will review with the Member the reasons for the delinquency and ascertain whether continued membership on the Committee is appropriate. Any disagreement between the Working Committee Chair and the Member shall be reported to the Standards Committee for resolution. A recommendation to discharge a member requires a 2/3 vote of the Standards Committee Members.

F3.4 RAC. RAC Members are required to respond to the annual questionnaire specified in S5.5.2.2. Members who do not respond, despite follow-up, will be dropped from the RAC. Such actions shall be reported to the Standards Committee.

F4 APPEALS

Any action or inaction on membership may be appealed in accordance with Article 9 11.

F5 WEIGHTED-VOTE METHOD

When the Committee is considering numerous candidates for the nomination of Standards Committee Members (Section F2.1) or Officers (Section 4.2), the weighted vote method may be used, as described below, to determine the Committee's preference.

- (a) A ballot listing the candidates will be prepared for letter balloting or distribution at the meeting.
- (b) Following discussion of the candidates, Members (or their acting Alternates) will make the ballot with a "3" for their first choice, "2" for their second choice, and "1" for their third choice.
- (c) The votes will be tallied, and the person with the highest total will be nominated. The nominee will then be balloted for the required 2/3 approval.
- (d) If the Committee is considering filling more than one position on the Committee, the procedure will be repeated with the remaining candidates.

Appendix G

Procedures for Regulatory Advisory Council (RAC)

G1.0 Purpose

The RAC is formed to provide a forum and a vehicle for regulatory authorities to review and comment on proposed changes, additions and deletions to the ASME A17 safety codes and standards. RAC shall also be available to provide input on regulatory concerns and issues when directed by the ASME A 17 Standards Committee. In addition to any procedures specified within S5.5 the following criteria shall apply to the RAC.

G2.0 Membership Requirements

G 2.1 A member must be a person employed by an authority having jurisdiction. The member's primary responsibility shall be the enforcement of elevator safety codes and standards in a state or local municipality (sometimes referred to as the Chief Elevator Inspector). This member may also be a designee of the chief inspector. It is not intended that the member be required to represent his or her employer's interests, but may do so.

G2.2 Members must maintain current contact information including e-mail address, telephone, fax, and mailing address. Members shall notify ASME A17 Standards Committee and the RAC Secretary of any changes to their contact information.

G3.0 Application

Applications shall be sent electronically, by mail, or by fax to the RAC Secretary and ASME A17 Committee Secretary. The application shall be reviewed by the chair of the RAC and then forwarded to the ASME A17 Standards Committee to accept or reject the applicant.

G4.0 Member Participation

Members must participate in the process to continue as a member. It is not required that a member attend meetings, but is encouraged to do so.

G5.0 Officers

The RAC shall elect a chairperson, vice chairperson, and secretary. Each term shall expire in a different year.

G5.1 Chair

The Chair shall be the RAC representative to the ASME A17 Standards Committee. The Chair shall preside over all RAC meetings and represent the RAC consensus position on matters of interest to the main ASME A17 Standards Committee. The Chair shall create ad-hoc committees when necessary to review issues brought before the RAC. The chair may represent his or her personal opinion at ASME A17 Standards Committee meeting providing it is made aware that the personal opinion is not the opinion of the RAC.

G5.2 Vice Chair

The Vice Chair shall provide support to the Chair and assume all duties of the Chair in his or her absence.

G5.3 Secretary

The RAC secretary shall be responsible for providing minutes of meetings and providing other information relevant to the committee's function. Minutes shall be compiled and distributed to all members following each meeting within 45 days from date of adjournment. The minutes shall be considered accepted if there are no written objections reported to the Secretary within 30 days after receipt of the minutes. Copies of minutes, correspondence, letter ballots, etc. shall be provided to the Secretary of the ASME standards Committee at the time they are distributed. All correspondence outside the members of the RAC shall be in accordance with ASME procedures.

G6.0 Communications

Members will receive information via e-mail, mail, fax or other media for review and comment.

G7.0 Meetings

The RAC shall meet at least once each year. The RAC may meet more often when appropriate. The Chair or a majority vote of the members may call any special meetings. At least 60 days advance notice shall be given to all members for any such special meetings.

G8.0 Order of Business

The following shall be the format for the meeting agenda:

1. Call to Order
2. Roll call
3. Approval of the Agenda
4. Reading/review of minutes of the previous meeting
5. Communications
6. Reports of Officers
7. Reports of Ad-hoc Committees
8. Unfinished Business
9. New Business
10. Election of Officers
11. Adjournment

G9.0 Letter Ballots

Items requiring a vote of the members will be handled by an official letter ballot. The result of the balloting will be counted from a majority of those ballots returned.

Appendix H Code Cases

H1. Cases may be issued for the purpose of providing, when the need is urgent, alternative rules for materials, construction, examination, testing, or certification not covered by existing rules, or to permit early implementation of an approved Standard revision. Cases are effective for use upon the approval date of the cognizant Board.

- (a) Cases require approval by the Standards Committee and the cognizant Board by the same approval process as Standards Actions (ref 7.2), except for 6.1.1 and 9.2
- (b) Cases are effective for use upon the Board approval date until revised or annulled by the Standards Committee and cognizant Board by the same approval process as Standards Actions (ref 7.2), except for 6.1.1 and 9.2. Such revision or annulment of the Cases shall not apply to equipment contracted for during the period of time when the Case was in effect, nor to in-service inspection and testing plans, which includes the time-period when the Case was in effect.

H2. Development of Cases shall follow the methods applied to Standards Actions (ref 7.2 and Appendix C), except for the following

- (a) The project initiation notification process does not apply (Ref 6.1.1)
- (b) Submission for ANSI approval is not required (Ref 9.2)

H3. Requests for a Case shall include the following:

- (a) *Statement of Need.* Provide a brief explanation of the need for the Case.
- (b) *Background Information.* Provide background information to support the Case and the alternatives to the requirements of the applicable Standard. Include any data or changes in materials, technology, testing, or certification that form the basis for the request that will allow the Committee to adequately evaluate the proposed Case.

A Case is to be written as a Question and Reply and should identify all the requirements of the applicable Standard to which alternatives are sought. All other requirements of the applicable Standard shall apply. The proposed case shall identify the edition of the applicable Standard to which it applies.

H4. Approved Cases shall be made available on the Committee Page and shall be published with the Standard.

Procedures for ASME Codes and Standards Development Committees

- Revision 5 Approved by ANSI Executive Standards Council, January 12, 2000 **(Reaccreditation)**
- Revision 6 Approved by ANSI Executive Standards Council, June 6, 2001 **(Maintenance of Accreditation)**
- Revision 7 Approved by ANSI Executive Standards Council, February 7, 2002 **(Reaccreditation)**
- Revision 8 Approved by ANSI Executive Standards Council, January 16, 2003 **(Maintenance of Accreditation)**
- Revision 9 Approved by ANSI Executive Standards Council, July 20, 2004 **(Reaccreditation)**
- Revision 10 Approved by ANSI Executive Standards Council, August 30, 2005 **(Reaccreditation)**
August 31, 2005 **(Maintenance of Accreditation)**
- Revision 11 Approved by ANSI Executive Standards Council, June 19, 2007 **(Reaccreditation)**
- Revision 12 Approved by ANSI Executive Standards Council, February 26, 2008 **(Reaccreditation)**
- Revision 13 Approved by ANSI Executive Standards Council, July 27, 2009 **(Reaccreditation)**
- Revision 14 Approved by ANSI Executive Standards Council, August 10, 2010 **(Reaccreditation)**
(Editorially revised – approved by
ANSI Executive Standards Council December 7, 2010) **(Maintenance of Accreditation)**
- Revision 15 Approved by ANSI Executive Standards Council March 19, 2015 **(Reaccreditation)**
- Revision 16 Approved by ANSI Executive Standards Council Sept. 2, 2016 **(Reaccreditation)**

[See last page for history of ASME approval of Procedures]

Procedures for ASME Codes and Standards

Development Committees

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PROCEDURES FOR ASME CODES AND STANDARDS DEVELOPMENT COMMITTEES

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.

PROCEDURES FOR ASME CODES AND STANDARDS DEVELOPMENT COMMITTEES

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, 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.

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 and 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.

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.

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.

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 actions 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.

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.

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. 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. 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.

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, or
- (b) reappoint the member for a full term, 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.

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.

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. 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.

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.

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 members of the consensus committee who are qualified by service and are willing to serve in the office. Individual members may be excluded from this list if they so request.
- (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.

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 Standards and Certification 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.

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 and 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. See para. 3.2.4. Subordinate groups may also have 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.

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. An example of a special circumstance is that there is no other qualified candidate who is willing to serve.

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.

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. A 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 project team members shall be subject to approval by the consensus committee, implemented by the committee officers, and shall be described in the standards committee's procedural supplement. See para. 3.2.4. Selection of project teams is not governed by the requirements of para. 5.1.

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.

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.

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.

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 Taping 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 tape 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.

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. 7.6).

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. 7.6.

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.
- (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 on 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**. 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.
- (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.
- (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.
- (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).
- (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) 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.
- (c) 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.
- (d) 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 ballot closing date, unless the consensus committee or an officer extends the voting period.
- (e) 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
- (f) 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).
- (g) Members may change their vote at any time up until the closure of the ballot.
- (h) 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.
- (i) 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.

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.

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. 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 shall be presented 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 actions 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 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.

7.6 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.

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.
- 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 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.

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 Committee.** Interpretations may be approved by the unanimous vote of a special committee. Members of the special 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 committee. The special committee shall have at least five members, one of which shall be the ASME staff secretary responsible for the standard. Special committee members shall be appointed by the Chair of the standards committee or cognizant subcommittee.

One member of the special committee shall be designated as Chair. The Chair shall be appointed by the Chair of the standards 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 is required to approve the interpretation.
- (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.
 - 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.

10.5 Approval Voting Process - Special Committee

- (a) All members of the special 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 committee along with the following:
 - a proposed inquiry and reply
 - 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 committee. All objections and comments shall be carefully considered by the special committee Chair and their resolution attempted. Responses to substantive comments and objections shall be documented and made available to special committee members.
 - 5) Technical changes made in a proposed interpretation as a result of objections and comments received shall be submitted to the special 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**.
- (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.

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 Certification's 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 detailed objection or appeal statement. 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 days by the detailed objection or appeal statement.

11.3.2 The Secretary shall notify the standards committee of the request for appeal. A response to the appeal statement shall be developed by a proponent of the action or inaction in question. The response shall be made available to all concerned parties at least 15 working days prior to the date of any scheduled hearing.

11.3.3 The consensus committee, after determining that a hearing is in order, shall arrange to 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.

11.3.4 The appellant, the consensus committee members and others concerned shall be notified of the hearing at least twenty 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 of either of the parties or the Committee Officers, it shall be limited to the following participants:

- (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 shall be submitted to the Secretary no more than 10 working days after receiving notification of the appeals hearing date.

11.3.6 Deliberations 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 recorded 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 seven 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 mailing of the originating 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 reconsideration and an appeal hearing before that board. 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. Any individual, company, or organization aggrieved by any action or inaction of the Council on Standards and Certification may request reconsideration by the Council on Standards and Certification. The Board on Hearings and Appeals is the final level of appeal relating to Codes and Standards matters within ASME. **11.7** The appeals procedures of the supervisory boards and the procedures of the Board on Hearings and Appeals are available from ASME upon request.

NOTE: The Honors and Awards section has been relocated to Guide to Procedures for ASME Codes and Standards Development Committees.

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 these procedures will be submitted to ANSI for acceptance in accordance with their criteria for acceptance of revisions to the accredited procedures.

Appendix 1: Draft Standards for Trial Use

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.

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.

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, Standards and Certification, ASME.”

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.

ASME Approval of Procedures

Revision 0:	September, 1997	
Revision 1:	November, 1997	(CCS Approved)
Revision 2:	April, 1998	(CCS Approved)
Revision 3:	November, 1998	(CCS Approved)
Revision 4:	March, 1999	(CCS Approved)
Revision 5:	March, 1999 and June, 1999	(CCS Approved)
Revision 6:	September, 1999 June, 2000 and March, 2001	(CCS Approved)
Revision 7:	June, 2001 and September, 2001	(CCS Approved)
Revision 8:	November 2001 June, 2002 and November, 2002	(CCS Approved)
Revision 9:	September, 2003 and November, 2003 and March, 2004	(CCS Approved)
Revision 10:	June, 2004 and November, 2004 and June, 2005	(CCS Approved)
Revision 11:	June, 2006 and March, 2007	(C&S BoD Approved)
Revision 12:	January, 2008	(C&S BCO Approved)
Revision 13:	July, 2008 and August, 2008 and February, 2009 and March, 2009	(C&S BCO Approved)
Revision 14:	March, 2010 November, 2010	(C&S BCO Approved) (Editorially Revised to reflect Bylaw revisions)
Revision 15:	October, 2012 and November, 2014	(S&C BCO Approved)
Revision 16:	June, 2015, February, 2016, and May, 2016	(S&C BCO Approved)