### OPERATING PROCEDURES FOR ASME CODES AND STANDARDS DEVELOPMENT COMMITTEES

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[See last page for history of ASME approval of Procedures]
OPERATING PROCEDURES FOR ASME CODES AND STANDARDS DEVELOPMENT COMMITTEES

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Foreword

The Operating Procedures for ASME Codes and Standards Development Committees contain both the ANSI Accredited Procedures and requirements and guidance not addressed by the ANSI Essential Requirements. All ASME standards development committees shall comply with the Operating Procedures for ASME Codes and Standards Development Committees in its entirety by the compliance date established by the Senior Director, Standards Operations.

The ANSI Accredited Procedures were developed to comply with the ANSI Essential Requirements. ANSI accreditation indicates that the ANSI Executive Standards Council (ExSC) has approved the written procedures submitted by a standards developer relative to the development and documentation of evidence of consensus in connection with standards that are expected to be approved as American National Standards. Accreditation by ANSI signifies that the procedures submitted by the standards developer meet the ANSI Essential Requirements. Procedural appeals to ANSI may only relate to procedures that have been accredited by ANSI for the development of American National Standards (ANS).

In order to provide guidance to the ASME standards development committees for topics not addressed by the ANSI Essential Requirements, additional text has been added to supplement the ANSI Accredited Procedures. This text is shown in grey highlight throughout the document and is not subject to appeal at ANSI. The ANSI Accredited Procedures in combination with the grey highlighted text is referred to as the Operating Procedures for ASME Codes and Standards Development Committees.

Amendments to these procedures can be proposed at any time and require the approval from the Council on Standards and Certification or its designee. See the Proposed Revisions to ASME Policies and Procedures for information on how to submit proposals.

Amendments to the ANSI Accredited Procedures will be submitted to ANSI for acceptance in accordance with their criteria for revisions to the accredited procedures.

Amendments to the Operating Procedures for ASME Codes and Standards Development Committees that are not a part of the ANSI Accredited Procedures will be submitted to the Council on Standards and Certification or its designee for approval and can be implemented upon approval.
1. General

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

These procedures include historically proven practices successfully employed by ASME standards development committees to meet the high-quality standards set by ASME as well as the requirements established by ANSI for approval as American National Standards. These procedures are intended to help standards development committees produce consensus documents in an efficient and timely manner, while maintaining due process and protecting ASME intellectual property rights. Adherence to the requirements of these procedures is essential to ensure consistency and the full benefits of the standards development processes.

A standards committee operating guide shall be developed to describe basic committee information and practices such as the committee charter and procedural preferences. The template for the operating guide is included in Annex Z. Such preferences shall not conflict with these procedures or make procedures more stringent. Adoption of the operating guides require standards committee and cognizant supervisory board approval. If the operating guide is developed by the cognizant supervisory board on behalf of its standards committees, adoption requires only board approval. In instances where a standard is either jointly developed or co-produced with another standards development organization (SDO), a supplemental document should be developed to define the process. Any deviations from these procedures described in such supplemental documents will only be permitted when required by contractual agreement between the SDOs and are subject to approval by the Council on Standards and Certification.

1.1. Standards Committee Oversight

Per ASME By-Laws, the Council on Standards and Certification, under the direction of the Board of Governors, supervises the standards development activities of the Society, either directly or through its cognizant supervisory boards.

Cognizant supervisory boards manage the development of standards under their jurisdiction through the establishment and supervision of standards committees. The scope of the cognizant supervisory board’s responsibilities with respect to standards development and maintenance includes:

(a) approving and discharging committee personnel
(b) assessing the need for standards and related accreditation activities within their charter
(c) ensuring that standards committees operate within these procedures and their approved charter, and provide for due process
(d) providing a forum for hearing appeals of standards committees’ actions or inactions
(e) approving Standards Committee Operating Guides (See Annex Z)
(f) ensuring that all ANSI-approved standards, including the accreditation and certification criteria approved by committees under their jurisdiction, were developed under procedures meeting the criteria for American National Standards
Only the consensus body can approve a revision to a code or standard within its jurisdiction. However, cognizant supervisory boards may take action when deemed necessary to fulfill their oversight obligations to preserve the integrity of the ASME standards development process and/or ASME Standards, and to protect public safety. Such board actions may include delay, suspension, or discontinuance of a standards committee action, including revisions to standards, and membership and operational actions. Such board actions are subject to due process provisions as prescribed in these procedures.

1.2. Violation of ASME Policies
Content (including ballot comments) that violates ASME Codes and Standards Policies (CSPs) and Society Policies identified in CSP-11 may be removed by ASME Staff. Committee members who violate ASME Codes and Standards Policies (CSPs) and Society Policies identified in CSP-11 may be removed from a committee by ASME Staff. These actions are not appealable.

2. Standards Committee Duties
Each standards committee shall operate within its approved charter.

Each standards committee is responsible for the following activities:
(a) Committee management
(b) Development and maintenance of standards
(c) Interpretations (if applicable)
(d) Cases (if applicable)
(e) Meetings
(f) Operational actions (including awards)

3. Committee Management
3.1. General
3.1.1. Committee Hierarchy
A standards committee reports to a cognizant supervisory board. At its discretion, a standards committee may establish subordinate groups to assist in the discharge of their duties. Subordinate groups are advisory to the standards committee or parent committee to which they report. If an executive committee is established by the standards committee, it shall serve in an advisory function.

If a conference committee or regulatory committee is established, it shall not be considered a standards development subordinate group. These groups serve as technical review groups and are not subject to Section 3.4 requirements. Administrative guidelines may be established for the operation of these groups.

3.1.2. Application for Membership
Membership of any type on a committee shall not be conditional upon ASME Society membership, however, it is recommended. A completed Committee Membership Application (PF-1) and Participation Acknowledgement Form (PAF) are required for an
application to be considered. By submitting the PAF, applicants acknowledge and affirm their willingness to follow CSP-11, Committee Participation Acknowledgement.

3.2. Committee Establishment

3.2.1. Standards Committee

3.2.1.1. Committee, Title, and Charter Approval
(a) Proposals for new standards committees should be developed in consultation with the cognizant supervisory board staff and shall be submitted using the New Standards Committee Form.
(b) Creation of a new standards committee, including approval of its charter, shall be approved by the cognizant supervisory board.
(c) The Council on Standards and Certification shall be given two-weeks to review the proposal and identify any conflict with another ASME standards committee. These actions shall be approved by the cognizant supervisory board via ballot with the Council included for review and comment. If action is taken at a board meeting, a 2-week review and comment period shall be conducted to the Council. If a conflict between standards committees is identified by the Council, the Council shall be responsible for resolving the conflict.
(d) It is recommended that the initial membership (see para. 3.2.1.2) and initial officers (see para. 3.2.1.3) be appointed at the same time as the committee creation.

3.2.1.2. Initial Membership Appointment
The proposed initial membership appointments shall be forwarded to the cognizant supervisory board for approval in accordance with para. 3.3.3.5.

3.2.1.3. Initial Chair and Vice Chair Appointment
For newly formed committees, the Chair of the cognizant supervisory board may appoint the initial standards committee Chair and Vice Chair(s) from the approved initial membership list, or they may hold an election in accordance with 3.3.4.2. The one-year service requirement does not have to be met.

3.2.2. Subordinate Groups

3.2.2.1. Subordinate Group Approval
(a) Subordinate groups that report directly to the standards committee shall be established by majority approval of the total consensus body.
(b) Subordinate groups that do not report directly to the standards committee shall be established by majority approval of either:
   (1) the total parent committee and shall be reported to the standards committee for information only; or
   (2) the total consensus body.

3.2.2.2. Initial Membership
(a) For subordinate groups that report directly to the standards committee, the initial membership of the subordinate group shall be appointed by majority approval of the total consensus body.
(b) For subordinate groups that do not report directly to the standards committee, see para. 3.4.2(d)(2).
3.2.2.3. Initial Officers
(a) The initial Chair and Vice Chair(s) of subordinate groups that report directly to the standards committee shall be appointed by the standards committee Chair. The nominee may be selected from the initial membership list, or the subordinate group may hold an election in accordance with 3.4.3.1.1.
(b) The initial Chair and Vice Chair(s) of subordinate groups that do not report directly to the standards committee shall be appointed by the standards committee Chair or the parent committee Chair. The appointments shall be reported to the standards committee.

3.3. Standards Committee Membership
A standards committee consists of individual consensus body members and their alternate, as well as delegates and their alternates, and contributing members. The committee may specify a preferred maximum and/or minimum number of members in their Standards Committee Operating Guide (see Annex Z). However, a standards committee shall not have more than 45 members.

3.3.1. Membership Types
3.3.1.1. Members
Consensus body members are technically qualified individuals with a concern and willingness to participate in work within the charter of the standards committee. In their standards committee activities, members are expected to participate and vote as individuals rather than as representatives of their employer or of any other organization.

3.3.1.1.1. Membership Duties. The duty of each member is to give thorough consideration to each item brought before the committee for action, to vote on each proposal, to contribute their expertise in the preparation of standards, and to assist generally in carrying out the functions of the committee. The duties of a member may be carried out through attendance at meetings, correspondence, teleconference, and/or other means. Members failing to meet their membership duties may be subject to termination (see para. 3.3.3.1(d)).

The committee shall specify a preferred minimum percentage for attendance at meetings and ballot participation in their Standards Committee Operating Guide (see Annex Z).

3.3.1.1.2. Categorization of Members
(a) Consensus bodies shall seek participants from diverse interest categories with the objective of achieving balance. Each standards committee shall identify in its Standards Committee Operating Guide (see Annex Z) the interest categories from Appendix 2 that are representative of the parties that are directly and materially interested in the standards developed by the standards committee.

(b) There shall be no more than 2 members from the same organization (see Appendix 1) on standards committees with 30 members or less. For standards committees with more than 30 members, there may be up to 3 members from the same organization. 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 the same organization shall be determined by the cognizant supervisory board. The business independence of the two companies shall be used as a criterion for making this decision.

(c) When submitting a membership application to the consensus body, the applicant shall propose the interest category that is in accordance with the business interests of the employer or sponsor that they represent and who provides funds to support their committee participation. The member’s interest category may be modified by the consensus body and shall be approved via the consensus body voting process.

(d) If a member’s interest category needs to be changed (e.g., change in employment or in their primary source of support), action shall be taken by the consensus body to

(1) reaffirm the member to complete the present term, under the new interest category,
(2) reappoint the member for a new full term, under the new interest category, or
(3) terminate the member and/or appoint to a different type of membership

The effects of the member’s changed interest category on the balance of interest for the consensus body shall be considered. See Section 3.3.3 for processing membership actions.

3.3.1.1.3. Standards Committee Balance

(a) To ensure balance, not more than one-third of the membership of consensus bodies dealing with safety-related standards shall come from any single interest category and no single interest category shall have a majority on consensus bodies dealing with other than safety-related standards, except as noted in para. 3.3.1.1.3(c). Alternates shall not be counted in determining the balance of the consensus body.

(b) A new member shall not be appointed to the consensus body if the appointment of that individual will cause the consensus body to be unbalanced.

(c) If the consensus body becomes unbalanced for any reason, (e.g., upon a member’s resignation or a change in interest category of a member), the consensus body shall attempt to resolve the imbalance (e.g., by encouraging individuals of the underrepresented interest categories to apply to the committee). The standards committee should notify the cognizant supervisory board when the consensus body is out of balance and that action is being taken to attempt to resolve the imbalance.

3.3.1.1.4. Selection of Members. Selection of members should include consideration of

(a) the business interest of the employer that supports the member’s standards committee participation;
(b) the experience, skills, and expertise the individual brings to the standards committee; and
(c) the preferred maximum number of members specified in the Standards Committee Operating Guide (see Annex Z).

3.3.1.5. Representative to a Member. A representative is a person recommended by a member to serve on their behalf at a specified meeting and is subject to acceptance by the Chair.
(a) The representative shall submit a completed PAF before or at the meeting.
(b) Service by a representative automatically terminates at the conclusion of the meeting at which the individual is representing the absent member.
(c) A representative shall only represent one member per meeting.
(d) Voting by a representative shall be limited to actions on items other than standards proposals and interpretations.
(e) If a member anticipates having frequent conflicts with attending meetings, they should appoint an alternate rather than a representative.

3.3.1.2. Alternate to a Member
An alternate is a person who participates on behalf of a specific member when a member anticipates they may not be able to fulfill all the duties of their position. An alternate has all the privileges of a member during the period of their service in this capacity. Such service by an alternate terminates upon request of the member or automatically when the member is no longer on the committee.

An alternate is expected to fulfill all the duties of the member in their absence both at meetings and during ballots.

3.3.1.2.1. Categorization of Alternate to a Member. An alternate shall be from the same interest category as the member represented (see para. 3.3.1.1.2).

3.3.1.2.2. Selection of Alternate to a Member. An alternate is proposed by the member they will represent and shall possess experience, skills, and expertise appropriate for service on the committee.

3.3.1.3. Delegates
(a) A delegate is an individual representing a group of experts outside of the U.S. and Canada. A group is intended to be interpreted broadly to mean one or more jurisdiction, company, professional society, trade organization, or user group. Each group represented by a delegate should have a clearly defined interest in participating on ASME committees.
(b) The appointment of a delegate may be limited in scope relative to the charter of the committee, as determined by the consensus body.
(c) The duty of each delegate is to convey to the committee the expertise and collective position of the group that they represent by participating in committee proceedings and voting on first consideration ballots for standards proposals. Delegates are not eligible to vote on recirculation ballots, interpretations, operational actions, or membership actions.
(d) Upon request of a committee officer, the delegate shall provide an up-to-date list of those that they are representing and an explanation as to how the represented group was involved in determining the vote on a specific action. The duties of a delegate may be carried out through attendance at meetings, correspondence, teleconference, and/or other means.

3.3.1.3.1. **Categorization of Delegates.** Delegates shall be categorized in accordance with the predominant interest of the group they represent. The categorization is for information only and shall not be used in determining whether the committee has balanced representation.

3.3.1.3.2. **Nomination of Delegates.** Each group shall nominate an individual to represent them. The method for selecting a prospective delegate shall be at the discretion of each group. When a delegate is nominated for a new appointment or reappointment, a list of those to be represented by the delegate shall be provided to the standards committee along with a completed Committee Membership Application and PAF. The group’s interest in participating shall be provided to the committee when the delegate is nominated.

3.3.1.3.3. **Alternates to a Delegate.** Delegates may have alternates who are appointed to act on the group’s behalf when the delegate is unable to participate. An alternate is expected to fulfill the duties of the delegate in the delegate’s absence. Service by an alternate terminates upon request of the group or automatically when the delegate is no longer on the committee.

3.3.1.3.3.1. **Categorization of Alternate to a Delegate.** An alternate shall be from the same interest category as the delegate.

3.3.1.3.3.2. **Selection of Alternate to a Delegate.** An alternate is proposed by the group they will represent.

3.3.1.4. **Contributing Members**

Contributing members are non-voting members whose contribution to a committee is through review and comment on proposals (see para. 4.4.2.1.2.2). Contributing members shall possess the technical qualifications described for members in para. 3.3.1.1.

The duty of a contributing member is to participate in committee activities through attendance at meetings, correspondence, teleconference, and/or other means.

3.3.1.4.1. **Categorization of Contributing Members.** Contributing members are not assigned an interest category as described in para. 3.3.1.2 since this is a non-voting participant position.

3.3.1.4.2. **Selection of Contributing Members.** Selection of contributing members should include consideration of the experience and expertise the individual brings to the committee.
3.3.2. Membership Terms
Member, delegate, and contributing member appointments and reappointments shall be for a term not exceeding five years and shall end June 30 of the appropriate year. The term of appointment and reappointment of an alternate shall end on the same date as their respective member’s. Committees may choose to appoint new members who have not previously participated on an ASME standards development committee to an initial term of 1 or 2 years.

3.3.3. Membership Processing
3.3.3.1. Types of Membership Actions
There are four types of membership actions:
(a) **Appointments.** The addition of an individual of any membership type to a committee. For initial appointment of membership on a new committee, see Section 3.2.
(b) **Reappointments.** The appointment of an individual to the same membership position for a second or subsequent term. At the end of an officer’s term, the individual may be reappointed to the committee as a member.
(c) **Resignations.** The voluntary early ending of a membership term when a member of any type submits their intent to end their participation on the committee to an officer of that committee. Resignations shall be communicated in writing to and processed by the Staff Secretary. Resignations shall be reported to the standards committee for information.
(d) **Terminations.** The ending of a membership term on a committee due to failure by the member to fulfill their duties. Any terminated membership may be appealed.

3.3.3.2. Membership Voting Options
The ballot shall offer four forms of response: **approved, disapproved, not voting,** and **abstain.** Not voting shall only be used when a member believes they have a conflict of interest or potential conflict of interest. A response of not voting signifies neither approval nor disapproval and indicates the member is removing themselves from the voting process. A response of not voting shall reduce the voting tally for the action being voted on.

3.3.3.3. Membership Approval Criteria
Except for resignations and the initial appointment on a new committee, all standards committee membership actions require consensus body approval. The cognizant supervisory board is responsible for membership oversight of the standards committee. Some membership types require action by the board, and some require that the action be reported to the board. See the following table for these requirements:

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<th>Membership Type</th>
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<th>Cognizant Supervisory Board Approval</th>
<th>Appointments &amp; Terminations</th>
<th>Reappointments</th>
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1 See Society Policy P-15.8, Appendix 2, Section 2(a)
### NOTES:

1. For membership requirements related to changes in category of interest (see para. 3.3.1.1.2), if the reaffirmation or reappointment does not place the committee out of balance, it shall be reported to the cognizant supervisory board for information only.

2. Reappointments approved by the consensus body need not be submitted for cognizant supervisory board approval unless the reappointment results in a continued state of unbalanced consensus body membership.

#### 3.3.3.4. Consensus Body Approval

The consensus body shall approve membership actions using one of the following methods:

(a) **Balloting.** Membership actions may be approved by balloting.

   (1) The voting period for membership actions shall not be shorter than two weeks unless agreed to by the consensus body.

   (2) Membership actions that receive majority approval by the consensus body, excluding any not voting responses, are approved. Responses to disapproved comments are not required and, if the approval criterion stated in this paragraph is met, recirculation of the membership action is not required.

(b) **During a Meeting.** Membership actions may be approved during a meeting, provided a quorum is present, using the following method:

   (1) The proposed membership action(s) shall be presented to the consensus body.

   (2) Membership actions that receive majority approval by the consensus body, excluding any not voting responses, are approved.

   (3) Members that are not present are not required to be given the opportunity to vote.

#### 3.3.3.5. Cognizant Supervisory Board Approval

Cognizant supervisory board approval, when required by Table 3.3.3.3, shall be accomplished by one of the following methods:

(a) **Balloting.** Membership actions may be approved by balloting.

   (1) The voting period for membership actions shall not be shorter than two weeks unless authorized by the supervisory board Chair.

   (2) Membership actions that receive majority approval by the supervisory board voting membership, excluding any not voting responses, are approved. Responses to disapproved comments are not required and, if the approval criterion stated in this paragraph is met, recirculation of the membership action is not required.

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During a Meeting. Membership actions may be approved during a meeting, provided a quorum is present, using the following method:

1. Membership actions that receive majority approval by the supervisory board voting membership, excluding any not voting responses, are approved.
2. Members that are not present are not required to be given the opportunity to vote.

3.3.4. Officers

The officers of a standards committee shall be as follows:

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

3.3.4.1. Duties of Officers

The officers shall ensure that these procedures are followed. The duty of each officer is as follows:

(a) Chair. The Chair is the executive officer of the standards committee who shall preside at meetings and perform duties customarily associated with such office. This includes periodic review of the performance of standards committee membership and taking actions to correct poor performance, including proposing terminations when appropriate.

(b) Vice Chair(s). In the absence of the Chair, the Vice Chair shall fulfill the duties of the Chair’s office.

(c) Secretary. The Secretary manages aspects of the committee’s business on behalf of the Chair, including communications and documentation of the committee’s proceedings. The Secretary shall prepare and distribute agendas and minutes for all meetings of the standards committee to the standards committee. They shall receive and maintain all documents relative to the standards committee and its subordinate groups, distribute and receive proposals for actions pertaining to standards, record votes, correspond with interfacing organizations or individuals in the name of the standards committee, and perform other duties.

3.3.4.2. Chair and Vice Chair Selection

Only consensus body members with more than one year of current service on the committee and who have fulfilled their membership duties are eligible to be nominated as 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 term 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, or the draft is near completion and the loss of the Chair’s leadership will adversely affect the progress of the draft.

Preferably, the Chair and Vice Chair should be ASME Society members.

The cognizant supervisory board may remove an ineffective Chair or Vice Chair and appoint a successor (see 3.3.3.5) without the approval of the standards committee. The
individual removed from office may appeal the action of the board to the Council on Standards and Certification through the Board on Hearings and Appeals.

3.3.4.2.1. Nomination and Election of the Standards Committee Chair and Vice Chair. For appointment of the initial Chair and Vice Chair of new standards committees see para. 3.2.1.3.

3.3.4.2.1.1. Chair Nomination and Election. The Secretary shall contact the consensus body members who are eligible to serve as Chair and provide them an opportunity to indicate their willingness to serve in the position. Upon compiling the list of eligible consensus body members who are willing to serve, the Secretary shall conduct balloting for the election of the Chair as follows, depending on the number of candidates:

(a) Three or More Candidates. The Secretary shall issue a secret weighted ballot to select the nominees for the standards committee Chair using the following method:

(1) Each consensus body member will be given a secret weighted ballot where they may select up to three candidates in the order of preference, where 3 points will be assigned to their first choice, 2 points to their second choice, and 1 point to their third choice.

(2) For each secret weighted ballot, at least 2/3 of the total consensus body must vote for the nomination process to be valid.

(3) The two candidates who receive the highest number of points are the nominees. If there is a tie for first place, these two candidates will be the nominees. If there is a tie for second place, there will be a run-off ballot for the second nominee. If there is a three-way or more tie for first place, there will be a runoff of the multiple first-place candidates.

(4) If one of the nominees is no longer willing to serve, then the member with the next highest number of points becomes a nominee.

(5) Once the two nominees are determined, a secret weighted ballot shall be issued with each member provided a single vote. The nominee who receives the highest number of votes, provided at least 2/3 of the total consensus body has voted, shall be the recommended Chair, subject to approval by the cognizant supervisory board (see para. 3.3.3.5(a) or 3.3.3.5(b)).

(b) Two Candidates. The Secretary shall issue a secret weighted ballot with each member provided a single vote. The nominee that receives the highest number of votes, provided at least 2/3 of the total consensus body has voted, shall be the recommended Chair, subject to approval by the cognizant supervisory board (see para. 3.3.3.5(a) or 3.3.3.5(b)).
(c) *One Candidate.* If only one member is willing to serve in the office, the Secretary shall issue a membership ballot (see para. 3.3.3.4(a)) to the consensus body or vote at a meeting of the standards committee (see para. 3.3.3.4(b)) to approve the recommended Chair, subject to approval by the cognizant supervisory board (see para. 3.3.3.5(a) or 3.3.3.5(b)).

3.3.4.2.1.2. **Vice Chair Nomination and Election.** When the Chair and Vice Chair terms coincide, the nomination and election of the Vice Chair shall commence after the recommended Chair is selected. The process for selecting the Vice Chair shall be the same as prescribed in para. 3.3.4.2.1.1.

3.3.4.3. **Chair and Vice Chair Terms**
When a member is elected as an officer, the expiration date for the individual’s term as member on that committee shall be adjusted to be concurrent with the officer expiration date. Each term of office of the standards committee Chair and Vice Chair(s) shall expire June 30 of the appropriate year. Prior to the expiration of an officer’s term, action may be taken to either appoint them to the same officer position or to a different membership position or reappoint them as a member.

3.3.4.4. **Secretary**
The Secretary, who is a member of the standards committee without vote, shall be designated by the appropriate ASME Director.

3.4. **Subordinate Group Membership**
Individual subordinate group members need not be on the standards committee. Membership of any type on a subordinate group shall not be conditional upon ASME Society membership.

3.4.1. **Membership Types**

3.4.1.1. **Members.** For subordinate group member qualifications and duties, see para. 3.3.1.1. The subordinate group membership shall include individuals whose experience, skills, and expertise are compatible with the scope of work of the group. Although subordinate groups are not required to maintain a balance of interest, they should have representation from diverse interests whenever possible (see para. 3.3.1.1.2).

3.4.1.2. **Delegates, Alternates, and Contributing Members.** Subordinate groups may have delegates, alternates, and contributing members. For the definition, selection, and duties of these membership types see Section 3.3.1.

3.4.2. **Membership Processing**

(a) Subordinate group membership actions are of the same four types as the standards committee: appointments, reappointments, resignations, and terminations. See para. 3.3.3.1 for further information on each of these.

(b) For voting options on subordinate group membership actions, see para. 3.3.3.2.

(c) Subordinate group membership actions do not require approval by that subordinate group.
All subordinate group appointments, reappointments, and terminations shall be confirmed as follows:

1. For subordinate groups that report directly to the standards committee, by majority approval of the consensus body, excluding any not voting responses.

2. For subordinate groups that do not report directly to the standards committee, by one of the following:
   (i) majority approval of the parent committee voting membership, excluding any not voting responses
   (ii) the parent committee Chair (not permitted for terminations)
   (iii) majority approval of the consensus body, excluding any not voting responses, or
   (iv) the standards committee Chair (not permitted for terminations)

The standards committee shall be notified.

3.4.3. Officers

Officers of subordinate groups are as follows:

(a) Chair. Subordinate groups shall have at a minimum a Chair. The Chair shall be the executive officer of the subordinate group and shall preside at meetings and perform duties customarily associated with such office.

(b) Vice Chair(s) (Optional). The Vice Chair(s), in the absence of the Chair, shall fulfill the duties of the Chair.

(c) Secretary (Optional). The subordinate group Chair may appoint a secretary from the current committee membership, if there is not an ASME-appointed Secretary. For Secretaries appointed by the Chair, their term of appointment shall end on the same date as the Chair’s.

For appointment of the initial Chair and Vice Chair of new subordinate groups see para. 3.2.2.3.

3.4.3.1. Officers for Subordinate Groups that Report Directly to the Standards Committee

3.4.3.1.1. Chair Nomination and Election. Members shall be contacted and provided an opportunity to indicate their willingness to serve as Chair and/or Vice Chair. The Chair and Vice Chair shall be elected either by ballot (see para. 3.3.4.2.1.1) or at a meeting if there is only one candidate [see para. 3.3.4.2.1.1] or at a meeting if there is only one candidate [see para. 3.3.4.2.1.1].

3.4.3.1.2. Chair and Vice Chair(s) Terms. The Chair and Vice Chair shall serve no more than three consecutive three-year terms in each office. See para. 3.3.4.3. This limit can be exceeded for special circumstances if approved by a majority of the total consensus body. The following are examples of such special circumstances:
   (a) There is no other qualified candidate who is willing to serve.
   (b) The draft is near completion, and the subordinate group feels the loss of the Chair’s leadership will adversely affect the progress of the draft.
3.4.3.1.3. **Approval.** The elected Chair and/or Vice Chair shall be approved by a majority of the total consensus body. See also 3.3.4.3 for additional Chair and Vice Chair term requirements.

3.4.3.2. **Officers for Subordinate Groups that Do Not Report Directly to the Standards Committee**

3.4.3.2.1. **Election.** The Chair and Vice Chair shall be nominated one of two ways:

(a) recommendation by the Chair of the parent committee, or

(b) by either ballot (see para. 3.3.4.2.1.1) or at a meeting if there is only one candidate [see para. 3.3.3.4(b)].

3.4.3.2.2. **Chair and Vice Chair(s) Terms.** The term of appointment shall not exceed five years. There is no term limit for Chair and Vice Chair.

3.4.3.2.3. **Approval.** The elected Chair and/or Vice Chair shall be approved by either:

(a) majority of the total parent committee voting membership and reported to the standards committee, or

(b) majority of the total consensus body.

See also 3.3.4.3 for additional Chair and Vice Chair term requirements.

3.4.4. **Project Teams**

(a) Each standards proposal shall have an assigned project technical manager and may have an assigned project team to manage and prepare proposals for consensus body approval.

(b) A project team may consist of

1. a project technical manager (a technically knowledgeable committee member)
2. a project administrative manager (ASME staff)
3. additional standards committee and/or subordinate group members, as necessary, and
4. technically knowledgeable members of the public, provided each submit a PAF acknowledging compliance with the Society Policies and copyright (see para. 3.1.2).

(c) Project teams may be assigned one or more standards proposals.

(d) Selection of project teams is not governed by the requirements of Section 3.4.

4. **Development and Maintenance of Standards**

4.1. **General**

The standards committee shall

(a) develop standards within its charter.

(b) maintain American National Standards within its charter under periodic maintenance, continuous maintenance, or stabilized maintenance procedures.

(c) ensure that duplication of standards is minimized and provide compelling reasoning for duplication if duplication is needed in a standard within its charter.

(d) make good faith efforts to resolve potential conflicts between existing American National Standards and candidate American National Standards.

(e) achieve consensus for the action proposed on a standard.

(f) report status of standards within its charter at least annually to the cognizant supervisory board.
Except when otherwise recommended by the consensus body and approved by the cognizant supervisory board, standards developed by standards committees are intended to be submitted to the American National Standards Institute to become American National Standards.

4.2. Initiation of the Development, Revision, or Withdrawal of a Standard

4.2.1. Project Initiation Notification for American National Standards (ANS)

A notification shall be submitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent:

(a) when an abstract for the development of a new ANS is approved
(b) prior to revising an existing ANS that is maintained under periodic maintenance, or
(c) to withdraw an ANS

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. The efforts to address these comments shall be retained. Such notification is not required for revisions of a standard that is maintained under continuous maintenance.

4.2.2. First/New Edition Administration

Sections 4.2.2.1 through 4.2.2.5 contain requirements for first editions of a standard as well as new editions of existing standards. For additional information and guidance, refer to Appendix 6.

4.2.2.1. Proposals for New Standards

Requests for development of a standard shall be made through the submittal of a Request for the Development of a New ASME SES Product. The appropriate ASME Director will determine whether to proceed with a proposed new standards project. Director approval is required prior to submission of an ANSI PINS Form (see Section 4.2.1).

Following Director approval to develop a standard, the cognizant supervisory board will:

(a) Assign the project to an existing standards committee (with or without modification to their charter as needed) or create a new standards committee per Section 3.2.1.
(b) Determine the frequency of progress updates from the standards committee (see para 4.2.2.4). Progress updates shall occur at least every 3 years until the first edition of the standard is published.

4.2.2.2. Approval of the Bounds of a Standard

In accordance with Section 8, the standards committee shall approve

(a) The bounds of a new standard within its charter
(b) A substantive revision to the bounds of an existing standard.

The cognizant supervisory board shall approve the bounds of the standard following standards committee approval.
4.2.2.3. Determination of Edition Schedule
At the start of a new standards development project, the officers of the cognizant committee should establish a Minimum Viable Product description and a milestone schedule. The information should be shared with any relevant subordinate group, the standards committee, the cognizant supervisory board, and any other relevant committees. It is the responsibility of the committee officers and staff to manage the timeline and any changes to the schedule.

4.2.2.4. Cognizant Supervisory Board Progress Monitoring for New Standards
The cognizant supervisory board is responsible for monitoring the development of new standards. Standards committees shall complete a New Standards Development Progress Form and submit it to the cognizant supervisory board for review. The board will determine the review frequency for each new standard when the project is initiated, but the review frequency shall not be longer than 3 years. For standards whose development is on hold, the report to the cognizant supervisory board should indicate that the project is on hold and shall include an estimate of when work will resume.

The result of this board evaluation will determine if development of the project will continue or if the project should be recommended for termination to the appropriate ASME Director. For projects that are not on track, the cognizant supervisory board may make recommendations to improve progress such as modification to the bounds of the standard, the Minimum Viable Product, or the leadership.

4.2.2.5. Processing of First Edition Standards
Proposed content for the first edition of a standard may be prepared and balloted in one record or several records for the purpose of obtaining initial feedback from the subordinate groups and/or standards committee. However, all first edition proposals must be incorporated into one document containing the entire standard for consensus body approval, allowing members to vote/comment on any part of the document on first consideration.

4.3. Maintenance Options for ASME’s American National Standards
The standards committee shall maintain American National Standards within its charter under periodic maintenance, continuous maintenance, or stabilized maintenance procedures. Standards shall be revised as necessary. If appropriate action per the following paragraphs is not taken at the required time, ANSI approval of an American National Standard will automatically expire on the tenth anniversary date of ANSI approval.

4.3.1. 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 Section 4.6). All proposed revisions may be prepared and balloted in one record or several records for the purpose of obtaining initial feedback from the subordinate groups and/or standards committee. However, all revisions must be incorporated into one document containing the entire standard for consensus body approval, allowing members to vote/comment on any part of the document on first consideration. Unless notification of a project initiation or request for public review announcement 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 30 days following five years after the approval date of the standard.

4.3.2. 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 Section 4.6). Continuous maintenance should only be used for standards that are continually under review between editions. Revisions to any portion of the document may be processed as separate records and can be balloted independently. Unless a request for public review announcement 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 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.

4.3.3. Stabilized Maintenance
An American National Standard maintained under the stabilized maintenance option is not required to be revised or reaffirmed on a routine five-year cycle; however, it shall be subject to review of such status by the committee and cognizant supervisory board on a ten-year cycle. To be considered for stabilized maintenance, the standard shall satisfy all the eligibility criteria prescribed in para. 4.7.3 of the ANSI Essential Requirements.

The initial decision to maintain a standard under stabilized maintenance is required to be submitted for ANSI public review and for ANSI approval. See Section 4.5 for stabilized maintenance requirements.

If it is determined in connection with the 10 year 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 ANSI 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).

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

4.4. Approval of New Standards and the Revision, Reaffirmation, or Withdrawal of an Existing Standard

4.4.1. Review and Comment Ballots
(a) Review and comment may be conducted solely to solicit comments from technically affected parties (e.g., the relevant standards committee, subordinate groups, other standards committees, cognizant supervisory board members, or members of the public who have expressed interest) prior to conducting a recorded vote.
(b) The review and comment ballot shall offer two forms of response: comment and no comment.
(c) Responses to comments on review and comment ballots are recommended, but not required.

4.4.2. Standards Committee Balloting
A standards proposal may proceed to standards committee ballot by the ASME Staff Secretary upon recommendation by any of the following:
(a) the subordinate group responsible for the standards proposal, by any of the following actions:
   (1) 2/3 approval by the subordinate group members present and eligible to vote (excluding any not voting) at a subordinate group meeting, provided a quorum is present
   (2) 2/3 approval by the subordinate group members (excluding any not voting) on a ballot with no substantive changes required.
(b) an officer of the subordinate group responsible for the standards proposal
(c) an officer of the standards committee, including the Staff Secretary
(d) members of the standards committee by either of the following actions:
   (1) at a standards committee meeting, majority approval by the consensus body members present, provided a quorum is present
   (2) a petition by five or more consensus body members delivered to the Secretary of the standards committee

4.4.2.1. General Requirements
The following requirements apply to all proposals submitted for first consideration (para. 4.4.2.2) and recirculation (para. 4.4.2.3) ballot:
(a) Ballots for approval of standards proposals shall be recorded.
(b) Voting periods shall not be shorter than two weeks unless agreed to by a majority of the consensus body. The voting period for first consideration ballots is typically four to six weeks, based upon factors such as the size and complexity of the proposal and the current committee workload. The voting period for recirculation ballots is typically two to four weeks. Members may request an extension of the voting period, which may be granted at the discretion of an officer.
(c) Votes may be changed at any time up until the closure of the ballot.

4.4.2.1.1. Ballot Recipients
(a) All standards committee participants shall have an opportunity to vote and/or comment on the proposal. When votes are taken at a meeting, they shall be recorded on a ballot and the consensus body members who are absent shall be given the opportunity to vote.
(b) All ballots for standards proposals shall include the cognizant supervisory board for review and comment. This review and comment should be concurrent with the standards committee ballot and provides board members with the opportunity to provide technical comments on the proposal.

(c) All ballots for proposed conformity assessment related standards proposals which would revise a standard on which an ASME conformity assessment program is based shall be submitted to the Board on Conformity Assessment (BCA) and other appropriate conformity assessment committees under BCA for review and comment. This review and comment should be concurrent with the standards committee ballot and provides board members with the opportunity to provide technical comments on the proposal.

(d) Any technically affected committees should also be included for review and comment. This review and comment is typically concurrent with the standards committee ballot and provides an opportunity to comment on the proposal.

4.4.2.1.2. Voting and Commenting on Ballots
4.4.2.1.2.1. Voting on Ballots
(a) The ballot shall offer four forms of response: approved, disapproved, not voting, and abstain.

(b) Consensus body members casting approved votes are not required to provide comments.
   (1) Any comments accompanying an approved vote shall be considered a recommendation.
   (2) Conditional approval is not allowed. If an approved vote is submitted that is conditional upon a substantive change to the proposal, it shall be changed to disapproved by ASME Staff and the voter shall be so notified. Any comments accompanying an approved vote shall be considered a recommendation.

(c) Consensus body members casting disapproved, abstain, or not voting votes shall provide written explanation.
   (1) Disapproved votes should include a recommended modification to the proposal that will resolve their objection.
   (2) Disapproved votes accompanied by comments unrelated to the proposal under consideration, or without comments, are not required to be submitted for recirculation and shall be recorded as disapproved without comment.
      (i) Votes reported as disapproved without comment shall not reduce the voting tally for the action being voted on.
      (ii) The member who submitted the vote is not required to be notified of their right to appeal.
      (iii) 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.
(3) A response of not voting signifies neither approval nor disapproval and indicates that the member is removing themselves from the voting process. A response of not voting shall reduce the voting tally for the action being voted on. A response of not voting shall only be used when a member believes that they have a conflict of interest or potential conflict of interest. If a consensus body member casts a response of not voting for a reason other than a conflict of interest, ASME Staff may revise the vote to not returned.

(d) An alternate’s vote shall be counted in the voting tally only if the corresponding consensus body member’s vote is not submitted. In the event both the member and alternate vote, the alternate’s vote shall not count toward the voting tally and any comments submitted shall be considered in the same manner as review and comment (see Section 4.4.2.1.2).

(e) Members who do not cast a vote while the ballot is open will be recorded as not returned. There is no reduction in the voting tally for use in determination of approval for members recorded as not returned.

4.4.2.1.2.2. Review & Comment on Ballots
   (a) The review and comment ballot form shall offer two forms of response: comment and no comment. Individuals who do not choose one of the forms of response while the ballot is open will be recorded as not returned. Commenters should indicate whether their comment is a substantive comment or a non-substantive comment (see Appendix 1).

   (b) Substantive comments should include recommended modification to the action that will resolve the comment.

   (c) All comments related to the proposal under consideration shall be made available to the project team for consideration.
      (1) Substantive comments that are not related to the proposal under consideration shall be documented and may be considered as a submittal of a new proposal. The commenter shall be so notified.
      (2) Responses to all comments received on a first consideration ballot shall be developed by the project team and shall be posted.

4.4.2.1.3. Ballot Closure and Beyond
   (a) At the close of the ballot, a complete voting tally shall be provided to the standards committee. All disapproved votes and comments from the ballot shall be made available to the standards committee and project team.

   (b) Votes and comments received by the Secretary after the ballot has been closed shall be considered not returned and do not require a response. Any comments received after ballot closure shall be forwarded to the project technical manager and may be considered as a new proposal.

   (c) Disapproved votes may be withdrawn by the voter or ASME Staff.
(1) Disapproved votes may be withdrawn from the most recent ballot after the ballot has been closed.

(2) Disapproved votes may be withdrawn from the most recent recirculation ballot up to six months after that recirculation ballot was closed.

(3) ASME Staff shall withdraw a disapproved vote when the voter has instructed ASME Staff to do so. This instruction shall be documented in writing by the voter or by ASME Staff either in the minutes of the relevant standards committee meeting, or in acknowledgment to the voter.

(d) Editorial changes made to a standards proposal as a result of a disapproved vote and/or other comments received may be processed in accordance with para. 4.4.2.4.

4.4.2.2. First Consideration Ballot

(a) The Secretary shall submit the proposal to the standards committee for vote and shall ensure the following are made available:

(1) an explanation of why the action is being proposed

(2) unresolved substantive comments recorded on the system during the development process and project team responses to those comments

(3) the scheduled closing date for the voting period

(b) Proposals are approved if they receive all of the following:

(1) no disapproved votes from the consensus body

(2) at least 2/3 approval by the consensus body, excluding any not voting, provided greater than 50% of the total consensus body has voted approved.

(3) no unresolved substantive comments from those included on the ballot for review & comment.

(c) The project team shall:

(1) respond to all comments indicating the disposition,

(2) attempt to resolve all disapproved votes and substantive comments related to the proposal, and

(3) provide reasoning for not accepting any disapproved votes and/or substantive comments.

(d) After responding to all disapproved votes and comments, the project team should recommend one of the following actions to the appropriate committee or committee officers:

(1) If the first consideration ballot met the approval criteria:

(i) proceed with no change to ANSI public review (see Section 4.4.5) and cognizant supervisory board procedural review and approval (see Section 4.4.4)

(ii) submit for recirculation ballot (with editorial and/or substantive changes [per 4.4.2.3(a)])

(iii) withdraw the approval per Section 4.4.3 and authorize a new first consideration ballot per para. 4.4.2, or

(iv) withdraw the approval and withdraw the proposal per Section 4.4.3

(2) If the first consideration ballot did not meet the approval criteria:
submit for recirculation ballot (with or without editorial and/or substantive changes [per 4.4.2.3(a)])

(ii) submit the revised proposal for first consideration ballot, or

(iii) withdraw the proposal

4.4.2.3. Recirculation Ballot

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

(1) to review unresolved disapproved votes
(2) to review unresolved substantive ballot comments from groups included for review and comment on the ballot
(3) to review unresolved objections received as a result of ANSI public review (see Section 4.4.5)
(4) to review editorial revisions
(5) to review substantive changes in response to comments

(b) The recirculation ballot shall include any proposed revisions. Previous ballot information, public review comments, and responses to all comments shall be made available.

(c) During a recirculation ballot, members of the consensus body shall be afforded the opportunity to change their vote cast during the previous ballot. Members of the consensus body who did not cast a vote during the first consideration ballot may participate in subsequent ballots; however, their vote on recirculation ballots is limited to para. 4.4.2.3(d). Disapproved votes accompanied by comments that are not in accordance with para. 4.4.2.3(d) are not required to be submitted for recirculation and shall be recorded as disapproved without comment.

(d) Disapproved votes and comments shall be limited to

(1) agreement with first consideration or previous recirculation ballot disapproved votes, unresolved substantive comments, and/or unresolved public review objections
(2) disagreement with any changes introduced to the proposal

(e) Recirculation proposals are considered approved if they receive at least 2/3 approval by the consensus body, excluding any not voting, provided greater than 50% of the total consensus body votes approved.

(f) Responses are required for all disapproved votes accompanied by comments that are in accordance with para. 4.4.2.3(d). The responses shall be made available to the standards committee. The project team should recommend one of the following actions to the appropriate committee or committee officers for their consideration when determining how to proceed:

(1) If the recirculation ballot met the approval criteria:
   (i) proceed with no change to ANSI public review (see Section 4.4.5) and cognizant supervisory board procedural review and approval (see Section 4.4.4), if the proposal has not been submitted previously
(ii) submit the proposal for another recirculation ballot (with editorial and/or substantive changes)
(iii) withdraw the approval per Section 4.4.3 and authorize a new first consideration ballot per para. 4.4.2, or
(iv) withdraw the approval and withdraw the proposal per Section 4.4.3.
(2) If the recirculation ballot did not meet the approval criteria:
   (i) submit for another recirculation ballot (with or without editorial and/or substantive changes)
   (ii) submit the revised proposal for first consideration ballot, or
   (iii) withdraw the proposal

(g) If the proposal is to proceed to another recirculation ballot, responses are required for all comments from the previous ballot that are in accordance with para. 4.4.2.3(d).

(h) Consensus body members who submitted unresolved disapproved votes shall be notified in writing (i.e., by email or other electronic communication) of their right to appeal consensus body actions.

4.4.2.4. Approval of Editorial Proposals
(a) Editorial proposals are those proposing changes to the standard that are not substantive. Editorial proposals shall be approved either by balloting (See Section 4.4.2.2 and 4.4.2.3, typically 2 weeks) or at a meeting, provided a quorum is present, using the following method:
   (1) The editorial proposal shall be presented to the consensus body along with an explanation of why the action is being proposed.
   (2) Members shall approve (accepting the change as non-substantive and agreeing with the content) or disapprove (disagreeing with the change or asserting that the change is substantive) the proposal.
   (3) Editorial proposals shall be considered approved if they receive at least 2/3 approval by the consensus body members present at the meeting.
   (4) Actions to approve editorial proposals at a meeting shall be recorded.

(b) Editorial proposals that do not meet the approval criteria may be resubmitted for approval as prescribed by Sections 4.4.2.2 or 4.4.2.3 or withdrawn.

(c) Editorial proposals that are approved at a meeting or by ballot in records that only include editorial revisions may be excluded from public review and do not require cognizant supervisory board procedural review and approval or ANSI approval.

(d) Changes related to style and grammar need not be submitted to the consensus body for approval but should be reviewed by one or more members of the cognizant committee.

4.4.3. Withdrawing or Holding an Approved Proposal
A proposal that has been approved by the consensus body may be placed on hold or withdrawn by the consensus body. Withdrawing or holding an item requires the following:
(a) Consideration of action to hold or withdraw an approved proposal shall have been initiated by the consensus body prior to submittal for ANSI approval (see Section 4.4.6).

(b) The action to hold or withdraw an approved proposal shall be approved by
   (1) at least 2/3 of the consensus body, excluding any not voting, provided greater than 50% of the total consensus body has voted approved by ballot; or
   (2) greater than 50% of the total consensus body has voted approved at a meeting.

(c) If the proposal has already been approved by the cognizant supervisory board (see Section 4.4.4), that approval shall be automatically withdrawn when the action to hold or withdraw that proposal is approved by the consensus body.

4.4.4. Supervisory Board Procedural Review and Approval
After a proposal has been approved by the consensus body, it shall be submitted to the cognizant supervisory board for a procedural review ballot.

4.4.4.1. General
(a) During a supervisory board procedural review ballot, previous ballot information, including all committee comments, public review comments, and responses shall be made available.

(b) Supervisory board procedural review of a proposal shall be limited to verification that the action is consistent with approved procedures and policies and that all disapprovals and substantive comments have been addressed. The cognizant supervisory board members shall have had the opportunity to comment, suggest improvements and corrections, or ask questions during the appropriate ballots described in Section 4.4.2.

(c) The supervisory board procedural review ballot may be conducted prior to, concurrent with, or following public review. If public review comments are received after supervisory board procedural review and approval, board approval shall be automatically withdrawn, and the proposal(s) shall be returned to the standards committee for further consideration.

(d) If substantive changes are made to the proposal for any reason, board approval shall be considered withdrawn, and the proposal shall be returned to the standards committee for further consideration.

4.4.4.2. Approval Options
4.4.4.2.1. Supervisory Board Procedural Review Ballot
(a) Proposals approved by the consensus body with unresolved consensus body disapproved votes, unresolved substantive comments, or unresolved public review objections shall be submitted to the cognizant supervisory board for a procedural review ballot for a minimum of two weeks.

(b) On first consideration, board procedural review ballots shall be approved if:
   (1) No objection votes from the supervisory board voting membership, and
   (2) A majority of the total supervisory board voting membership votes no objection.
(c) Objections from cognizant supervisory board members received within the
prescribed time limit and supported by reasons in compliance with para. 4.4.4.1(b)
shall be submitted to the consensus body or project team for resolution.
Responses are required for all objections and/or comments.

(d) Objections accompanied by comments unrelated to the requirements outlined in
by para. 4.4.4.1(b) or objections without comments may be ruled invalid by an
officer of the cognizant supervisory board. If ruled invalid, the comments shall not
be further considered and are not required to be submitted for recirculation.
Comments unrelated to the requirements outlined in by para. 4.4.4.1(b) shall be
documented and considered in the same manner as submittal of a new proposal.
The submitter of the comments shall be so notified.

(e) Objections that are withdrawn as a result of the response to their comment
require no further action, and once the requirements for approval have been met
as noted in para. 4.4.4.2.1(c) or 4.4.4.2.1(h), as applicable, the item may proceed
Towards final action.

(f) When objections are not resolved or withdrawn, the item may be submitted, along
with the documented resolution attempt, to the cognizant supervisory board for
a recirculation ballot for a minimum of two-weeks, during which the board
members shall have the opportunity to support the outstanding objections.

(g) On recirculation, board procedural review ballots shall be approved if they receive
both of the following:
(1) a majority of the total cognizant supervisory board voting membership votes
(2) fewer than 1/3 objections by the total cognizant supervisory board voting
membership.

(h) If the cognizant supervisory board disapproves a proposal in a procedural ballot,
the consensus body responsible for the proposal shall be notified.

4.4.4.2.2. Administrative Approval

(a) Proposals approved by the consensus body without any unresolved consensus
body disapproved votes, unresolved substantive comments, or unresolved public
review objections should be administratively approved by the responsible ASME
Staff, on behalf of the cognizant supervisory board. No formal recorded vote of
the cognizant supervisory board is required. Notification of administrative
approval shall be provided to the cognizant supervisory board.

(b) At the discretion of the responsible ASME Staff, the item may be sent for
supervisory board procedural review ballot in accordance with para. 4.4.4.2.1, in
lieu of administrative approval.

4.4.5. Public Review

4.4.5.1. Announcement

All proposed, revised, reaffirmed, or withdrawn standards, as well as decisions to
maintain a standard under stabilized maintenance, shall be announced on the ASME
website for public review. If the proposal is intended to be submitted to ANSI for approval, it shall also be announced in ANSI Standards Action. ANSI public review may be conducted at any stage in the development of the proposal including prior to, concurrent with, or following standards committee balloting. Any substantive changes made to the proposal after public review requires approval in accordance with Section 4.4 and another public review comment period. For standards maintained on continuous maintenance, only the portions of the standard that are being revised by a proposal are required to be made available for public review. If a second (or third, etc.) public review is needed for a particular edition of a continuous maintenance or periodic maintenance standard, only the portions of the standard revised since the first public review need to be made available.

4.4.5.2. Supplemental Public Review
The standards committee may supplement the public review by
(a) having a proposal sent to one or more groups or individuals known to have an interest in the scope and purpose of the proposal, and/or
(b) conducting public hearings addressing the scope and provisions of the standard(s).

4.4.5.3. Resolution of Comments
The project team shall consider all comments received through public review and shall attempt to resolve all objections that are related to the proposal under consideration.
(a) Following consideration of the comments, the commenter shall be advised in writing of the consideration of the comments, and if applicable, the action taken and any reasons why the objections were not resolved.
(b) All commenters with unresolved public review objections shall be notified in writing of their right to appeal the standards committee’s actions.
(c) 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 body who will have the opportunity to vote, reaffirm their vote, or change their vote on the proposal, using a recirculation ballot (see para. 4.4.2.3). Recirculation proposals that meet the approval criteria of 4.4.2.3(e) may proceed to supervisory board review and approval (see Section 4.4.4).

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

4.4.5.5. Alternative Public Review for Proposed Identical National Adoption of ISO and IEC Standards
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.

4.4.6. ANSI Approval
If a proposal is intended to be submitted for ANSI approval, the following requirements shall be followed:

(a) When the cognizant supervisory board has completed action per Section 4.4.4 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.

(b) The ANSI criteria for approval are as follows:

1. 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.
2. Any appeal to the standards developer with respect to the standard was completed.
3. Notice of the development process for the standard was provided to ANSI in accordance with PINS or its equivalent.
4. Any identified conflict with another American National Standard was addressed in accordance with the ANSI Essential Requirements.
5. Other known national standards were examined with regard to harmonization and duplication of content and if duplication exists, there is a compelling need for the standard.
6. ANSI’s patent policy has been met, if applicable.
7. ANSI’s policy on commercial terms and conditions has been met, if applicable.

(c) 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:

1. Title and designation of the proposed American National Standard
2. Indication of the type of action requested (i.e., 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)
3. A declaration that applicable procedures were followed
4. A declaration that the proposed standard is within the scope of the previously registered standards activity
5. A declaration that conflicts with another American National Standard have been addressed in accordance with these procedures
6. A roster of the consensus body 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
7. A declaration that all appeal actions related to the approval of the proposed standard have been completed
8. A declaration that the criteria contained in the ANSI patent policy have been met, if applicable
(9) Identification of all unresolved negative views and objections, with names of the objector(s) and a report of attempts toward resolution.

4.4.7. Publication and Errata

4.4.7.1. Publication Timeline
American National Standards shall be published and made available no later than six months after approval as an American National Standard.

4.4.7.2. Errata
If an error in a published standard is identified, it can be processed as errata if it meets any of the following:

(a) typographical errors or misspellings, regardless of origins
(b) publication of items that were approved but incorrectly published, including
   (1) staff or printer’s errors
   (2) omission of approved items
(c) incorrect publication of an item that did not receive the necessary approvals

Proposed errata shall be reviewed by ASME Staff in accordance with the criteria for errata stated above and take into account the associated approved action, if any. If the proposal is determined to be errata, no voted action is required and the staff shall post the errata on an appropriate committee web page and advise the cognizant committee of this for information. If the error is not considered to be errata, it shall be balloted through the committee as a revision (see Section 4.4).

Errata should be incorporated into the next edition of the standard, as applicable.

4.5. Stabilized Maintenance Requirements

4.5.1. The decision to maintain a standard under the stabilized maintenance option (see Section 4.3.3) and to continue to maintain a standard under this option shall be approved through the consensus body and cognizant supervisory board in accordance with Sections 4.4.2 and 4.4.4, with the following modifications:

(a) The initial decision to maintain a standard under stabilized maintenance is required to be submitted for ANSI public review (Section 4.4.5) and for ANSI approval (Section 4.4.6), but a PINS form (para. 4.2.1) is not required.

(b) For subsequent decisions to continue to maintain a standard under stabilized maintenance, a PINS form, ANSI public review, and ANSI approval are not required. However, the approved decision shall be announced on the ASME Committee website for 30 days (subsequent to consensus body 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).
4.5.2. A standard that is maintained under the stabilized maintenance option shall include a clear statement of the intent to consider requests for revision and information on the submittal of such requests and the ASME website shall indicate how to submit such requests.

4.5.3. Public comments may be submitted at any time by a directly and materially interested party to request a revision to or withdrawal of the standard. The committee shall consider any revision requests in the same manner as a new proposal. Within 60 days of receipt of the recommendation, the appropriate committee or board shall issue a written response informing the submitter of the decision relative to the maintenance status of the standard.

4.6. National Adoptions of ISO or IEC Standards as American National Standards

4.6.1. 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.

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

4.6.3. 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.

4.6.4. Standards committee approval of national adoptions shall be in accordance with Section 4.4 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.

5. Interpretations

5.1. Requirements for Interpretations

(a) Interpretations are formal written responses to an inquirer in response to a written inquiry. Such responses shall be transmitted to the inquirer by the ASME staff member responsible for the cognizant standards committee or subordinate group.

(b) Interpretations shall be written in an “inquiry” and “reply” format.

(c) Interpretations shall identify the name and specific edition(s) of the standard(s) being interpreted.

(d) Previously issued interpretations may be revised when there is an identified need for a correction or clarification.

(e) There shall be a statement on each interpretation advising that ASME may reconsider its interpretation when additional information is made available.
(f) Interpretations apply to later editions when requirements that led to the original interpretation remain unchanged.

(g) Interpretations shall not revise existing requirements or establish new requirements.

(h) Interpretations shall not include rationale for requirements in an ASME standard.

(i) Interpretations shall not approve, certify, rate, or endorse any item, construction, proprietary device, or activity.

(j) ASME only issues interpretations of official published ASME codes or standards.

(k) ASME shall not issue interpretations of translations, derivative works, or other products not created in their entirety by ASME.

(l) Interpretations shall be published on the ASME website and/or in the ASME Interpretations Database.

5.2. Approval Options
   Interpretations shall be approved by either of two methods:

   (a) Consensus Body or Cognizant Subordinate Group
   (b) Special Committee

5.2.1. Consensus Body or Cognizant Subordinate Group

5.2.1.1. Membership and Balance
   No member interest category shall have a majority on either the consensus body or the cognizant subordinate group.

5.2.1.2. Approval Process
   (a) Votes shall be recorded at a meeting or by electronic means.

   (b) The Secretary shall submit the following to the committee:
      (1) a proposed inquiry and reply(ies)
      (2) a copy of the original inquiry

   (c) The vote form shall offer three forms of response: objection, no objection, and not voting.

   (d) When the vote is taken at a meeting, an interpretation shall be considered approved if at least 2/3 of members present and eligible to vote, vote no objection, excluding any not voting responses, and greater than 50% of the total consensus body or cognizant subordinate group votes no objection.

   (e) If a vote is taken other than at a meeting, the following shall apply:
      (1) All voting members of the committee shall have an opportunity to vote.
      (2) Ballot periods should be closed no later than four weeks after the date of issuance.
(3) Members casting objections shall provide written explanation regarding their objection.

(4) Votes/comments received by the Secretary after the ballot has been closed shall not be considered unless an extension of the ballot period has been established by the committee or a committee officer.

(5) At the close of the ballot, a complete voting tally shall be provided to the committee. All objections and comments shall be carefully considered, and their resolution attempted. Responses are required for all objections and substantive comments and shall be documented and made available to committee members.

(6) A proposed interpretation is considered approved on first consideration if:
   (i) at least 2/3 of the consensus body or cognizant subordinate group votes no objection, excluding any not voting,
   (ii) greater than 50% of the total consensus body or cognizant subordinate group votes no objection, and
   (iii) there are no objections or unresolved substantive comments.

(7) An inquiry shall be recirculated for a two-week ballot period if
   (i) changes (substantive or non-substantive) are made to the proposal, or
   (ii) the approval criteria in para. 5.2.1.2(e)(6) is not met.

(8) The recirculation ballot shall include any proposed revisions to the interpretation. Any unresolved objections and/or substantive comments and the responses shall be made available.

(9) A proposed interpretation shall be considered approved on recirculation if:
   (i) at least 2/3 of the consensus body or cognizant subordinate group votes no objection, excluding any not voting,
   (ii) greater than 50% of the total consensus body or cognizant subordinate group votes no objection, and
   (iii) no changes (substantive or non-substantive) are made to the proposal.

(10) If any of the requirements in para. 5.2.1.2(e)(9) are not met, the proposal may be submitted for either another recirculation ballot or withdrawn by majority approval of the total consensus body membership. If an inquiry is withdrawn, a rationale statement shall be included for the withdrawal. If the cognizant subordinate group is unable to reach consensus on the proposal, the interpretation may be referred to the consensus body for disposition.

(11) Members who submit unresolved objections shall be notified of their right to appeal.

5.2.2. Special Committee

5.2.2.1. Membership and Balance
Members of the special committee shall be members of the consensus body 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 subordinate group.

One member of the special committee shall be designated as Chair. The Chair shall be appointed by the Chair of the standards committee or the Chair of the cognizant subordinate group.
5.2.2.2. Approval Process

Interpretations are approved by the unanimous vote of a special committee.

(a) All members of the special committee shall vote.

(b) Votes shall be recorded at a meeting or electronic means.

(c) The Secretary shall submit the proposal to the special committee along with the following:
   (1) a proposed inquiry and reply
   (2) a copy of the original inquiry

(d) If a vote is taken other than at a meeting, the following shall apply:
   (1) The ballot form shall offer three forms of response: objection, no objection, and not voting.
   (2) Members casting objections shall provide written justification that includes an alternative action that will resolve their objection.
   (3) Ballot periods should be closed no later than two weeks after the date of issuance, unless extended by an officer of the committee.
   (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) Substantive changes made in a proposed interpretation as a result of objections and comments received shall be submitted to the special committee for a two-week recirculation ballot 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 body or the cognizant subordinate group for consideration. See para. 5.2.1.

5.3 Intent Interpretations

Intent interpretations are permitted only to resolve conflicting or incorrect wording. Intent interpretations shall not revise existing requirements or establish new requirements. Intent interpretation shall be submitted to the consensus body for approval along with the revision(s) to the standard that corrects the conflicting or incorrect wording using the method described in Section 4.4.2. Both the intent interpretation and the revision(s) to the standard must be approved by the consensus body for the interpretation to be issued.

6. Cases

6.1. General

An ASME standards committee may develop Cases within its charter, when appropriate. Cases are developed when there is an identified urgent need to have a revision or alternative
requirement made available to the public. Users are cautioned that not all jurisdictions, owners, or contracts accept Cases.

6.2. Application
The most common applications for Cases are:
(a) to permit early implementation of a revision based on an urgent need.
(b) providing alternative requirements.
(c) to gain experience with alternative or potential additional requirements prior to incorporation directly into the standard.
(d) to permit the use of a new material or process.

6.3. Format of Cases
Cases should use the following format:
(a) Cases shall
   (1) be numbered sequentially
   (2) clearly indicate the limits of scope in the title, inquiry, and reply
   (3) include the approval date
(b) Each reply will start with the words, “It is the opinion of the Committee that…”
(c) A Case should not contain reference to another Case

6.4. Approval Process for ASME Cases
6.4.1. A proposed Case shall be processed in accordance with Section 4.4, with the following exceptions:
(a) A PINS is not required.
(b) Announcement for public review in ANSI Standards Action is not required.
(c) The Case is not submitted for ANSI approval as described in Section 4.4.6.

6.4.2. The proposed Case shall be posted on an ASME web page for a public review and comment period for a minimum of two weeks. The ASME public review may be concurrent with the standards committee vote or board procedural review ballot. Public review comments received on a Case shall be handled in accordance with Section 4.4.5.

6.4.3. A Case is effective for use when the public review process has been completed and it is approved by the cognizant supervisory board (see para. 4.4.4.2).

6.5. Maintenance of ASME Cases
Standards committees shall establish a typical review cycle in their Standards Committee Operating Guide (see Annex Z) and should review each Case as needed to determine whether the Case should be:
(a) annulled because it is no longer needed or has been incorporated into the standard,
(b) reaffirmed, because it is still needed, but no changes are needed,
(c) reaffirmed, because it is still needed, and action has been initiated to incorporate it into the standard, or
(d) revised because it is still needed, but changes are needed.

7. Meetings
7.1. Format and Accessibility

7.1.1. Location. Locations for in-person meetings for codes and standards and related accreditation and certification committees should be selected by the committee or by the chair on behalf of the committee but are subject to change by ASME Staff.

7.1.2. Meeting Announcements. Meetings of standards committees shall be announced sufficiently in advance of the meeting date to allow for participation.

7.1.3. Openness. Standards committee meetings for the consideration of standards proposals shall be open to the any directly and materially interested parties. Any directly and materially interested parties may express their views on items being discussed but shall not have voting privileges. However, a portion of a meeting may be held in executive session when considering subjects such as membership, accreditation, certification, registration, litigation, and other administrative matters.

7.1.4. Staff Attendance. ASME staff shall not be excluded from any meetings or hearings.

7.2. Meeting Procedures

7.2.1. At meetings, a quorum shall consist of at least 50% of the consensus body membership. If a quorum is not present during a meeting, it shall be noted in the minutes of the meeting. 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.

7.2.2. In the absence of the Chair and Vice Chair at a meeting of a 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. This appointment shall terminate at the conclusion of the meeting.

7.2.3. With the exception of ASME Staff, recording of committee proceedings, in any format, is prohibited. Only ASME staff may be permitted to record with the following restrictions:

(a) approval shall be requested from the director of the department under which the committee operates.

(b) recordings are to be used only as a backup to write minutes. Minutes are intended to reflect the sense of the discussion; they are not intended to be a word-by-word recounting.

(c) recordings may be used to record specific statements, agreements, or voted actions in order to ensure correctness of actual wording of voted actions.

(d) recordings shall be erased immediately after approval of minutes. Under no circumstances shall approved minutes and recordings or separate transcriptions from the recordings co-exist.

7.2.4. On questions of parliamentary procedure not covered in these operating procedures, “Robert’s Rules of Order Newly Revised” may be used.

7.3. Agendas and Minutes

7.3.1. Agendas and minutes for standards committees shall be prepared by ASME staff. Agendas and minutes for subordinate groups should be prepared by ASME staff or appointed committee members. All agendas and minutes shall be distributed to ASME staff and
committee members having interest and/or oversight for the committee, except as provided in 7.3.2 through 7.3.4.

7.3.2. Agendas may be distributed to other interested parties upon approval by ASME staff, however agenda content that is considered for committee use only may be excluded.

7.3.3. At the discretion of ASME staff, minutes may be distributed to interested parties for committee use only, provided they have a completed PAF on file with ASME.

7.3.4. Requests for minutes other than for committee use shall be in writing with a clear statement of the nature and purpose of the request. The Managing Director, Standards & Engineering Services may authorize the release and distribution of minutes and so inform the cognizant supervisory board Chair of the request and action taken. A charge for search and retrieval, reproduction, and/or mailing will normally be applied.

7.3.5. Agendas shall include the following statement: “This agenda is for Committee use only and is subject to adoption. It is not to be duplicated or quoted for any reason other than committee business.” Minutes shall include the following statement: “These minutes are subject to approval and are for Committee use only. They are not to be duplicated or quoted for other than Committee business.”

8. Operational Actions

8.1. Types of Actions

Operational actions include, but are not limited to:

(a) Approval of the initial or substantive revision to the bounds of a standard
(b) Approval of/revision to a standards committee operating guide and other guidelines
(c) Approval of a new standards committee and revision to an existing standards committee charter (see 3.2.1; for additional approval criteria, see para. 8.2.2)
(d) Approval of honors and awards (unless a more restrictive requirement applies to the particular honor or award; See Appendix 4)
(e) Approval of an ASME committee position

8.2. Approval of Operational Actions

8.2.1. Consensus Body Approval

Operational actions shall be approved by the consensus body by one of the following methods:

(a) Balloting. Operational actions shall be considered using the methods described in Section 4.4.2.
   (1) Proposals that receive at least majority approval by the total consensus body are approved and are not required to be recirculated.
   (2) Substantive changes made to the proposal may be considered either by recirculation ballot or by vote during a meeting using the method described in para. 8.2.1(b).
During a Meeting. Operational actions may be approved during a meeting, provided a quorum is present, using the following method:

1. The proposal shall be presented to the consensus body along with an explanation of why the action is being proposed.
2. Members shall vote approved, disapproved, not voting, or abstain. Members who are not present are not required to be given the opportunity to vote.
3. Operational actions that receive at least majority approval by the total consensus body are approved.
4. Actions that do not meet the approval criteria in para. 8.2.1(b)(3) may be submitted for ballot as described in para. 8.2.1(a).

8.2.2. Cognizant Supervisory Board Approval
Operational actions (a) through (d) listed in para. 8.1 shall be approved by the cognizant supervisory board by one of the following methods:

(a) Balloting. Operational actions shall be considered using the methods described in Section 4.4.2.

1. Proposals that receive at least majority approval by the total board voting membership are approved and are not required to be recirculated.
2. Substantive changes made to the proposal may be considered either by recirculation ballot or by vote during a meeting using the method described in para. 8.2.2(b).

(b) During a Meeting. Operational actions may be approved during a meeting, provided a quorum is present, using the following method:

1. The proposal shall be presented to the cognizant supervisory board along with an explanation of why the action is being proposed.
2. Members shall vote approved, disapproved, not voting, or abstain. Members who are not present are not required to be given the opportunity to vote.
3. Operational actions that receive at least majority approval by the total board voting membership are approved.
4. Actions that do not meet the approval criteria in para. 8.2.2(b)(3) may be submitted for ballot as described in para. 8.2.2(a).

8.2.3. Additional Requirements for Approval of a Revision to a Standards Committee Charter
(a) The Council on Standards and Certification shall be given two-weeks to review the proposal and identify any conflicts with another ASME standards committee. Revisions to an existing standards committee charter shall be approved by the cognizant supervisory board via ballot with the Council included for review and comment. If action is taken at a board meeting, a 2-week review and comment period shall be conducted to the Council.

(b) If a conflict between standards committees is identified by the Council, the Council shall be responsible for resolving the conflict.

8.2.4. Additional Requirements for Approval of the Bounds of a Standard. Supervisory board approval shall be limited to identifying potential conflicts with existing bounds for other standards.
Mandatory Appendices and Annexes

Appendix 1: Definitions

American National Standard (ANS) – A standard published by ASME that is approved by the American National Standards Institute (ANSI).


Ballot – A process of collecting and recording votes on the ASME balloting system.

Bounds of a Standard - A description of the technical content that the standard is intended to cover.

Committee Charter (Charter) – A statement that outlines the purpose, authority, responsibility, and limitations of the committee and its members.

Conference Committee – A technical review group representing a specific area of expertise or viewpoint.

Consensus – A substantial agreement reached by directly and materially affected parties. 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 Body – A subset of the standards committee that approves the content of a standard and whose vote demonstrates evidence of consensus. The consensus body excludes delegates and contributing members.

Continuous Maintenance – 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 consensus body.

Due Process – From ANSI Essential Requirement 1.0, the provision for any party (organization, company, government agency, individual, etc.) with a direct and material interest to participate by: a) expressing a position and its basis, b) having that position considered, and c) having the right to appeal.

Editorial Change – A revision that improves the grammar, clarity, or style of the standard without changing the meaning of the requirements.

Executive Committee – An advisory group that exists to administratively support the standards committee and guide its strategic direction.

Guide - Provides recognized and generally accepted engineering practices intended to help practitioners in the performance of their responsibilities. A guide provides suggestions or choices for solutions to engineering problems, rather than directives that are provided by a standard. A guide may be written to provide additional practices and commentary to support a standard. Guides shall not contain any information implying that it is a standard.

Organization – A company, government agency, or other business unit. See para. 3.3.1.2(b).
Parent Committee – The committee to which a subordinate group reports when it does not report directly to the standards committee.

Periodic Maintenance – 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 its approval as an American National Standard.

Regulatory Committee - A technical review group representing a specific area of expertise or viewpoint.

Sponsor – An organization that provides funds specifically to support the individual’s participation in the standards activities of the consensus body.

Stabilized Maintenance – An option for maintenance that satisfies the following eligibility criteria:

(a) the standard addresses a mature technology or practice(s), and as a result, is not likely to require revision; and

(b) the standard is other than to safety or health related; and

(c) the standard currently holds the status of American National Standard and has been reaffirmed as such at least once; and

(d) at least ten years have passed since the approval or last revision of the standard as an ANS; and

(e) the standard is required for use in connection with existing implementations or for reference purposes.

Standards Committee - The consensus body plus delegates and contributing members.

Standards Development Committee – The standards committee and/or subordinate group(s) that contribute to the development of a standard.

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

Substantive Change – The addition, deletion, or change to requirements in a standard. Examples of substantive changes include, but are not limited to:

(a) the revision of “shall” to “should” or “should” to “shall”

(b) the revision to an incorrect requirement, equation, or formula

(c) the addition of mandatory compliance with referenced standards

Substantive Comment – A ballot or public review comment recommending a substantive change.
**Technical Report** - Includes reports of technical research, tutorials, factual data, information on the “state of the art” technology in a particular area, or methods for application of a related standard. Technical Reports shall not contain any information implying that it is a standard.

**Total Consensus Body** – The total number of consensus body members eligible to vote.
Appendix 2: Categories of Interest

Each standards committee shall identify in its Standards Committee Operating Guide (see Annex Z) the categories of interest that are representative of the parties that are directly and materially interested in the standards developed by the standards committee from the list below. Classification of members should always be in accordance with the charter of the standards committee for which the member will be responsible for contributing their expertise. Interest categories shall not be created for the purpose of avoiding balance requirements.

<table>
<thead>
<tr>
<th>Category</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA – Constructor</td>
<td>An organization providing fabrication, erection, and/or the installation of items, without design responsibility.</td>
</tr>
<tr>
<td>AB – Designer</td>
<td>An organization providing design or design related services.</td>
</tr>
<tr>
<td>AC – Designer(Constructor)</td>
<td>An organization providing fabrication, erection, and/or the installation of items, with design responsibility.</td>
</tr>
<tr>
<td>AD – Distributor</td>
<td>An organization that supplies products that are covered by applicable standards, from a manufacturer to a vendor or end user.</td>
</tr>
<tr>
<td>AE – Employee/Union Interest</td>
<td>An organization which represents the collective interests of a group of employees.</td>
</tr>
<tr>
<td>AF – General Interest</td>
<td>Individuals who have expert knowledge in the scope of the committee’s work, who are not otherwise covered or whose primary source of funding is not covered by another category of interest.</td>
</tr>
<tr>
<td>AG – Installer</td>
<td>An organization that erects or assembles components, parts, and items at a facility or work site.</td>
</tr>
<tr>
<td>AH – Insurance/Inspection</td>
<td>An organization insuring equipment and/or providing required independent inspection of the manufacture and installation of components, parts, and testing of items.</td>
</tr>
<tr>
<td>AI – Laboratory/Testing</td>
<td>An organization whose primary function is to perform research and development, or furnish testing, or calibration, or examination services.</td>
</tr>
<tr>
<td>AK – Manufacturer</td>
<td>An organization producing products, components, parts, assemblies, or accessories covered by the applicable standard.</td>
</tr>
<tr>
<td>AM – Material Manufacturer</td>
<td>An organization producing, supplying, or controlling materials or non-welded appurtenances used for components, parts, accessories, or assemblies.</td>
</tr>
<tr>
<td>AO – Owner</td>
<td>An organization owning or operating a facility where components, parts, or items are installed or used.</td>
</tr>
<tr>
<td>AP – Pipeline Operator/Owner</td>
<td>An organization which designs, constructs, owns/operates, inspects or maintains a pipeline transportation system covered by the applicable standard.</td>
</tr>
<tr>
<td>AR – Oil Refining/Production</td>
<td>An organization providing oil refining and/or exploration.</td>
</tr>
<tr>
<td>AT – Regulatory</td>
<td>An organization, entity or agency responsible for exercising authority in a regulatory or enforcement capacity.</td>
</tr>
<tr>
<td>AV – Trainer/Educator</td>
<td>The provider of education or training related to the equipment, products, services, or technical discipline covered by the standard.</td>
</tr>
<tr>
<td>Code</td>
<td>Category</td>
</tr>
<tr>
<td>------</td>
<td>----------</td>
</tr>
<tr>
<td>AW</td>
<td>User</td>
</tr>
<tr>
<td>AX</td>
<td>Utility</td>
</tr>
<tr>
<td>AY</td>
<td>Government</td>
</tr>
<tr>
<td>CA</td>
<td>Producer – Airframe/Power Plant</td>
</tr>
<tr>
<td>CM</td>
<td>Chemical Manufacturing</td>
</tr>
<tr>
<td>DE</td>
<td>Design/Engineering&lt;sup&gt;2&lt;/sup&gt;</td>
</tr>
<tr>
<td>GS</td>
<td>Gage Manufacturer</td>
</tr>
<tr>
<td>MC</td>
<td>Cast Boiler Manufacturer</td>
</tr>
<tr>
<td>MH</td>
<td>Water Heater Manufacturer</td>
</tr>
<tr>
<td>MW</td>
<td>Wrought Boiler Manufacturer</td>
</tr>
<tr>
<td>OP</td>
<td>Pressure Relief Device Manufacturer</td>
</tr>
<tr>
<td>PP</td>
<td>Petroleum Production</td>
</tr>
<tr>
<td>PR</td>
<td>Petroleum Refining</td>
</tr>
<tr>
<td>RM</td>
<td>Repair Manufacturing</td>
</tr>
<tr>
<td>SP</td>
<td>Standards Development Organization</td>
</tr>
</tbody>
</table>

<sup>2</sup> The DE, Design/Engineering, category of interest only applies to the ASME/API Joint Committee on Fitness for Service.
Appendix 3: Appeals

A3-1 Persons who have directly and materially affected interests and who have been or will be adversely affected by an action or inaction of a standards committee and/or consensus body have a right to appeal.

A3-2 Appeals shall be considered according to the following:

(a) Appeals shall first be directed to the standards committee.
(b) 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.
(c) If the cognizant 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.

A3-3 Procedures for appeal to the standards committee shall be as follows:

A3-3.1 Written notice of intent to appeal shall be filed with the Secretary of the standards committee within 20 working days after the date of notification of the action, followed within 10 additional working days by the appeal package. The item in question will then not proceed pending a hearing on the appeal. Notice of intent to appeal an inaction may be submitted to the Secretary of the standards committee at any time and shall be followed within 10 working days by the appeal package.

A3-3.1.1 The appeal package shall be accompanied by a filing fee, determined by the Managing Director, Standards and Engineering Services, for processing the appeal. If ASME determines that a hearing is not in order (see para. A3-3.2), the filing fee shall be returned. The filing fee may be reduced or waived by ASME staff (Director of the cognizant supervisory board) upon sufficient justification submitted by the appellant. If the filing fee is not submitted or postmarked by the appeal filing deadline by the appellant, then the appeal shall be dismissed unless the fee has been waived or an extension of time has been granted prior to the close of business on the filing deadline date. Requests for the fee to be reduced or waived shall be submitted at least 5 working days prior to the appeal filing deadline.

A3-3.1.2 The appeal package shall be comprised of a brief statement of the matter and the reason(s) why the appellant believes an appeal is warranted. Specifically, the appeal package (inclusive of exhibits) shall include the following:

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

A3-3.1.3 The appeal statement (inclusive of exhibits) shall not be more than 30 pages, double spaced, 12-point font or larger. The appeal package shall be sent via electronic means (one complete hard copy should be mailed to the applicable standards committee Secretary). No supplemental filing prior to the forthcoming hearing shall be permitted.

A3-3.1.4 If the appellant is unable to provide the required appeal materials within the 10-working day deadline, an extension may be requested, with the grounds for such request noted. Such request must be directed to the Secretary of the standards committee within the ten-working-day deadline, or the appellant shall forfeit the right to appeal. Extensions of time to submit an appeal statement may be granted at the discretion of the Officers of the Standards Committee.

A3-3.1.5 The appeal submission shall comply with all the requirements of A3-3 in order to be considered.

A3-3.2 Once ASME Staff has determined a hearing is in order in accordance with A3-1 and A3-3:

(a) the Secretary of the standards committee shall notify the standards committee of the request for appeal,
(b) The appeal package shall be made available to all concerned parties, by the Secretary of the standards committee, at least 15 working days prior to the date of any scheduled hearing, and
(c) the consensus body shall hear the appeal at its earliest practicable scheduled meeting after the date of request for appeal, or at the discretion of the standards committee Chair, at a meeting of a hearing panel, consisting of a minimum of 5 members of the consensus body appointed by the Chair, on a date mutually agreeable to all parties.

A3-3.3 A response to the appeal statement shall be developed by a proponent of the action or inaction in question.

A3-3.3.1 The response statement

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

A3-3.3.2 The response statement (inclusive of exhibits) shall not be more than 30 pages, double spaced, 12-point font or larger.

A3-3.3.3 The response statement shall be made available to all appeal hearing participants, by the Secretary of the standards committee, at least 15 working days prior to the date of any scheduled hearing.
A3-3.3.4 No supplemental filing prior to the forthcoming hearing shall be permitted.

A3-3.4 Appeal Hearings

A3-3.4.1 Eligibility to Vote

(a) If an appeal of an action for which a subordinate group has been delegated approval authority (e.g., approval of a response to a request for interpretation via the Subcommittee Method or the Special Committee Method) is to be heard by the entire standards committee, members of the standards committee who are also members of the pertinent subordinate group or have a conflict of interest may attend the hearing and participate to the extent any member of the public would be permitted to do so, or may attend and participate as the designated representative of the subordinate group; but in any event, shall not participate in any executive session of the standards committee concerning the appeal, shall not be counted in a quorum, and shall not be eligible to vote.

(b) If the appeal of an action as specified in para. (a) is to be heard by a hearing panel, members of the pertinent subordinate group shall not be selected as members of the Panel.

(c) If an action is appealed to more than one level (e.g., to a standards committee and, subsequently, to the cognizant supervisory board), an individual who is a member of both or all of the levels hearing an appeal of the same action shall be eligible to vote at only one level of appeal. At those levels of appeal where the individual is a member but not eligible to vote, that member may attend the hearing and participate to the extent any member of the public would be permitted to do so or may attend and participate as the designated representative of the appellant or respondent; but in any event shall not participate in any executive session concerning the appeal and shall not be counted in determining a quorum.

A3-3.4.2 The appellant, the consensus body members, and others concerned shall be notified of the hearing at least 20 working days in advance of the date set for hearing the appeal. At the time of notification, the Secretary shall provide the parties with a list of the consensus body members or a list of the members of the proposed hearing panel, as applicable, in order to allow any concerned party, the opportunity to challenge should they perceive the existence of a conflict of interest.

A3-3.4.2.1 Any parties hearing the appeal who believe they may have a conflict of interest, should recuse themselves from the hearing panel or request the matter be considered per A3-3.4.2.2. Challenges based on a perceived conflict of interest shall be submitted to the Secretary no more than 10 working days after receipt of the list of the consensus body or a list of the members of the proposed hearing panel, as applicable, and shall contain rationale for the challenge. The Secretary shall distribute the rationale statement to the individual(s) being challenged in advance of the hearing, who shall then have the opportunity to respond. The individuals being challenged may recuse themselves from the hearing, or if they do not think they have a conflict of interest, shall request the challenge be addressed prior to the hearing.

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3 See ASME Policy 15.8, Appendix A, Section 2(a).
per A3-3.4.2.2. If the individual being challenged does not respond within the 20 working days of the appeal hearing date, they shall automatically be recused from the hearing panel.

A3-3.4.2.2 The matter shall be considered resolved if either of the following criteria are met:

(a) 3/4 approval by the applicable Standards Committee by secret vote that the individual’s continued participation will not unreasonably jeopardize the integrity of the decision-making process, and no further appeal is submitted within 10 working days to the cognizant supervisory board.

(b) 3/4 approval by the cognizant supervisory board by secret vote that the individual’s continued participation will not unreasonably jeopardize the integrity of the decision-making process.

If the criterion is not met, the challenged individual shall recuse themselves from the hearing panel.

A3-3.4.3 Appeal hearings generally should be held in open session (other than the executive session portion). However, upon written request by either of the parties or the Committee Officers for a closed meeting, participants shall be limited to the following:

(a) members of the consensus body hearing the appeal and eligible to vote
(b) appellant(s)
(c) respondents(s)
(d) pertinent ASME Staff
(e) ASME legal counsel

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

A3-3.4.3.1 Information presented during the appeal by either party shall be based on information in the appeal statement (including exhibits) or response statement (including exhibits). Information presented outside of the scope of the appeal statement (including exhibits) or response statement (including exhibits) shall be ruled invalid by the hearing panel Chair and shall not be considered further.

A3-3.4.3.2 Should any party not be present at the hearing, the decision of the committee shall be based on the presentations made by the parties that are present at the hearing, in addition to the written appeal statement (including exhibits) and response statement (including exhibits).

A3-3.4.4 Due Process. During all appeal hearings, the provisions for Due Process as outlined in CSP-20 (g) shall be followed. Prior to each hearing, the Chair of the committee or cognizant supervisory board shall advise the committee or cognizant supervisory board of this policy as noted below:

(a) The Society provides procedural "due process" in connection with codes, standards, and related conformity assessment activities. As part of this procedural
"due process," there are several levels to which an aggrieved individual or party may appeal.

(b) At any level of hearing or appeal, there shall be no informal discussion(s) regarding the grievance between members of the hearing panel and representatives of the appellant or of the appellee from the beginning of appeal hearing until appellant and appellee receive the decision.

(c) To ensure that the individual(s) appearing before the committee or cognizant supervisory board receives the results of the hearing as a Society position, those serving on these supervisory boards and committees shall refrain from communicating the apparent results of such a hearing prior to the time that the position of the cognizant supervisory board or committee is transmitted by staff in a written communication.

A3-3.5 Deliberations for determining the decision of the committee shall take place during executive session only. Attendees for the executive session portion of the hearing shall be limited to the following:

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

A3-3.6 For appeals relating to membership or other operational items, the appeal shall be upheld or denied on the basis of majority approval by those hearing the appeal; for appeals relating to technical issues, the appeal shall be upheld or denied by a 2/3 approval by 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 in writing within seven working days of the date of the hearing.

A3-4 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 cognizant supervisory board within ten working days after the date of transmittal of the applicable standards committee’s response to the appeal. Thereafter, the procedures of the cognizant supervisory board shall apply.

A3-5 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 ten 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.

A3-6 In addition, any individual, company, or organization aggrieved by any action or inaction of a supervisory board may request an appeal hearing before that board for reconsideration of the action or inaction. If the cognizant 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.
A3-7 Any individual, company, or organization aggrieved by any action or inaction of the Council on Standards and Certification may request reconsideration by the Council on Standards and Certification.

A3-8 The Board on Hearings and Appeals is the final level of appeal relating to Standards matters within ASME.

A3-9 The appeals procedures of the standards committees, supervisory boards, and the procedures of the Board on Hearings and Appeals are available from ASME upon request.
Appendix 4: Awards

Committees are encouraged to recognize the contributions of their members through the recommendation for awards. Below are examples of awards that apply to all committees.

A4-1 Certificates of Appreciation

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

(a) The usual times for the committee to consider the recommendation of a Certificate should be either ten years after the date of an individual’s first formal appointment to a committee activity, or at the time of the individual’s resignation from committee activities.
(b) Factors to be considered in the decision of whether a recommendation should be made are length, continuity, and diligence of service.
(c) An individual may receive more than one Certificate of Appreciation for different activities. However, no more than one Certificate for general service should be recommended for any individual.
(d) The nomination shall include the name(s) of the recipient and refer in a general way to service to the activities of the committee.

A4-2 Certificates of Achievement

Certificates of Achievement are Council on Standards and Certification awards. They are available annually to each standards committee to recognize significant personal achievement in the development and promulgation of standards under the committee’s jurisdiction. The consensus committee may make a recommendation to the cognizant supervisory board for the issuance of a Certificate of Achievement to an individual for significant personal achievement in the development and promulgation of standards under the committee’s jurisdiction.

An individual may receive more than one Certificate of Achievement.

A4-3 Certificates of Acclamation

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

(a) This award is to recognize excellence in development of a new or revised standard; it is not intended to be a general service award.
(b) The nomination shall consist of the name(s) of individuals most responsible for the development of a specific committee work product (e.g., new document, major revision).
(c) An individual may receive more than one Certificate of Acclamation, if so deserving.
(d) Approval by the cognizant supervisory board acting on behalf of the Council on Standards and Certification is required. The cognizant supervisory board exercises control to maintain the integrity of the award.

**A4-4 Dedicated Service Award**

Annually, the Senior Vice President and each supervisory board Chair are allowed to present this ASME award to an individual from a committee under each board’s jurisdiction, with a minimum service to the Society of ten years.

(a) The purpose of the ASME Dedicated Service Award is to honor unusually dedicated voluntary service to the Society marked by outstanding performance, demonstrated effective leadership, prolonged, and committed service, devotion, enthusiasm, and faithfulness.

(b) Any individual or committee may nominate candidates for the Dedicated Service Award. Nomination and eligibility information may be found at [http://www.asme.org/Governance/Honors/SocietyAward](http://www.asme.org/Governance/Honors/SocietyAward).

(c) No person shall receive more than one ASME Dedicated Service Award. Individuals responsible for selecting a candidate for the Dedicated Service Award are not eligible to receive an award during this time.

(d) The award consists of a plaque with medallion, a lapel pin, and certificate.

**A4-5 Sector Achievement Awards**

The Society Awards that are sponsored by the Council on Standards and Certification or one of the boards reporting to the Council are listed in Appendix A 5 of the S&C Sector Operations Guide. Information on how to apply for the awards can be obtained online at: [https://www.asme.org/about-asme/honors-awards/achievement-awards](https://www.asme.org/about-asme/honors-awards/achievement-awards)

**A4-6 Honorary Membership**

**A4-6.1 Standards Committee**

A4-6.1.1 The consensus body may appoint a former participant to Honorary Membership of the standards committee. Such individuals shall not have the right to vote. Honorary Membership is continuous; there is no expiration date.

A4-6.1.2 Honorary Membership may be conferred upon a former standards committee participant only after ten years of dedicated service as a participant of the standards committee during which time the member shall have made significant contributions to the activities of the committee.

A4-6.1.3 The consensus body recommends the candidate for Honorary Membership to the cognizant supervisory board for appointment. Candidates that receive 90% approval by the consensus body are nominated for Honorary Membership and are forwarded to the cognizant supervisory board for approval.

**A4-6.2 Subordinate Groups**

A4-6.2.1 The subordinate group voting membership may appoint a former participant to Honorary Membership of the committee. Such individuals shall not have the right to vote. Honorary Membership is continuous; there is no expiration date.
A4-6.2.2 Honorary Membership may be conferred upon a former standards committee participant only after ten years of dedicated service as a participant of that committee during which time the member shall have made significant contributions to the activities of the committee.

A4-6.2.3 The subordinate group voting membership recommends the candidate for Honorary Membership to the cognizant standards committee for appointment. Candidates that receive 90% approval by the subordinate group voting membership are nominated for Honorary Membership and are forwarded to the cognizant consensus body for approval.

A4-6.3 After approval, a Certificate will be issued.
Appendix 5: Draft Standards for Trial Use

A5-1 Upon recommendation by majority approval of the consensus body membership, and approval by a majority of the membership of the cognizant 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.

A5-2 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 Appendix 3. 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.

A5-3 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 body, 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.”

A5-4 Comments received as a result of the announcement of the draft standard for trial use will be considered by the responsible committee for subsequent development as an American National Standard. Those who submitted comments will be advised of the disposition of their comments.
Appendix 6: Additional Guidance for First/New Editions of Standards

The following table describes unique terms and descriptions that have been added to help with the standards development process.

The table describes where the content is to be located (once approved), the means in which each should be approved, who should be consulted in the development, who needs to approve it, by what criteria it should be approved, and who should be informed of its approval.

**Table 1 - Description and Approval Criteria**

<table>
<thead>
<tr>
<th>Item and location</th>
<th>Description</th>
<th>Approved via</th>
<th>Consult (Optional)</th>
<th>Approve</th>
<th>Inform</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Abstract</strong> (ANSI PINS Form) [See para. 4.2.1]</td>
<td>“A one paragraph description of the standard. The information should clearly indicate what is covered by the standard in order to differentiate it from similar standards or projects on file at ANSI” This is the initial premise for what the standard is going to address. ANSI requests one paragraph, not to exceed 500 characters</td>
<td>PINS Form</td>
<td>Relevant Standards Committee (if there is one)</td>
<td>For the initial Abstract, Director or, if the subject matter does not clearly and completely fit under an existing board, the Senior Director, Standards Operations. For PINS for subsequent editions, Director approval is only required if the abstract is being changed.</td>
<td>Standards Committee who will be responsible for the standard (if one exists)</td>
</tr>
<tr>
<td><strong>Bounds of the Standard</strong> [See para. 4.2.2.2 and Section 8]</td>
<td>The technical bounds that the standard may cover as it grows. This should reflect the content that the standard will cover once it has fully matured.</td>
<td>Record on the system</td>
<td>Subordinate Group responsible for the standard (if applicable)</td>
<td>Standards Committee (majority approval of the voting members) Board Ballot (majority approval) to identify any potential conflicts</td>
<td>Subordinate Group responsible for the standard (if applicable)</td>
</tr>
</tbody>
</table>

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4 The initial bounds of existing ASME Codes and Standards will automatically be the abstract on the most recent public review submission form and shall not require approval by the consensus body or cognizant supervisory board.
<table>
<thead>
<tr>
<th>Item and location</th>
<th>Description</th>
<th>Approved via</th>
<th>Consult (Optional)</th>
<th>Approve</th>
<th>Inform</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minimum Viable Product (C&amp;S Connect)</td>
<td>Content required to effectively deploy the standard or content targeted for that edition of the standard. This will give the committee clear direction as to what must be included in the first edition and what should be deferred to later editions.</td>
<td>Voice vote at a meeting and recorded in Minutes of meeting, or administrative record on the system</td>
<td>• Members of the applicable subordinate Group, standards committee and Board</td>
<td>• Director</td>
<td>• Subordinate Group</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Officers (including Staff) of the committee responsible for the standard (e.g. B31.1 Subcommittee for the B31.1 Standard)</td>
<td></td>
<td>• Standards committee</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Board</td>
<td>• Other committees impacted by the standard</td>
</tr>
</tbody>
</table>
Appendix 7: Procedures for Development of ASME Standards, Guides, and Technical Reports

A7-1 Introduction
An ASME standards committee may develop ASME standards, guides, or technical reports within its charter.

A7-2 Approval Process for ASME Standards, Guides, and Technical Reports

A7-2.1 A proposed ASME standard, guide, or technical report shall be processed in accordance with the requirements of Section 4 of the Operating Procedures for ASME Codes and Standards Development Committees, with the exceptions noted below:

4.2.1 ANSI Project Initiation Notification (PINS)
A notification to ANSI using the PINS form is not required. At the initiation of a proposed new ASME standard, guide, or technical report, a notification should be posted on an ASME Web page.

4.3 Maintenance Options for ASME Standards, Guides, and Technical Reports
The standards committee shall review each ASME standard, guide, or technical report within its charter at least once every five to ten years to determine whether it should be:

(a) rewritten and processed as an ASME standard or American National Standard (ANS)
(b) revised because it is still relevant, but changes are needed
(c) reaffirmed because it is still relevant, but no changes are needed
(d) withdrawn because it is no longer relevant

After initial publication, the committee may determine whether the ASME standard, guide, or technical report should be maintained by balloting the entire document including all revisions (similar to periodic maintenance documents) or revisions separately (similar to continuous maintenance documents).

4.4.2.2 First Consideration Ballot
4.4.2.2(c) The project team shall respond to all comments and should review each negative and determine if it will be addressed in this draft or deferred for consideration in future editions.

4.4.2.2(d)(1)(i) proceed with no change to ASME public review (see Section A7-2.2) and cognizant supervisory board procedural review and approval (see Section 4.4.4).

4.4.2.3 Recirculation Ballot
4.4.2.3(a)(3) to review unresolved objections received as a result of an ASME public review (see Section A7-2.2).

4.4.2.3(f)(1)(i) proceed with no change to ASME public review (see Section A7-2.2) and cognizant supervisory board procedural review and approval (see Section 4.4.4) if the proposal has not been submitted previously.
4.4.2.3(g) If the proposal is to proceed to another recirculation ballot, the project team shall review all negatives and comments from the previous ballot that are in accordance with para. 4.4.2.3(d).

Add 4.4.2.3(i) As an alternative to a recirculation ballot, the committee may open new records to address negatives and comments.

4.4.2.4. Approval of Editorial Proposals
4.4.2.4 (c) Editorial proposals that are approved at a meeting or by ballot in records that only include editorial revisions may be excluded from ASME public review and do not require cognizant supervisory board procedural review.

4.4.5 Public Review
4.4.5.1 Announcement
All proposed, revised, reaffirmed, or withdrawn ASME standards, guides, or technical reports shall be announced on the ASME website for ASME public review (see Section A7-2-2). An announcement in the ANSI Standards Action (ANSI public review) is not required.

4.4.6 ANSI Approval
ANSI approval is not required for ASME standards, guides, or technical reports.

A7-2.2 ASME Public Review Announcement
The proposed ASME standard, guide, or technical report shall be made available for a thirty-day comment period and shall be announced on the ASME Codes and Standards web site. ASME public review may be conducted at any stage in the development of the proposal including prior to, concurrent with, or following standards committee balloting. Only the portions of the ASME standard, guide, or technical report that are being revised by a proposal are required to be made available for ASME public review.

Any substantive changes made to the proposal after the ASME public review require approval in accordance with Section 4.4 of the Operating Procedures for ASME Codes and Standards Development Committees, except as noted in A7-2.1, and another ASME public review comment period is required. If a second (or third, etc.) ASME public review is needed, only the portions of the ASME standard, guide, or technical report revised since the first ASME public review need to be made available.
Annex Z: Template for Standards Committee Operating Guide

Z-1 This template shall be used by each ASME standards committee, or cognizant supervisory board on behalf of the standards committees reporting to it, to describe the committee’s basic details, identify preferences for instances where the Operating Procedures for ASME Codes and Standards Development Committees provide options, and to identify other guidance and practices that the committee wishes to take advantage of as part of their normal operations. Each operating guide shall be approved by the cognizant supervisory board.

Z-2 Any requests for revision to the operating guide template shall be submitted to the Council on Standards and Certification for consideration and approval.

Operating Guide for ASME [Standards Committee Designation and Title or Standards Committees reporting to the Board on ______]

Approved by [Standards Committee Designation and Title] on: [Date of Approval] (if applicable)
Approved by the [Cognizant Supervisory Board] on: [Date of Approval]

I. General (Reference Section 1)
This operating guide provides specific information related to the [Standards Committee Designation and Title or Standards Committees reporting to the Board on XXXX], hereafter referred to as the Committee, and provides guidance on its practices and procedural preferences.

II. Charter (Reference Section 1)
The Charter of the Committee(s) is as follows:

III. Standards Committee Membership
Number of Consensus Body Members (Reference Para. 3.3)
The Committee:
☐ prefers to operate with no more than [#] members.
☐ does not have a preferred upper limit on the number of its members
☐ prefers to operate with no fewer than [#] members.
☐ does not have a preferred lower limit on the number of its members

Additional Preferences for Number of Consensus Body Members:

Membership Duties (Reference Para. 3.3.1.1.1)
Members, their alternates, or their representatives are expected to be in attendance and participate in not less than XX% of all scheduled meetings of the standards committee.
Members or their alternates are expected to participate on not less than $XX\%$ of all standards committee ballots.

**Interest Categories (Reference Para. 3.3.1.1.2)**

Members of the Committee are typically identified by the following interest categories (See Appendix 2 for the definition of each interest category):
☐ AA Constructor
☐ AB Designer
☐ AC Designer/Constructor
☐ AD Distributor
☐ AE Employee/Union Interest
☐ AF General Interest
☐ AG Installer
☐ AH Insurance/Inspection
☐ AI Laboratory/Testing
☐ AK Manufacturer
☐ AM Material Manufacturer
☐ AO Owner
☐ AP Pipeline Operator/Owner
☐ AR Oil Refining/Production
☐ AT Regulatory
☐ AV Trainer/Educator
☐ AW User
☐ AX Utility
☐ AY Government
☐ CA Producer – Airframe/Power Plant
☐ CM Chemical Manufacturing
☐ DE Design/Engineering
☐ GS Gage Manufacturer
☐ MC Cast Boiler Manufacturer
☐ MH Water Heater Manufacturer
☐ MW Wrought Boiler Manufacturer
☐ OP Pressure Relief Device Manufacturer
☐ PP Petroleum Production
☐ PR Petroleum Refining
☐ RM Repair Manufacturing
☐ SP Standards Development Organization

Additional Guidance for Interest Categories:
Change in Interest Category (Reference Para. 3.3.1.2(d))
When a member’s interest category changes that does not result in an imbalance, the Committee prefers to:
☐ Reaffirm the member to complete the present term, under the new interest category
☐ Reappoint the member for a new full term, under the new interest category
☐ No preference

Additional Preferences for Standards Committee Membership:

IV. Subordinate Group Membership
Establishment of Subordinate Groups (Reference Para. 3.2.2.1)
Subordinate groups that do not report directly to the standards committee are typically established by:
☐ The parent committee
☐ The consensus body
☐ Not applicable

Subordinate Group Membership (Reference Section 3.4)
Membership actions for subordinate groups that report directly to the standards committee are typically approved by:
☐ The consensus body
☐ The Chair of the consensus body
☐ Not applicable

Membership actions for subordinate groups that do not report directly to the standards committee are typically approved by:
☐ The parent committee
☐ The Chair of the parent committee
☐ The consensus body
☐ The Chair of the consensus body
☐ Not applicable

Chairs and Vice Chairs of Subordinate Groups that do not report directly to the Standards Committee (Reference Para. 3.4.3.2)
Chairs and Vice Chairs of subordinate groups that do not report directly to the standards committee are typically nominated by
☐ The Chair of the parent committee
Election method specified in 3.3.4.2.1.1
☐ Not applicable

Chairs and Vice Chairs of subordinate groups that do not report directly to the standards committee are typically appointed by:
☐ The parent committee
☐ The consensus body
☐ Not applicable

Additional Preferences for Subordinate Group Membership:

V. Standards Committee Ballot Authorization (Reference Para. 4.4.2)
The Committee prefers standards committee ballots be authorized by:
☐ The subordinate group responsible for the standards proposal
☐ An officer of the subordinate group responsible for the standards proposal
☐ An officer of the standards committee
☐ Members of the standards committee
☐ No Preference

Additional Preferences for Authorization of Standards Committee Ballot:

VI. Interpretations
Issuance of Interpretations (Reference Section 5)
Interpretations, generally, are
☐ not provided for any standards within the committee charter
☐ provided for all standards within the committee charter
☐ provided for all standards within the committee charter, except the following:

☐ provided for only the following standards:
Approval of Interpretations (Reference Para. 5.2)
When interpretations are issued, the Committee prefers to approve them via
☐ Consensus Body
☐ Cognizant Subordinate Group
☐ Special Committee
☐ No Preference

Additional Preferences for Interpretations:

VII. Cases
Issuance of Cases (Reference Section 6)
Cases, generally, are
☐ not provided for any standard within the committee charter
☐ provided for all standards within the committee charter
☐ provided for all standards within the committee charter, except the following:

Additional Preferences for Cases:

Cases are typically reviewed on the following cycle:

VIII. Technically Affected Parties
Parties Outside of ASME’s Committee Structure (Reference Para. 4.4.5)
Technically affected parties outside of ASME’s committee structure are typically provided an opportunity to review and comment on proposals during:
☐ the ANSI Public Review only
☐ a third party/industry review in addition to the ANSI Public Review
☐ the ASME Public Review only
☐ a third party/industry review in addition to the ASME Public Review
Parties Within ASME’s Committee Structure (Reference Para. 4.4.2.1.2.2)
The committees noted below are typically affected by changes to this committee’s standards as indicated below:

<table>
<thead>
<tr>
<th>Standard</th>
<th>Section/Part (if applicable)</th>
<th>Committees typically technically affected by revisions</th>
<th>Typical Timing of Review &amp; Comment</th>
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<td>Entire Standard</td>
<td>B1 Screw Threads</td>
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<td>Entire Standard</td>
<td>B46 Classification and Designation of Surface Qualities</td>
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IX. Additional Honors & Awards (Reference Section 8 & Appendix 4)
[Additional honors and awards information applicable to this standards committee.]

X. Additional Guidance
[Committees may include in this section any additional committee specific guidance with which they would like to operate under. This section shall not include any requirements and shall not include any deviations from the ASME Operating Procedures for Codes and Standards Development Committees.]

Examples:
- It is preferred that any nominee for a Chair/Vice Chair position provide a statement on why they are seeking these positions. Interviews may be conducted by the committee if there is more than one candidate.

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5 Committees may include conference committees or regulatory committees.
## ASME Approval of Procedures

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<th>Date</th>
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<td></td>
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