

ASME A17 Standards Committee Procedures Supplement

October 2018

The provisions within the following supplement, in conjunction with Revision 17 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))

Revision 10:

Approved by A17 Standards Committee October 2018



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ASME A17 Standards Committee Procedures

These procedures include the Procedures for ASME Codes and Standards Development Committee, Revision [17], Dated [April 2018], 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.
- (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.

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

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 their 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, maintain, and interpret standards which represent a national consensus of concerned interests, they shall establish an 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, interests, 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 Committees are standing committees responsible for administrative assignments as directed by the Standards 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.

S5.5.2 Membership⁴

Membership on Working Committees is open to all Standards Committee, RAC and IRG 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.
- (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.

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

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 IRG.

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, with the assistance of ASME distribute agendas, 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, along with a list of modifications to the edition, any 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.

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

S5.7 AD HOC COMMITTEES

Ad Hoc Committees are responsible for special studies assigned by the Standards Committee. Members of Ad Hoc Committees shall be nominated by the Ad Hoc Committee Chair or a Standards Committee member and subject to approval by 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) An agenda shall be provided for all meetings and are to be approved with corrections, if necessary, at the commencement of the Standards Committee meeting. Agendas 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. Agendas for Standards Committee meetings shall be posted to C&S connect 15 days prior to Standards Committee meetings. Agendas 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.

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.

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.

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

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 Consideration ballot.

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 sheet; 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 when 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 neither approve nor 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 drafts upon issuance for Public Review. Proposed standards issued for Public Review by any A17 Committee 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 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 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 in the interpretations database on C&S Connect.

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

October 2018

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)

Revision 7:

Approved by A17 Standards Committee October 2018

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APPENDIX A
SITE INVESTIGATION GUIDELINES

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

A2 APPROVAL FOR CONDUCTING INVESTIGATIONS

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.

A4 SITE INVESTIGATION REPORTS

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

Qualification of Elevator Inspectors	Elevator inspector qualifications
Rack & Pinion and SPPE	Rack and pinion elevators and Special Purpose Personnel Elevators
Residence Elevator	Residence elevators
Wind Turbine Tower 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 shall be followed for each proposed revision.

C1 ORIGIN OF PROPOSALS

Proposals for technical revisions 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 underlining 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:

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

The Secretary then submits the voting package to the A17 Standards Committee, IRG, RAC, and CSA B44 Technical Committee through their respective Secretaries, with copy for review and comment to the Ex-Officio and Honorary Committees and to the Board on Safety Codes and Standards for a review period of up to 6 weeks (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

Within 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 can 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 IRG 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 advise members of the Standards Committee who submitted the unresolved disapproved votes 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.

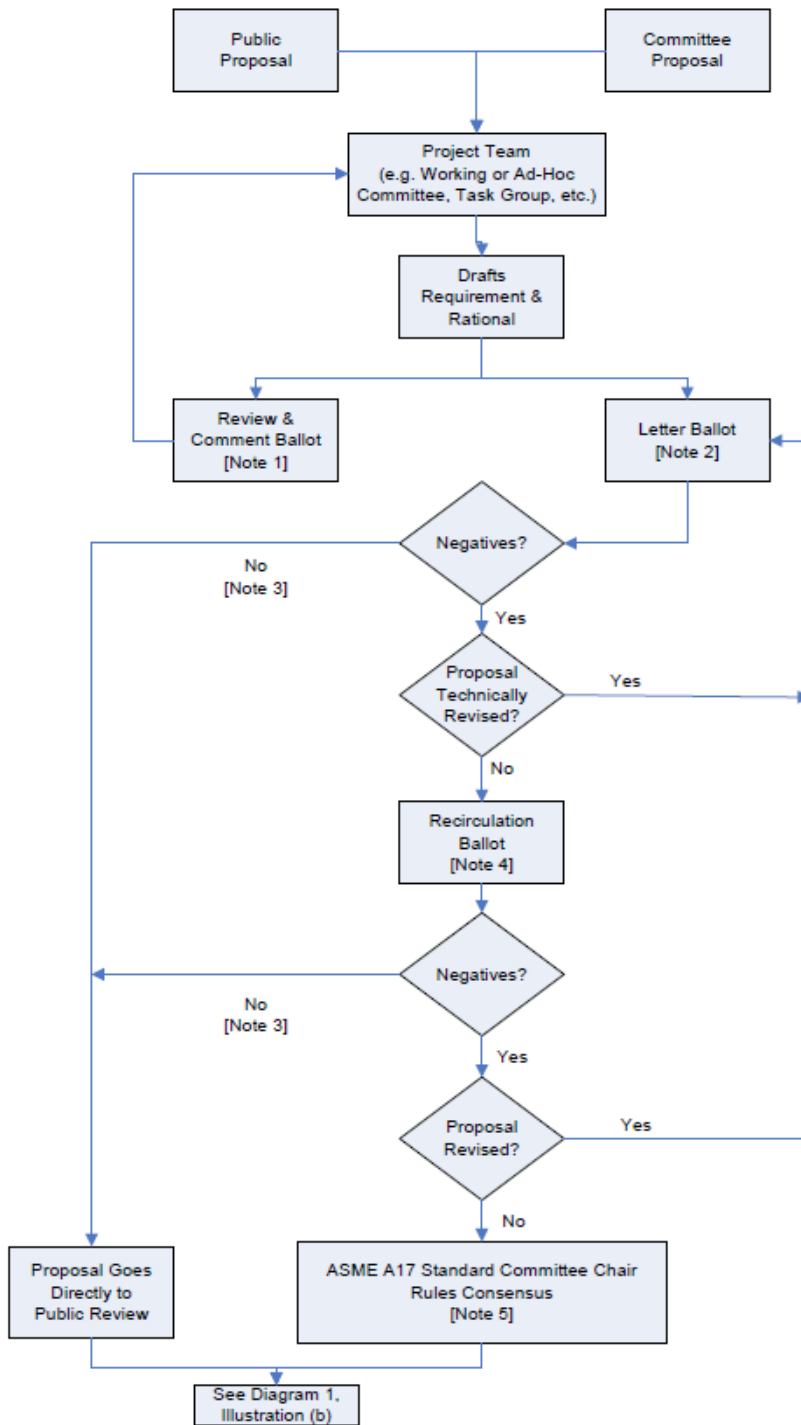
C10 ANSI APPROVAL

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 Records for publication.

ASME A17 Technical Revision Flowchart

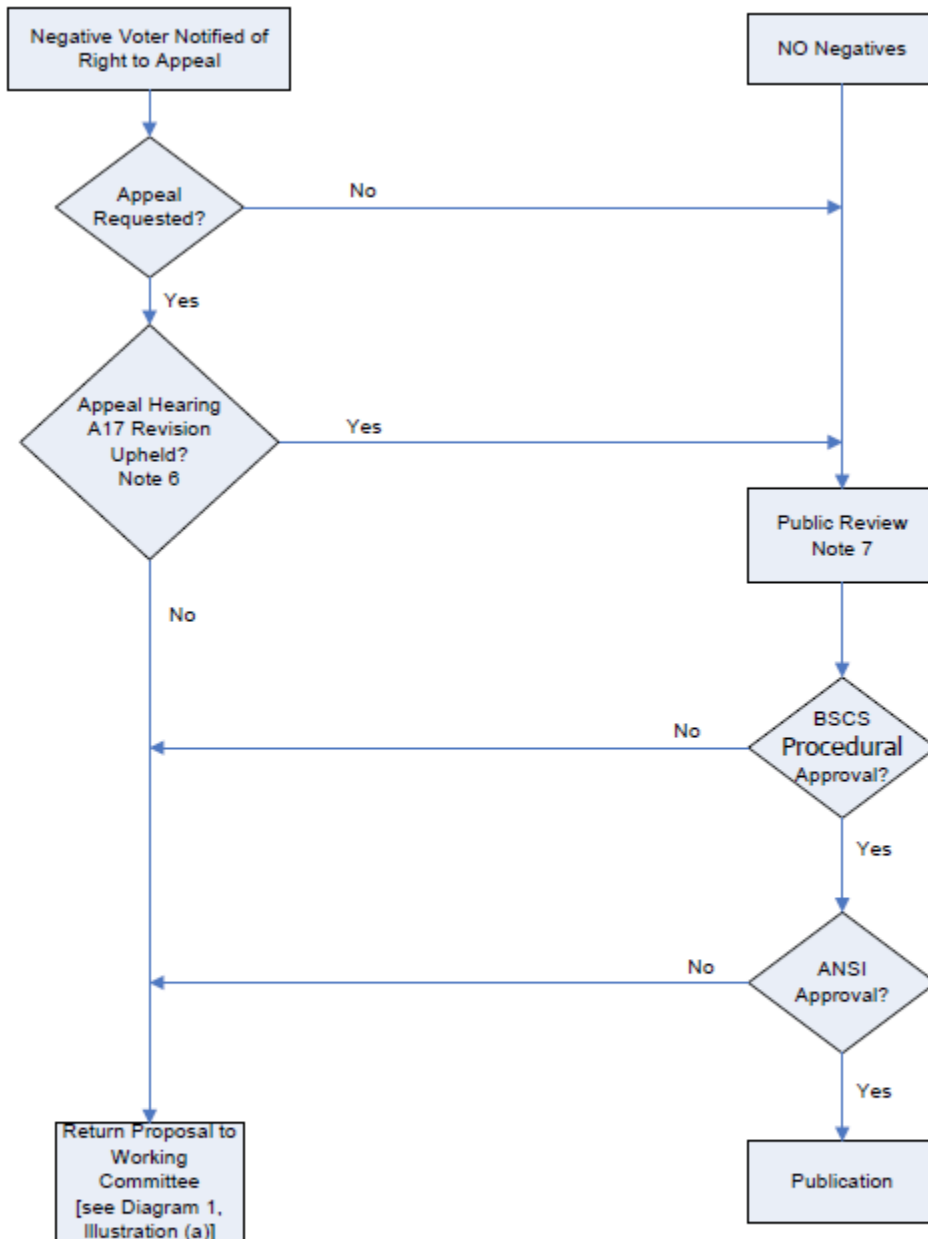


(a)

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, IRG, 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, IRG) 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 the 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 A17 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), figure(s), or table(s) 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(s) 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, or 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

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

First Name:* Last Name:*

Company/Organization:*

Address 1:*

Address 2:

Address 3:

Country:* State: *

Town/City:* Zip/Postal Code:

Phone: Fax:

Email:* Confirm Email:*

2. Request for Interpretation

Standard Designation:*
NOTE: To select, highlight the Standard Designation

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

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, present, or explain 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 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 category(ies) 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, IRG, 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 (alternate votes are 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 $\frac{2}{3}$ 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-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 mark 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 $\frac{2}{3}$ 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 PURPOSE

The RAC was 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. The RAC shall also be available to provide input on regulatory concerns and issues when directed by the ASME A17 Standards Committee. In addition to any procedures specified within S5.5 the following criteria shall apply to the RAC.

G2 MEMBERSHIP REQUIREMENTS

G2.1 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 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 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 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 meetings, 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 COMMUNICATIONS

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

G7 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 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 LETTER BALLOTS

Items requiring a vote from 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.

Appendix I

Guidelines for International Working Groups (IWG)

I.0 Preface

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

I.1 Introduction

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

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

I.2 Fundamental IWG concepts

- (a) With regard to the Procedures for ASME Codes and Standards Development Committees, IWGs are identical to other subordinate groups.
- (b) The role of IWGs is like other subordinate groups (i.e. working groups, subgroups, etc.) in that they should be expected to both develop and review proposed standards actions for subsequent consideration by their respective standards committees. As with other subordinate groups, proposals developed by an IWG, such as revisions, interpretations, and Code Cases, will follow a path through the subordinate committee structure towards "consensus" consideration.
- (c) The reporting relationships and proposal development path between subordinate groups should be considered and possibly modified by the standards committee to facilitate an effective integration of the IWG into the consensus process.
- (d) Section 9 of the Guide to Procedures for ASME Codes and Standards Development Committees applies to subordinate groups including IWGs, and it summarizes the participation expectations and the voting and commenting privileges of the various categories of members. Each IWG member shall be designated as one of the member categories described in Section 9, and the participation expectations and voting and commenting privileges should not be otherwise amended for IWG members. For example, a member of an IWG is required to vote when a ballot is presented to the IWG, and invited to comment when the IWG is included in a review and comment distribution.

I.3 Key differences from other S&C subordinate groups

- (a) IWGs typically conduct their meetings in a geographic location outside of the U.S. (i.e. a country) common to its members.
- (b) IWGs are typically populated by virtue of the common geographic location, rather than a common engineering discipline or specialization, such as design, quality assurance, etc. At least initially, the IWG membership may be expected to represent a cross-section of relevant expertise.
- (c) IWGs may choose to conduct their proceedings in a language other than English. This includes IWG meeting discussions, minutes and agendas.

I.4 Geographic basis for IWGs

The IWG concept suggests a common nationality as the basis for an IWG, however it is conceivable an IWG may support a common region (e.g. Scandinavia, Central America, etc.) A preference for a

“regional IWG” may arise from a desire for an IWG with a greater number of members, a broader membership base, or other reasons. However, such an arrangement may compromise several of the intended benefits of an IWG, such as the common language and jurisdiction framework shared by its members. Also, a proposal that regional stakeholders work together may reveal national or cultural sensitivities. Therefore the viability of a “regional IWG” should be determined through careful consultation with the expected participants.

I.5 Benefits of IWGs

(a) Benefits to Standards Committees

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

(b) Benefits to IWG Members

- (1) Participation may strengthen IWG members’ individual and collective understanding of ASME standards requirements and philosophy
- (2) IWGs can alleviate several barriers to participation that prevent otherwise qualified experts from participating in the ASME S&C standard development process, such as very long distances, travel constraints, and language barriers.

(c) Benefits to global stakeholders

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

(d) Benefits to ASME Standards and Certification

- (1) Improve the usability and acceptance of the ASME standards around the world
- (2) Foster the development of potential S&C volunteer leaders

I.6 Formation of International Working Groups

(a) General

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

(b) Assistance from local partners

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

(c) Identification and appointment of IWG members

- (1) The appointment of IWG members shall be conducted in accordance with para. 5.1.1 of the Procedures for ASME Codes and Standards Development Committees.
- (2) Establishment of an IWG should only proceed when there is confidence that there is a sufficient pool of local experts to sustain an appropriate membership size for a viable subordinate group, however an IWG may be established with the expectation that the desired membership size will be achieved subsequently.
- (3) As with other committees, identification of candidates for IWG membership may be conducted through solicitation of stakeholder organizations and direct appeals to individuals. The activity

may be undertaken by current volunteer members, staff or a designated local partner organization.

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

(d) IWG officers

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

(e) IWG training

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

(f) IWG charter

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

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

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

1.7 Complimentary standards

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

1.8 Support from ASME staff

ASME staff will assist IWGs to ensure that the IWG proceedings are conducted according to ASME procedures and expectations. Assistance should be provided for activities such as preparation of meeting agendas and minutes, planning of meetings, maintenance of records, and tracking progress of work items. ASME staff shall provide training on the operation of C&S Connect, the operations of the parent committee and the requirements of the Procedures for ASME Codes and Standards Development Committees Preferably, this should be done in-person during or prior to the inaugural meeting of the IWG.

1.9 Meeting facilities and logistical support for IWG meetings

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

I.10 Communication and coordination with IWGs

- (a) The success of a subordinate group and the benefits it provides to the standards committee depend greatly on consistent and reliable communication and coordination of activities with their peer groups, parent committee and ASME staff. The following characteristics of IWGs are potential barriers to such interaction:
 - (1) IWG members are not expected to regularly attend meetings of their peer groups, parent committee or standards committee, nor are IWGs are expected to conduct meetings in conjunction with those groups.
 - (2) Members of an IWG's parent committee and standards committee are not expected to regularly attend IWG meetings.
 - (3) For an extended time following the establishment of an IWG, its members – including its officers – are likely to be unfamiliar with the practices of inter-committee communication and the strategic priorities of its standards committee.
- (b) Potential barriers to communication and coordination may be addressed initially through a program of training to be arranged by ASME staff. Additionally, the IWG's parent committee or standards committee may implement a number of practices to promote adequate communication and coordination with the IWG. Such practices may include:
 - (1) Assigning mentors to guide the IWG leadership.
 - (2) Requiring periodic written reports on IWG meetings and key discussions. Such a report may be provided to the parent committee or standards committee in lieu of, or in addition to the meeting minutes furnished to ASME staff.
 - (3) Requiring periodic progress reports on specific projects assigned to the IWG.
 - (4) Communicating to IWGs and ASME staff the parent committee's or standards committee's expectations for productivity and work prioritization.
 - (5) Encouraging cross-meeting attendance and regular informal email communication, and fostering interpersonal relationships between members.
 - (6) Providing useful feedback and encouragement to IWG members from the standards committee leadership.
- (c) Such practices to foster communication and coordination with IWGs should be implemented for the objective of ensuring the success of the IWG and the engagement of its members. Caution should be exercised against placing requirements on the IWG or its members that are unrealistic, needless, or inconsistent with those placed on other subordinate groups.

I.11 IWG Success: Integration into committee consensus process, ballots or review and comment distributions

- (a) While ASME staff is expected to assume the lead role in the successful assembly, launch, training and operational support of IWGs the standards committees also share the responsibility to provide for their ongoing success.
- (b) In order to maintain the engagement of IWG members and derive the full benefit of the group as a technical resource, consideration should be given to enhancing the integration of the IWG into the standards development process through provisions implemented in the standards committee's processes or procedures.
- (c) Approval of proposals by relevant subordinate group(s) is often considered a prerequisite to standards committee consideration. Similar to their counterparts on other subordinate groups, IWG members possess expertise and perspectives which may enhance proposed standards actions that did not originate within the IWG. Therefore the standards committee should consider process mechanisms to permit IWG members to participate in ballots or review and comment distributions for such proposals. Para. 7.2.1 of the Procedures for ASME Codes and Standards Development Committees describes provisions for review and comment on draft proposals by technically affected parties, such as subordinate groups.